

Corporate Policy and Strategy Committee

10am, Tuesday 3 December 2013

Risk Management Policy and Framework

Item number 7.5

Report number

Wards

Links

Coalition pledges

Council outcomes [CO25](#)

Single Outcome Agreement

Alastair Maclean

Director of Corporate Governance

Contact: Carol Campbell, Head of Legal, Risk & Compliance

E-mail: carol.campbell@edinburgh.gov.uk | Tel: 0131 529 4822

Executive summary

Risk Management Policy and Framework

Summary

Following his appointment in September 2011, the Director of Corporate Governance highlighted underlying concerns regarding risk management arrangements and in early 2012 commissioned an external assessment of the Council's risk function. The objectives of the assessment were to evaluate the maturity of the existing risk framework, compare risk management practices against best practice and identify opportunities to improve the effectiveness, alignment and ownership of risk management across the Council.

The findings of the review by EY supported the internal view that the existing risk function was not adequate for an organisation of the size, nature and complexity of the Council. The assessment also confirmed that the existing risk management practices were operating at a basic level, with a pressing need to improve visibility, accountability and transparency across a range of areas.

In November 2012, following a procurement exercise, Council approved the appointment of PwC as preferred bidder to deliver internal audit and risk management services on a co-sourced basis, and the contract for service delivery was signed in April 2013

In August 2013, the Director of Corporate Governance commenced a project, as part of the co-sourced audit and risk management arrangements with PwC, to re-design the Council's risk management arrangements to ensure these are fit for purpose, fully integrated into Council business activities and that risk is integral to decision making going forward.

The first phase of the design and build process has identified the need for a new risk management framework and policy to be applied consistently across the Council. This report now seeks approval for the proposed new City of Edinburgh Council Risk Management Policy and Framework (the "Framework") set out in appendix one.

Recommendations

1. To approve the Risk Management Policy and Framework
2. To refer the report to the Governance, Risk and Best Value Committee ("GRBV") for scrutiny in accordance with the agreed work programme

Measures of success

The Framework is applied consistently throughout the Council leading to strengthened governance and accountability in relation to the Council's key risks.

Financial impact

None.

Equalities impact

None.

Sustainability impact

None.

Consultation and engagement

There has been consultation and engagement with the Corporate Management Team in relation to the Framework.

Background reading / external references

[Operational Governance update report](#) Governance, Risk and Best Value Committee, 6 November 2012

Risk Management Policy and Framework

1. Background

- 1.1 Following his appointment in September 2011, the Director of Corporate Governance highlighted underlying concerns regarding risk management arrangements and in early 2012 commissioned an external assessment of the Council's risk function. The objectives of the assessment were to evaluate the maturity of the existing risk framework, compare risk management practices against best practice and identify opportunities to improve the effectiveness, alignment and ownership of risk management across the Council.
- 1.2 The findings of the review by EY supported the internal view that the existing risk function was not adequate for an organisation of the size, nature and complexity of the Council. The assessment also confirmed that the existing risk management practices were operating at a basic level, with a pressing need to improve visibility, accountability and transparency across a range of areas.
- 1.3 In November 2012, following a procurement exercise, Council approved the appointment of PwC as preferred bidder to deliver internal audit and risk management services on a co-sourced basis and the contract for service delivery was signed in April 2013
- 1.4 In August 2013, as part of the co-sourced audit and risk management arrangements with PwC, the Director of Corporate Governance commenced a project to re-design the Council's risk management arrangements to ensure these are fit for purpose, fully integrated into Council business activities and that risk is integral to decision making going forward.
- 1.5 The first phase of the design and build process has identified the need for a new risk management framework and policy to be applied consistently across the Council. This report now seeks approval for the proposed new City of Edinburgh Council Risk Management Policy and Framework set out in appendix one.

2. Main report

- 2.1 Purpose
 - 2.1.1 The purpose of the Framework is to implement comprehensive risk management arrangements across the Council and applies to all Council risks. Detailed procedural guidance will be developed to support the Framework.

2.2 Objectives

2.2.1 The objectives of the Framework are to:

- Integrate risk management across the Council so that it is part of the Council's culture
- Anticipate and respond to changing risks and improve the Council's risk resilience
- Prevent injury, damage and losses, and reduce the cost of risk
- Raise awareness of risk with all involved in the delivery of Council services
- Protect the Council's reputation through strengthened governance and accountability

2.3 Approach

2.3.1 The Framework is designed to give clear guidance on how risks should be grouped with an explicit framework for scoring risks based on likelihood (1-5) and impact (1-5) that is designed to highlight high risk areas to the Council.

2.3.2 In addition, there is a scoring methodology based on the overall risk: High (red), Medium (amber) and Low (green).

2.3.3 This methodology, when consistently applied across the Council, should allow senior management and elected members to focus on the high risks, leading to more informed decision making.

2.3.4 The Council's response to risk will reflect the potential impact on the Council's ability to meet its statutory requirements and strategic outcomes, likely reputational impact and potential financial implications. Depending on the risk identified, effective internal controls will need to be in place and operating effectively to reduce the Council's exposure. Where a high risk requires treatment an appropriate action plan with timescales needs to be established. Arms length organisations/companies risks will be built into the Council's identification and mitigation of risks process under the Framework.

2.3.5 The Framework is intended to create an approach to risk management which is aligned to the Council's strategic vision and objectives, recognising that risks are constantly changing.

2.3.6 The Framework sets out clear roles and responsibilities for risk management across the Council, promoting ownership of risk at a leadership level with risk awareness and accountability shared by all staff throughout the Council.

2.3.7 Risks will be captured across all areas of the Council in line with the determined risk universe. Risks will be centrally captured and grouped according to Team, Service, Directorate or Corporate risk with a process established for escalating

risks. There will be clear roles and responsibilities at all levels regarding ownership of the risk and any subsequent actions.

2.4 Reporting

- 2.4.1 The Framework will be supported through agreed reporting with a greater focus on high risk, new risks and changing risks, and on mitigating actions and timescales. Regular reports on the Council's corporate risks will be presented to CMT and GRBV, with risk a standing agenda item at CMT on a monthly basis.

2.5 Governance

- 2.5.1 The CMT is ultimately responsible for overseeing risk management within the Council with scrutiny by GRBV. The responsibility for risk management across the Council rests with all staff.

2.6 Implementation

- 2.6.1 The success of the risk management project will be dependent on the consistent implementation of the Framework and continued buy-in from senior management and elected members to endorse the importance of risk management throughout the Council.
- 2.7 Once approved the Framework will be circulated on the Orb. Current risks recorded on the Council's risk registers will be updated to reflect the Framework and new risks will be captured in line with the Framework. A process will be established to clearly determine which risks need to be escalated up through the Directorate Registers to a single Corporate risk register based on clearly defined criteria to ensure Council wide risks are identified promptly. The Framework will be followed up with relevant training and a clear training programme on risk management. The Framework will be reviewed on an annual basis.

3. Recommendations

- 3.1 To approve the Risk Management Policy and Framework
- 3.2 To refer the report to the Governance, Risk and Best Value Committee for scrutiny in accordance with the agreed work programme

Alastair Maclean

Director of Corporate Governance

Links

Coalition pledges

Council outcomes CO25 – the Council has efficient and effective services that deliver on objectives

Single Outcome Agreement

Appendices Appendix one – Draft Risk Management Policy and Framework

Policy statement

The Council is aware that certain risks will exist and will never be eliminated. The Council recognises that it has a responsibility to manage risks (both positive and negative) and supports a structured, systematic approach to managing risks through the creation of this risk management framework, promotion of a risk culture and management behaviours.

The objectives of the risk management framework are to:

- Integrate risk management across the Council so that it is part of the Council's culture
- Anticipate and respond to changing risks – improve the Council's resilience
- Prevent injury, damage and losses, and reduce the cost of risk
- Raise awareness of risk with all involved in the delivery of Council services
- Protect the Council's reputation through strengthened governance and accountability

Scope

This policy applies to all Council staff and should be applied consistently across the Council.

Definitions

Risk is defined an event which can affect, positively or negatively, the delivery of the Council's agreed outcomes, pledges and objectives.

Risk management is the culture, processes and structures that are directed towards the effective management of adverse events and opportunities. Risk management provides tools and techniques to manage the threats to the Council achieving its strategic outcomes. Overall the Council seeks to minimise threats and maximise opportunities to delivery its strategic outcomes and objectives.

Policy content

The policy sets out the Council's risk management arrangements across the 5 aspects of the risk management cycle:



Identify: Identification and classification of risk into key groupings to facilitate collation of risks, reporting and escalation.

Analysing and assessing – Scoring framework for risk on a scale of 1 -5 for impact and likelihood, including clear criteria for what constitutes a score of 1 compared with a score of 5. This will promote consistency in risk assessment.

Respond and manage – Based on a total risk score (Impact times likelihood) risks will be rated as either High (Red), Medium (Amber) or Low (Green). This will determine the further action needed to consider the risk, based on a model of: Treat, terminate, transfer or tolerate.

Monitor – Risk management is an ongoing, iterative process. Risks are required to be reviewed and updated by a risk owner. Risk will be a standing item on the agenda of the Corporate Management Team and each Directorate will seek assurance from the individual risk owners that risk in their service areas are being adequately monitored and action being taken as agreed in action plans.

Report – Sets out reporting at a monthly level across the Council, GRBV and also yearend risk confirmations.

Risk Management Governance Arrangements

The Corporate Management Team (CMT) is ultimately responsible for overseeing risk management within the Council, directly reporting to the Council's Governance, Risk, and Best Value Committee on a routine basis. The CMT who have the ability to consider Council wide risks and where required support a multi-Directorate response to a potential risk event.

In summary risks are reporting upwards across the Council and the key governance framework is:

Risk Governance overview			
Strategic / Policy	Operational		
Council approval of the CG framework	CMT Quarterly	Risk Team supports the Council's operational and strategic arrangements through challenge, review and regular management reporting.	
Corporate policy & strategy approves risk framework	Risk steering group monthly		
GRBV scrutiny of effectiveness of risk management and corporate risk register	Risk co-ordinators (within Directorates)		
Executive Committees Consider risk implications in report and overall service risks of a red nature and associated action plans	Directorates		

Related Documents

A risk management procedural manual is being prepared to support the implementation and delivery of the Risk Management Framework.

Equalities and Impact Assessment

No equalities impact identified

Strategic Environmental Assessment

Council is compliant with Strategic Environmental Assessment.

Implementation

Once approved the policy will be circulated and reflected on the Orb. Current risks recorded across the Council will be updated to reflect the new framework, and new risks will adopt the new framework. The policy will be followed up with relevant training and a clear training programme on risk management.

Risk assessment

The identification, management and mitigation of risk is key to effective risk management. An assessment methodology will be used to ensure that all Council risk is continuously assessed and effectively managed.

Review

Policy owned by Director of Corporate Governance. To be reviewed on an annual basis, by end of December.

City of Edinburgh Council

Risk Management Policy and Framework

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Introduction

The purpose of this strategy is to implement comprehensive risk management arrangements across the Council, and applies to all Council risks. This strategy will be supported by detailed procedural guidance.

Risk Management Policy Statement

The Council is aware that certain risks will exist and will never be eliminated. The Council recognises that it has a responsibility to manage risks (both positive and negative) and supports a structured, systematic approach to managing risks through the creation of this risk management framework, promotion of a risk culture and management behaviours.

The objectives of the risk management framework are to:

- Integrate risk management across the Council so that it is part of the Council's culture
- Anticipate and respond to changing risks – improve the Council's resilience
- Prevent injury, damage and losses, and reduce the cost of risk
- Raise awareness of risk with all involved in the delivery of Council services
- Protect the Council's reputation through strengthened governance and accountability

Overview of risk management

Risk is defined as an event which can affect, positively or negatively, the delivery of the Council's agreed outcomes, pledges and objectives.

Risk management is the culture, processes and structures that are directed towards the effective management of adverse events and opportunities. Risk management provides tools and techniques to manage the threats to the Council achieving its strategic outcomes. Overall the Council seeks to minimise threats and maximise opportunities to deliver its strategic outcomes and objectives.

Benefits to the Council through adopting the risk management framework:

- Greater focus by the Council, Committees, Corporate and Directorate Management Teams on the significant business issues facing the Council;
- Reduction in surprise events or time spent "fire fighting";
- Greater internal focus on doing things in the right way to get it right first time; and
- More informed risk taking and decision making across the Council.

Risk management should be integrated with the Council's performance management arrangements and aligned to the Council's strategic planning approach. This risk management policy and framework is owned by the Director of Corporate Governance, supported by a risk management team led by the Head of Legal, Risk and Compliance. The policy will be reviewed on an annual basis.

The Council's Risk Management Cycle



1. Identify

Risk identification is an ongoing activity, with individual risks and the impact and/or likelihood of risk changing regularly. Risk identification is the process of determining what service outcomes you are seeking to achieve and identifying what can threaten the achievement of these objectives.

Risks can be identified from a number of sources including: managers reviewing activities; development of objectives and implementation; information from publications; other organisations or partnership risks (horizon scanning); or team workshops. Risks can also emerge in a period of change and transformation or via significant project risk assessments.

To facilitate risk reporting and ensure consistency across the Council, risks will be categorised as follows:

Level 2 Sub categories		Level 1: Overarching risk categories				Level 2 Sub Categories
Partnerships	}	Strategic	Staff	}		Recruitment and Retention
Council vision, values, outcomes, objectives						Workforce Planning
Transformational Change						Capability and Capacity
Reputation						Conduct
External Environment						Morale/Wellbeing
Future Sustainability						Industrial relations
Budgeting	}	Financial	Operational	}		Achievement of outcomes
Capital planning						Stakeholders
Procurement						Reputation
Efficiency savings						Governance
Financial sustainability						Organisational change
Fraud	}	Integrity/Hazard		}		
Legal and Compliance						
Health and Safety compliance						
Resilience						

This approach allows the categories of risk across the Council to be captured and analysed.

2. Analysing and assessing risk

Once a risk is identified the risk is assessed. Risks are assessed consistently across the Council considering – **Likelihood** of the risk occurring, and if that risk was to occur, what the **impact** on the Council would be.

Likelihood

Likelihood is assessed on a 1 to 5 scoring basis:

Score	Description	%Occurence	Chance of Occurence
1	Rare	0-15	Hard to imagine event happening - only happen in exceptional circumstances. If it does occur would be greater than 10 years.
2	Unlikely	15-35	Not expected to occur but might - unlikely to happen. If it does will be between 5 and 10 years
3	Possible	35-60	May occur - reasonable chance of occurring. Likely to occur within 3 to 5 years
4	Likely	60-80	More likely to occur than not. Likely to occur within 1 to 3 years
5	Almost Certain	80-100	Hard to imagine event not happening. Likely to occur within 1 year

Impact (consequences)

The impact of the risk on the Council if it was to occur is determined on a scale of 1 to 5 across the 5 overarching risk categories: Strategic, Financial, Staff, Operational and Hazard.

Score	Description	Strategic	Financial	Staff	Operational	Integrity/Hazard
1	Negligible	Minor impact on Council objectives and outcomes. Can easily recover. Internal Only. No interest to the press or damage to public reputation. No damage to reputation with stakeholders/customers. Future sustainability not impacted.	Corporate - £1 to £250,000. Services - £1 to £100,000	No obvious harm to staff. Minimal disruption to staff - retention remains as expected. Very minor delays in recruiting staff. No impact on the Council's workforce planning arrangements. Staff morale and wellbeing maintained at agreed levels. No impact on industrial relations.	Negligible impact - still achieve service performance outcomes. Limited impact on customer/citizen relationships or service delivery. Governance arrangements still operate as intended. Organisational change can still progress as planned.	No obvious harm to staff. Minimal disruption to staff. No death or no injury requiring hospital treatment. No legal or regulatory fine.
2	Minor	Council objectives/outcomes partly achieved but can recover within the short term. Some adverse publicity and embarrassment. Minor damage to reputation with stakeholders [quantify group/number]. Transformational projects deliver but in a slower than expected timeline	Corporate - £250,001 to £750,000. Services - £100,001 to £300,000	Minor staff complaint. Small number of staff not informed, trained, involved in decisions, treated fairly and consistently. Decrease in retention rates/some loss of staff but limited impact on workforce or succession plan. Capacity and capability easily maintained. Minor impact on staff morale but can easily be rectified.	The achievement of 1 or 2 outcomes at risk but can still be delivered just in a longer period of time. Minor impact on service delivery impacting customers and citizens but short term and easily resolved. Impact on governance but can be rectified with limited additional resources.	Minor H&S complaint due to working practices. Minor staff complaint. Injury requiring minor hospital treatment. Non-compliance with Council procedures but no associated legal or regulatory findings (internal impact only).
3	Moderate	Council objectives/outcomes partially achieved but the more significant outcomes will take a longer period to achieve. Regional media but longer term impact of publicity. Moderate reputational impact with stakeholders resulting in embarrassment and loss of confidence. Raised with Scottish Government. Transformational change does not deliver certain aspects as intended impacting on Council vision. Moderate impact on future sustainability - Council redesign required to address.	Corporate - £750,001 to £5 million. Services - £300,001 to £1million.	Moderate number of staff not informed/trained/involved in decisions/treated fairly and consistently. Staff unrest and small pockets of industrial relations breakdown. Key posts vacant for some time impacting on capacity and capability to deliver in short to medium term.	Failure to achieve certain agreed performance objectives. Changes in service provision moderately impact on citizens as differing service provided to fewer individuals. Stakeholders become less engaged in key projects impacting service delivery. Impact on intended organisational change resulting in change not occurring at a quick enough pace/moderate risk of failure to deliver change.	H&S incident with some harm. Staff unrest. Serious injury. Non-compliance with Council procedures leading to a fine and regulatory damage (internal and external impact).
4	Major	Significant impact on Council wide service provision. Some non-recoverable aspects of service. Scottish Media and adverse publicity less than 5 days. Major impact with customers/stakeholders nationally. Major loss of confidence. Scottish Government concern/action. Future sustainability impacted - Certain aspects of Council vision	Corporate - £5 million to £20 million. Services - £1 million to £5 million	Industrial action. Unable to recruit skilled staff to key roles for an extended period. Serious non compliance with policies and produces due to an absence of training, monitoring of training, staff without capability or capacity in unsuitable role. Staff disengaged, acting outwith corporate policies and poor morale impacting on services provided.	50% of performance outcomes at service level are not delivered. Organisational change programmes fail to deliver the necessary service change resulting in poor or reduced services. Examples where services can no longer be provided or are sustainable. Governance failure which impacts across the Council.	Industrial action. Serious injury leading to death. Serious breach of Council policy resulting in legal action against the Council and substantial fines/activities stopped.
5	Catastrophic	Unable to fulfil Council statutory obligations. Extended disruption. UK wide/International media greater than 5 days. Ministerial concern - public inquiry, enforcement, court action. Severe impact on customers/stakeholders and severe loss of confidence. Highly damaging - public outcry. Complete failure to deliver outcomes.	Corporate - £20 million to £75 million. Services - £5 million to £25 million.	Prolonged industrial action ceasing Council services. Sustained loss of key staff groups. Staff not informed/trained/involved in decisions/treated fairly or consistently. Severe non compliance with agreed policies and procedures resulting in widespread disciplinary action and loss of experienced staff which cannot be replaced.	Complete failure to achieve agreed performance objectives at service level. Services unable to be delivered putting customers/citizens at significant risk. Complete failure of governance leading to a lack of transparency, accountability. Organisational change not delivered.	Death causing termination of operations. Prolonged industrial action. Significant legal action ceasing Council activities.

Likelihood and impact scores are multiplied together to get a total risk score e.g. Likelihood of 5 and an impact of 5 would be 5*5=25 total risk score.

Risk Registers

Risk registers are a key risk management tool. The register supports the capture, assessment, and monitoring of risk, providing useful reporting on risk trends, action planning and the sharing of lessons learned across the Council.

The Council's risk universe (the level to which risks should be captured and recorded in risk registers) is:

	Corporate Risk Register					Maintained and owned by CMT			
	Directorate Risk Register					Owned by Director			
	Individual Service area per Directorate					Owned by Head of Service			
	Team Risk Registers					Owned by individual service teams , led by the relevant manager			

The required risk register format **must** be used and includes: a named risk owner; an evaluation of the risk, including the mitigating controls; and an action plan. Risk registers will be used as the basis for monitoring the risk management process across the Council. Directorate risk registers should capture the risks in relation to Council companies for which the Director is responsible.

3. Responding to and managing risk

Based on the score allocated for likelihood and the impact score, a total risk score will be calculated:

			Likelihood				
			Rare	Unlikely	Possible	Likely	Almost Certain
			1	2	3	4	5
Impact	Catastrophic	5	5	10	15	20	25
	Major	4	4	8	12	16	20
	Moderate	3	3	6	9	12	15
	Minor	2	2	4	6	8	10
	Negligible	1	1	2	3	4	5

Risk Rating	Combined Score	Action	Treatment
High	15 through to 25	Poses a serious threat. Needs immediate action to reduce/mitigate the risk	Treat/Transfer or terminate
Medium	9 through to 12	Poses a threat and should be pro-actively managed to reduce/mitigate the risk over the medium to longer term (within 1 year)	Treat/Transfer
low	1 through to 9	Poses a low threat and should continue to be monitored	Tolerate

High (red) – Score of 15 or greater

These risks will need to be addressed as a matter of urgency and are likely to require action to reduce the impact and/or likelihood to an acceptable level. These risks will be actively monitored at a senior level.

Medium (amber) – Risk scores of between 8 and 14

Steps should be taken to address these risks as soon as possible, and medium term plans should be put in place to treat the risk – normally this is within 1 year but dependent on the risk identified.

Consideration should be given to whether likelihood or consequences can be reduced in a cost effective manner, on a timely basis and resources appropriately targeted.

Low (green) – Risk score of up to 7

These risks will not be a priority for treatment and in some cases it may be acceptable for no mitigating action to be taken. However, the status of these risks should still be reviewed periodically to ensure no changes which would result in the risk increasing.

Based on the risk score, Council risks will be treated in one of four ways:

Terminate

The risk is terminated by deciding not to proceed with the activity that generates the risk, or by carrying out the activity in a different way.

Transfer

This involves another party bearing or sharing all or part of the risk. For example:

- Partnerships
- Joint ventures
- Obtaining performance guarantees or specific contractual terms
- Considering insurance arrangements

Treat

i) Reducing likelihood

This involves taking action that will reduce or control the likelihood of the event occurring. Examples may include:

- Introducing procedure manuals where all staff must comply
- Documented authorisation procedures and limits
- Regular review and compliance checking to evidence procedures being followed
- Specification of contract conditions to mitigate potential Council exposure
- Staff training to raise awareness of the risk and controls required

ii) Reduce impact

Taking action to reduce or control the consequences should the event occur. For example:

- Business Continuity and emergency planning
- Public relations and media handling
- IT Back up arrangements in case of systems failure

After treatment a risk may still remain. A decision will then be taken as to whether the remaining risk is at a tolerable level or further action is still required.

Tolerate

It may not always be necessary or appropriate to take action to treat risks for example where the cost of avoiding or treating the risk is considered to outweigh the potential benefits, or the risk at the current time is acceptable to the Council and resources should be invested elsewhere.

In determining whether a risk can be tolerated a decision will be taken in the context of the Council's overview of risk tolerance.

Risk tolerance

The factor that will drive the Council's response to risk is the degree to which the risks are deemed to be tolerable.

A risk is considered *acceptable* if the Council is content with the expected outcomes. If the Council is not content with an outcome but has decided that the Council is prepared to live with that outcome, the risk is considered to be *tolerable*.

Overall the Council is a publically accountable organisation, operating in a statutory and regulated environment. The Council must meet its statutory targets and comply fully with all regulatory requirements. This is balanced with certain Council activities

operating in a commercially orientated environment, creating differing risks and opportunities. Therefore, impact of risk and decisions reached will reflect the following:

- Would this impact on the Council's ability to meet its statutory or other regulatory requirements
- Would this activity damage the reputation of the Council
- Is the potential financial implication considered tolerable

Decisions as to what risks are tolerable will take into account the overall impact the risk would have on the Council's strategic outcomes and objectives.

In general terms the Council's target will be to minimise or optimise the risk depending on the seriousness of the expected outcomes.

Managing risks - Mitigating controls

The Council's control environment is critical to its response to risk. Depending on the risk identified, effective internal controls will need to be in place and operating effectively to reduce the Council's exposure to risk. For example internal controls that may exist include:

- Segregation of duties so one staff member performs the control and this is reviewed by a different individual
- Limits of authorisation based on role to ensure appropriate approvals
- Pre-employment staff screening to ensure core competencies and skill sets are met and evidenced.
- Password and access controls to IT systems
- Staff rotation so one member of staff is not individually responsible for a key area for a long period of time
- Accessible, detailed written formal policies and procedures which apply consistently
- Training to ensure understanding of procedures are in place and operated effectively
- Reconciliations e.g. bank reconciliation
- Whistle blowing policy
- Management reporting to identify exceptions

4. Monitoring risks

Risk management is an ongoing process, embedded in everyday Council activity. In order to remain effective, the process will be reviewed on a regular basis.

Each risk will be frequently reviewed by the risk owner to identify if any revision to the risk is required, for example the assessment of impact and likelihood or the planned mitigating actions.

Risk will be a standing item on the agenda for the Corporate Management Team and Directorate Senior Management Team meetings. As a minimum, on a quarterly basis, each Directorate will seek assurance from the individual Risk Owners that the risk in their service areas are being adequately monitored and action is being completed as agreed in formal action plans.

Through the Risk co-ordinators and the Corporate Risk Management Steering Group risks will be reviewed and challenged on a monthly basis, including a review of the high risks facing the Council and mitigating action plans. This group will link directly with the Corporate Management Team.

Action planning

Where a risk is classified as to be treated, and scores either amber or red an action plan needs to be established. The action plan is where the risk owner records the actions to be taken, including the controls that need to be established and/or strengthened. The action plan should reflect whether the actions are to reduce likelihood and/or reduce impact; the action owner, and the timescale for implementation.

Action updates should be provided at least monthly detailing progress against agreed actions to date, including those that are past the implementation date alongside an explanation as to why the anticipated action has not taken place.

Risk escalation

All staff are responsible for identifying risk throughout the Council.

To ensure that risks are managed effectively, they must be escalated to the appropriate levels within the Council. Each Director has overall responsibility for ensuring their high risks (red) are escalated to CMT with immediate effect for possible inclusion on the Corporate Risk Register.

5. Reporting arrangements

The Council's risk management framework will be supported through agreed reporting arrangements, including:

Monthly risk reporting

Monthly risk reports will be produced by the Risk Team, and considered at the Corporate Management Team (via the Risk Management Steering Group). Reports will include:

- Status of all high risks, including actions taken
- New risks
- Changed risks from previous report, in particular where risk is increasing
- Risks escalated from Directorate registers to the Corporate Risk Register
- Risks removed
- Profile of risks across the Council: number of High, Medium, Low and the categories of those risks.

Governance, Risk and Best Value Committee Reporting

The Council's Governance, Risk and Best Value Committee (GRBV) are responsible for monitoring the effectiveness of the Council's risk management arrangements, Including "monitoring internal financial control, corporate risk management and key corporate governance areas". Regular reports on the Council's risk management arrangements and corporate risks will be presented to GRBV.

On a routine basis GRBV will receive updates on the Council's risk management framework and the Council's corporate risks. Reporting will include:

- Risk management framework and the Council's overall approach to risk;
- Council's approach to risk tolerance;
- The Council's corporate risk register including associated action plans for the higher rated risks; and
- Reports on the changing risk profile of the Council including areas of increasing risk, where controls are considered not to be effective and horizon scanning for areas of possible future risk.

Financial year end risk confirmation process

During the last quarter of each financial year, each Head of Service will submit a report to their Director, along with the service area assurance statement, confirming that:

- All the major service risks within their remit have been identified; and
- Measures have been taken to manage those risks in accordance with the requirements of the Council's Risk Management Framework.

These reports will be collated and submitted to the Council Risk Manager, who will report to the Council's Corporate Management Team.

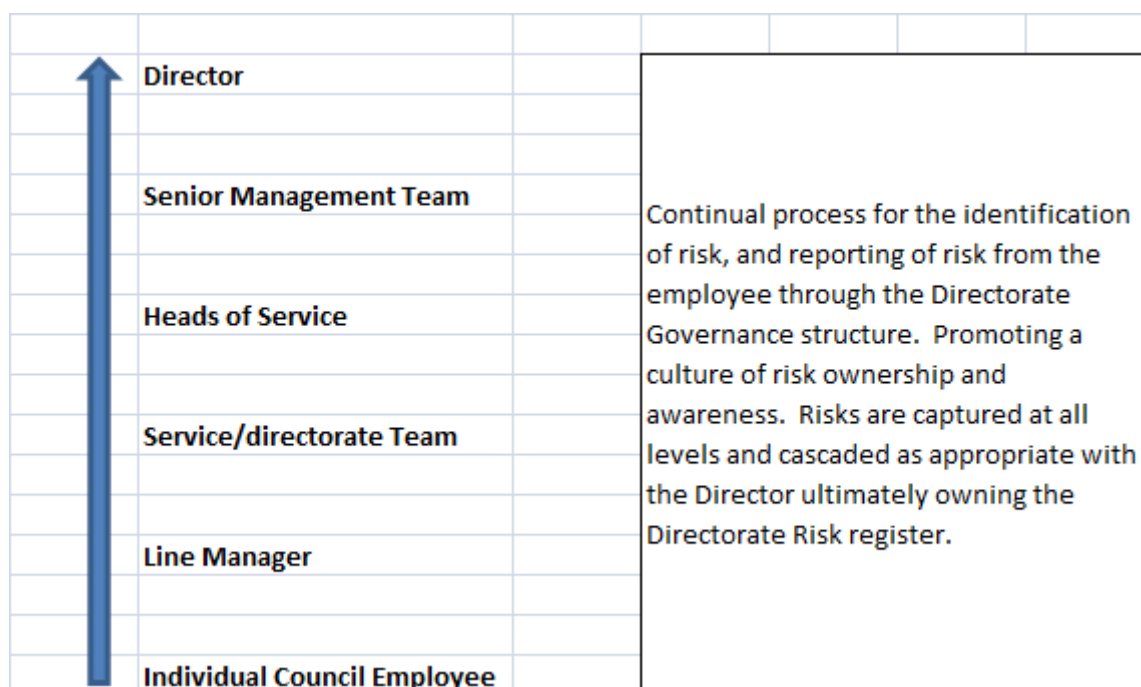
6. Governance arrangements

There are 3 core levels of governance (3 lines of defence), with risk management operating as a second line of defence:

- Front line management;
- Risk oversight and challenge – a risk and compliance function responsible for providing an overview of risk management across the Council and a challenge function
- An independent perspective – Internal Audit assurance

The Corporate Management Team (CMT) is ultimately responsible for overseeing risk management within the Council, directly reporting to the Council's Governance, Risk, and Best Value Committee on a routine basis. The CMT who have the ability to consider Council wide risks and where required support a multi-Directorate response to a potential risk event.

In summary risks are reporting upwards across the Council:



Risk Owner	<p>The risk owner is the designated individual to manage and monitor the risk. For corporate risks reflected on the Corporate Risk Register this must be a Director. The risk owners role includes:</p> <ul style="list-style-type: none"> • Managing all aspects of risk assigned to them including maintaining an action plan; • Obtaining Heads of Service/directorate support where necessary; • Ensuring risks assigned to them are kept up to date; and • Determining the actions needed to mitigate the risk. 	Monthly as a minimum
Risk Co-ordinators	<p>Risk Co-ordinators are Heads of Service (or suitably senior) who are nominated by their Director to support and be integral to the risk management framework, including:</p> <ul style="list-style-type: none"> • Supporting the Council's risk management framework • Being a key reference point for staff for advice and support on risk management • Working with other risk co-ordinators to ensure consistency of approach across the Council • Challenging risk registers in relation to the identification of risk, the assessment of risk and proposed mitigating actions and action plans • Raising the profile of risk management and risk awareness within their teams • Actively participating in the Corporate Risk Management group 	Routinely and monthly meetings
Governance and accountability for risk management		
GRBV Committee	<ul style="list-style-type: none"> • To scrutinise the Council's risk management framework and review this on an annual basis • To review and challenge the Council's corporate risk register including action plans • To scrutinise the Council's approach and tolerance to risk • Monitor and review the effectiveness of risk management and its contribution to corporate governance 	Quarterly

Corporate Management Team (CMT)	<ul style="list-style-type: none"> • Responsible for the completeness and accuracy of the corporate risk register, taking a bottom up and top down approach to risk identification • Approve and recommend to Elected Members the Council's risk management framework • Determine the Council's overall approach to risk and risk tolerance (risk appetite) • Review and challenge red (high) risks based on management information including: trends, horizon scanning, areas of increasing risks, risks where controls are not sufficient. • Review corporate risks including approach (Treat/Tolerate/Transfer/Terminate) and mitigating action plans • Challenge progress against risk action plans holding those to account for agreed actions • Risk to be a standing agenda item 	Monthly
Directors and Directorate Senior Management Teams (SMT)	<ul style="list-style-type: none"> • Ensure that all identified risks are captured in the relevant risk register and Directorate Register where appropriate • Actively manage the risks identified through the identification of mitigating controls, taking necessary action and regularly discussing and reporting on risks at SMT meetings • Ensuring risk management is a standing agenda item on team meetings • Ensuring the importance of risk management is escalated and creating an appropriate risk management culture within the Directorate 	SMT and Team meetings
Key risk management support activities		
Risk Management Function	<ul style="list-style-type: none"> • To facilitate the risk management framework process • Develop and introduce best practices in risk management • Monitor and track risk management implementation across the Council • Report on a routine basis to Corporate 	

	<p>Management Team on the delivery and effectiveness of risk management arrangements</p> <ul style="list-style-type: none"> • Produce and share risk management monthly reporting information including risk trends, actions, horizon scanning and areas of risk for further focus • Challenge the risk process including identification, assessment, mitigating controls and action planning across the Council • Assist in the promotion of a risk awareness culture across the Council 	
Organisational Development	<ul style="list-style-type: none"> • Develop suitable risk management training material for all Council staff roles and maintain training records to ensure all staff trained • Risk management staff induction training to be provided to all new Council employees • Provide examples of risk management personal objectives to be incorporated into all personal development plans and ensure reflected in objectives based on staff roles. • Routinely review core competencies to ensure they sufficiently reflect risk awareness and compliance • Define what good risk behaviours are and actively promote these in training and engagement with staff • Updated staff roles and responsibilities to reflect where risk management is integral to their responsibilities • Maintain an ongoing training programme which encompasses feedback and lessons learned on risk • Ensure an effective link with governance, risk and compliance in the Council's values and competencies. 	Ongoing activity throughout the year
Communications	<ul style="list-style-type: none"> • Communicate risk management activities across the Council to raise profile and awareness • Promote good risk management behaviours • Promote a culture of shared learning • Promote risk as part of day to day business activities, explicitly linked to 	Ongoing activity throughout the year.

	Council strategy, including the positive promotion of risk and the opportunities risk brings	
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Corporate Policy and Strategy Committee

10am, Tuesday, 3 December 2013

Nova races 2014 to 2018

Item number	7.6
Report number	
Wards	All

Links

Coalition pledges	P24
Council outcomes	C04 , C010 and C020
Single Outcome Agreement	S02

Alastair D Maclean

Director of Corporate Governance

Contact: David Wardrop, Sports Manager

E-mail: David.wardrop@edinburgh.gov.uk | Tel: 0131 529 7738

Executive summary

Nova races 2014 to 2018

Summary

On 24 October 2013, as part of the Review of Political Management Arrangements, Council agreed that the strategic oversight of Council events should be added to the remit of Corporate Policy and Strategy Committee to enhance the corporate oversight of high profile, strategic city events.

On 5 November 2013, Committee received a report from the Directors of Corporate Governance and Services for Communities regarding the ongoing review of events governance. It was agreed that a further report would be submitted to Committee on 25 February 2014 setting out revised events processes.

This report updates Committee on the current proposals in relation to the NOVA Races 2014 to 2018. These races are part of the Festivals and Events Core Programme for 2014.

The Nova Races – 2014 to 2018

The Great Edinburgh Cross Country is staged in Holyrood Park every January. This is a prestigious international cross country event which traditionally attracts some of the best endurance runners in the world, including World and Olympic Champions. It is broadcast live on BBC1 in a 90 minute slot on the Saturday afternoon Grandstand programme. The Great Winter Run takes place alongside this programme of elite races, and is a mass participation 5k road race, also held in Holyrood Park.

The Great Edinburgh Run is a 10k road race held in the city centre in the summer which attracts around 7,000 runners. The event owner for all three races is Nova.

These races have been held in the city annually since 2005. The Council has committed a funding contribution of £75,000 towards the January 2014 races.

Negotiations with Nova, in partnership with Event Scotland, have resulted in an opportunity for the Council to enter into a new contract with Nova which would secure the suite of races for the city until 2018.

The agreement entails an initial payment of £25,000 to cover a funding shortfall for 2014, followed by an annual payment of £125,000 for the next four years.

A report will be submitted to the Culture and Sport Committee on 17 December 2013, seeking approval for this funding.

Event Scotland would match this funding. It would be a condition of the contract that the cross country event continues to be broadcast on BBC1, and that the races carry an appropriate level of branding to acknowledge the Council's support.

Recommendations

It is recommended that the Committee notes the proposals in relation to the 2014 NOVA races.

Measures of success

Measures include numbers of spectators, numbers of participants, economic impact, and equivalent advertising values of any media coverage.

Financial impact

The Events budget for 2013/14 was reduced by £46,000 as part of the Council's budget savings exercise and is now £627,200. The sum requested above for the races in 2014 can be contained in the remaining budget.

The sum of £125,000 which has been requested for the Nova races in 2015 to 2018 inclusive can be contained in the Events budget for those years, and will be matched by funding from Event Scotland.

Equalities impact

The proposed events described in this report were selected using criteria which include social cohesion and quality of life for people across the city. The report's contents and recommendations are therefore of some relevance to equalities and human rights duties, but are not the subject of concern amongst equalities groups and the recommendations will result in a positive impact on quality of life.

Sustainability impact

The proposals in this report will help achieve a sustainable Edinburgh through:

- the promotion of the city nationally and internationally;
- economic impact generated by events;
- contributions to the quality of life and well-being of residents; and
- good environmental stewardship.

Consultation and engagement

The Council has engaged with various partners and event owners and organisers to discuss these proposals. The proposals have been discussed and agreed with the Festivals and Events Champion.

Background reading / external references

Review of Political Management Arrangements - [Report to City of Edinburgh Council on 24 October 2013](#)

Review of Events Governance - [Report to Corporate Policy and Strategy Committee on 5 November 2013](#)

Alastair D Maclean

Director of Corporate Governance

Links

Coalition pledges	P24 –Maintain and enhance support for our world-famous festivals and events
Council outcomes	CO4 –Our children and young people are physically and emotionally healthy C010 – Improved health and reduced inequalities. C020 – Culture, sport and major events – Edinburgh continues to be a leading cultural city where culture and sport play a central part in the lives and futures of citizens.
Single Outcome Agreement	S02 – Edinburgh’s citizens experience improved health and wellbeing, with reduced inequalities in health.
Appendices	None

Corporate Policy and Strategy Committee

10.00am, Tuesday, 3 December 2013

Corporate and Operational governance – update – referral from Governance, Risk and Best Value Committee

Item number	7.7
Report number	
Wards	All

Links

Coalition pledges	See attached report
Council outcomes	See attached report
Single Outcome Agreement	

Carol Campbell

Head of Legal, Risk and Compliance

Carol Richardson, Assistant Committee Officer

E-mail: carol.richardson@edinburgh.gov.uk | Tel: 0131 529 4105

Executive summary

Corporate and Operational governance - update

Summary

On 14 November 2013 the Governance, Risk and Best Value Committee considered a report providing an overview of areas of weakness identified by the review and Project Solar; an outline of the planned approach to strengthening critical areas of corporate governance; and an update on progress made in relation to, amongst other things:

- Procurement
- ICT
- internal control framework
- organisational development
- HR regulatory policies
- Performance monitoring
- Programme management
- Risk function

The Governance, Risk and Best Value Committee agreed:

- To note the progress and actions outlined in the report;
- To request that the Director of Corporate Governance provides an update report in September 2014, in particular providing progress procurement, risk and the development of a related training programme ;
- To refer the report to the Corporate Policy and Strategy Committee for its consideration.

Recommendations

That the Corporate Policy and Strategy Committee note the progress and actions outlined in the report.

Measures of success

Not applicable.

Financial impact

Not applicable.

Equalities impact

Not applicable.

Sustainability impact

Not applicable.

Consultation and engagement

Not applicable.

Background reading / external references

Coalition pledges	See attached report
Council outcomes	See attached report
Single Outcome Agreement	
Appendices	Report by the Director of Corporate Governance

Governance, Risk and Best Value

10am, Thursday, 14 November 2013

Corporate & operational governance: update

Item number 8.3

Report number

Wards

Links

Coalition pledges	P41
Council outcomes	CO25
Single Outcome Agreement	

Alastair D Maclean

Director of Corporate Governance

Contact: Kirsty-Louise Campbell, Governance Manager

E-mail: kirstylouise.campbell@edinburgh.gov.uk | Tel: 0131 529 3654

Executive summary

Corporate & operational governance: update

Summary

- 1.1 The Director of Corporate Governance initiated a root and branch review of all aspects of governance, internal controls and the approach to future financial management following his appointment in September 2011.
- 1.2 The key objectives of the operational, strategic and programme governance were elements of the governance review ('the review') to ensure the Council had the infrastructure in place to embed critical change objectives, enable the required transformation to deliver efficient and effective services, improve performance, achieve savings and maximise the potential of the public pound.
- 1.3 A range of internal and external review work was undertaken which highlighted significant legacy issues that required to be addressed to support the Council and its services going forward.
- 1.4 Separately, serious failings were also identified in the Council's property care and conservation services leading to a significant number of staff disciplinary investigations, Police involvement, a large number of customer complaints, financial issues and the need for a full service re-design. In response to this the Project Solar report ('Project Solar') was commissioned from Deloitte to consider the wider corporate lessons that could be learned from the issues in relation to property care and property conservation and the additional improvement actions that could be put in place to augment the ongoing review.
- 1.5 This report: provides a corporate overview of the key areas of weakness identified by the review and Project Solar; updates on progress; and outlines the planned approach to continue to strengthen and achieve maturity in critical areas of corporate governance.
- 1.6 Links to relevant reports and Council decisions covering all elements of the review are provided in the background papers section of the executive summary.

Recommendations

- 3.1 To consider the progress and actions outlined in the report; and
- 3.2 To refer the report to Corporate Policy and Strategy Committee for consideration.

Measures of success

Improvements across all areas of corporate and operational governance and the internal control framework.

Financial impact

There are no direct financial impacts as a result of this report.

Equalities impact

There are no equalities impacts as a result of this report.

Sustainability impact

There is no sustainability impact as a result of this report.

Consultation and engagement

Appropriate consultation and engagement will continue to be undertaken as the Corporate Governance directorate plan is implemented.

Background reading / external references

Governance Review

City of Edinburgh Council, [20 September 2012 - Governance Review: Review of Political Management Arrangements and Operational Governance](#)

City of Edinburgh Council, [25 October 2012 - Operational Governance: Contract Standing Orders, Financial Regulations and Guidance for Appointment of Consultants](#)

Governance, Risk and Best Value Committee, [6 November 2012- Operational Governance – Update](#)

City of Edinburgh Council, [22 November 2012 - Operational Governance – Scheme of Delegation to Officers](#)

Corporate Policy and Strategy Committee, [4 December 2012 - Operational Governance – Update](#)

City of Edinburgh Council, [13 December 2012 - Operational Governance – Scheme of Delegation](#)

City of Edinburgh Council, [31 January 2013 - Governance Review: Operational Governance – Information Compliance](#)

[City of Edinburgh Council, 2 May 2013 - Governance – Operational Governance Framework and Webcasting Protocol](#)

Internal control framework

Governance, Risk and Best Value Committee, 6 December 2012 - [Audit Scotland – Review of Internal Controls 2011/12](#)

Governance, Risk and Best Value Committee, 25 April 2013 - [Audit Scotland – Review of Internal Controls 2011/12 – progress update](#)

Governance, Risk and Best Value Committee, 20 June 2013 - [Audit Scotland – Review of Internal Controls 2012/13](#)

Governance, Risk and Best Value Committee, 20 June 2013 - [Review of internal financial controls, anti-fraud, anti-bribery and anti-corruption arrangements – progress update](#)

Internal audit and risk

City of Edinburgh Council, 22 November 2012 - [Internal Audit and Risk Management - Service Delivery](#)

Governance, Risk and Best Value Committee, 23 May 2013 - [Internal Audit Co-Source Update](#)

Governance, Risk and Best Value Committee, 10 October 2013 - [Internal Audit Co-Source Update - Report by the Director of Corporate Governance](#)

Corporate & operational governance: update

1. Background

- 1.1 The Director of Corporate Governance initiated a root and branch review of all aspects of governance, internal controls and the approach to future financial management following his appointment in September 2011.
- 1.2 The key objectives of the operational, strategic and programme governance were elements of the governance review ('the review') to ensure the Council had the infrastructure in place to embed critical change objectives, enable the required transformation to deliver efficient and effective services, improve performance, achieve savings and maximise the potential of the public pound.
- 1.3 A range of internal and external review work was undertaken which highlighted significant legacy issues that required to be addressed to support the Council and its services going forward.
- 1.4 Separately, serious failings were also identified in the Council's property care and conservation services leading to a significant number of staff disciplinary investigations, Police involvement, a large number of customer complaints, financial issues and the need for a full service re-design. In response to this the Project Solar report ('Project Solar') was commissioned from Deloitte to consider the wider corporate lessons that could be learned from the issues in relation to property care and property conservation and the additional improvement actions that could be put in place to augment the ongoing review.
- 1.5 This report: provides a corporate overview of the key areas of weakness identified by the review and Project Solar; updates on progress; and outlines the planned approach to continue to strengthen and achieve maturity in critical areas of corporate governance.
- 1.6 Links to relevant reports and Council decisions covering all elements of the review are provided in the background papers section of the executive summary.

2. Main report

Governance review

- 2.1 On completion of scoping, internal and external review work and the findings of Project Solar, the Director of Corporate Governance, in his capacity as Monitoring Officer, met with the Corporate Management Team ('CMT') in May 2012. This meeting provided a detailed outline of issues and risks, and an overview of the internal control framework. In particular, it highlighted the

pressing need for focused improvement and development work to mitigate risk, provide assurance, and embed new ways of working to drive service improvement and create a culture of public confidence in how the Council operates. The following key areas were identified and prioritised for review and development: corporate oversight; compliance, risk and governance; and internal audit.

2.2 CMT committed to a range of actions in relation to the review and the approach was agreed by Council on 23 August 2012. This included support for the vital improvements proposed by the Director of Corporate Governance outlined within an extensive transformation, action and implementation plan. Based on the key development areas, these were sub-divided into the following improvement themes:

2.2.1 Corporate oversight:

- 2.2.1.1 Procurement;
- 2.2.1.2 Information and communication technology ('ICT');
- 2.2.1.3 Internal control framework;
- 2.2.1.4 Organisational development;
- 2.2.1.5 HR regulatory policies;
- 2.2.1.6 Performance monitoring;
- 2.2.1.7 Complaints; and
- 2.2.1.8 Programme Management.

2.2.2 Compliance, Risk and Governance:

- 2.2.2.1 Risk function; and
- 2.2.2.2 Information compliance.

2.2.3 Internal audit.

Corporate oversight

Procurement

2.2.4 On 19 January 2012, the Council agreed to retain procurement strategy and delivery functions in-house. The Director of Corporate Governance immediately initiated a transformation programme and a private sector contractor was appointed to commence work in May 2012.

2.2.5 Project Solar highlighted a range of capability, capacity and compliance issues in relation to all aspects of procurement processes. To address these and other areas of concern the key objectives of the agreed approach to work with a private sector contractor were to enhance the capability of the Council's in-house function, develop knowledge and transfer of skills to embed appropriate levels of expertise and compliance, and to assist in the delivery of savings.

- 2.2.6 Following a decision not to extend the contract with the initial provider, EY were later appointed to work as an integrated part of the Council's commercial and procurement unit ('CPU') to support the achievement of savings by directorates through a range of commercial excellence activity.
- 2.2.7 The combined team have delivered a range of benefits and savings for the Council including:
- 2.2.7.1 a refreshed CPU structure with investment in training and recruitment of specialist resources;
 - 2.2.7.2 an increase in the level of the Council's procurement capability assessment from 51% to 59% in one year;
 - 2.2.7.3 greater levels of compliance and control council-wide;
 - 2.2.7.4 preparation and verification of a new contract register to be reported to committee enhancing transparency and providing visibility of third party spend;
 - 2.2.7.5 approximately £5.1m of savings identified thus far for 2013/14 against a target of £9m; and
 - 2.2.7.6 proposals identified to date are anticipated to contribute £11.4m against a planned savings of £17m in 2014/2015. At present the £15.8m target for 2014/15 is achievable, in addition to procurement savings assumed in service budgets.
- 2.2.8 Contract standing orders are currently being revised and will be presented to Council for consideration in December 2013. A procurement handbook for all staff is also being completed. These elements of compliance with the Council's procurement framework and rules will be included in mandatory training for new and identified key staff.
- 2.2.9 The delivery of savings and how they are accounted for will be the subject of a more detailed report to Finance and Resources Committee on 28 November 2013.

2.3 ICT

- 2.3.1 A range of scoping and engagement work was undertaken in 2012 to assess the existing ICT strategy and capabilities. This was designed to respond to and address evidence that there was no clear vision for how the use of technology would support the Council to achieve its future aims. In addition, there have been a range of reported internal control weaknesses where ICT systems did not adequately enable and support critical business and financial processes.
- 2.3.2 In December 2012, the Council approved a report confirming that existing ICT arrangements were largely out-dated and did not reflect the Council's current strategies, objectives and evolving needs. This assessment concluded that to support effective service delivery and the attainment of best value it was critical to progress transformation in this area to ensure a customer centric, easy to use,

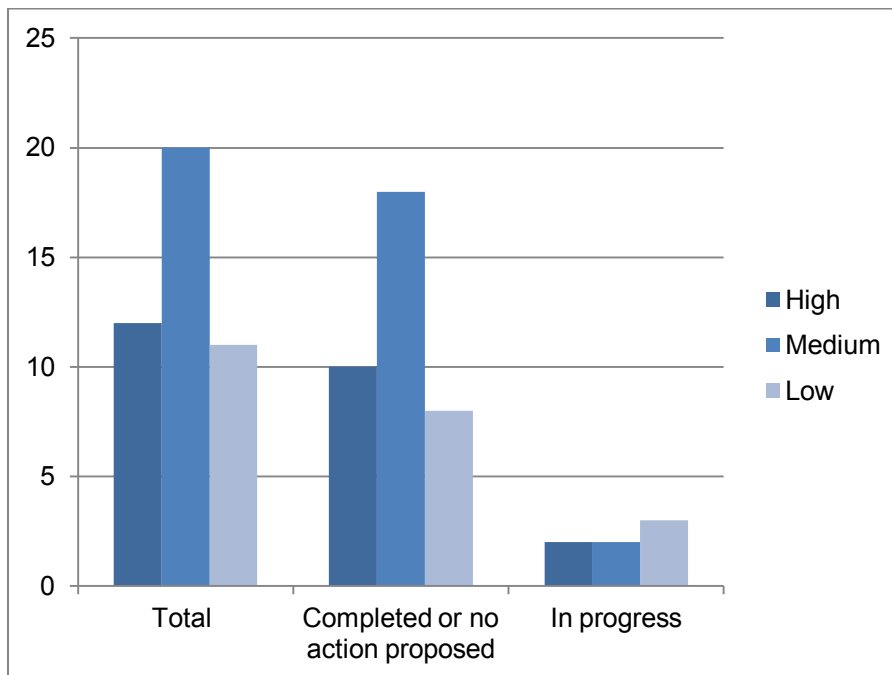
solutions focused approach that could evolve with the development of customer needs and behaviours, enabling all key Council services.

- 2.3.3 In early 2013, an ICT and Digital transformation programme (ICT&D) was established to deliver this change in approach. The Council on 7 February 2013 agreed investment for ICT&D of £6.75m over a 5-year period. In addition, the customer services improvement programme included £3.10m for ICT improvements.
- 2.3.4 The investment rationale is centred on the vision for ICT&D to ensure that going forward ICT provision in the council is transformed to be a comprehensive, responsive, cost effective and high quality service that is both Council business and customer driven. The most recent update on ICT&D was considered by the former Finance and Budget Committee on 19 September 2013. Detailed information on deliverables achieved under the new arrangements set out was confirming that ICT&D was both on schedule and ahead of budget in delivering this significant transformational change.
- 2.3.5 One workstream of ICT&D defined a new corporate ICT and Digital strategy for the Council. This has been built and developed on the extensive consultation work in 2012, with further refinement in 2013, to engage with the Council's customers to agree the ICT and digital vision as 'Empowered Edinburgh: a city empowered by ICT and digital.' The strategy has attracted significant attention from public sector bodies due to its focus on engagement and outcomes rather than technology. The strategy, and associated first wave implementation plan are due to be launched in December 2013 following consideration by the Corporate Policy and Strategy Committee.

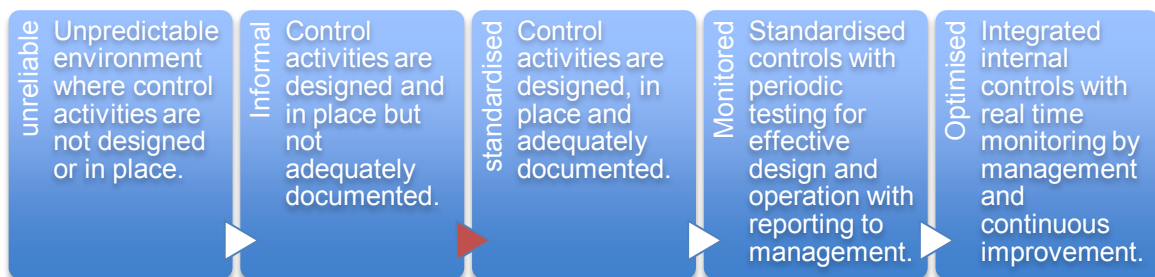
2.4 Internal control framework

- 2.4.1 The Director of Corporate Governance identified a range of inherent and fundamental weaknesses in some areas of the Council's internal controls. An independent review of internal controls was commissioned from KPMG to assess the internal control environment at that stage and identify key improvement actions.
- 2.4.2 KPMG confirmed that there were a number of significant areas of risk that required to be addressed. In addition, findings from Project Solar [also] highlighted areas of corporate weakness and subsequently Audit Scotland [also] made recommendations to enhance the robustness of the internal control framework in its 2011/2012 and 2012/2013 annual review reports.
- 2.4.3 Following consideration of the respective reports' findings, a comprehensive action plan was developed. This identified the improvement actions required, the responsible officers and associated timescales for implementation. Progress has been regularly reported to the Governance, Risk and Best Value Committee (GRBV).

2.4.4 Progress has been monitored closely and most high-risk areas identified by both KPMG and Audit Scotland have been addressed with a full current profile of implementation illustrated below.



2.4.5 There is a continued commitment to sustain and significantly improve the level of internal control in the Council. The initial work undertaken and outlined above largely focused on addressing key risk areas identified by KPMG.



2.4.6 To provide the Council with a more complete picture of improvement and progress, the maturity model above will be used to determine progress against agreed outcomes and objectives. To support this further external assessment is being commissioned to confirm the current improved state and devise a further programme of improvements. This will include setting a clear vision of internal controls that achieve the optimum level of granularity, clear roles and responsibilities at all levels in the Council and ensuring, where appropriate, service area ownership and assurance is in place.

2.4.7 The outcome of the assessment will be reported to GRBV with an overview of the second phase action and implementation plan.

2.5 Organisational development

- 2.5.1 The review highlighted that a council-wide, cohesive approach to future change would provide a range of benefits going forward. A new focus on organisational development is the most appropriate supporting mechanism for the range of areas being developed to plan and support a Council-wide approach to continue to become more efficient and effective. The corporate governance directorate structure has been adjusted in the last twelve months to focus on development of an organisational development strategy.
- 2.5.2 PwC have recently advised on development of an initial organisational development strategy and project plan that will be implemented as a key element of the high performing workforce objective ('high performing workforce objective') within the corporate governance directorate plan.
- 2.5.3 Both elements are being developed in more detail at present and will cover a range of critical areas including: strategy; transformation; workforce planning; leadership and employee engagement.
- 2.5.4 The proposed organisational development strategy and implementation plan will be reported in detail to the Finance and Resources Committee early in 2014.

2.6 HR regulatory policies

- 2.6.1 In line with the review of operational governance, an assessment of all HR regulatory policy requirements has been undertaken and a full range of policies re-drafted in the last year.
- 2.6.2 To support this, improvements in induction and training processes are being undertaken in line with the high performing workforce objective. This will increase awareness and embed HR regulatory policies with a focus to strengthen compliance and promote a shift in culture.
- 2.6.3 A full report on this area will be considered by the Finance and Resources Committee on 28 November 2013 and thereafter at GRBV on 19 December 2013.

2.7 Performance monitoring

- 2.7.1 The Council adopted its first performance framework in 2005 and this was periodically updated largely to reflect organisational and governance changes. Project Solar findings highlighted weaknesses in development, monitoring, reporting and scrutiny of key performance indicators.
- 2.7.2 As a critical element of the review a fully revised performance framework was agreed by Council, following consultation and engagement, in October 2012. The revised framework fully accommodated the political, partnership and operational pledges and outcomes, and the Council's overall responsibility for delivering a wide range of services to customers in Edinburgh.

- 2.7.3 The Council is focused on developing a strong performance management culture which aims to increase transparency, scrutiny and support effective corporate risk management. Performance management is led by CMT with reports considered and challenged on a monthly basis. All directorates are required to demonstrate that they have effective and systematic performance management and review arrangements to track performance and improvement actions against the pledges, outcomes and priorities within the strategic plan.
- 2.7.4 New reporting arrangements for performance information were agreed by the Council on 24 October 2013. Executive committees will scrutinise information for their areas in detail with a bi-annual focus on Council performance at the Corporate Policy and Strategy Committee supporting further development of peer review and challenge.
- 2.7.5 Further improvement and development work is now underway to revise and refresh performance measures to more effectively align with the strategic and directorate plans. Performance reporting will also be enhanced with additional information on trends and tolerance highlighting areas where proposed actions may not be achieving the anticipated impact.
- 2.7.6 Future developments to enhance this process include implementation of business intelligence software (IBM Cognos) to provide a full range of regularly updated performance information from a dashboard on all Council ipads from December 2013. In addition, scoping work is being undertaken to identify next steps to move towards a suite of management information for the Council drawing together the following elements:
- 2.7.6.1 financial planning and monitoring;
 - 2.7.6.2 project and programme management;
 - 2.7.6.3 people and performance;
 - 2.7.6.4 performance reporting, dashboard and scorecards;
 - 2.7.6.5 risk management; and
 - 2.7.6.6 business intelligence and analysis.

2.8 Complaints

- 2.8.1 Handling complaints, as well as being a key component of good customer service can provide management information, support effective scrutiny and lead to service improvements. The consideration and handling of complaints received in relation to property care and property conservation identified a range of improvement actions that have now been taken forward council-wide.
- 2.8.2 Working in partnership with the Scottish Public Services Ombudsman ('SPSO') the Council has been developing a consistent and standardised approach to complaints handling. The Council's complaints procedure was revised to ensure compliance with both SPSO and Audit Scotland guidance. A complaints action

team, with representation from all service areas, led the adaptation and implementation of the new procedure.

- 2.8.3 Confirmation has been received that the Council's procedure is fully compliant with SPSO expectations and the new procedure was launched on 25 March 2013.
- 2.8.4 Complaints data is now collated and analysed each month with performance information and reported monthly to CMT. Complaints performance reports will be published quarterly and the first public report will be considered by the Corporate Policy and Strategy Committee in December 2013.

2.9 Programme management

- 2.9.1 The Finance and Resources committee considered a report on the governance of major projects on 7 June 2011. To ensure effective governance and programme management it was agreed that a range of actions would be undertaken including setting up a dedicated Corporate Programme Office ('CPO').
- 2.9.2 During 2011 the Council had variable programme and project management arrangements with competing projects and delivery challenges in a range of high profile areas. In addition, there was evidence that within this culture project slippage was a concern in capital projects, and programmes were not always effectively assessed for financial or deliverability risks at the appropriate stages.
- 2.9.3 In February 2012, the former Policy and Strategy Committee agreed the new senior management structure for the Corporate Governance directorate and this included the creation of the CPO to lead, promote and support corporate working on programme and project management.
- 2.9.4 The CPO was launched thereafter and has successfully brought together oversight and assurance of all major Council capital, transformation and internal improvement programmes. The following key areas have been developed to support corporate monitoring and oversight of programmes and projects:
 - 2.9.4.1 assurance review process for major projects with a programme of reviews underway. Feedback indicates that projects are benefiting from the support and challenge provided through this process;
 - 2.9.4.2 effective and regular reporting is now in place for the portfolio of major projects;
 - 2.9.4.3 the corporate governance transformation programme ('the programme') has been fully scoped and is now being managed as a comprehensive programme of change delivering significant service improvements and cost savings; and
 - 2.9.4.4 the programme, project and change management community has been established bringing together staff from across the Council to share learning and experience.

Compliance, Risk and Governance

2.10 Risk function

2.10.1 The Director of Corporate Governance highlighted underlying concerns regarding risk management arrangements and in early 2012 commissioned an external assessment of the Council's risk function. The objectives of the assessment were to evaluate the maturity of the existing risk framework, compare risk management practices against best practice and identify opportunities to improve the effectiveness, alignment and ownership of risk management across the Council.

2.10.2 The findings of the review by EY supported the internal view that the existing risk function was not adequate for an organisation of the size, nature and complexity of the Council. The assessment also confirmed that the existing risk management practices were operating at a basic level, with a pressing need to improve visibility, accountability and transparency across a range of areas.

2.10.3 In August 2013, PwC commenced a project with the Council to re-design the Council's risk management arrangements to ensure these are fit for purpose, fully integrated into Council business activities and that risk is integral to decision making going forward. A project plan has been agreed that will provide a newly designed risk management structure applied consistently across the Council for implementation from March 2014.

2.10.4 The project focuses on 7 key objectives:

2.10.4.1 risk universe – capturing all risks across the Council to determine the Council's risk profile, key areas of risk and how are these being monitored;

2.10.4.2 risk framework – agreement of a clear risk management policy, applied consistently across the Council setting out clear roles and responsibilities to promote transparency and accountability;

2.10.4.3 risk appetite – defining what risks are tolerable for the Council, when it is not considered reasonable to take certain risks and ensure decisions are made consistently;

2.10.4.4 governance – creation of a governance structure that supports the framework, reflects clear reporting lines and promotes the visibility of risks across the Council;

2.10.4.5 management information – provision of management information to help inform decision making e.g. new risks, risk trends, actions not yet implemented and future horizon scanning;

2.10.4.6 embedding risk culture – training programme to support risk management, inclusion of risk in PRD objectives and training on the importance and value of risk, governance and compliance linked to the

promotion of risk management behaviours and how these should be demonstrated.

2.10.4.7 embedding risk into daily practice – ensuring a link into the Council's outcomes, objectives, strategic planning and performance management arrangements to ensure risk is part of day to day awareness and activity.

2.10.5 The project has made good progress to date including:

2.10.5.1 completion of revised risk management framework for approval by Corporate Policy and Strategy Committee in December 2013 and a guidance manual to support the framework;

2.10.5.2 collation of all current risk registers with gaps identified for completion by end December 2013;

2.10.5.3 revision of and improvement to risk registers, scoring, guidance on mitigating controls and appropriate actions;

2.10.5.4 working closely with all directorates and management teams to define risk reporting requirements and revise reporting templates;

2.10.5.5 creation of a new governance framework; and

2.10.5.6 tailoring risk management software (Covalent) to align with the new framework and support significantly improved management responses.

2.10.6 Significant additional risk management activity is planned before implementation is underway in March 2014. This includes:

2.10.6.1 uploading all new risk information and registers to Covalent;

2.10.6.2 working closely with communications and organisational development to develop a project plan to roll out and embed revised and enhanced risk management arrangements, in particular training and risk management behaviours;

2.10.6.3 introducing effective risk reporting to all service and directorate management teams, CMT and GRBV on the risk profile of the Council to support and influence decision making;

2.10.6.4 introduction of a new risk management steering group to meet monthly to drive improvements, awareness and behaviours; and

2.10.6.5 enhanced focus on internal controls and closer links with corporate governance, compliance and governance projects.

2.10.7 The success of the project is dependent on the implementation of the framework and continued buy in from senior management to endorse key messages on the importance of risk management viewing this as a day to day activity closely aligned to the Council's outcomes, strategic plan and service priorities.

2.11 Information compliance

- 2.11.1 Compliance with freedom of information legislation has been challenging for the Council with requests for information increasing in volume and complexity. FOI requests increased by over 20% in total due to public concerns surrounding property conservation and care. Nevertheless, the establishment of a new centralised Records and Information Compliance Unit within the Governance Service, revised processes, and the introduction of a new case management system have helped to improve overall performance with over 90% of requests answered within statutory timescales, an improvement of 17% since December 2012.
- 2.11.2 To demonstrate the Council's commitment to openness and transparency, responses to requests for information are routinely published on the Council website. As part of this process, the Council worked closely with the Office of the Scottish Information Commissioner to pro-actively publish redacted versions of the Project Power and Project Solar reports commissioned from Deloitte into historic allegations made against previous property services in the Council. These documents are currently being reviewed to determine if more information can now be released into the public domain.
- 2.11.3 The Council has also been the subject of a number of significant information breaches which have been reported to the Information Commissioner's Office ('ICO'), the regulatory body with responsibility for enforcing the Data Protection Act 1998. Corrective actions and positive engagement with the ICO have resulted in improved provision and arrangements for data protection compliance within the Council, as well as helping to ensure that the Council did not receive a civil monetary penalty for non-compliance.
- 2.11.4 As highlighted in the Deloitte reports, the need for effective and consistent record keeping is a key element in providing efficient services for customers. The Records and Information Compliance Unit has worked closely with the new Shared Repairs Service in embedding effective records management, and continues to assist the Property Conservation Service in addressing record keeping legacy issues.
- 2.11.5 To ensure that the Council continues to respond positively to the demands of information management and compliance, an information governance strategy is being developed to help the Council manage its information efficiently, appropriately and lawfully. This will be led by the Information Council who will provide strategic ownership and support in developing an information governance framework. The framework will consist of policies, standards, guidance and tools, and details about how they will be implemented and assured. The vision is to embed a culture of confidence and responsibility across the Council in managing information to provide a consistent and better service for customers. An information governance maturity model will be used to determine progress against the strategy.

Internal audit

- 2.12 The findings of an external review by EY in early 2012 confirmed concerns that the existing audit activity was not sufficiently focused on high-risk areas and was not adequate for a complex organisation of the size and nature of the Council. Project Solar also reported that the internal audit function required greater influence and the authority to report directly to the Council's Monitoring Officer, the Chief Executive and CMT. The combined effect of the reports made a fundamental review of the service a critical priority.
- 2.13 On 22 November 2012 the Council approved the appointment of PwC as co-source partners in the delivery of internal audit and risk services for a 3-year period and the service plan was signed with an effective date of 1 April 2013, the start of the financial year.
- 2.14 The initial phase of the 3-year contract has focused on improving the authority and influence of internal audit and ensuring management and elected members have greater visibility of assurance in key risk areas. This included the development of an audit plan which focuses on scrutinising the high-risk areas of the Council.
- 2.15 One of the key aspects of the contract is to increase the capability of the internal audit team to ensure that each team member is appropriately trained in internal audit best practice to provide the best service to the Council. This journey of personal development for all staff has started through delivery of a number of sessions on effective internal auditing including planning, completion and follow-ups, and the development of a training programme for each staff member.
- 2.16 Key service improvements and deliverables that have been achieved by the combined team over the 6 month period include:
 - 2.16.1 introduction of risk and control matrices for planning and management of audits;
 - 2.16.2 development of appropriate definitions for risk findings as 'critical', 'high', 'medium' and 'low' to ensure clarity, consistency and transparency for management;
 - 2.16.3 development of defined procedures for escalation of critical and high risk issues to CMT and GRBV to improve the authority and influence of internal audit;
 - 2.16.4 development of defined procedures for escalation of issues to CMT and GRBV where no follow-up actions have been taken by management ensuring effective oversight and assurance of risk;
 - 2.16.5 introduction of a new audit charter to define roles and responsibilities in relation to internal audit across the Council and to set management expectations;
 - 2.16.6 realignment of the audit year with the Council financial year;

- 2.16.7 development of a 6-month audit programme linked to risk management to improve the effectiveness of internal audit; and
- 2.16.8 upgraded audit management software to support more efficient processes.
- 2.17 Update reports have been provided regularly to GRBV on the transformation of the internal audit function and links to these are provided in the background papers section of the executive summary.

Corporate governance 2013 - 2017

- 2.18 The Council's strategic plan for 2012-2017 sets out 5 outcomes needed to fulfil our vision that Edinburgh is a thriving, successful and sustainable capital city. These outcomes reflect priorities across all Council services and corporate governance leads specifically on ensuring 'the Council is an effective and efficient organisation and a great place to work.'
- 2.19 A new directorate plan for corporate governance has been created for consideration by the Council in December 2013 outlining 8 high level objectives of: reputation; risk management; customer experience; total budget; high performing workforce; ICT transformation; welfare reform and culture and sport. The objectives are set out in more detail in appendix one.
- 2.20 Each element of the review outlined within this report is included as a project within the scope of one of the plan's objectives as follows:
 - 2.20.1 Risk management:
 - 2.20.1.1 deliver and embed strengthened risk management;
 - 2.20.1.2 further improve management of financial risks and enhance internal controls;
 - 2.20.1.3 enhance capabilities, profile and influence of internal audit;
 - 2.20.1.4 develop and embed improved information governance arrangements; and
 - 2.20.1.5 provide greater assurance, transparency and co-ordination of major capital and change programmes;
 - 2.20.2 Total budget:
 - 2.20.2.1 achieve commercial benefits and deliver value in procurement; and
 - 2.20.2.2 support good decision-making through the provision of high quality, meaningful financial management information.
 - 2.20.3 High performing workforce:

- 2.20.3.1 deliver and embed HR policies.
- 2.20.4 ICT transformation:
 - 2.20.4.1 develop and implement management information systems.
- 2.21 This will ensure a continued focus on transformation, assurance and robust governance. Working with all service areas, it is anticipated that the implementation of the directorate plan and the programme will continue to drive and sustain improvement, as well as embedding a culture of best practice. Crucially, it will provide clear lines of leadership, responsibility and accountability.

3. Recommendations

- 3.1 To consider the progress and actions outlined in the report; and
- 3.2 To refer the report to Corporate Policy and Strategy Committee for consideration.

Alastair D Maclean

Director of Corporate Governance

Links

Coalition pledges	P41 – take firm action to resolve issues surrounding the Council's property services.
Council outcomes	CO25 – The Council has efficient and effective services that deliver on objectives.
Single Outcome Agreement	
Appendices	Appendix one: Corporate Governance priorities 2012 - 2017

Corporate Governance Priorities for 2012-17

The Council is an efficient and effective organisation and a great place to work

By 2017 we will have...

Enhanced *customer experience* by ensuring our services are of *high quality* and *easy to access*

Improved *risk management* across the Council

Visibly enhanced our city's *cultural and sporting future*

Developed our *reputation* and ensured customers have a *positive perception* of the Council

Influence and support all areas of the organisation to identify and manage the reputational impact of their decisions.

Reputation

Risk Management

Promote risk management, ensuring Council services are provided within legal and regulatory requirements, and support efficient, visible and democratic decision making.

Deliver financial certainty by securing a balanced budget. Transform procurement practices and service provision to deliver commercial benefits.

Total Budget

Customer Experience

Focus on understanding our customers needs in order to deliver outcomes that matter to them. Encourage channel shift and improve access to services designed around those needs.

Ensure the Council has a motivated workforce of high performing, highly skilled, flexible people delivering our core values, utilising modern technology.

High performing workforce

ICT Transformation

Transform the Council's ICT and Digital platform, to better support the many stakeholders who depend on our ICT in their daily lives. Ensure ICT services are business and customer driven.

Respond effectively to the challenges presented by Welfare Reform in Edinburgh .

Welfare Reform

Visibly enhanced culture and sport

Ensure Edinburgh continues to be a leading cultural city - which attracts, develops and retains talent, where culture, sport and celebratory events thrive and make our city a great place to live and visit.

Corporate Policy and Strategy Committee

10am, Tuesday, 3 December 2013

Lord Provost's attendance at UNESCO Creative Cities Summit, Beijing

Item number	7.8
Report number	
Wards	All

Links

Coalition pledges [P24, P31](#)

Council outcomes [CO20](#)

Single Outcome Agreement [SO1](#)

Greg Ward

Director of Economic Development

Contact: Annalee Sutherland, Lord Provost's Office

E-mail: annalee.sutherland@edinburgh.gov.uk | Tel: 0131 469 3826

Executive summary

Lord Provost's attendance at UNESCO Creative Cities Summit, Beijing

Summary

This report summarises the Lord Provost's attendance at the Global Creative Cities Summit in Beijing from 21 to 23 October, following an invitation from UNESCO and the Municipality of Beijing.

Recommendations

There are no immediate recommendations from this report.

Measures of success

- Maintain Edinburgh's leading role in the UNESCO Creative Cities Network
- Promote Edinburgh's profile as a world leading creative city
- Contribute and influence the direction of future strategies of the Creative Cities Network
- Forge civic, cultural and economic links with Beijing/China
- Build upon the highly successful visit to Shenzhen (June 2013)
- Generate significant publicity for the City of Edinburgh, throughout China and worldwide

Financial impact

The costs of a return economy flight ticket and 4 nights' accommodation for the Lord Provost was covered by the organisers. In addition, the cost of 4 nights' accommodation was covered for an accompanying City Officer. The remaining travel and accommodation costs for accompanying officers were approximately £2,000 which was met by the relevant Departmental budget as agreed by the Corporate Policy and Strategy Committee on 1 October 2013.

Equalities impact

There are no equalities impacts arising from attendance at this event.

Sustainability impact

Travel arrangements were made in accordance with The Council's Sustainable Travel Plan.

Consultation and engagement

Consultation took place with the City of Literature Trust and colleagues in Culture and Sport and Economic Development.

Background reading / external references

Lord Provost's attendance at UNESCO Creative Cities Summit, Beijing

1. Background

- 1.1 The Lord Provost attended the Global Creative Cities Summit in Beijing from 20 to 22 October. The Summit was organised by UNESCO and the Municipality of Beijing.
- 1.2 Edinburgh is the world's first UNESCO City of Literature and the founder city of the UNESCO Creative Cities Network. The Lord Provost is a Trustee of the City of Literature Trust.

2. Main report

- 2.1 The main theme of the conference was the importance of cities, to lead the way in the promotion of creativity to provide jobs, growth, harmony, wellbeing and sustainability. The UNESCO creative cities network provides a platform to share experience, innovative ideas, and provide local solutions to global problems.
- 2.2 Participants at the UNESCO Creative Cities Summit included members of the UNESCO Creative Cities Network which comprises 38 cities. (See appendix 1 for a full list of cities). Of these, 28 were represented at the summit. Four other applicant cities from Africa were also in attendance. The format presented an excellent opportunity to network, promote Edinburgh and share experience with other creative cities from around the world.
- 2.3 The Opening Ceremony of the Summit took place in the Beijing Capital Museum and was attended by over 500 people from Beijing's Creative Sector. The occasion was a high profile VIP event and attracted significant media attention. The Lord Provost gave an in-depth interview on Edinburgh's strong cultural heritage and vibrant creative industry sector, to China National Radio station, which is broadcast to 650 million listeners. The Lord Provost, wearing the civic chain of office and kilt, attracted great interest from the many photographers present. The following day a picture of the Lord Provost was on the front page of Beijing Daily newspaper, (which attracts a readership of 200,000), generating significant publicity for Edinburgh and Scotland. (See appendix two for a copy of the newspaper's front page).
- 2.4 The Beijing Capital Museum was also host to the Creative Cities Exhibition which was situated in a prominent position in the entrance foyer. The exhibition included an 'Edinburgh Stand', which showcased iconic images of Edinburgh and the *Think Creative, Think Edinburgh* video. A link can be found here

www.youtube.com/watch?v=id65gks_9fM It also provided free marketing materials for visitors to the stand, including City Of Literature books and leaflets. The exhibition was in place for the duration of the conference. The Museum attracts up to 2,000 visitors per day, with the potential to attract significant publicity for Edinburgh.

- 2.5 The conference consisted of keynote presentations from major stakeholders in the network. The Lord Provost represented one of only six other cities asked to speak. The Lord Provost highlighted Edinburgh's strong literary heritage and the social, educational and economic benefits of its status as the world's first UNESCO City of Literature. The Lord Provost also emphasised the importance of the city's strong culture and arts sector, in particular as the world's leading festival city, providing an inimitable platform for the arts, and inspiration for creative cities and regions around the world.
- 2.6 The event was filmed on China's National news station CCTV and featured video footage of the Lord Provost delivering his presentation, wearing his civic chain of office and kilt. The CCTV news channel is broadcast to 1.2 billion people in China and around the world. An English language clip of the coverage can be seen via this weblink. www.youtube.com/watch?v=aha2Rpmzzd8
- 2.7 The Lord Provost participated in a Mayor's Roundtable meeting and signing of the Creative Cities Summit Agenda. This reaffirmed a commitment to establish a productive relationship of learning, sharing and exchange between creative cities in all regions, in order to boost social, economic and cultural development.
- 2.8 The Mayor of Shenzhen was also a participant at the Mayor's Roundtable Meeting. In June this year, the Lord Provost travelled to China to sign a Memorandum of Understanding (MOU) with the Vice Mayor of the Shenzhen Municipal Government. The MOU focused on the establishment of joint international creative industry incubation centres in Edinburgh and Shenzhen, promoting economic and cultural development. During the UNESCO Creative Cities Beijing Summit, the Lord Provost and the Mayor of Shenzhen took the opportunity to have a high level meeting, where they reaffirmed their commitment to collaboration in the creative industries sector for the mutual benefit of both cities. (A copy of the MOU can be found in Appendix 3).

3. Recommendations

- 3.1 There are no immediate recommendations from this report.

Greg Ward

Director of Economic Development

Links

Coalition pledges	P24 - Maintain and embrace support for our world-famous festivals and events P31 – Maintain our City’s reputation as the cultural capital of the world by continuing to support and invest in our cultural infrastructure
Council outcomes	CO20 – Culture, sport and major events – Edinburgh continues to be a leading cultural city where culture and sport play a central part in the lives and futures of citizens
Single Outcome Agreement	SO1 – Edinburgh’s Economy delivers increased investment, jobs and opportunities for all
Appendices	Appendix 1: Creative Cities Network Members Appendix 2: Copy of Beijing Daily newspaper front page Appendix 3: MOU with Shenzhen

Creative Cities Network Members (38)

<p><u>Cities of Literature</u></p> <p>Edinburgh, Scotland</p> <p>Melbourne, Australia</p> <p>Iowa City, USA</p> <p>Dublin, Ireland</p> <p>Reykjavik, Iceland</p> <p>Norwich, UK</p> <p>Krakow, Poland</p> <p><u>Cities of Film</u></p> <p>Bradford, UK</p> <p>Sydney, Australia</p> <p><u>Cities of Design</u></p> <p>Buenos Aires, Argentina</p> <p>Berlin, Germany</p> <p>Montréal, Canada</p> <p>Nagoya, Japan</p> <p>Kobe, Japan</p> <p>Shenzhen, China</p> <p>Shanghai, China</p> <p>Seoul, South Korea</p> <p>Saint-Étienne, France</p> <p>Graz, Austria</p> <p>Beijing, China</p>	<p><u>Cities of Crafts and Folk Art</u></p> <p>Santa Fe, USA</p> <p>Aswan, Egypt</p> <p>Kanazawa, Japan</p> <p>Icheon, South Korea</p> <p>Hangzhou, China</p> <p>Fabriano, Italy</p> <p><u>Cities of Media Arts:</u></p> <p>Lyon, France</p> <p><u>Cities of Gastronomy</u></p> <p>Popayán, Colombia</p> <p>Chengdu, China</p> <p>Östersund, Sweden</p> <p>Jeonju, South Korea</p> <p>Zahlé, Lebanon</p> <p><u>Cities of Music</u></p> <p>Seville, Spain</p> <p>Bologna, Italy</p> <p>Glasgow, Scotland</p> <p>Ghent, Belgium</p> <p>Bogota, Colombia</p> <p>Brazzaville, Congo</p>
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北京日报

BEIJING DAILY

2013年10月21日 星期一 农历癸巳年九月十六 今日二十第

天气 白天多云偶雨 夜间多雨 气温 16℃~21℃

2万多设计机构 25万从业人员 产业年收入逾千亿元

北京跻身全球最具活力设计之都

【本报北京21日讯】北京设计产业联盟日前发布《北京设计产业白皮书》，显示北京设计产业规模已居全球前列。白皮书指出，北京设计产业从业人员达25万人，设计机构超过2万家，设计产业年收入超过1000亿元。

白皮书显示，北京设计产业在近年来保持了高速增长。2012年，北京设计产业总收入达到1000亿元，同比增长15%。其中，工业设计、建筑设计、平面设计、数字媒体设计等领域表现尤为突出。

白皮书还指出，北京设计产业在人才储备、技术创新、品牌影响力等方面具有显著优势。北京拥有众多知名设计机构和人才，为设计产业的发展提供了有力支撑。

投资项目审批时限平均压缩至109个工作日

减负重增活力 强服务弱审批

【本报北京21日讯】北京市政府日前发布《北京市投资项目审批时限管理办法》，规定自2013年10月1日起，北京市投资项目审批时限将大幅压缩。根据新办法，北京市投资项目审批时限平均将压缩至109个工作日，较此前缩短了约30%。

新办法还规定，北京市政府将采取多项措施，进一步优化营商环境，提高政务服务效率。包括简化审批流程、推行并联审批、加强部门协作等。

联合国教科文组织 创意城市北京峰会开幕

刘延东表袁贵仁王岐山出席

【本报北京21日讯】联合国教科文组织创意城市北京峰会日前在北京开幕。全国人大常委会委员长刘延东、国务委员袁贵仁、副总理王岐山等领导出席了开幕式。

开幕式上，刘延东发表了重要讲话，强调北京作为联合国教科文组织创意城市网络成员，将充分发挥创意产业的引领作用，推动文化创新与城市发展。

今年八月底，本市村“两委”换届首次实现应选尽选，其中没有党员的村比上届减少了50个，仅剩2分之1

“人党、进班子”成为村民期盼

【本报北京21日讯】北京市村“两委”换届工作日前取得重大进展。根据最新统计，截至今年八月底，本市村“两委”换届首次实现应选尽选。其中，没有党员的村数量较上届减少了50个，仅剩总数的25%。

这一数据反映了村民对“人党、进班子”的强烈期盼。许多村民表示，希望村“两委”成员能够带头致富、带领致富，为村庄发展做出更大贡献。

深入基层听意见 立行立改见实效

深入基层听意见 立行立改见实效

【本报北京21日讯】北京市政府日前开展“深入基层听意见”活动，广泛听取基层群众对政府工作的意见和建议。活动要求各级政府部门深入基层、深入群众，面对面听取民意，及时解决群众反映的问题。

活动取得了显著成效。许多群众反映的问题得到了及时回应和解决，群众对政府工作的满意度得到了进一步提升。

全市基本实现

村“两委”换届首次实现应选尽选

【本报北京21日讯】北京市村“两委”换届工作日前取得重大进展。根据最新统计，截至今年八月底，本市村“两委”换届首次实现应选尽选。其中，没有党员的村数量较上届减少了50个，仅剩总数的25%。

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深入基层听意见 立行立改见实效

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Memorandum of Understanding
on
the Establishment of the Edinburgh - Shenzhen International
Creative Industry Incubation Centre

On June 26 2013, the Scottish Minister for External Affairs and International Development, Humza Yousaf and the Lord Provost of the City of Edinburgh Council visited Shenzhen and met with Vice Mayor Madam Wu Yihuan. Both parties exchanged proposals on the establishment of joint International Creative Industry Incubation Centres in Edinburgh and Shenzhen.

In order to enhance the relationship and to promote the collaboration between the cities of Edinburgh and Shenzhen, the City of Edinburgh Council and the City of Shenzhen agreed to sign a "Memorandum of Understanding on Establishing the Edinburgh - Shenzhen International Creative Industry Incubation Centres" and agreed on the following matters of cooperation:

- 1) Based on the principle of mutual benefit, the cities of Edinburgh and Shenzhen will endeavour to strengthen commercial and R & D cooperation in the creative and cultural industry to achieve shared prosperity and development.
- 2) The Heads of the relevant Departments in each city will maintain regular contact in order to promote Edinburgh and Shenzhen as two leading international creative centres.
- 3) Edinburgh and Shenzhen will encourage bilateral business ties and support the internationalisation of local creative businesses by establishing the cultural and creative industries incubator centres.
- 4) Edinburgh and Shenzhen parties will endeavour to increase the trade and investment in the cultural and creative industries and to promote their sustainable development.
- 5) Bilateral cultural and creative industries visits will be carried out between Edinburgh and Shenzhen on the basis of mutual agreement.
- 6) Edinburgh and Shenzhen shall endeavour to establish the "Edinburgh - Shenzhen International Creative Industry Incubator Centre," in both cities and

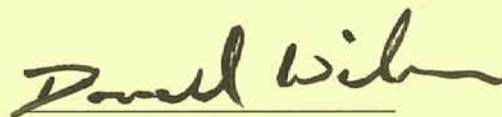
the first tranche of companies will be encouraged to set up in the incubation centres within 3 years.

7) The above actions will be coordinated by the relevant Department in each city.

This Memorandum of Understanding is written in Chinese and English, each in duplicate, and both texts being equally authentic. This Memorandum of Understanding is signed on 26 June 2013 in Shenzhen with effect from the date of signing.



Mr Xinliang Chen
Deputy Director General
Shenzhen Municipal Bureau of
Culture, Sports and Tourism
People's Republic of China



The Rt Hon Donald Wilson
Lord Provost of the City of
Edinburgh

Corporate Policy and Strategy Committee

10am, Tuesday, 3 December 2013

Edinburgh Community Solar Cooperative Proposal

Item Number	7.9
Report number	
Wards	All

Links

Coalition pledges	P15, P33, P50, P53
Council outcomes	All
Single Outcome Agreement	S04

Mark Turley

Director of Services for Communities

Contact: Jim Davidson, Corporate Facilities Manager, Corporate Property

E-mail: jim.davidson@edinburgh.gov.uk Tel : 0131 529 5233

Executive Summary

Edinburgh Community Solar Cooperative Proposal

Summary

The Council wants to support a proposal by Edinburgh Community Solar Cooperative (ECSC) for the development of a community owned Solar Photovoltaic (PV) scheme on Council buildings.

Under the scheme, it is proposed that ECSC will put forward proposals to procure, install and manage solar PV panels sited on the roofs of Council buildings. Initial consultation has taken place between officers and ECSC to establish feasibility.

These initial discussions have identified that there is a need to formalise the relationship between the Council and ECSC in the form of a Memorandum of Understanding (MoU).

This report seeks approval to enter into the MoU and therefore provide a remit to maintain a dialogue with ECSC.

Recommendations

It is recommended that Corporate Policy and Strategy Committee:

1. Approve the signing of a Memorandum of Understanding between the City of Edinburgh Council and the Edinburgh Community Solar Cooperative.
2. Note the educational, environmental and community benefits associated with the progression of this scheme.
3. Refer the report to the Transport and Environment Committee in January 2014 for information.

Measures of Success

The effective delivery against Capital Coalition Pledge commitments and objectives. Specifically to address the Council's commitment to the development of community energy cooperatives under the Capital Coalition's pledge 53.

Delivery against statutory requirements, specifically the Climate Change (Scotland) Act 2009, which requires the Council to contribute to national emissions reduction targets, deliver any statutory adaptation programmes and act in a sustainable manner.

Reductions in costs and carbon associated with energy in operational buildings.

Financial Impact

There will be no up-front capital cost to the Council from the installation of the solar PV panels. However, there will be administration and legal costs associated with supporting the proposal.

Under the scheme presented by ECSC, the Council will pay ECSC for solar created electricity consumed on site at a reduced tariff from its standard tariff. Any reduction is likely to be around 10-15% and the Council would further benefit from reduced obligations under the Carbon Reduction Commitment Energy Efficiency Scheme (CRC).

The financial benefit to the Council from the ECSC proposal is likely to be slight. The income generated from this scheme will be channelled towards investors and the community fund rather than back to the Council.

Equalities impact

The encouragement of community energy cooperatives is closely aligned to equality and enables progress against the Equality Act 2010 duties to eliminate illegal discrimination, victimisation and harassment, advance equality of opportunity and foster good relations. In addition, progress in this area also enables the enhancement of human rights for citizens and service users.

Sustainability impact

The impacts of this report in relation to the three elements of the Climate Change (Scotland) Act 2009 Public Bodies Duties have been considered. In summary, the proposals in this report will help achieve a sustainable Edinburgh because they encourage the reduction of carbon emissions, increase the city's resilience to climate change impacts and improve social justice, economic wellbeing and environmental good stewardship.

Consultation and engagement

The MoU has been prepared in consultation with colleagues in Corporate Property, Legal Services and Commercial and Procurement Services.

Background reading/external references

- Sustainable Edinburgh 2020 – <http://www.edinburgh.gov.uk/sustainableedinburgh>
- Scotland's Climate Change Declaration – <http://climatechange.sustainable-scotland.net/>

Edinburgh Community Solar Cooperative Proposal

1. Background

- 1.1 The Council Leader asked that the Council support a proposal by the Edinburgh Community Solar Cooperative (ECSC) for the development of a community owned Solar Photovoltaic scheme on Council buildings. This scheme comes under the Capital Coalition's pledge to encourage the development of Community Energy Cooperatives (pledge 53).
- 1.2 Under the scheme, it is proposed that ECSC procures, installs and manages solar PV panels on the roofs of Council buildings across Edinburgh's property estate.
- 1.3 The proposed scheme will produce revenue for ECSC through the UK Government's Feed in Tariff (FiT) payments for the electricity generated by the panels and any export of electricity to the grid (see Appendix 1 for FiTs). Council buildings with panels installed will have access to the electricity generated and it is proposed that the Council pays the ECSC (at a reduced tariff) for any electricity used by the building users. This will require setting up a power purchase agreement between the Council and ECSC.
- 1.4 ECSC will finance projects through a community share offering with shareholders getting a 5% return on investment. Surplus income from the scheme will be invested into the local community through a community fund, targeting carbon reduction and fuel poverty.
- 1.5 The profiles of the founder members of ECSC are provided in Appendix 2. It is anticipated that the governance structure will be formalised by the end of November 2013. The group will be set up as a Community Benefit Society (Ben Com) as classified under the Industrial and Provident Societies Act 1965.
- 1.6 ECSC is a spin off from the Edinburgh Community Energy Hub a sub group of the Edinburgh Sustainable Development Partnership. The Council has played a key role in encouraging the formation of this group.
- 1.7 The Edinburgh Community Solar Cooperative proposal is part of a range of energy related projects under consideration by the Council.

2. Main Report

- 2.1 The principal driver for this proposal is the Council's commitment to the development of community energy cooperatives under the Capital Coalition's

pledge 53. There are also strong links to the Council's obligations to reduce greenhouse gas emissions (pledge 50).

- 2.2 The scheme complements pledges that promote investment in Edinburgh (pledge 15) and that strengthen and support communities (pledge 33).
- 2.3 Capital raised through the share offering will be determined by the investment required for any proposed PV scheme with an expected headline return of 5% per annum to investors. Share prices will start at £250 per share.
- 2.4 Through the scheme, ECSC will re-invest funds into the local community bringing with it the potential to improve the well-being of residents. In the early years of the scheme contributions to the community fund will be modest, but will increase as the ECSC buys back equity from its members.

3. Memorandum of Understanding

- 3.1 Following advice from Corporate Governance it is agreed that a Memorandum of Understanding (MoU) will provide the appropriate vehicle to develop this proposal.
- 3.2 The MoU is designed to facilitate the following arrangements between the Council and ECSC.
 - 1. Working together in good faith to explore how the Council can reduce carbon emissions through solar energy generation on schools, public buildings and land.
 - 2. The development of ECSC's proposal to own and manage a solar energy scheme to maximise the socio-economic benefit of solar energy generation to the local Edinburgh Community including building community resilience, alleviating fuel poverty and creating a fund for community projects.
 - 3. Carrying out joint research into community based solar energy projects and identifying opportunities for people in Edinburgh to invest and secure a return from community-based solar energy projects. In addition, the parties may explore a broader range of energy services relating to renewable energy generation and use.
 - 4. Through a technical survey of land and buildings, jointly consider the suitability and implementation of proposed projects including quantifying the scale of projects, identifying potential constraints and assessing the potential demand for solar energy from building users.
 - 5. Developing a joint communications plan and publicise the cooperation outlined in this MoU and the wider benefits of projects.
- 3.3 The MoU will remain in force for a period of three years.
- 3.4 The MoU is a statement of intent and does not create legal obligations between the parties.

- 3.5 All proposed projects will be the subject of a separate Project Agreement. ECSC acknowledges that the Authority has procurement obligations under the Public Contracts (Scotland) Regulations 2012 and its internal Contract Standing Orders.
- 3.6 The MoU is non-exclusive therefore both organisations reserve the right to work independently or with other organisations or partners to deliver renewable energy projects.
- 3.7 The MoU has been based on a successful model adopted by Bath and North East Somerset Council to deliver a community solar energy project across their buildings.

4. Further Legal and Procurement Considerations

- 4.1 Any proposed solar PV project will be subject to a full options appraisal in line with the Council's obligation to deliver best value and meet the Council's Standing Orders and EU Procurement Legislation.
- 4.2 Further legal consideration will be given to the potential set up of any lease agreements governing the use of Council roofs and any power purchase agreements governing onsite use of electricity from the solar PV panels.
- 4.3 Any subsequent agreement between the Council and the ECSC will require to be formalised in a legally binding contract for the duration of the scheme.
- 4.4 Under the scheme presented by ECSC, the Council will pay ECSC for solar electricity consumed on site at a reduced tariff from its standard tariff. Any reduction is likely to be around 10-15%. The Council will also benefit from reduced taxation under the Carbon Reduction Commitment Energy Efficiency Scheme (CRC).

5. Property Considerations

- 5.1 An initial assessment has been carried out across the Council estate to identify properties with outline suitability for the scheme. This has been rounded down from 100 to 47 properties. An options appraisal will be carried out for properties on an individual basis.
- 5.2 More detailed work will be required to establish full suitability, including a survey of roofs and electrical infrastructure.
- 5.3 Future agreement between the Council and ECSC for the use of roof space for solar PV panels would likely be for at least 20 years. Current asset strategies do not give a clear indication of the properties that will remain operational over this time. Consultation with service areas will be required to ascertain the properties with the greatest longevity. There will be an inherent risk with any selection of buildings and the outcomes of any changes to property use or ownership will need to be fully defined in legal contracts.
- 5.4 Consideration needs to be given to the likelihood of maintenance on the selected roofs over the 20 year period. ECSC would require re-imbursement for any significant interruptions to power generating capacity.

- 5.5 Clarification of insurance, risk, access to and maintenance of the panels would need to be fully defined in contract documents.
- 5.6 Current active projects across the Council's property estate include works to improve the energy efficiency of buildings and raising awareness of energy consumption. The proposed solar PV proposal would complement existing initiatives by further reducing associated carbon emissions and could be aligned with existing strategies to raise awareness of energy use across the Council.
- 5.7 The proposal from ECSC is independent from other solar PV proposals being developed by the Council. The MoU provides a platform for the Council and ECSC to identify potential synergies and opportunities for joint working.

6. Risks

- 6.1 The Council is seeking to establish a relationship with ECSC to jointly investigate and develop the solar cooperative proposal. To avoid reputational risk to the Council proposed projects will adhere to Council procurement and best value obligations. There is wide interest in solar PV schemes as a source of revenue both from social enterprises and from private equity.
- 6.2 The MoU is non-legally binding and therefore does not commit the Council to installing solar PV panels on roofs.
- 6.3 If the scheme encountered financial or operational difficulties there is a potential risk to the Council's reputation.
- 6.4 If progressed, a potential major risk to ECSC could be loss of revenue due to the solar PV panels failing to operate. The Council would bear some risk for this in the following scenarios: required roof repairs/maintenance involving the removal of the panels for an extended period, damage/vandalism to panels, property closure/demolition (might involve relocation of panels), and failure of Council owned electrical infrastructure.

7. Recommendations

It is recommended that Corporate Policy and Strategy Committee:

- 1. Approve the signing of a Memorandum of Understanding between the City of Edinburgh Council and the Edinburgh Community Solar Cooperative.
- 2. Note the educational, environmental and community benefits associated with the progression of this scheme.
- 3. Refer the report for information to the Transport and Environment Committee in January 2014.

Mark Turley

Director of Services for Communities

Coalition pledges	<p>P15 - Work with public organisations, the private sector and social enterprise to promote Edinburgh to investors.</p> <p>P33 - Strengthen Neighbourhood Partnerships and further involve local people in decisions on how Council resources are used</p> <p>P50 - Meet greenhouse gas targets, including the national target of 42% by 2020.</p> <p>P53 - Encourage the development of Community Energy Cooperatives.</p>
Council outcomes	All
Single Outcome Agreement	S04 - Edinburgh's communities are safer and have improved physical and social fabric.
Appendices	<p>Appendix 1 – Feed in Tariffs</p> <p>Appendix 2 – Edinburgh Community Solar Cooperative</p>

Appendix 1 – Feed in Tariffs

The Feed in Tariff (FIT) is a government payback scheme for electricity generated by renewables, and applies to a range of technologies including Solar PV, wind turbines, hydro and combined heat and power systems. The feed in tariff depends on:

- the size of the system
- what technology is installed
- when the technology was installed
- who put the technology in place (certified installers)

There are two parts of the tariff; the generation tariff and the export tariff. The generation tariff is applied to all electricity generated by the renewable system regardless of how much is consumed onsite. The export tariff is applied to any surplus electricity or electricity that has not been consumed onsite and is fed back into the grid. The FIT is based on a 25 year contract for solar (20 years for other technologies), resulting in the generation and export tariff prices being fixed at the same rate for the duration of the contract.

Solar PV Feed in Tariff

For solar Photo-Voltaic (PV), the applied generation tariff is determined by two factors; a) the power rating of the installed system and b) the building's Energy Performance Certificate (EPC).

- Higher Rate: applies to a building that has an EPC rating of 'D' or higher
- Medium Rate: applies to a building if the owners/estate have 25 or more PV installations already installed (which is 90% of the higher rate)
- Lower Rate: applies to a building that has an EPC rating below a 'D'

On 31st December 2012, the energy efficiency requirement was relaxed for 'community energy projects' and schools. This relaxation removed the requirement for the building to have an EPC rating of 'D' or higher to qualify for the higher rates.

The FIT rates have decreased considerably since its launch in 2010. The rate for a 4kW or less PV system in 2010/11 was 45.4p/kWh, with an export rate of 3.2p/kWh. The revised rates from 1st January 2014 to 1st April 2014 for the same system are 6.61-14.9p/kWh, with an export rate of 4.64p/kWh.

FIT rates for Solar PV have an inbuilt degression of tariffs. The pre-planned degression is a 3.5% reduction every 6 months. There is an additional option for a contingent degression where up to two consecutive degression cuts can be skipped if uptake is low. There is also scope to increase the percentage degression to 28% if deployment is high.

Feed in Tariff Rates (Jan 2014 – March 2014)

System Type	Lower Rate (p/kWh)	Medium Rate (p/kWh)	Higher Rate (p/kWh)
New Build Property with installed capacity of 4kW or less	6.61	13.41	14.90
Current property with installed capacity of 4kW or less	6.61	13.41	14.9
Total Capacity greater than 4kW but not exceeding 10kW	6.61	12.15	13.50
Total Capacity greater than 10kW but not exceeding 50kW	6.61	11.31	12.57
Total capacity greater than 50kW but not exceeding 100kW	6.61	9.64	10.71
Total capacity greater than 100kW but not exceeding 150kW	6.61	9.64	10.71
Total capacity greater than 150kW but not exceeding 250kW	6.61	9.22	10.25
Total Capacity exceeding 250kW	6.61	6.61	6.61
Stand Alone (not wired or attached to a building)	6.61	6.61	6.61
Export Tariff	4.65	4.64	4.64

Founder Member Profiles

Paul Phare

Paul is the Scotland Development Manager for Energy4All. He has a degree in manufacturing systems engineering from Bristol University. His Dissertation investigated the viability of domestic wind systems. Paul joined the renewable sector in 2003 with Vesta Celtic, and then worked with community groups in the Highlands of Scotland to develop renewable energy projects, delivering a Scottish Government funding programme. Paul was involved with the first community owned wind farm in Scotland on the Isle of Gigha. Paul has continued to work with many communities in Scotland across a range of technologies and at all scales, but particularly with biomass and wind. In 2008 Paul joined Energy4All where he has helped to deliver three new wind energy co-operatives and has become well known within the Scottish renewable energy sector. He is committed to developing a large urban solar project in the city of Edinburgh which emulates successful projects in England, and successful rural projects focused around wind power.

Dr. Johanna Carrie

Johanna has a PhD in an energy related subject and an MSc in Ecotourism. She has been a Member of Edinburgh Community Energy Co-operative for many years and served on its board since 2011. She has been Chairperson of Transition Edinburgh Pentlands since 2008. This community group received Climate Challenge funding for a project to provide energy workshops in 3 local primary schools (2012) and has supported local householders to cut their energy consumption by 5% by the end of 2013 . Previously she was Chairperson Transition Edinburgh 2010 -2012. She is a member of the Fairmilehead Community Council and Pentlands Neighbourhood Partnership Environment, Transport and Infrastructure sub group.

Doug Prentice

Douglas is CEO of GeoCapita Ltd a London based FCA registered Mutual engaged in the development of sustainable projects in renewable energy, energy efficient buildings, climate change and related areas. He holds an MA in Economics from Edinburgh Uni, an MSc in Renewable Energy from Napier University and has recently completed a PhD at Granada University in buildings energy efficiency and its significance in climate change.

He lectures part time at Napier University, Granada University and Politecnico Milano Italy in climate finance. With the Universities and GeoCapita he is engaged on a number of UK and international projects. He is a member of Edinburgh Council's Expert Group advising the Council on cooperative development with emphasis on energy and housing.

David Hawkey

David is a Research Fellow at the University of Edinburgh. His research explores the development of sustainable energy systems at a local level, particularly in

urban areas. He works with a wide range of local authorities, housing associations and community groups to understand how coordinated action on energy at a local level can be achieved in ways that are sustainable and scalable. He was a director of the Edinburgh Community Energy Cooperative from 2011 until it was wound down, and has previously served as Treasurer for a small charity, Sustainable Consumption Opportunities Today (SCOT).

Stuart Hay

Since 2005, Stuart has worked as Senior Consultant with Changeworks focusing on the design and development of both mainstream and innovative domestic energy efficiency and micro-renewables projects. A key focus of his work is managing a Service Level Agreement with the City of Edinburgh Council to fund and deliver energy efficiency programmes. In this respect he has assisted in securing funding from the Scottish Government and European funders for a range of projects. This practical delivery focused role builds on previous campaigns and strategy experience gained as Head of Policy and Research at Friends of the Earth Scotland. Previously he worked for the Scottish Wildlife Trust, Help the Aged Scotland and as a political researcher in the Scottish Parliament.

He is a board member and company secretary of Transform Scotland, serving in a voluntary capacity. He has been formally involved with Transform Scotland since 2003, assisting the Director with strategy and governance matters. As a qualified town planner, he has strong interest in transport and environment issues. He has been a board member of the Edinburgh Community Energy Co-operative since 2008, assisting in securing Climate Challenge fund grant for insulation and renewables project, focusing on Leith.

Corporate Policy and Strategy Committee

10.00am, Tuesday, 3 December 2013

Edinburgh's Multi-agency Domestic Abuse Policy

Item number	7.10
Report number	
Wards	All

Links

Coalition pledges	P1 , P43
Council outcomes	CO1 , CO5 , CO10 , CO11 , CO15 , CO21 and CO26
Single Outcome Agreement	SO2 , SO3 , SO4

Michelle Miller

Chief Social Work Officer

Contact: Michelle Miller, Chief Social Work Officer

E-mail: michelle.miller@edinburgh.gov.uk | Tel: 0131 553 8520

Executive summary

Edinburgh's Multi-agency Domestic Abuse Policy

Summary

This report presents to members the draft multi-agency domestic abuse policy for Edinburgh. It is a statement of commitment from all partners in Edinburgh and provides a set of guiding principles and definitions in relation to the prevention of domestic abuse, the support and protection of victims and the management of perpetrators. The draft policy is attached at Appendix 1.

Recommendations

It is recommended that Corporate Policy and Strategy Committee:

- a) approves the multi-agency domestic abuse policy attached at Appendix 1; and
- b) notes that the Edinburgh Partnership will be asked to adopt the policy at its next meeting on 5 December 2013.

Measures of success

The guiding principles outlined in this policy will inform the domestic abuse action plan being developed by the domestic abuse sub-group of Edinburgh's Violence Against Women Partnership. This will form part of a larger Violence Against Women Strategy for Edinburgh. The framework will align with related Council outcomes and single outcome agreements and will be informed by the National Violence Against Women Strategy being developed by the Scottish Government. The Edinburgh Violence Against Women Partnership will submit quarterly performance reports to the Edinburgh Chief Officers' Group – Public Protection.

Financial impact

The guiding principles in this policy will inform the development of a domestic abuse action plan and a review of domestic abuse service delivery. Any review of domestic abuse services should maximise the use of existing resources. It is possible that the action plan could make recommendations which have financial implications. These will be considered in detail and reported on as necessary, but will require to be addressed within the Council's long-term financial plan.

Equalities impact

Addressing the issue of violence against women reflects partner agencies' responsibilities in respect of equalities. Any service developments will be subject to equalities impact assessment.

Sustainability impact

There are no sustainability impact issues arising from this report.

Consultation and engagement

The draft policy has been developed in consultation with the City of Edinburgh Council, NHS Lothian, Police Scotland and voluntary sector partners. The policy was approved by the Chief Officers' Group-Public Protection in October 2013. Any review and further development of domestic abuse services in Edinburgh will be carried out in consultation with service users.

Background reading / external references

[Edinburgh's Public Protection Strategy](#)

[Coordinated Community Response Model](#)

[Safer Lives: Changed Lives: A Shared Approach to Tackling Violence Against Women in Scotland](#) (The Scottish Government 2009)

[National Guidance for Child Protection in Scotland](#) (The Scottish Government 2010)

[A Partnership Approach to Tackling Violence Against Women in Scotland](#) (COSLA / The Scottish Government 2009)

[No excuse! Violence against women](#) (partnership strategy 2008-2013; to be reviewed in February 2013)

[National Domestic Abuse Delivery Plan for Children and Young People](#) (The Scottish Government 2008)

[Getting It Right For Every Child agenda](#)

[National Strategy for Survivors of Child Sexual Abuse](#) (Scottish Executive, 2005)

[A place of greater safety](#) (Co-ordinated action against domestic abuse CAADA 2012)

[Beyond Violence: Breaking cycles of domestic abuse](#) (The Centre for Social Justice, 2012)

[Literature Review: Better Outcomes for Children and Young People Experiencing Domestic Abuse – Directions for Good Practice](#) (Scottish Government 2008)

[Help for male victims of domestic abuse – Men's Advice Line website](#)

Main Report

Edinburgh's Multi-agency Domestic Abuse Policy

1. Background

- 1.1 At its meeting in January 2013, the Policy Development and Review Sub Committee of the Health, Social Care and Housing Committee focused on domestic abuse service provision in Edinburgh, and recognised this area as a key priority for development.
- 1.2 The Sub Committee organised a workshop in May 2013 to explore a number of issues relating to domestic abuse service provision. The discussion reflected recent research¹, which highlights the key features of a responsive service, which are that:
 - there is a shared perception of harm among professionals
 - responses seek to involve all family members
 - services distinguish appropriate pathways
 - protection is not predicated on separation
 - success is improved with long-term intervention.

2. Main report

- 2.1 The ripple effects of domestic abuse are long-term and far reaching; not just for the individual and their children, but for the wider community. Domestic abuse features heavily in the lives of children on the Child Protection Register, looked after children, young offenders and in those displaying bullying and disruptive classroom behaviour. Domestic abuse is also a feature in the lives of many people with mental health problems, people who misuse alcohol and drugs and women offenders. It is one of the primary reasons behind violent crime figures, including murder, a substantial number of homeless applications and disputed child contact cases, which tie up the family courts.
- 2.2 The number of domestic incidents in Edinburgh recorded by police has remained fairly steady over the last four years, at around 5000. In around 45% of these incidents, children were identified as present or resident in the

¹ Research Review: Children Experiencing Domestic Violence, Research in Practice (Stanley, 2012)

home. These figures are concerning. Witnessing or experiencing domestic abuse represents one of the most serious risks to children in our society. Where domestic abuse is an identified concern, it is correlated with emotional abuse in just over half the cases, parental alcohol misuse and drug misuse in over a third, neglect and physical abuse in just under a quarter, and sexual abuse in just under a tenth.

- 2.3 These figures highlight the cross cutting nature of domestic abuse with other public protection issues and the need for a joined up response across all service areas. There have also been significant changes in domestic abuse service delivery, with Police Scotland having identified domestic abuse as one of their key priority areas, and many areas in Scotland developing coordinated, multi-agency responses to domestic abuse. All available evidence suggests that domestic abuse is addressed most effectively by an integrated, partnership approach, which includes statutory and voluntary organisations all accepting a shared responsibility.
- 2.4 By agreeing a shared understanding of the issues, progress can be made towards a consistent and better integrated approach. The basis for the policy is that a key prerequisite of success is commitment to a shared vision and united, sustained and effective action across a wide range of agencies and disciplines, based on an agreed set of shared principles and in pursuit of shared common objectives. The document at Appendix 1 highlights domestic abuse as a priority in all areas of public protection, and sets out the key shared principles of effective domestic abuse intervention.
- 2.5 The guiding principles outlined in this document are based on best practice and recent research. The draft policy has been developed in consultation with the City of Edinburgh Council, NHS Lothian, Police Scotland and voluntary sector partners. It was circulated widely among staff in all agencies and responses have been reviewed and incorporated where appropriate into the current document. Initial consultation was sent to the following groups, and was further circulated by group members:
- The Edinburgh Violence Against Women Partnership
 - The Edinburgh Child Protection Committee
 - The Edinburgh Adult Protection Committee
 - The Edinburgh Drug and Alcohol Partnership
 - The Offender Management Committee
 - Children's Practice Team Managers
 - Community Safety Managers
 - Housing Managers
 - Total Neighbourhood Summit attendees
 - EVOC website

- Edinburgh Local Practitioners' Forum
- 2.6 The policy was supported by the Chief Officers' Group – Public Protection on 11 October 2013.

3. Recommendations

- 3.1 It is recommended that Corporate Policy and Strategy Committee:
- a) approves the multi-agency domestic abuse policy attached at Appendix 1; and
 - b) notes that the Edinburgh Partnership will be asked to adopt the policy at its next meeting on 5 December 2013.

Michelle Miller

Chief Social Work Officer

Links

Coalition pledges	P1 - Increase support for vulnerable children, including help for families so that fewer go into care P43 - Invest in healthy living and fitness advice for those most in need
Council outcomes	CO1 - Our children have the best start in life, are able to make and sustain relationships and are ready to succeed CO5 - Our children and young people are safe from harm or fear of harm, and do not harm others within their communities CO10 - Improved health and reduced inequalities CO11 - Preventative and personalised support in place CO15 - The public are protected CO21 - Safe – Residents, visitors and businesses feel that Edinburgh is a safe city CO26 - The Council engages with stakeholders and works in partnership to improve services and deliver on agreed objectives
Single Outcome Agreement	SO2 - Edinburgh's citizens experience improved health and wellbeing, with reduced inequalities in health SO3 - Edinburgh's children and young people enjoy their childhood and fulfil their potential SO4 - Edinburgh's communities are safer and have improved physical and social fabric
Appendices	1. Edinburgh's Multiagency Domestic Abuse Policy

**EDINBURGH
MULTI-AGENCY
DOMESTIC ABUSE POLICY**

INTRODUCTION

This policy is a statement of commitment from all partners in Edinburgh and provides a set of guiding principles and definitions in relation to the prevention of domestic abuse, the support and protection of victims and the management of perpetrators. It is based on awareness of the extent and impact of domestic abuse and the belief shared by all partners that it is never acceptable and will not be tolerated. It aims to reduce the risk generated by the lack of a shared understanding between services and agencies of the definition of domestic abuse, its causes and how it should be responded to.

The consequences of domestic abuse are widespread. It is devastating for victims, their children and society as a whole. Our vision is to work in partnership to encourage a community where domestic abuse does not happen and where, until then, all its victims, including children, are offered effective support and protection, whilst at the same time perpetrators are held to account and supported to change their attitudes and behaviours.

This policy statement is adopted by the Edinburgh Partnership and all the national and local agencies that work in Edinburgh to tackle domestic abuse and wider forms of gender based violence. It highlights domestic abuse as a priority in all areas of public protection, and sets out the key shared principles of effective intervention, with which all agencies' operations and procedures will be consistent. It will inform the development of the Edinburgh Violence Against Women Partnership domestic abuse action plan, which will be aligned with both the local and national Violence Against Women Strategies, currently being developed by the Scottish Government Equalities Unit and the Edinburgh Violence Against Women Partnership respectively.

Further background information is provided at Appendix 1.

CURRENT PARTNERS

The City of Edinburgh Council

Edinburgh Division Police Scotland

NHS Lothian

Edinburgh Women's Aid

Edinburgh Women's Rape and Sexual Abuse Centre

Shakti Women's Aid

Couple Counselling Lothian

Streetwork

Zero Tolerance

Saheliya

Victim Support Scotland

DEFINITION

The Partnership adopts a broad definition of domestic abuse articulated by the Scottish Government:

Domestic abuse (as gender-based abuse) can be perpetrated by partners or ex-partners and can include physical abuse (assault and physical attack involving a range of behaviour), sexual abuse (acts which degrade and humiliate victims and are perpetrated against their will, including rape) and mental and emotional abuse (such as threats, verbal abuse, racial abuse, withholding money and other types of controlling behaviour, such as isolation from family and friends).

Domestic abuse can be understood within the wider context of gender-based violence, which is defined as violence directed against a person on the basis of their gender. It is men who predominantly carry out such violence, and women who are predominantly the victims. For example, women and girls are predominantly the victims of domestic abuse, rape and sexual assault, female genital mutilation, forced marriage and sexual harassment. Referring to violence as 'gender-based' highlights the need to understand violence within the context of women's and girls' disadvantaged status in society. Such violence cannot be understood in isolation from the norms, social structure and gender roles within the community, which greatly influence women's vulnerability to violence.

Defining abuse as 'gender-based' means that interventions with victims and perpetrators need to be based on an understanding of what it means to be a man or woman within any given societal context. For example, men who abuse may justify their behaviour with reference to societal expectations of how women, and indeed men, should behave.

Domestic abuse can also be perpetrated against men; it can involve transsexual people and can occur within same sex relationships. Male victims of domestic abuse may find it difficult to report abuse because of gendered notions in society and in the services they approach, relating to masculinity and help-seeking. Someone's experience of domestic abuse can also intersect in complex ways with other protected characteristics like age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

It is important that any interventions with perpetrators or victims are sensitive to all parts of that person's life, on which the abuse may impact. The guiding principles for intervention outlined in this document can be applied to all the different contexts in which domestic abuse can occur.

POLICY STATEMENT: GUIDING PRINCIPLES FOR DOMESTIC ABUSE INTERVENTION

In order to achieve better outcomes for families affected by domestic abuse, the Partnership agrees to the following guiding principles:

1. Solutions are best achieved through partnerships and collaborative working

Domestic abuse is a cross-cutting issue. All available evidence suggests that it is addressed most effectively by a joined up, partnership approach, which includes statutory and voluntary organisations, all accepting a shared responsibility, whilst understanding their unique role. We are committed to a shared vision and to united, sustained and effective action across all agencies and disciplines. This commitment is evidenced by our adoption of these shared principles and our pursuit of common objectives.

2. Better outcomes are achieved when there is a universal, systematic approach to risk assessment and decision making

Effective early intervention requires frontline professionals to be trained in identifying and managing risk, specifically related to domestic abuse. They should be able to support victims if domestic abuse is known, suspected or disclosed; share information where appropriate; and have knowledge of the resources available. Our aim is to develop clear service-specific and multi-agency pathways from the suspicion, allegation or identification of domestic abuse to support for the victim and family, tackling the perpetrator's behaviour and attitudes, and intervening in accordance with the level of risk.

A shared understanding of risk and vulnerability factors among all agencies will assist the multi-agency collaboration and management of domestic abuse cases and ensure the needs, safety and well being of victims are key priorities. It is essential to ensure that victims receive help and achieve safety as early as possible. The gathering and sharing of information should be considered in all cases, particularly where there are children. This will ensure that agencies can respond appropriately at the earliest possible stage, in order to increase the safety of victims and prevent further abuse. Lawful and responsible information-sharing and robust information sharing protocols are vital to help keep victims and their children safe; to facilitate risk assessment; to provide support and advocacy services; and to hold perpetrators to account for their behaviour. A focus on early identification, assessment and intervention, including the provision of skilled and attentive universal services, in conjunction with the availability of and access to specialist services, is the best way to keep victims safe.

Although domestic abuse correlates in complex ways with other forms of violence, interventions need to be specific to the context. For example, although engaging the victim in community support may be wise in some cases, when an agency is dealing with honour based violence, family members or community leaders should not be involved as they may seek to support harmful traditional practices.

3. Partners will work together to protect victims and children and to hold the perpetrators to account

Research tells us that if the victim is not safe, it is unlikely that the children will be. The National Child Protection Guidelines in Scotland (2010) state:

The impact of domestic abuse on a child should be understood as a consequence of the perpetrator choosing to use violence, rather than of the non-abusing parent's/carer's failure to protect. Every effort should be made to work with the non-abusing parent/carer to ensure adequate and appropriate support and protection are in place to enable them to make choices that are safe for both them and the child. At the same time, staff should be maintaining a focus on the perpetrator and monitoring any risk resulting from ongoing abuse.

As well as holding the perpetrator to account and managing their risk, agencies should work with them to change their abusive behaviour. This will not only increase the safety of current victims, but other families in the future. Allowing perpetrators to remain invisible puts the burden of change on victims, but also places them at significant risk of continuing harm. The victim's parenting may have been undermined as part of the abuse they have experienced. Agencies should work to reinforce the authority of the protective parent. Mental and physical ill-health, substance abuse and non-engagement with services should all be understood as possible symptoms and consequences of the abuse the victim has suffered.

Agencies intervening in relation to domestic abuse cases where there are children resident in the household, or with significant connection to the adult involved, should work in accordance with the principles of Getting It Right For Every Child. It is likely that children affected by domestic abuse will need a higher level of support than most children. This means that they should have a child's plan detailing what support will be provided, by whom and when, in order to keep them safe and promote their wellbeing. Agencies' intervention with adults should be consistent with the child's plan.

4. Protection needs to be long-term and should not cease after separation between the abuser and victim

A tendency to respond to singular incidents of physical violence fails to recognise the pattern of other abusive and controlling behaviours and their wide ranging impact on both adult and child victims. Research shows that families may receive 'start-stop' interventions, which cease when couples are seen to have separated. This results in poor outcomes for families, particularly as domestic abuse can be characterised by repeated separation and reconciliation. Periodic intervention does not address the complex issues involved and fails to recognise domestic abuse as a long-term, chronic problem with a cumulative impact, which can include complex trauma. Separation is a time of increased risk. It can lead to an escalation of violence, stalking and harassing behaviour, and conflict over child contact. Services should work together to monitor and support families over the long term, particularly those with multiple or complex needs.

5. Up-to-date training, information and guidance for agencies and individuals across the partnership will improve the quality of service to all victims, their children and perpetrators

A consistent, holistic approach to domestic abuse through the development of a skilled workforce and robust inter-agency training is essential. Victims of domestic abuse and the cultural change we want to see depend on both specialist services

and generic and universal services being confident and competent in identifying domestic abuse and responding appropriately. A comprehensive training programme is essential and should include both single and multi-agency training at all levels. It should take account of the wide-ranging existing training, which is delivered by both the statutory and voluntary sectors. Organisations should provide opportunities for critical reflection and practice evaluation for workers. Additionally, multi-agency self evaluation can be used to improve and develop practice. This will create coherent, comprehensive and sustained learning, which builds expertise and confidence, and improves practice over time.

Research shows that without adequate awareness, training and support, practitioners are likely to avoid identifying and engaging constructively with those affected by abuse and with perpetrators. Gender based violence and domestic abuse training should bring about a shift in culture and practice so that all agencies have the capacity and commitment to develop interventions, which respond appropriately to the needs of adult and child victims and hold perpetrators to account.

6. Strategies to address domestic abuse should include primary and secondary prevention

Historically, some services have been reactive in nature, often responding to problems once they have become serious enough to have come to the attention of agencies. Although providing services to victims of domestic abuse is essential, tackling the root causes is the only way to eradicate it. Primary prevention seeks to prevent violence before it happens and targets the whole population, but particularly children and young people. It is largely focused on attitudinal and cultural change, including a critical reflection of historic and ongoing gender inequality, as well as the influence of the media. Secondary prevention targets perpetrators of abuse and victims who have experienced it. Both prevention strands need to continue to be included in domestic abuse service provision in Edinburgh.

7. The implementation of a domestic abuse action plan requires effective and accountable governance structures

A multi-agency domestic abuse action plan is being developed, involving all key partners. Clearly defined indicators and targets closely linked to the goals and objectives set out in the Violence Against Women Performance Framework will be used to monitor the progress of the plan's objectives and to evaluate the effectiveness of the plan's activities. In order to do this, partners commit to sharing data within agreed protocols, and evaluating interventions. Regular reports on the implementation and progress of the plan will be provided to the Violence Against Women Partnership and the Edinburgh Chief Officers' Group – Public Protection. Service users will be consulted and involved in any significant changes to policy and provision.

The Violence Against Women Partnership's domestic abuse action plan will be integrated with the strategies and plans of Edinburgh's other public protection committees (adult, child, offender management and drug and alcohol partnership) and reflect the existing policies and practice of the City of Edinburgh Council, NHS

Lothian, Police Scotland and voluntary sector partners. This will promote collaboration across all service areas, particularly between adult, child and public protection.

8. Adequate resources need to be allocated to achieve good outcomes for families affected by domestic abuse

It is important that services are resourced adequately and appropriately. In an economic climate, which requires us to spend less and work more efficiently, partners need to consider how staffing and financial resources can be used more effectively to achieve the improvement to which we aspire. The partners are committed to exploring the best way to target spending and access additional national and local resources to achieve the most positive outcomes.

RESPONSIBILITIES

This policy will be monitored by the Edinburgh Partnership and the Edinburgh Chief Officers' Group – Public Protection. All agencies within the partnership will be supported to adopt this policy as a minimum standard, with acknowledgement and recognition of existing strategic objectives of the associated agencies. This policy should align with partner agencies equality policies to prevent discrimination across the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, and sexual orientation.

LEGISLATIVE CONTEXT

Adult Support and Protection (Scotland) Act 2007

Children (Scotland) Act 1995

Children's Hearing (Scotland) Act 2011

Domestic Abuse (Scotland) Act 2011

Forced Marriage etc. (Protection and Jurisdiction) (Scotland) Act 2011

Protection from Abuse (Scotland) Act 2001

Prohibition of Female Genital Mutilation (Scotland) Act 2005

ASSOCIATED DOCUMENTS

Coordinated Community Response Model

Safer Lives: Changed Lives: A Shared Approach to Tackling Violence Against Women in Scotland (The Scottish Government 2009)

National Guidance for Child Protection in Scotland (The Scottish Government 2010)

A Partnership Approach to Tackling Violence Against Women in Scotland (COSLA / The Scottish Government 2009)

No excuse! Violence against women (partnership strategy 2008-2013; to be reviewed in 2013)

National Domestic Abuse Delivery Plan for Children and Young People (The Scottish Government 2008)

Getting It Right For Every Child agenda

National Strategy for Survivors of Child Sexual Abuse (Scottish Executive, 2005)

A place of greater safety (Co-ordinated action against domestic abuse CAADA 2012)

Beyond Violence: Breaking cycles of domestic abuse (The Centre for Social Justice, 2012)

Literature Review: Better Outcomes for Children and Young People Experiencing Domestic Abuse – Directions for Good Practice (Scottish Government, 2008)

Help for male victims of domestic abuse – Men's Advice Line website

Domestic abuse and gender inequality: An overview of the current debate (Centre for Research on Family and Relationships, 2013)

Stronger Together: Guidance for women's services on the inclusion of transgender women (Tayside VAW Training Consortium / LGBT Youth Scotland 2011)

Out of sight, out of mind? Transgender People's Experiences of Domestic Abuse (LGBT Youth Scotland / Equality Network 2010)

Where do you go? Who do you tell? Consultation on the needs of gay, bisexual and transgender men who experience domestic abuse in Scotland (LGBT Scotland 2012)

BACKGROUND

Domestic abuse is costly, in both financial and human terms. Research has estimated that the cost of domestic abuse to the Scottish public purse is £2.3 billion. The costs are high, principally because opportunities for early intervention and prevention are missed routinely, leading to more expensive interventions later.

The monetary impact of dealing with domestic abuse is less significant than the costs to society. The ripple effects are long-term and far reaching; not just for the individuals and their children, but for the wider community. Domestic abuse features heavily in the lives of children on the Child Protection Register, looked after children, young offenders and in those displaying bullying and disruptive classroom behaviour. Domestic abuse is also a feature in the lives of many people with mental health problems, people who misuse alcohol and drugs and women offenders. It is a factor in many violent crime figures, including murder, and in a substantial number of homeless applications and disputed child contact cases, which tie up family courts.

The number of domestic incidents recorded by Police Scotland has increased steadily over the last four years to around 5300 in Edinburgh. In approximately 45% of these incidents, children were identified as present or resident in the home. These figures are concerning. Witnessing or experiencing domestic abuse represents one of the most serious risks to children in our society. This is reflected in the number of cases added to the Edinburgh Child Protection Register. Between August 2011 and July 2012, domestic abuse was identified as a concern in 40% of all registrations. As well as the risks related to domestic abuse, there is also a significant correlation with other child protection issues. Where domestic abuse is identified, it is related to emotional abuse in just over half the cases; parental alcohol and drug misuse in over a third; neglect and physical abuse in just under a quarter, and sexual abuse in just under a tenth.

Domestic abuse has a devastating impact on the adult victim. Far from being limited to physical assault, the abuse can have a long-term emotional and psychological impact, which can cause knock-on effects to almost every other area of their life. Similarly, the physical, psychological and emotional effects of domestic abuse on children can be severe and long-lasting. Domestic abuse can disrupt a child's environment profoundly, undermining their stability and damaging their physical, mental and emotional health. Domestic abuse during pregnancy also has a long-term and wide-ranging impact on the mother and child.

The response of services to both the victims and perpetrators of domestic abuse is critical. Given its widespread nature, it is likely that it will be uncovered in a range of settings when services are engaging with families in Edinburgh. Whilst it is essential to guarantee that there are specialist services to tackle domestic abuse, we also need to ensure that professionals across all service areas know what to do when they interact with known or suspected perpetrators or victims. It is not enough for mainstream services to rely on referral to specialist resources, and a coordinated, informed response from universal and generic children and adult services is essential.

Edinburgh benefits from highly skilled professionals who are passionate in this field and are already at the forefront of innovation. Further co-ordination across all stakeholders

will avoid responses becoming fractured and therefore less effective. Effective joint working, based on shared principles and priorities support positive outcomes for victims and their children. It is important that perpetrators are not left unaccountable for their actions, free to continue to abuse their current or future partners. The current change in focus from Police Scotland to the increased targeting of perpetrators is welcome and will form an integrated part of this work. By agreeing a shared understanding of the issues, progress can be made towards a consistent and better integrated approach. This document highlights domestic abuse as a priority in all areas of public protection, and sets out the key shared principles of effective intervention.

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