

# Notice of meeting and agenda

## Corporate Policy and Strategy Committee

**10.00am, Tuesday, 25 March 2014**

Dean of Guild Court Room, City Chambers, High Street, Edinburgh

This is a public meeting and members of the public are welcome to attend

### Contact

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Tel: 0131 529 4264

## **1. Order of business**

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

## **2. Declaration of interests**

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

## **3. Deputations**

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- 3.1 If any

## **4. Minutes**

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- 4.1 Minute of the Corporate Policy and Strategy Committee of 25 February 2014 (circulated) – submitted for approval as a correct record.

## **5. Key Decisions forward plan**

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- 5.1 Corporate Policy and Strategy Committee Key Decisions Forward Plan May to August 2014 (circulated)

## **6. Business Bulletin**

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- 6.1 Corporate Policy and Strategy Committee Business Bulletin 25 March 2014 (circulated)

## **7. Executive decisions**

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- 7.1 ICT Acceptable Use Policy – report by the Director of Corporate Governance (circulated)
- 7.2 Contact in the Capital – Community Communication Pilots Update - report by the Director of Corporate Governance (circulated)
- 7.3 Stress Management Policy and Violence at Work Policy - report by the Director of Corporate Governance (circulated)
- 7.4 Local Government Boundary Commission: Fifth Review of the Local Government Electoral Arrangements – Consultation Response – report by the Director of Corporate Governance (to follow)

- 7.5 Scottish Government Consultation – Promoting Responsible Dog Ownership in Scotland: Microchipping and Other Measures – report by the Director of Services for Communities (circulated)
- 7.6 Implementation of a Funding Allocation System – report by the Director of Health and Social Care (circulated)
- 7.7 Riddles Court – report by the Director of Services for Communities (to follow)
- 7.8 Integrated Children's Services – referral from the Education, Children and Families Committee (circulated)

## **8. Routine decisions**

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If any

## **9. Motions**

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If any

### **Carol Campbell**

Head of Legal, Risk and Compliance

## **Committee Members**

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Councillors Burns (Convener), Cardownie (Vice-Convener), Burgess, Chapman, Child, Nick Cook, Edie, Godzik, Ricky Henderson, Hinds, Lewis, Mowat, Rankin, Rose and Ross.

## **Information about the Corporate Policy and Strategy Committee**

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The Corporate Policy and Strategy consists of 15 Councillors and is appointed by the City of Edinburgh Council. The Corporate Policy and Strategy Committee usually meets every four weeks.

The Corporate Policy and Strategy Committee usually meets in the Dean of Guild Court Room in the City Chambers on the High Street in Edinburgh. There is a seated public gallery and the meeting is open to all members of the public.

## Further information

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If you have any questions about the agenda or meeting arrangements, please contact Louise Williamson, Committee Services, City of Edinburgh Council, Business Centre 2.1, Waverley Court, 4 East Market Street, Edinburgh EH8 8BG, Tel 0131 529 4264, e-mail [louise.p.williamson@edinburgh.gov.uk](mailto:louise.p.williamson@edinburgh.gov.uk) .

A copy of the agenda and papers for this meeting will be available for inspection prior to the meeting at the main reception office, City Chambers, High Street, Edinburgh.

The agenda, minutes and public reports for this meeting and all the main Council committees can be viewed online by going to [www.edinburgh.gov.uk/cpol](http://www.edinburgh.gov.uk/cpol).

For remaining items of business likely to be considered in private, see separate agenda.

## Corporate Policy and Strategy Committee

10.00 am, Tuesday, 25 February 2014

### Present

Councillors Burns (Convener), Cardownie (Vice-Convener), Burgess, Chapman, Child, Nick Cook, Edie, Godzik, Hinds, Lewis, Mowat, Rankin, Rose and Ross.

### 1. Minute

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#### Decision

To approve the minute of the Corporate Policy and Strategy Committee of 21 January 2014 as a correct record.

### 2. Corporate Policy and Strategy Committee Key Decisions Forward Plan March to June 2014

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The Corporate Policy and Strategy Committee Key Decisions Forward Plan for March to June 2014 was presented.

#### Decision

To note the Key Decisions Forward Plan for March to June 2014.

(Reference – Key Decisions Forward Plan for March to June 2014, submitted.)

### 3. Corporate Policy and Strategy Committee Business Bulletin 25 February 2014

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The Corporate Policy and Strategy Committee Business Bulletin for 25 February 2014 was presented.

#### Decision

To note the Business Bulletin.

(Reference – Business Bulletin 25 February 2014, submitted.)

### 4. Review of Council Grants to Third Parties 2013-14 – Final Report – referral from the Communities and Neighbourhoods Committee

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The Communities and Neighbourhoods Committee had referred for information, a report which provided the up-to-date position on the review of grants to third parties during 2013/14 and details of a proposed new policy framework with a completion date of April 2016.

## Decision

- 1) To note the report by the Director of Corporate Governance.
- 2) To refer the change in the committee terms of reference to the full Council for approval.

(References – Communities and Neighbourhoods Committee 11 February 2014 (item 1); referral report from the Communities and Neighbourhoods Committee, submitted.)

## Declaration of Interests

Members declared a non-financial interest in the item above because of appointment to or membership of the following organisations:

Councillor Edie	Management Committee of Corstorphine Youth and Community Centre
Councillor Lewis	Edinburgh International Festival Council Edinburgh International Jazz and Blues Festival Edinburgh Leisure Festival City Theatres Trust Royal Lyceum Theatre Company Scottish Chamber Orchestra The Audience Business Traverse Theatre (observer)
Councillor Mowat	Edinburgh International Festival Council
Councillor Rankin	Trustee of Autism Initiatives
Councillor Hinds	North Edinburgh Arts City of Literature

## 5. Council Grants to Third Parties 2014-15 – Proposals for Expenditure

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Details were provided on a package of grant investment to support third sector, cultural and sporting bodies across the city.

### Decision

- 1) To approve the proposals in the report by the Director of Corporate Governance.
- 2) To note the potential change in future grant management arrangements as a result of the review of council grants to third parties (item 4 refers).

(Reference –report by the Director of Corporate Governance, submitted.)

### Declaration of Interests

Members declared a non-financial interest in the item above because of appointment to or membership of the following organisations::

Councillor Edie	Management Committee of Corstorphine Youth and Community Centre
Councillor Lewis	Edinburgh International Festival Council Edinburgh International Jazz and Blues Festival Edinburgh Leisure Festival City Theatres Trust Royal Lyceum Theatre Company Scottish Chamber Orchestra The Audience Business Traverse Theatre (observer)
Councillor Mowat	Edinburgh International Festival Council
Councillor Rankin	Trustee of Autism Initiatives
Councillor Hinds	North Edinburgh Arts City of Literature

## 6. Review of Events Governance

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The Committee had noted the findings of a review of events governance and agreed that a further report be submitted setting out the revised application and approval processes.

Proposals for the revised application and approval process and the establishment of the relevant roles and responsibilities were provided together with an action plan to implement the remaining improvements identified in the review.

### Decision

- 1) To approve the high level co-ordination process as set out in Appendix 3 to the joint report by the Directors of Corporate Governance and Services for Communities.
- 2) To approve the roles and responsibilities as set out in Appendix 4 to the joint report.
- 3) To approve the improvement action plan.
- 4) To note that the action plan would be taken forward by the Events Management Group.
- 5) To note that 6 monthly progress reports would be submitted to Committee.

(References – Corporate Policy and Strategy Committee 5 November 2013 (item 8); joint report by the Directors of Corporate Governance and Services for Communities, submitted)

## 7. Welfare Reform - Update

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An update was provided on the progress being made by the Council and partners to develop arrangements to mitigate, where possible, the negative impact of the UK Government's welfare reforms.

### Decision

- 1) To note the ongoing actions to assess and mitigate the impact of Welfare Reform.
- 2) To note that the next update report would be on 13 May 2014.
- 3) To ask that the next report include details of the total number of tenants in arrears and an update on the work of the Welfare Reform Working Group.

(References – Corporate Policy and Strategy Committee 4 December 2012 (item 4); report by the Director of Corporate Governance, submitted)

## 8. Edinburgh People Survey 2013 Summary Results

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A summary of the top line findings from the 2013 Edinburgh People Survey was presented. Work was ongoing with the consultant involved and the Business Intelligence Service to provide detailed reports to neighbourhoods and individual service areas which would be reported as appropriate to Committees and Neighbourhood Partnerships as they became available.

### Decision

- 1) To note the report by the Director of Corporate Governance.
- 2) To note the Council's commitment to address local issues and priorities.
- 3) To note the planned actions for dissemination of the findings.
- 4) To refer the findings to the Edinburgh Partnership for their information and to other partners as appropriate.

(Reference – report by the Director of Corporate Governance, submitted)

## 9. Revised Disciplinary and Grievance Procedures and Disciplinary Code

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Details were provided on the revised Disciplinary Procedure, Grievance Procedure and Disciplinary Code which had been reviewed as part of the ongoing policy review programme for the Council's employment and regulatory policies.

### Decision

- 1) To note the report by the Director of Corporate Governance.
- 2) To approve the revised Disciplinary Procedure, Grievance Procedure and Disciplinary Code for implementation.

(Reference – report by the Director of Corporate Governance, submitted)



## 10. ICT Acceptable Use Policy

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Details were provided on a proposed new ICT Acceptable Use Policy which clarified the Council's expected standard of behaviour in relation to staff who used ICT at work or at home.

### Decision

To continue consideration of the report to the next meeting for further information on a range of issues, specifically those regarding paragraphs 4.15, 5.7, 7.2, 7.3 and 7.4 of the revised Policy.

(Reference – report by the Director of Corporate Governance, submitted)

## 11. Update of Council Surveillance Policies

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An update was provided on the successful outcome of an inspection by the Office of Surveillance Commissioners (OSC) in June 2013 together with details of minor amendments to existing Council policies relating to the use of surveillance.

### Decision

- 1) To note the successful outcome of the OSC inspection in June 2013.
- 2) To approve the revised surveillance policies as detailed in Appendices 1 and 2 to the report by the Director of Services for Communities. These policies related to the provisions of the Regulation of Investigatory Powers (Scotland) Act 2000.
- 3) To approve the policy on the Acquisition of Communications Data as detailed in Appendix 3 to the report. This policy related to the provisions of the Regulation of Investigatory Powers Act 2000.

(Reference – report by the Director of Services for Communities, submitted)

## 12. Social Justice Fund – Allocations 2014-15

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Details were provided on proposed priorities for the operation of the Council's Social Justice Fund in 2014-15 together with a summary of the activities funded through the Fund in the last complete year of 2012/13.

### Decision

- 1) To note the contributions to social justice in Edinburgh in 2012/13 as set out in Appendix 1 to the report by the Director of Health and Social Care.
- 2) To note that additional allocations from this fund and through the budget motion in 2013/14 to mitigate the effects of welfare reform had been mainstreamed in Council budgets to maintain this effort.
- 3) To approve allocations to specific initiatives listed in Appendix 2 to the report to the value of £351,762.
- 4) To agree to delegate authority to the Director of Health and Social Care to allocate the reserve of approximately 1% of the fund and any amounts released by project slippage during the year to support applications within agreed priorities.

- 5) To approve the carry-over of £5000 unspent funds from 2013/14.  
(Reference – report by the Director of Health and Social Care, submitted)

### **13. Transport and Environment Committee Policy Development and Review Sub-Committee Work Programme**

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The work programme for the Policy Development and Review Sub-Committee of the Transport and Environment Committee was presented.

#### **Decision**

To note the Transport and Environment Committee Policy Development and Review Sub-Committee Work Programme until July 2014.

(Reference – referral report from the Transport and Environment Committee, submitted)

### **14. Conference Invitation – ‘Going Local...Scotland’s Future’ and COSLA and Improvement Service Annual Conference 13-14 March 2014**

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The Committee was invited to nominate delegates to attend the COSLA and Improvement Service Annual Conference to be held in St Andrews on 13-14 March 2014.

#### **Decision**

To agree that no action be taken on the invitation.

(Reference – report by the Director of Corporate Governance, submitted)

### **15. Poverty and Inequality Data in the City – referral from the Communities and Neighbourhoods Committee**

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The Communities and Neighbourhoods Committee had referred for information a report which analysed poverty and inequality data in the city.

#### **Decision**

- 1) To note the report by the Director of Health and Social Care.
- 2) To instruct that the future report include an assessment of earlier poverty initiatives and clarification of the definitions of “low-pay/poverty”.

(Reference – referral report from the Communities and Neighbourhoods Committee, submitted)

## Corporate Policy and Strategy Committee

May to August 2014

Item	Key decisions	Expected date of decision	Wards affected	Director and lead officer	Coalition pledges and Council outcomes
1.	Management of Asbestos	13 May 2014		Director: Alastair Maclean Lead officer: Philip Barr, Head of Organisational Development <a href="mailto:Philip.barr@edinburgh.gov.uk">Philip.barr@edinburgh.gov.uk</a> Dennis Henderson, Senior Health and Safety Adviser <a href="mailto:Dennis.henderson@edinburgh.gov.uk">Dennis.henderson@edinburgh.gov.uk</a>	CO24-26
2.	Update on Legal Loan Sharks report	13 May 2014		Director: Mark Turley Lead officer: Andrew Mitchell, Community Safety Senior Manager <a href="mailto:Andrew.mitchell@edinburgh.gov.uk">Andrew.mitchell@edinburgh.gov.uk</a>	CO 24-26

Item	Key decisions	Expected date of decision	Wards affected	Director and lead officer	Coalition pledges and Council outcomes
3.	Welfare Reform – Further Update	13 May 2014		Director: Alastair Maclean Lead officer: Danny Gallacher, Head of Customer services <a href="mailto:Danny.gallacher@edinburgh.gov.uk">Danny.gallacher@edinburgh.gov.uk</a> Eileen McHale, Team Manager <a href="mailto:Eileen.mchale@edinburgh.gov.uk">Eileen.mchale@edinburgh.gov.uk</a>	CO 24-26
4.	Business Intelligence Strategy	13 May 2014		Director: Alastair Maclean Lead officer; Sarah Mackenzie, Business Intelligence Manager <a href="mailto:Sarah.mackenzie@edinburgh.gov.uk">Sarah.mackenzie@edinburgh.gov.uk</a>	CO 24-26
5.	McCrae's Battalion	13 May 2014		Director: Alastair Maclean Lead Officer: Gary Turner, Policy Officer <a href="mailto:Gary.turner@edinburgh.gov.uk">Gary.turner@edinburgh.gov.uk</a>	CO 24-26
6.	Outcome of Consultation Process on Proposed Closure of Wellington Special School	13 May 2014		Director: Gillian Tee Lead officer: Scott Dunbar, Service Manager <a href="mailto:Scott.dunbar@edinburgh.gov.uk">Scott.dunbar@edinburgh.gov.uk</a>	CO 24-26
7.	Outcome of Consultation on Proposal for a Nursery Class at Wardie Primary School	13 May 2014		Director: Gillian Tee Lead officer: Jane Rough, Acting Senior Education Manager <a href="mailto:Jane.rough@edinburgh.gov.uk">Jane.rough@edinburgh.gov.uk</a>	CO 24-26

Item	Key decisions	Expected date of decision	Wards affected	Director and lead officer	Coalition pledges and Council outcomes
8.	Outcome of Consultation on Proposal for a Nursery Class at Fox Covert Primary School	13 May 2014		Director: Gillian Tee Lead officer: Anne Kiely, Early Years and Childcare Manager <a href="mailto:Anne.kiely@edinburgh.gov.uk">Anne.kiely@edinburgh.gov.uk</a>	CO 24-26
9.	Review of the Operational Effectiveness of the New Council Structure	13 May 2014		Chief Executive	CO 24-26
10.	Sustainable Edinburgh 2020 Annual Report 2013/14	13 May 2014		Director: Alastair Maclean Lead officer; Nick Croft, Equalities Manager <a href="mailto:Nick.croft@edinburgh.gov.uk">Nick.croft@edinburgh.gov.uk</a>	CO 24-26
11.	Complaints Monitoring - Quarterly Report	10 June 2014		Director: Alastair Maclean Lead officer: Jo McStay, Corporate Manager <a href="mailto:Jo.mcstay@edinburgh.gov.uk">Jo.mcstay@edinburgh.gov.uk</a> Davina Fereday, Corporate Manager <a href="mailto:Davina.fereday@edinburgh.gov.uk">Davina.fereday@edinburgh.gov.uk</a>	CO 24-26
12.	City Strategic Investment Fund	10 June 2014		Director: Greg Ward <a href="mailto:Greg.ward@edinburgh.gov.uk">Greg.ward@edinburgh.gov.uk</a>	CO 24-26



Item	Key decisions	Expected date of decision	Wards affected	Director and lead officer	Coalition pledges and Council outcomes
13.	Performance Reports	10 June 2014		Director: Alastair Maclean Lead officer: Gosia Szymczak, Senior Business Intelligence Officer <a href="mailto:Gosia.szymczak@edinburgh.gov.uk">Gosia.szymczak@edinburgh.gov.uk</a>	CO 24-26 CO 24-26
14.	Membership to the Scottish Steering Committee of Nuclear free Local Authorities	10 June 2014		Director: Alastair Maclean Lead officer: Andy Nichol, Head of Members Services <a href="mailto:Andy.nichol@edinburgh.gov.uk">Andy.nichol@edinburgh.gov.uk</a>	
15.	Welfare Reform - Further update	5 August 2014		Director: Alastair Maclean Lead officer: Danny Gallacher, Head of Customer services <a href="mailto:Danny.gallacher@edinburgh.gov.uk">Danny.gallacher@edinburgh.gov.uk</a> Eileen McHale, Team Manager <a href="mailto:Eileen.mchale@edinburgh.gov.uk">Eileen.mchale@edinburgh.gov.uk</a>	CO24-26
16.	Review of Events Governance	5 August 2014		Director: Alastair Maclean Lead officer: Karen Kelly, Head of Corporate Programmes <a href="mailto:Karen.kelly@edinburgh.gov.uk">Karen.kelly@edinburgh.gov.uk</a>	CO24-26

## **Corporate Policy and Strategy Committee**

**10.00am, Tuesday, 25 March 2014**

Dean of Guild Courtroom, City Chambers, High Street, Edinburgh

# Corporate Policy and Strategy Committee

Convener:	Members:	Contact:
<p>Councillor Andrew Burns</p>  <p>Vice Convener:</p> <p>Councillor Steve Cardownie</p> 	<p>Councillors: Burns (Convener), Cardownie (Deputy Convener), Burgess, Chapman, Child, Nick Cook, Edie, Godzik, Ricky Henderson, Hinds, Lewis, Mowat, Rankin, Rose, Ross</p>	<p><a href="#">Kirsty-Louise Campbell</a> Governance Manager Tel: 0131 529 3654</p>

Recent news	Background
<p><b>Employee Survey 2014</b></p> <p>The Employee Survey 2014 will be the sixth wave of surveys identifying and exploring issues that are important to employees and managers, the impact of change on their working lives and their engagement with the aims and objectives of the Council. The survey contributes towards the Council's ongoing strategic approach to managing and developing employees and is an important part of the Council's commitment to engage and consult with them.</p> <p>The survey was refreshed in 2012 to make the results actionable at a local level and to account for the changes within the Council, Investors in People and the findings of national research relating to drivers of employee satisfaction and</p>	



engagement within the public sector. While it is expected that some changes will be required to the survey, it is important that a degree of stability is maintained to allow trend analysis and provide a measure of progress and change.

An independent market research company will be appointed to carry out the fieldwork and main analysis of findings, following competitive tender to ensure best value. Direct management of the fieldwork is both resource intensive and an independent company is felt to deliver more credible results. The use of an independent market research company to conduct the fieldwork for the survey will also respect employees' confidentiality and reassure them of the anonymity of their responses. The costs of the survey will be funded through existing service area budgets.

The key dates for the survey fieldwork are as follows:

- Awareness raising beginning March onwards
- Survey completion commences 28 April 2014
- Results due in July 2014

The survey will be managed by Business Intelligence, supported by leads for each service area, ensuring that the survey is carried out appropriately at a local level. Each service area is engaged in the planning, design and management of the survey to ensure that the survey is accessible and inclusive to all employee groups through appropriate methods and achieves a representative sample within each service area. Trade Unions will be involved and consulted on the survey approach, and asked to share their views and ideas on how best to engage with staff groups.

A detailed communications plan will be developed to ensure that all managers and employees are reminded of the actions taken as a result of the 2012 survey, made aware of the 2014 survey and encouraged to take part this year.

As with previous waves of the survey, the results of the 2014 survey will be widely communicated and acted on at a corporate and local level. The results will be used to monitor and track overall performance and to act as a focus for discussion and a motivator for change.

**Contacts:**

[Davina Fereday, Corporate Manager, Business Intelligence](#)

[Emma McEwan, Senior Business Intelligence Officer, Business Intelligence](#)

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**Forthcoming activities:**

# Corporate Policy and Strategy Committee

10.00am, Tuesday 25 March 2014

## ICT Acceptable Use Policy

Item number	7.1
Report number	
Wards	None

### Links

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Coalition pledges	<a href="#">P27</a>
Council outcomes	<a href="#">CO24, CO26, CO27</a>
Single Outcome Agreement	<a href="#">SO1</a>

### Alastair Maclean

Director of Corporate Governance

Contact: Philip Barr, Head of Organisational Development

E-mail: [philip.barr@edinburgh.gov.uk](mailto:philip.barr@edinburgh.gov.uk) | Tel: 0131 469 3963

# Executive summary

## ICT Acceptable Use Policy

### Summary

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The Council has an existing policy which covers employees' use of information and communication technology (ICT). The Code of Conduct on the use of Electronic Communications is a Local Collective Agreement covering all staff and was agreed on 15 January 2002. The policy was agreed prior to the growth in the use of mobile information technology, such as smart phones, iPads and other hand held devices and social media sites, such as Facebook, Twitter, blogs, LinkedIn, forums and podcasts.

The new ICT Acceptable Use Policy reflects these and other changes and clarifies the Council's expected standards of behaviour in relation to staff who use ICT at work or at home. It will replace the 2002 policy.

The new Policy is part of the regulatory suite of policies and will be incorporated into the Council's induction and mandatory training programme.

### Recommendations

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The Corporate Policy and Strategy Committee are recommended to:

- 1) note the contents of this report; and
- 2) approve the revised ICT Acceptable Use Policy for implementation.

### Measures of success

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- Staff have a better understanding of the standards of behaviour expected of them when using ICT.
- Clarity for managers and staff of acceptable and unacceptable use of ICT resulting in a reduction in incidents of inappropriate use.
- Staff are confident to use ICT to develop and support new ways of delivering services to further the Council's objectives.

### Financial impact

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- No overall adverse financial implications for the Council.

## Equalities impact

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- There are no adverse equality issues arising from this report which will impact on employee groups with protected characteristics as defined by the Equality Act 2010. The equality relevance assessment score is 0.

## Sustainability impact

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- No impact.

## Consultation and engagement

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- Consultation took place with ICT colleagues to make sure the new policy is up-to-date and as future proofed as possible. Advice was sought from independent experts (Gartner) to ensure that we are adopting good practice and are benchmarking against leading specialists.
- A series of consultation meetings was held with the Trade Unions during December 2013 and January 2014. The policy was confirmed as a Local Collective Agreement on 15 January 2014.

## Background reading / external references

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- None.

## ICT Acceptable Use Policy

### 1. Background

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- 1.1 The Council's existing policy on information and communication technology (ICT) is called the Code of Conduct on the Use of Electronic Communications. It was agreed with the Trade Unions in January 2002 and, as a result, does not reflect the growth in the use of mobile technology and social media in the last 12 years.
- 1.2 ICT has developed significantly in the last decade and the Council is embracing the opportunities offered by ICT for delivering services, enhancing engagement and communicating with staff, service users, the media and the general public.
- 1.3 It is essential that our employment policies reflect technological and social developments. The new ICT Acceptable Use Policy meets that requirement.
- 1.4 The Trade Unions have confirmed the ICT Acceptable Use Policy as Local Collective Agreement.
- 1.5 The Policy is part of the regulatory suite of policies and will be incorporated into the Council's induction and mandatory training programme.

### 2. Main report

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- 2.1 Effective use of technology enhances the Council's efficiency and reputation, providing opportunities to communicate internally, with partners and with the public. The use of electronic equipment, technology and information carries certain risks which can affect the Council in terms of legal liability, reputation and business effectiveness. Using mobile ICT technologies such as smart phones and tablets and online services such as social media introduces additional risks and hazards.
- 2.2 To maximise the benefits, manage the risks and protect the Council and its employees, the ICT Acceptable Use Policy outlines the standards of conduct that are required of all staff when using all electronic communications and systems. Appropriate monitoring arrangements will help make sure that these standards of conduct are met.
- 2.3 This policy applies to all City of Edinburgh Council employees whether or not they are provided with or use Council ICT systems. Agency staff working in the Council and other contractors and consultants will also be required to comply with the standards outlined in the policy while they are working for the Council.
- 2.4 The Policy contains a revised definition of 'Council ICT systems' which includes mobile phones, multimedia devices, PCs, laptop computers, tablets, faxes and

any other forms of electronic information/communication equipment. It applies to any personal or electronic information/communication equipment that an employee uses in the course of their employment.

- 2.5 Social networking sites carry particular risks because they are public. Some Council employees will be given access to social networking sites and this will be agreed by managers on the basis of business need. The Policy makes clear that, unless they have permission from the Council's Web and New Media Board, staff must not post (publish) any information as a representative of the Council.
- 2.6 The Policy also covers activity on a personal basis, whether at work or outside work. If an employee of the Council makes an electronic comment on the internet (blogs, social media, twitter etc.) they must comply with the Council's standards of conduct and behaviour. Failure to do so may result in disciplinary action up to and including dismissal and, in some cases, may be a criminal offence.
- 2.7 The Policy sets out clear Standards of Conduct that staff are expected to follow. It also sets out (in Appendix 1 to the Policy) examples of activity or behaviour that is likely to be treated as unacceptable under this Policy. A toolkit has been developed to provide additional guidance for staff and managers.
- 2.8 It is intended to continue with the established practice of developing joint implementation arrangements with the Trade Union Side.

### 3. Recommendations

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- 3.1 The Corporate Policy and Strategy Committee are recommended to:
  - 3.1.1 note the contents of this report; and
  - 3.1.2 approve the revised ICT Acceptable Use Policy for implementation.

## Alastair Maclean

Director of Corporate Governance

### Links

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<b>Coalition pledges</b>	P27 - Seek to work in full partnership with Council staff and their representatives
<b>Council outcomes</b>	CO24 - The Council communicates effectively and internally and externally and has an excellent reputation for customer care CO26 - The Council engages with stakeholders and works in partnership to improve services and deliver on agreed objectives. CO27 - The Council supports, invests in and develops our people

**Single Outcome  
Agreement  
Appendices**

SO1

1. ICT Acceptable Use Policy

## INFORMATION AND COMMUNICATIONS TECHNOLOGY (ICT) ACCEPTABLE USE POLICY

(covering all employees, agency staff, consultants & contractors)

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15 January 2014  
Amended 12 February 2014



## 1. INTRODUCTION

- 1.1 Effective use of technology enhances the Council's efficiency and reputation, providing opportunities to communicate and interact internally, with partners and with the public. The use of electronic equipment, technology and information carries certain risks which can affect the Council in terms of legal liability, reputation and business effectiveness.
- 1.2 To maximise the benefits, manage the risks and protect the Council and its employees, this Policy outlines the standards of conduct that are required of you when using all electronic communications and systems. There are some helpful factsheets on the Orb for guidance on Do's and Don'ts when using Council ICT Systems. [insert link](#)

## 2. SCOPE

- 2.1 This policy applies to all City of Edinburgh Council employees **whether or not you are** provided with or use Council ICT systems.
- 2.2 Agency staff working in the Council, consultants and contractors will be required to comply with the standards outlined in this policy while they are working for the Council. Any issues of concern or where potential misconduct is identified will be dealt with under their respective organisations' employment policies and/or the contract.

## 3. DEFINITIONS

- 3.1 **Electronic equipment and technology** includes all computer and telephone equipment including mobile phones, multi media devices, PC's, laptop computers, tablets, faxes, and any other form of electronic equipment. It also applies to any **personal electronic equipment** or technology that an employee uses in the course of their employment. The Council's electronic equipment and technology will be referred to as "Council ICT systems."
- 3.2 **Electronic communications** include e-mail, text messages, instant messaging, images, fax messages, phone calls and messages, intranet and internet content/messages including social media sites.
- 3.3 **Social Media** includes websites and online tools that allow users to share content, express opinions or interact with each other e.g. Facebook, Twitter, LinkedIn, forums, blogs, podcasts and content communities e.g. YouTube, Flickr, Knowledge Hub.
- 3.4 **Data** includes any electronic or paper information stored or processed on Council networks or equipment including documents, pictures and/or photographs, music and/or video clips.

These definitions are not exhaustive.

#### 4. STANDARDS OF CONDUCT – GENERAL USE OF COUNCIL ICT SYSTEMS

- 4.1 Any information created or held on Council ICT systems will be considered to be owned by the Council. You should not consider any electronic information to be private if it has been created or stored on Council ICT systems. This includes e-mail and internet communications.
- 4.2 You must make sure that you communicate in a way that supports the Council's policies including those on equalities. You should therefore make sure that you **do not** send/ upload/post information on-line which:
- damages the Council's reputation or undermines public confidence in the Council;
  - supports Political activity (other than any required in your role);
  - includes any libellous or defamatory material about any individual, firm, body or organisation; or
  - harasses, bullies or stalks another person.
- 4.3 You should not use personal electronic equipment and technology for work unless you have permission from your manager. If permission has been given the standards of conduct in this policy will apply to your personal equipment when you are using it for work purposes.
- 4.4 If you make an electronic comment on the internet (blogs, social media, twitter etc.) on a personal basis you must be aware that, as an employee of the Council you are expected to comply with the standards of conduct and behaviour in this policy, the Employee Code of Conduct and the Disciplinary Code. [insert links](#)
- 4.5 You must not claim to represent the views of the Council unless you have permission to do so as part of your job. Similarly, you must not try and pass off your own comments or views as being from someone else by, for example, falsifying your email address or using someone else's.
- 4.6 You must not use social media, the internet, intranet, media, or social media sites to make complaints about your employment. If you want to make a complaint about any aspect of your employment with the Council you must use the appropriate employment procedure (e.g. Grievance, Fair Treatment at Work, Public Interest Disclosure/Whistleblowing).[insert links](#)
- 4.7 Data which involves images of people is covered by strict rules which prevent the use of sensitive data on children and vulnerable adults. You should therefore check any available guidance relating to your job and work area before using this type of data.
- 4.8 You must make sure that any data stored and/or processed using Council ICT systems complies with the laws on data protection and copyright, is shared only with the intended recipient(s) and only when permission has been given or the information is already widely in the public domain.

- 4.9 You must not email, upload or post confidential or sensitive data relating to individuals, partner organisations or any aspect of the Council's business on the internet or the Orb, or remove it from Council property without permission from your manager.
- 4.10 You must maintain security of information by, for example, logging off. Accidental disclosure of personal information can occur if unattended computers are left logged on to systems or a computer printout is not shredded prior to disposal. You should not leave any mobile equipment unattended unless it is absolutely necessary and if you do so you must ensure that it is secure and protected from risk of theft or use by others.
- 4.11 You must keep your password(s) confidential (don't share them with anyone else) and comply with password security arrangements.
- 4.12 You should not try to use or access any part of the Council's ICT systems, data or networks which you do not have permission to access or deliberately do anything which would disrupt or damage them in any way.
- 4.13 You must not process or store Council information on non-Council equipment unless you have permission from your manager or you are using an ICT service which has been approved by the ICT Solutions Team.
- 4.14 You must not download or install any software, hardware or other devices to Council ICT systems or equipment unless you have permission from your manager. This includes 'free' software, screensavers and games.
- 4.15 It is a criminal offence to use a mobile device whilst driving and a conviction will attract a fixed penalty and a license endorsement. If, in connection with your employment, you are caught driving while using a mobile phone or device you may be subject to disciplinary action and will be responsible for the payment of any fines/penalties imposed on you.

## **5. STANDARDS OF CONDUCT - PERSONAL USE OF COUNCIL ICT SYSTEMS**

- 5.1 Personal use of Council ICT systems will be permitted on a limited basis, subject to the standards of conduct outlined in this policy. The Council reserves the right to restrict personal use of its ICT systems.
- 5.2 Personal use of Council e-mail and telephones: It is accepted that you may occasionally need to use Council systems to make an important personal call or to send an important personal email during working time but these should be kept to a minimum. Personal calls/emails/texts must, wherever possible, be conducted in your own time. (This also applies to personal calls/emails/texts using your own personal equipment during working time).
- 5.3 Personal calls/text messages on Council-owned telephones: The Council can charge you for the cost of these. The Council reserves the right to charge for personal use of any other ICT systems provided for business use.
- 5.4 Personal use of the internet: This is permitted in your own time i.e. outside normal working hours or any additional working hours approved by your line

manager. If you clock in and out under the Council's 'flexitime scheme' (Scheme of Flexible Working Hours) you must be 'clocked out' of the system before using the internet for personal purposes. If you require to use the internet for personal purposes during working time you must get consent from your manager.

- 5.5 Personal use of social media sites: The Council will determine which social media sites may be accessed by staff for personal use. Some sites may not be accessed on ICT systems and these will appear as 'blocked' on your screen.
- 5.6 Any personal use of Council ICT systems must not expose the Council's security, systems or data to risk. You must not:
- circulate non-business e-mails;
  - allow non-Council employees (including family members) to use Council equipment; or
  - attach any personal equipment to Council ICT systems without the approval of the ICT Solutions Team.
- 5.7 You must not knowingly access or try to access inappropriate internet sites, materials or downloads. Pornographic, illegal or other sites which would breach the Council's Employee Code of Conduct, Disciplinary Code or equality standards, must not be accessed from Council ICT Systems or from personal equipment when it is used for work purposes or in work time.

## **6. STANDARDS OF CONDUCT - USE OF SOCIAL MEDIA**

- 6.1 Your manager will decide if you need access to social media sites to carry out your duties at work and you will be given access to them. In order to access them you will have a personal social media account. When you are using social media you must behave in accordance with the standards set out in this policy.
- 6.2 When using social media sites you must not publish or post any information that you have received or have access to as a result of your employment unless you have been permission to as this is confidential to your work.
- 6.3 You must not use social media sites in any way that may undermine public confidence in the Council, bring the Council into disrepute, or would be discriminatory or defamatory e.g. publish or post any information including comments, jokes, illegal or prohibited images or other materials which would put the Council at risk of legal action being taken against it.
- 6.4 You should avoid informal personal contact with pupils or service users you work with directly, or their carers, through social media sites (e.g. do not add them as a 'friend', 'follow' them or link with them), or using your own personal electronic equipment (e.g. email, text, calls).
- 6.5 You must not use social media to harass, bully, stalk or behave in any other way that could damage your working relationships with your colleagues, members of the public or elected members.

## **7. MONITORING**

- 7.1 The Council will record the use of its systems to measure system security, performance, whether employees are meeting the standards of conduct in this policy and for the prevention and detection of crime.
- 7.2 The Council will log all internet and e-mail activity, and reserves the right to access, retrieve and delete:
- all e-mail including in draft form, sent or received;
  - all private and shared directories;
  - all use of intra/internet and other communication techniques using the Council's ICT systems e.g. Twitter, blogs etc; and
  - all software and computer equipment.
- 7.3 Use of the Council's telephone, fax systems and mobile telephones will also be logged and may be recorded.
- 7.4 The Regulation of Investigatory Powers Act 2000 sets out the circumstances when it is legal for an organisation to monitor or record communications when they enter, or are being sent within, the organisation's ICT systems. These are where:
- the employer reasonably believes that the sender and person intended to receive it have consented to the interception; and/or
  - the employer may monitor without consent in certain circumstances, for example, to prevent crime, protect their business or to comply with financial regulations.

The Act applies to public and private communication networks. It gives the person who sends or receives a communication the right to claim damages against the organisation for the unlawful interception of communications.

- 7.5 The Council does not routinely monitor or access user activity logs. Where access to these logs is required it must be as part of a formal disciplinary or monitoring process. Access will be co-ordinated through the ICT Security Team who will handle all requests in confidence.

## **8. FAILURE TO FOLLOW THE STANDARDS OF CONDUCT**

- 8.1 If you fail to follow the standards of conduct set out in this policy (see sections 4, 5 and 6), use of the Council's ICT systems may be withdrawn from you and/or disciplinary action taken against you, up to and including dismissal. Appendix 1 gives some examples of activity and behaviour which may be considered unacceptable.

## **9. LOCAL COLLECTIVE AGREEMENT**

- 9.1 This policy is a local collective agreement between the Council and the recognised trade unions. Every effort will be made by both parties to make sure that this policy is reviewed regularly and amended by agreement, if required to meet future needs. In the event of a failure to reach agreement both parties

reserve the right to end this local agreement by giving four months notice in writing. In such circumstances the terms of the local agreement will no longer apply to existing and future employees.

## **10. REVIEW OF ICT ACCEPTABLE USE POLICY**

10.1 This Policy will be added to the Council's policy register and will be reviewed after 6 months and thereafter annually.

### UNACCEPTABLE USE OF COUNCIL ICT SYSTEMS

1. This Appendix gives some examples of activity and behaviour which may be considered to be unacceptable use of Council ICT systems. The behaviours and activities described below may affect whether you can continue in your job and may also result in disciplinary action being taken against you which can include dismissal from your post.
2. In certain circumstances failure to follow the standards of conduct may also be unlawful, and your activities may be reported to the police and may result in criminal proceedings against you.
3. Certain jobs are also governed by external registration requirements and professional standards of conduct. The Council is required to notify certain external registration bodies of any misconduct by and/or disciplinary action taken against staff.

### Examples of Unacceptable Activity and Behaviour

#### Personal Behaviour

- ✗ Using working time to send personal e-mails, telephone calls or text messages over and above the limited use described in paragraph 5.2 of the policy.
- ✗ Accessing the internet for personal use during working time.
- ✗ Circulating non-business e-mails.
- ✗ Allowing people not employed by the Council (including family members) to use Council equipment.
- ✗ Harassing, bullying or stalking another person online.
- ✗ Sending any material that is discriminatory or damaging to others such as jokes, comments, pictures or other material.
- ✗ Knowingly accessing or trying to access inappropriate internet sites, materials or downloads such as pornographic, illegal or other sites. This applies to Council ICT Systems and to your own personal electronic equipment and technology when it is used for work purposes or in working time.
- ✗ Sending, uploading, posting or publishing online any information or comment about an individual, company or organisation which is defamatory or libellous.
- ✗ Connecting or linking with service users, their carers or pupils that you work with on social media sites (such as Facebook, LinkedIn etc.).
- ✗ Using a mobile device while driving.

#### Security

- ✗ Sharing your password(s) or failing to comply with other security arrangements.
- ✗ Attaching any personal equipment to Council ICT systems without the approval of the ICT Solutions Team.

- ✘ Using your own electronic and technological equipment for work without permission.
- ✘ Accessing personal web mail accounts, such as those on yahoo, MSN, blueyonder, gmail or hotmail, on Council ICT Systems. (These sites are not protected by the Council's security systems and accessing them will put the Council's ICT systems at risk of virus attacks).
- ✘ Downloading or installing software, hardware etc onto ICT systems without permission.
- ✘ Trying to access a part of the Council's ICT systems which you do not have permission to access or deliberately trying to damage or disrupt them.

### **Public Activity**

- ✘ Making public information that you have received or have access to as part of your employment – this is confidential to the Council.
- ✘ Giving information to the media if you are not authorised to do so by your manager.
- ✘ Posting (publishing) any information on the internet or social media sites as a representative of the Council unless you have permission from the Council Web and New Media Board.
- ✘ Claiming that you represent the views of the Council without permission from your manager.
- ✘ Making public any information which may undermine confidence in the Council or damage the Council's reputation.
- ✘ Carrying out internet based searches on applicants or candidates for jobs in the Council, unless you are asked to by the candidate.
- ✘ Making a complaint about your employment publicly through the internet, intranet, media, or social media sites.

This list is not exhaustive.



### ROLES AND RESPONSIBILITIES

The Council may be held legally liable for any statements made or contractual arrangements entered into by its employees through electronic means. It also has a responsibility to make sure the information we hold on clients, citizens and employees is held confidentially and securely. Therefore:-

#### 1. All employees will be responsible for:

- making sure you have read and understood the ICT Acceptable Use Policy;
- meeting the standards of conduct set out in this Policy (see sections 4, 5 and 6) and any associated guidance which will be published on the intranet;
- undertaking any training as directed by your manager to make sure you understand how to use ICT systems correctly, including communication and use of language; and
- making sure that any Council ICT equipment that you take outside the work place including but not limited to laptops, mobile phones, iPads, are kept securely so that they cannot be used by others and are kept out of sight if unattended;
- reporting to your line manager any content, comment or information relating to the Council which you know or think could be illegal, defamatory, discriminatory or supports corruption or bribery;
- reporting to your line manager faulty equipment and the loss or theft of any equipment;
- reporting to your line manager actual or potential breaches of the Council's ICT security and/or loss of confidential data; and
- returning any Council ICT equipment to your manager when you leave the Council.

#### 2. All managers will also be responsible for:

- making sure that your staff, including new recruits to the Council, are inducted in, aware of and understand the Policy and associated guidance and the consequences of any breach of the Policy;
- deciding which employees will have access to the Council's electronic equipment, data and information technology, to assist them in carrying out their duties and responsibilities, and to keep this under review;
- making sure that employees using ICT to carry out their duties have appropriate training in the use of the Council's ICT systems. This includes appropriate training on Data Protection and Information;

- taking action at the earliest signs of a breach of the Policy and /or Data Protection regulations;
- taking action when any breach or potential breach of security or confidentiality or loss or damage to ICT equipment is reported to you;
- authorising employees' use of personal electronic equipment and technology for work purposes when it is required to carry out their duties effectively;
- authorising employees' remote access to Councils networks and communications (e.g. e-mail/webmail) to allow occasional working from home;
- making sure that all personal information is processed in accordance with data protection legislation. [\[Insert link to data protection guidance on Orb\]](#)
- supporting the monitoring arrangements (see section 9) on the use of the Council's ICT systems; and
- making sure that employees are removed from the Council's ICT systems and any Council equipment is returned to the ICT solutions team when employees leave the Council.

**3. The ICT Solutions Team is responsible for:**

- defining the Council's ICT Strategy, approving ICT systems, equipment, networks and websites and making them available to staff to use during the course of their employment;
- approving any other systems which are not maintained by ICT Solutions, for use by staff (including e-mail systems), equipment (including personal phones or computers), networks or websites; and
- setting up, maintaining and managing a security configuration (set up) for Council ICT equipment.

# Corporate Policy and Strategy Committee

10.00am, Tuesday 25 March 2014

## Contact in the Capital – Community Communication Pilots Update

Item number	7.2
Report number	
Wards	All

### Links

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Coalition pledges

Council outcomes

Single Outcome Agreement

**Alastair Maclean**

Director of Corporate Governance

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# Executive summary

## Contact in the Capital – Community Communication Pilots Update

### Summary

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This report has been developed in response to the motion to Corporate Policy and Strategy Committee on 5 November 2013 to report in more detail on how the Contact in the Capital project will be managed and evaluated.

### Recommendations

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1. To note that appropriate diligence has been undertaken with one of the proposed third party partners and will be undertaken with any other partners as the project develops and they are identified.
2. To note the project management plan which outlines the management approach to be followed across all the pilots, as outlined in Appendix 1.
3. Note that the two pilots will start in April 2014 according to the approach outlined in Appendix 1.
4. To note that the proposed pilot scheme within the Gorgie/Dalry area will be put on hold at this time and following further consideration, an update report will be presented to committee at a later date.

### Measures of success

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Evaluation will include the extent to which the project has:

- established sustainable community based communications initiatives;
- developed training opportunities for young people;
- developed a sustainable model that can be replicated for use in other areas and communities; and
- achieved the detailed performance metrics outlined in Appendix 1.

### Financial impact

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The £37.5k cost of the two pilot projects will be cross charged in 2014/15.

### Equalities impact

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Accessibility issues will be considered throughout the project with particular regard to those difficult to reach groups.

## **Sustainability impact**

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The continuing drive to reduce printed material has a positive environmental impact.

## **Consultation and engagement**

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- Councillors' survey (2013)
- Cross service working group
- Workshop (members and officers – 2013)
- Edinburgh People's Survey 2012

## **Background reading / external references**

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- The Edinburgh People's Survey 2012
- Survey of Councillors 2013
- Mosaic Profiling Classification System
- Local Government Reputation: LGA
- NESTA UK Hyperlocal media today

# Corporate Policy and Strategy Committee

## Contact in the Capital – Community Communication Pilots Update Report

### 1. Background

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- 1.1 On 5 November 2013 the Corporate Policy and Strategy Committee approved the Community Communication Pilot project report and a motion that required an update report 'outlining interim financial plans including performance metrics to be developed in consultation with relevant local ward members'.
- 1.2 The report described options for improving the ways in which the Council communicates with residents with a renewed emphasis on two way communications and community driven initiatives. This will involve a transition from traditional print based media to a more sustainable mixed media model for the future, with an increasing emphasis on new technology to achieve this.
- 1.3 With the Capital Coalition's commitment to a renewed focus on dialogue with communities and decision making which better reflects public opinion, Edinburgh has an opportunity to spearhead innovative communications ideas while maximising the channels already operating within communities.
- 1.4 As previously outlined in the report to Council in November 2012, this will require:-
  - a range of communication ideas and tools;
  - refocusing of resources from straight forward provision of information to enhancing and enabling two way communication at a more local level;
  - strengthening of relationships and opportunities within communities; and
  - ongoing flexibility to diversify and embrace new ideas and methods.
- 1.5 This report (Appendix 1) describes the project objectives, commitments, roles and responsibilities, and an overview of the implementation strategy and key deliverables.

### 2. Main report

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- 2.1 The project will initiate pilot work streams to deliver an operational community based communication platform and training/mentoring initiative for local people, adapted and suitable for each identified project area, to be led by the relevant

Neighbourhood Partnerships, with involvement and oversight of the Council's Communications Service.

- 2.2 Further development is required to clarify community capacity and timing issues in the proposed Gorgie/Dalry initiative. Therefore it is recommended that this pilot will be put on hold pending further investigation and an update report will come to committee at a later date.
- 2.3 The project has an allocation of £37.5k to support the two pilots and this will be managed through the usual neighbourhood processes and oversight
- 2.4 The project is to be delivered within 12 months: April 2014 to March 2015.

### 3. Recommendations

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- 3.1 The report recommends:
  - 3.1.1 that Committee notes that appropriate diligence has been undertaken with a proposed third party partner and will be undertaken with other partners as the project develops and they are identified;
  - 3.1.2 that Committee notes the project management plan which outlines the management approach to be followed across the two pilots, as outlined in Appendix 1;
  - 3.1.3 that Committee notes that two pilots will start in April 2014 according to the approach outlined in Appendix 1; and
  - 3.1.4 that committee notes that the proposed pilot scheme within the Gorgie/Dalry area will be put on hold at this time and following further consideration, an update report will be presented to committee at a later date.

## Alastair Maclean

Director of Corporate Governance

### Links

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<b>Coalition pledges</b>	P33 - Strengthen Neighbourhood Partnerships and further involve local people in decisions on how Council resources are used P35 - Continue to develop the diversity of services provided by our libraries
<b>Council outcomes</b>	CO23 - Well engaged and well informed – Communities and individuals are empowered and supported to improve local outcomes and foster a sense of community  CO24 - The Council communicate effectively internally and externally and has an excellent reputation for customer care
<b>Single Outcome Agreement</b>	





## **Appendix 1**

### **Summary Project Document**

#### **Communications Service: Community Communication Pilot Projects**

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## 1 Introduction

- 1.1. On 5 November 2013 the Corporate Policy and Strategy Committee approved the Community Communication Pilot project report and a motion that required an update report 'outlining interim financial plans including performance metrics to be developed'.
- 1.2. This document describes the project scope and objectives, commitments, roles and responsibilities, and an overview of the implementation strategy and key deliverables.

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## 2 Project developments and scope

- 2.1. The project will initiate two pilot work streams to deliver an operational community based communication tool/platform, adapted and suitable for each identified project area. The project will aim to ensure that the local news platform is run locally by community partner(s) on a financially sustainable basis.

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## 3 Project Constraints and Assumptions

- 3.1. The project is to be delivered within 12 months: April 2014 to March 2015. The timescale is based on the assumption there is already a local group with interest in the development of a two way, hyperlocal communications tool.
- 3.2. The project has an allocation of £37.5k available to support the work streams
- 3.3. The finance will be dispersed by the Neighbourhood Manager and with the scrutiny of the Neighbourhood Partnership once goods and services have been received. Ongoing discussions are taking place on the detailed allocation of funds within each area workstream based on the number of trainees, equipment required, events costs, consultancy and new technology fees.

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## 4 Project Objectives

The objectives of the Community Communication Pilot project are to improve two way communications between the Council and local communities

- To establish sustainable community based communications initiatives
- To develop training opportunities for young people
- To develop a financial sustainable model that can be replicated for use in other areas and communities

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## 5 Project Plan - Major Phases, Milestones and Timescales

Phase	Phase Date end	Milestone/Critical Success Factors
Phase 1 – Start up/ Initiation	December 2013 - February 2014	Define projects and due diligence Report to Committee Establish Project Board
Phase 2 – Management & Control	March 2014- March 2015	Establish work stream teams Produce 1 page business plans Agree investment/authority to proceed Develop platform Train journalists Reviewing and reporting progress Complete and evaluate work streams (benefit review) Develop model for roll out
Phase 3 - Closure	April 2015	Report to Committee

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### Local Project Work Streams

Each work stream will be led by a Team Leader who will report progress to the Project Manager. The Team Leader will work in partnership with appropriate community representatives to shape the project and identify

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training needs, software, equipment and consultancy / support needs. The Team Leader will report progress to the Project Manager and to the Neighbourhood Partnership through the Neighbourhood Manager and ensure they have oversight of Project developments and expenditure.

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## **6 Funding**

- 6.1. The two pilots have approved funding of £37.5k. This will be funded by a cross service charge to services based on the historic cross charge for Outlook (former Council newspaper) as stated in the Contact in the Capital report of November 2013.
- 6.2. Work streams are required to prepare a 1 page business case to seek approval for financial spend. Formal approval will come from individual Neighbourhood Managers/Partnerships. The notional split of funds assumes £25k will be required for the North Edinburgh Neighbourhood Workstream because of the scale of the project covering 7 Community Council areas and £12.5k for the Craigmillar project which covers 1 Community Council area.

## 7 Benefits / Performance Metrics/ KPI's

Benefit		Performance			Timescale	Explanation/Improvement Action
Category	Description	Baseline	Current	Target	Expected date of realization	
Non-financial	Enhanced skills for young people and community representatives – number of people benefitting	0		24	March 2015	Understanding and ability to use digital platforms and social media for professional purposes. develop potential of accredited training in year two in collaboration with Edinburgh College or other academic institution.
Non-financial	Community capacity building – number of people capable of local digital reporting	0		40	March 2015	Involve 40 local people in aspects of digital reporting
Non-financial	Increased access to information – range of channels available/ satisfaction with improvement			20% increase on baseline	March 2015	Local survey to be carried out as first step to establish base line
Non-financial	Increased feedback opportunities – number/type of feedback available/ satisfaction with feedback opportunities			20% increase on baseline	March 2015	Local survey to be carried out as first step to establish base line
Non-financial	Enhanced consultation opportunities – Client / customer satisfaction			20% increase on baseline	March 2015	Local survey to be carried out as first step to establish base line
Non-financial	Numbers of local people/ young people signed up for training as citizen journalists	0		18	March 2015	Based on interest gauged to date
Non-financial	Number of local people/ young people completing training	0		13	March 2015	70% completion
Non-financial	New recruits / trainees for project governance	0		7	March 2015	Recruit local people with interest in project management and train/mentor to sustain project in the medium term
Non-financial	Open door events	0		3	March 2015	Create open door events for the community to learn about and get involved in digital publishing/editorial training or project management
Non-financial	Number of stories identified	0		3 per week	March 2015	
Non-financial	Frequency of text published	0		1 per week	March 2015	
Non-financial	Number of pictures taken and published	0		2 per week	March 2015	

Non-financial	Number of social media transactions (tweets, followers/likes etc)	0		12 per month	March 2015	
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# Corporate Policy and Strategy Committee

10.00am, Tuesday 25 March 2014

## Stress Management Policy and Violence at Work Policy

Item number 7.3  
Report number  
Wards

### Links

Coalition pledges [P27](#)  
Council outcomes [CO24; CO26; CO27](#)  
Single Outcome Agreement

### Alastair D Maclean

Director of Corporate Governance

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# Executive Summary

## Stress Management Policy and Violence at Work Policy

The new Stress Management Policy adopts a pro-active approach to the management of work related stress. It forms part of our approach to the Health and Safety of our staff and is an essential element of the wellbeing at work initiatives that encourage positive action on smoking, alcohol and drugs, nutrition, physical activity and managing stress.

The new Violence at Work Policy confirms the council's zero tolerance approach to violence at work and provides a structured approach for dealing with violent incidents occurring within the workplace.

Comprehensive Toolkits with practical guidance for managers and employees have also been developed in conjunction with the Trade Unions.

The policies apply to all Council employees.

Both policies have been confirmed as Local Collective Agreements. The EIS have recommended the Stress Management Policy and the Toolkit to the Labour Research Department (LRD) as an exemplar of best practice. LRD have requested permission to publish these documents.

### Recommendations

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The Corporate Policy and Strategy Committee are recommended to:-

1. note the contents of this report;
2. approve and implement both policies; and
3. agree to the publication of the Stress Management Policy and accompanying toolkit in the Labour Research Department's Stress and Mental Health at Work booklet.

### Measures of success

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The success of the Stress Management Policy and the Violence at Work Policy will be measured by:

- a decrease in absences due to work related stress;
- an increase in risk assessments in all workplaces;
- increased awareness of the duty of care towards our staff;

- improved workplace morale;
- increased productivity; and
- protection from reputational damage and the financial costs of prosecution or litigation.

## Financial impact

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None.

## Equalities impact

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Both new policies support the principles of:

- eliminating unlawful discrimination, harassment and victimisation;
- advancing equality of opportunity; and
- fostering good relations.

The revised procedures provide mechanisms for managers and employees to openly communicate and identify areas for improvement and agree and arrange support as required.

A record of the Equality and Rights Impact Assessment for each policy will be published on the Council's website in due course. They revealed no adverse impact on employees with protected characteristics.

## Sustainability impact

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None.

## Consultation and engagement

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Consultation has included:

- a stress working group with representatives from the staff side;
- discussion at the Partnership at Work Forum;
- discussions at both the corporate and council health and safety committees which include service area health & safety champions and elected members;
- feedback from colleagues in Organisational Development to benefit from their knowledge and experience in supporting managers deal with stress at work and violence to employees; and
- discussions with the Employment Law Team to confirm legal compliance.

## Background reading / external references

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- Line management behaviour and stress at work – Chartered Institute of Personnel and Development (CIPD), Health and Safety Executive (HSE) and Investors in People (IiP);
- Managing the causes of work-related stress – HSE;



- Violence and Aggression to staff in public services – HSE;
- ACAS Stress at Work Good Practice Guide;
- Preventing Workplace Violence – HSE;
- Bullying and Harassment at Work – HSE;
- Stress at Work – National Institute for Occupational Safety and Health, USA;
- Workplace Violence – The Department of Labour USA; and
- A Guide for Employers and Employees on Dealing with Violence at Work – Occupational Health Service & The Department of Labour New Zealand

## Stress Management Policy and Violence at Work Policy

### 1. Background

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- 1.1 The current Corporate Policy for the Management of Work Related Stress was approved by Committee in October 2010. The Violence to Employees at Work Policy was approved by Committee in September 2003. Both policies apply to all employees, including Chief Officers and Teaching Staff and are Local Collective Agreements.
- 1.2 The new policies provide an updated, streamlined and proactive approach to assist managers with stress related issues and violence at work. There is a clear focus on reducing risk and providing appropriate support.
- 1.3 The Stress Management Policy and the Violence at Work Policy have been reviewed as part of the ongoing policy review programme for the City of Edinburgh Councils (CEC) employment and regulatory policies.
- 1.4 The new policies have been developed in response to our on-going commitment to achieve Gold Healthy Working Lives; to maintain our Investors in People Gold award and to demonstrate our commitment to maintaining a healthy and engaged workforce.
- 1.5 Both policies have been confirmed as Local Collective Agreements. The EIS have recommended the Stress Management Policy and the Toolkit to the Labour Research Department (LRD) as an exemplar of best practice. LRD have requested permission to publish these documents in their Stress and Mental Health at Work booklet which will be published in April 2014.

### 2. Main report

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- 2.1 The Council has a statutory obligation to identify and manage stress as part of their duty of care to our employees.
- 2.2 The Health and Safety Executive (HSE) have developed Stress Management Standards to assist employers to identify stressors and take steps to prevent injury to health by removing work related stress as a workplace hazard.
- 2.3 The new Stress Management Policy adheres to the Management Standards Approach identified by the HSE.
- 2.4 The policy also ensures that the Council complies with its statutory duties and the common law duty of care to prevent psychological harm caused by work related stress.
- 2.5 The new Violence at Work Policy supports the Council's zero tolerance approach to violence at work and provides a structured approach for dealing with violent incidents occurring within the workplace.

- 2.6 The toolkits for both policies provide detailed guidance for managers and examples of best practice as well as:
- template documents;
  - guidance for employees; and
  - examples of risk assessments etc.
- 2.7 The Stress Management Toolkit is complete and has been agreed with the trade unions. The Violence at Work Toolkit is being completed by the stress working group for the roll out of both new policies on 31 March 2014 if approved.
- 2.8 The associated benefits to the Council as a result of implementing the new policies are:
- reduced cost of absence, including sick pay, sickness cover, overtime and recruitment;
  - improved workplace morale, better working relationships and increased employee satisfaction;
  - increased productivity, through employees being healthier, happier and better motivated;
  - protection from reputational damage and financial costs of prosecution or litigation; and
  - improved cooperation between management and trade union safety representatives.
- 2.9 A joint implementation plan is in development with the staff side. This will include manager and staff briefing sessions, TU briefing sessions, e-learning and mandatory training requirements.
- 2.10 The new policies will also be incorporated into the mandatory induction programme for new managers and employees.

### 3. Recommendations

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- 3.1 The Corporate Policy and Strategy Committee are recommended to:-
- 3.1.1 note the contents of this report;
  - 3.1.2 approve and implement both policies; and
  - 3.1.3 agree to the publication of the Stress Management Policy and accompanying toolkit in the Labour Research Department's Stress and Mental Health at Work booklet.

#### **Alastair D Maclean**

Director of Corporate Governance

#### **Links**

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**Coalition pledges** P27 - Seek to work in full partnership with Council staff and their representatives

**Council outcomes** CO24 - The Council communicates effectively and internally and externally and has an excellent reputation for customer care  
CO26 - The Council engages with stakeholders and works in partnership to improve services and deliver on agreed objectives.  
CO27 - The Council supports, invests in and develops our people

**Single Outcome Agreement**

**Appendices**

Appendix 1 Stress Management Policy

Appendix 2 Violence at Work Policy

## STRESS MANAGEMENT POLICY

(Covering all employees)

### CONTENTS

#### Section

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2. Scope
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4. Policy Aims
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6. Roles and Responsibilities
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11. Review

**Appendix 1 – Working Together - Everyone’s Responsibilities**

**Appendix 2 – Legal Framework**

## Introduction

- 1.1 The Council recognises that work related stress is a Health and Safety issue and that risks to mental wellbeing can be reduced by the implementation of good management practice. This Policy forms part of our pro-active approach to the Health and Safety of our staff as well as being an essential element of the wellbeing initiatives at work that encourage positive action on smoking, alcohol and drugs, nutrition, physical activity and stress.
- 1.2 The Council has a legal responsibility to take reasonable care of employees' health, safety and wellbeing whilst they are at work. We recognise the importance of protecting our employees' mental wellbeing as well as their physical health. The Council is committed to identifying the causes of work related stress and implementing strategies to address and alleviate work related stress.
- 1.3 The Council will support the implementation of this policy by giving managers and employees the necessary procedures, information and support they need to:
  - recognise and understand the causes and nature of stress; and
  - take positive action to manage work related stress effectively.

## 2. Scope

- 2.1 The Stress Management Policy applies to all employees including teaching staff, chief officers and the chief executive.
- 2.2 Every employee is expected to treat their colleagues with dignity and respect and protect their own and others' health and safety.
- 2.3 This policy is primarily concerned with stress arising from the work environment. However, issues outside work can also affect employees' wellbeing. Often home and work lives are so interwoven that it may not be possible to identify any single cause of stress. We will provide assistance to employees who are experiencing stress whatever the cause in line with our other supportive policies and wellbeing initiatives ([add link to other policies and procedures](#)).

## 3. Definition

- 3.1 Stress is a difficult and complex subject. There are many definitions and causes of stress. Individuals and organisations react to stress in different ways. The Health and Safety Executive (HSE) defines stress as *"the adverse reaction people have to excessive pressure or other types of demands placed on them."*
- 3.2 Stress is a state, not an illness, and where stress lasts for only a short period of time there is usually no lasting effect. However, if the stress is sustained over a long period of time it can have a harmful impact on physical and mental health, work performance and morale.
- 3.3 Pressures or demands such as excessive workload, long hours, not having the required skills to undertake tasks, lack of support, strained relationships or unreasonable targets are all

health hazards. Every job brings its own demands and pressures; these are an unavoidable part of working life. Some pressure can be positive and can keep staff motivated and provide a sense of achievement. However, people's ability to deal with stress is not limitless and stress occurs when people become emotionally or physically distressed or the demands exceed the personal and social resources that the employee can access.

#### **4. Aims**

4.1 This Policy sets out the objectives and responsibilities for the management of work related stress. It recognises that there can be sources of stress in the workplace and aims to reduce workplace stress by considering the HSE Management Standards for Tackling Work Related Stress. ([link to toolkit](#))

4.2 The Council aims to reduce levels of stress by:

- assessing the risk of workplace stress;
- controlling the risk at source using reasonably practicable means;
- monitoring workplace stress indicators;
- intervening early to deal with problems;
- providing appropriate employee support; and
- encouraging sensitive management.

#### **5. Preventing Stress**

5.1 Council managers have a lead role in the prevention of work related stress and must take a proactive approach to identifying workplace stress and take practical steps to reduce its causes.

5.2 Council managers must also ensure that wherever possible employees are not subjected to excessive pressures that are likely to cause harm. To facilitate this, managers must follow the provisions of this policy and toolkit ([add link to Toolkit](#)).

#### **6. Roles and Responsibilities**

6.1 Everyone in the Council has a responsibility for the health, safety and wellbeing of themselves and their colleagues. The Council is committed to being a supportive organisation where seeking support and/or assistance for stress is not perceived as a sign of weakness or incompetence. The Council is committed to increasing the general awareness and understanding of stress and stress related illness within the workplace. ([add link to Appendix 1 - Working Together - Everyone's Responsibilities](#)).

6.2 The Chief Executive and Senior Management Teams are responsible for:

- implementing the Policy;
- monitoring compliance with the Policy;
- maintaining a framework of health, safety and wellbeing policies and procedures;
- promoting good communications throughout the Council;
- providing an efficient Employee Assistance Programme (EAP);and

- demonstrating positive leadership and a commitment to the Policy.

### 6.3 Line managers are responsible for:

- inducting new staff;
- encouraging personal development;
- carrying out team level stress risk assessments;
- carrying out individual stress risk assessments as appropriate;
- setting realistic targets;
- monitoring hours worked and discouraging excessive use of overtime;
- making sure employees use their annual leave entitlements;
- providing staff information on sources of support and advice;
- managing change effectively and empathetically;
- promoting a culture of zero tolerance towards bullying and harassment;
- taking appropriate action to support staff experiencing difficulties; and
- seeking advice and support from Organisational Development and the Council's Occupational Health provider as appropriate.

### 6.4 Employees are responsible for:

- complying with the provisions of the Policy;
- protecting the health of themselves and others at work;
- recognising signs and symptoms in themselves that could indicate they are having difficulty coping;
- raising any concerns with their line manager or other manager as appropriate; and
- participating in any supportive measures put in place to alleviate stress.

## 7. **Monitoring and record keeping**

### 7.1 Managers must keep accurate and up to date records of the following documents as appropriate which are included in the Stress Management Policy Toolkit ([insert link to Toolkit](#)):

- a managers checklist;
- strategic risk assessment for organisational change;
- preventative team stress risk assessments;
- stress risk assessment – employee questionnaire; and
- individual stress action plans.

## 8. **Confidentiality**

### 8.1 Information relating to an employee's health is classified as sensitive data and as such will remain confidential. However confidentiality can only be maintained as far as it is reasonably practicable within our duties as an employer. The Council will only involve other agencies or share information with the consent of the employee concerned, unless we are



required to do so by law or the information is necessary for the protection of children or vulnerable adults.

## **9. Access to support**

9.1 The Council will provide a range of support to those employees experiencing stress at work and these include, but are not limited to:

### **a) Employee Assistance Programme (EAP)**

The Council's EAP provides free confidential counselling, financial and legal advice helplines for all employees. These helplines are available 24 hours per day every day of the year and employees can phone as often as they wish ([add link to Right Management](#)).

### **b) Occupational Health Service**

The Occupational Health Service provider will give managers advice on individual cases referred to them which may include advice on treatment and rehabilitation for those employees who have suffered stress or a stress related illness.

### **c) Support during rehabilitation**

Employees returning to work after a stress related absence may require assistance to re-adjust to work routines. Managers should take a lead role in providing appropriate assistance by:

- using the individual stress action plan (ISAP) ([link to ISAP in Toolkit](#));
- reorganising workload, if appropriate;
- placing temporary restrictions on particular duties which may have previously posed difficulties;
- arranging a phased return to work, if required. This should be done in accordance with the Managing Attendance Procedure ([link to MAP](#));
- making sure the pressure or demands previously identified have been properly controlled, reduced or eliminated;
- providing training to the individual to help them cope with the pressure or demands; and
- monitoring the pressures or demands previously identified.

## **10. Links to other Policies and Stress Management Toolkit**

10.1 The Council has several policies to assist managers with the effective implementation of this Policy. These include, but are not limited to:

- Fair Treatment at Work Policy
- Family Care Policy
- Workplace Policy on Alcohol, Drugs and Substance Misuse
- Domestic Abuse Policy
- Violence at Work Policy
- Managing Work Performance Procedure

- Managing Attendance Procedure [\(add links to all policies\)](#)

10.2 For assistance in the application of this Policy please refer to the Stress Management Toolkit. [\(Add link to SMT\).](#)

## **11. Review**

11.1 This policy is a local collective agreement between the Council and the recognised trade unions. Every effort will be made by both parties to make sure that this policy is reviewed regularly and amended by agreement, if required to meet future needs. In the event of a failure to reach agreement both parties reserve the right to end this local agreement by giving four months notice in writing. In such circumstances the terms of the local agreement will no longer apply to existing and future employees.

final draft

## Working Together – Everyone’s Responsibilities

### 1. Introduction

- 1.1 The Council is committed to minimising the causes of stress at work. By working together we can successfully tackle the causes of work related stress. Each person can help to promote and maintain health, safety and wellbeing and prevent stress at work.
- 1.2 The Management Standards approach (MSa) developed by the Health and Safety Executive (HSE) have been developed to help reduce levels of stress in the workplace. To make this approach work it must be a shared responsibility and everyone has a part to play.

### 2. The Council

- 2.1 The Council, through the Corporate Management Team (CMT), has overall responsibility for the health, safety and wellbeing of all employees. Where risks are identified, appropriate measures must be taken to prevent the risks or protect staff from them. Within in the terms of the Stress Management Policy this will include:
- providing active leadership, direction and commitment;
  - securing adequate resources for stress risk management and intervention strategies; and
  - overseeing organisational performance.

### 3. Directors and Senior Management Teams (SMTs)

- 3.1 Senior managers are key to promoting both organisational and individual health, safety and wellbeing. They are responsible for setting the health safety and wellbeing culture of the organisation.
- 3.2 To meet the MSa senior managers will:
- Attend mandatory stress management training. This sends an important and positive message.
  - Implement the Stress Management Policy fully in their Service Areas. This includes making sure preventative stress risk assessments are carried out, kept up to date and that action is followed through for any issues identified by either team or individual stress risk assessments.
  - Demonstrate commitment to implementing the Stress Management Policy by taking all reasonable steps to ensure:
    - Sufficient resources for stress management are identified and made available;
    - Line managers attend the mandatory stress training courses;
    - All employees within their service areas follow the positive behaviours required to prevent and reduce work-related stress;
    - Stress management issues are discussed regularly at SMTs and with the trade unions; and

- The Council's vision and expectations for stress management are clearly communicated within service areas.
- Establish monitoring and auditing processes to check that agreed actions happen and the strategies are working;
- Support others in their roles;
- Encourage employees to take part in stress management strategies and processes; and
- Lead by example. On an individual basis, senior managers can help by:
  - recognising stress-related symptoms in other senior managers and being aware that their behaviour may have an impact on others;
  - showing a positive and helpful attitude to stress and mental health issues at individual levels; and
  - mentoring others.

#### **4. Operational and line managers.**

4.1 All managers have a critical role in maintaining employee health, safety and wellbeing and for minimising the likelihood of stressful situations arising for their staff. Some of the key tasks for managers can involve:

- showing a positive attitude towards stress and mental health issues;
- clarifying roles, tasks, targets and responsibilities for teams' and individuals' work plans. This plays a key role in the provision of service delivery and the managers actions and behaviour can have an impact on the quality of working life for staff;
- communicating information on workplace change or any identified issues for concern to both staff and senior managers;
- demonstrating awareness, recognition and early identification of problems to allow team and/or individual intervention as appropriate and as required;
- encouraging team members to participate in risk management processes. Active employee participation gives a more accurate picture of any problems and helps to make any subsequent action plans more effective;
- making sure preventative risk assessments take place regularly and actions arising from individual stress action plans are properly and promptly implemented;
- dealing sensitively and confidentially with staff who are feeling stressed;
- designing strategies to reduce work related stress and protect individuals from harm;
- making sure they have appropriate self –awareness, skills and knowledge to manage team interactions;
- managing performance in line with relevant procedures; and
- making sure an awareness of the supportive policies and wellbeing initiatives is maintained.

#### **5. Employees**

5.1 The MSa is a participative one. To be effective it requires the views of all employee groups to be considered at appropriate stages. This means employees need to participate fully by:

- getting involved in the stress risk assessments and management processes;

- sharing their views in an open, honest and constructive way;
- helping design strategies that reduce work related stress and protect individuals from harm;
- letting managers know if pro-active measures don't work properly; and
- participating positively in stress management strategies.

5.2 On an individual basis employees should:

- understand how to identify the signs of work related stress in themselves and others;
- discuss their own stress related issues with their line manager or another manager as appropriate. This allows for early intervention and the provision of appropriate supports;
- take steps to minimise their own stress where possible;
- change their behaviour if it is causing stress to others;
- be sensitive and supportive when colleagues are feeling pressured at work; and
- help managers to minimise the effects of workplace stress.

## 6. Organisational Development

6.1 Organisational Development staff will act as the champions for the MSa and their roles and responsibilities will include:

- making sure the different HR policies link effectively both together and with other health and safety policies to ensure a consistent and 'joined up' approach to stress management;
- supporting managers with complex cases involving work related stress;
- engaging and communicating with staff about work related stress issues;
- engaging with the trade unions to promote appropriate involvement with stress management processes;
- providing relevant data e.g. absence statistics and health intervention information to relevant managers for appropriate action;
- liaising with the Occupational Health Service and the EAP providers;
- working with others, including health and safety advisers and line managers, in implementing solutions identified by staff and monitoring and reviewing their effectiveness;
- monitoring workplace health indicators that highlight stress problems;
- acting as a champion for the Council's stress management processes and the principles of the HSE Management Standards;
- helping managers to complete stress risk assessments and develop risk control measures as appropriate; and
- making sure appropriate training and information is available to help all stakeholders, particularly managers, achieve appropriate competence in stress management.

## **7. Trade Union Health and Safety Representatives (USRs)**

7.1 The active participation of USRs is vital for assisting in the delivery of improvements in employee health and wellbeing and successfully implementing the Management Standards approach. USRs need to work jointly with others to:

- encourage their members to participate in the stress management process;
- offer support and advice to TU members;
- facilitate effective communication on stress issues with management and their members; and
- support the implementation of the Management Standards approach.
- USR duties are defined in The Agreement on Time Off and provision of Facilities for Trade Union Representatives ([add hyperlink](#)).

final draft

## **Legal Framework**

### **Health and Safety at Work Act 1974**

Whilst there is no specific legislation covering the management of stress, the Health and Safety at Work Act 1974 requires employers to safeguard, as far as reasonably practicable, the health safety and welfare of the people who work for them. This does not only mean physical health, but mental health as well. Ill health resulting from stress at work should be treated in the same way as ill health resulting from physical hazards in the workplace.

### **The Management of Health and Safety at Work Regulations 1999**

Under this legislation employers are required to carry out a suitable and sufficient assessment of the health and safety risks to which their employees are exposed whilst they are at work. This includes the requirement to assess the risk of stress-related ill health arising from work activities and to take measures to control any identified risk. Hazards that could lead to stress must, if significant, be included in risk assessments.

### **The Equality Act 2010**

Employers have a duty to make reasonable adjustments to the workplace or the way in which work is done, if the existing work arrangements or the physical features of a workplace put a person with a disability at a substantial disadvantage. Ill health arising from, or exacerbated by, stress related ill-health at work may constitute a disability under the Act if prolonged.

The Act also prevents unlawful discrimination on the grounds of race, religion or belief, sex, sexual orientation age, disability, gender reassignment, marriage and civil partnership. People who are discriminated against may find the experience distressing and humiliating and may consequently suffer from a stress related illness

### **The Working Time Regulations 1998**

The Working Time Regulations place limitations on the number of hours that can be worked, makes provisions for rest breaks etc. and are therefore relevant to stress related illness caused by excessive working hours.

### **Data Protection Act 1998**

The Data protection Act 1998 sets out rules to make sure any personal information held by employers on employees is managed properly.

The Act also requires employees to give explicit consent to the processing of any "sensitive data" by their employer. Managers must therefore obtain the employees consent before using any medical reports.

## Violence at Work Policy

(covering all employees)

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10 February 2014



## 1. Introduction

- 1.1 The Council considers any harassment, violent or aggressive behaviour directed at our staff as unacceptable. The poster shown at **Appendix 1** must be displayed in all Council premises.
- 1.2 All our staff are entitled to work in a safe environment where they are fully supported when faced with unacceptable behaviour from any other person however it occurs.
- 1.3 We have a 'zero tolerance' approach to any incident involving violence against our staff and will ensure the safety, protection and welfare of our staff at all times by:
- reducing the risk of violence against staff;
  - making sure service level arrangements are in place to assess the risk of violence against our staff;
  - providing appropriate training and information for staff;
  - making sure our management standards are applied consistently;
  - making sure employees are aware of their responsibilities;
  - providing appropriate supports to staff following a violent incident;
  - maintaining robust recording and management systems for all violent incidents including those incidents that fall within the scope of legislation on the reporting of injuries, diseases and dangerous occurrence (RIDDOR); and
  - making sure staff who have experienced or witnessed incidents feel able to report them and have the matter treated seriously and dealt with effectively.

## 2. Scope

- 2.1 This policy applies to all employees, including temporary and agency staff, volunteers, students, apprentices, contractors, consultants and people on work experience.

## 3. Definitions

- 3.1 We consider violence to be:

**“any incident in which any employee is verbally abused, threatened or assaulted by a service user, a member of the public, a contractor, another member of staff or any other person whilst undertaking their duties.”**

This includes physical assault, abuse, including verbal abuse, serious or persistent harassment, including racial and sexual harassment, victimisation, bullying and/or threats with or without a weapon.

3.2 For the purposes of this policy, the following definitions will apply:

- **violence at work** - any incident in which a person is abused, threatened or assaulted in circumstances relating to their work;
- **physical assault** - the intentional application of force from one person to another, without lawful justification, resulting in physical injury or personal discomfort;
- **non-physical assault** - the use of inappropriate language or behaviour causing distress and/or constituting harassment; and
- **persistent unacceptable behaviour e.g.:**
  - loud or intrusive conversations or shouting;
  - offensive sexualised behaviour or gestures; and
  - unwanted email or telephone contact.

This list is not exhaustive.

Further information on types of workplace violence are shown in the Toolkit ([add link to toolkit](#)).

#### 4. Risk Assessment

4.1 Identifying the risk of violence incidents is the key to managing them. Heads of Service are responsible for ensuring risk assessments are done to decide if there are any measures that can be put in place to avoid or reduce the risk of violent incidents happening. Details of how to carry out a risk assessment and review are found in the Toolkit ([add hyperlink to toolkit](#)).

4.2 Risk assessment must include:

- details of staff contact with the public/service users;
- work environment;
- risks to employees who work in the community;
- adequacy of existing preventative arrangements;
- any information from previous violent incident reports;
- prior experience; and
- comments from employees/appointed trade union safety representatives.

4.3 Risk assessment will be recorded and regularly reviewed e.g. when there has been a significant change to the work activity, workplace, new information etc.

4.4 All risk assessments must be reviewed in the event of a violent incident being reported.

## **5. Responsibilities**

### **5.1 The Chief Executive and Senior Management Teams are responsible for:**

- implementing the Policy;
- monitoring compliance with the Policy;
- maintaining a framework of health, safety and wellbeing policies and procedures;
- promoting good communications throughout the Council;
- providing an efficient Employee Assistance Programme (EAP);and
- demonstrating positive leadership and a commitment to the Policy.

### **5.2 Heads of Service are responsible for:**

- providing managers with appropriate resources to implement the requirements of this policy; and
- developing risk assessment processes and management controls relevant to their service areas; and
- considering what processes are required to manage any situation where violence is associated with service provision, e.g. this may be where a risk assessment has identified a particular service area as high risk (add hyperlink to high risk services in toolkit).

### **5.3 Line Managers are responsible for:**

- providing induction to new staff;
- identifying training needs;
- carrying out team level risk assessments;
- carrying out individual risk assessments as appropriate;
- providing staff information on sources of support and advice;
- promoting a culture of zero tolerance towards bullying and harassment;
- taking appropriate action to support staff experiencing difficulties; and
- seeking advice and support from Organisational Development and the Council's Occupational Health provider and the Employee Assistance Programme as appropriate.

### 5.3.1 **Following any work related violent incident, the line manager is responsible for:**

- Investigating the incident and informing appropriate internal managers e.g. the corporate health and safety team, senior managers etc. and any external services as appropriate e.g. the police;
- Making sure the violent incident report form is completed and a copied to the Corporate Health & Safety Team and the Head of Service;
- seeking advice on any additional reporting requirements e.g. Reporting of Injuries, Diseases or Dangerous Occurrences Regulations (RIDDOR)
- providing post incident support to staff, to include telling the individual(s) about the EAP;
- taking steps to identify and implement actions that will minimise the risk of similar incidents happening again and informing staff who are part of the incident investigation accordingly;
- reviewing all risk assessments associated with any incident and work activity;
- working with staff to identify and put in place any additional training required following any incident;
- notifying senior managers about risks to staff in relation to a particular member of the public, service-user or member of staff as appropriate; and
- informing other agencies as required, e.g. the police, NHS, HSE.

### 5.4 **Employees are responsible for:**

- complying with the provisions of the Policy;
- co-operating with measures provided for their safety;
- treating others with dignity and respect;
- protecting the health, safety and wellbeing of themselves and others at work;
- reporting any incidents of violence to their line manager as soon as they are able to;
- telling the perpetrator that their behaviour is unacceptable if they are able to do so;
- raising any concerns with their line manager or other manager as appropriate;
- completing any service specific training required e.g. CALM training;
- reporting incidents to the police; and
- participating in any supportive measures put in place.

## 6. **Training Requirements.**

- 6.1 The Council has a legal responsibility to provide staff with adequate health and safety information, induction and training to address and/or manage foreseeable risks associated with their work and the environment they work in.

6.2 We will do this by providing a variety of learning events which will include a combination of:

- e-learning;
- face to face briefing sessions; and
- service specific training.

## 7. Managing Violence in the Workplace

7.1 Managers must ensure risk assessments are in place for all staff who work in frontline services with direct access to the public and service users. [\(add link to risk assessment form\)](#)

7.2 To mitigate the potential impact of violent behaviour, managers must consider the following:

- the availability of job-specific training, e.g. CALM training;
- using a buddy system and/or other internal team approaches for managing violence and aggression, such as check off boards, use of diaries, mobile phones, etc. [\(add link to toolkit\)](#);
- using local strategies for managing the impact of constant low-level aggression e.g. verbal abuse over the telephone;
- supporting staff who are regularly involved with the public e.g. enforcement officers, school crossing patrollers, social workers, housing officers etc. [\(add link to toolkit with high risk staff groups\)](#);
- routinely carrying out management investigations into incidents making sure that the corporate health and safety team are informed of any exceptional circumstances where violence or aggressive behaviour may be present.

7.3 When risk assessments highlight specific concerns managers should consult with the Corporate Health & Safety Team.

## 8. Supporting Staff and Managers

8.1 It is important that staff receive the individual support they need if they have been involved in any incident that involved violent or aggressive behaviour. People working in areas where aggressive behaviour is often experienced may appear to build up a degree of resilience to it. As an employer we do not expect our staff to build up resilience to aggressive behaviour and we will provide staff with the

opportunity to discuss how ongoing incidents are affecting them. This support **must** be made available on a regular basis.

- 8.2 All managers will receive appropriate information and necessary training to enable them to recognise signs of stress; the impact incidents can have on staff and the support options available e.g. the EAP.
- 8.3 Staff must feel supported if they have been the victim of violence and/or aggression. We will work to protect other staff from similar incidents. Where an incident is particularly serious, we may take appropriate legal action as part of our response to that incident. For example the Council could decide to support the police in pursuing a criminal prosecution; seek an interdict to prevent an assailant approaching a particular member of staff or entering Council premises.
- 8.4 Occasionally, despite all reasonably practicable measures being taken, prevention is unsuccessful and staff are victims of aggressive behaviour. If this happens the line-manager will fully support the member of staff by:
- making sure the member of staff is physically safe and protected;
  - making sure any medical treatment needed is immediately provided;
  - considering whether to immediately involve the police;
  - making sure the member of staff has the opportunity to talk about the incident either with their line-manager, colleague, trade union representative or the employee assistance programme;
  - reassuring the member of staff that it is not their fault; and
  - recording the details of the incident.
- 8.4 Managers should also consider, where appropriate, advising staff that they can be referred to occupational health for supportive purposes. This is entirely separate to the managing attendance process and is offered as a support to staff to promote wellbeing.
- 8.5 Staff and managers have access to the 'employee assistance programme which provides access to confidential counselling support 24 hours a day, 365 days a year.  
(add hyperlink to EAP)

## **9. Withdrawing Services**

- 9.1. Staff are obliged to provide services only when it is safe to do so. The decision to withdraw services can only be made by a Head of Service and only after all other options to manage the situation have been considered.

- 9.2 Services could be withdrawn when there has been:
- abusive or threatening behaviour towards staff or other service-users;
  - persistent intimidation, bullying or harassment of our staff or other service-users, despite warnings; and/or
  - an actual physical assault on a member of staff or another service-user.

This list is not exhaustive.

- 9.3 Staff and managers will always work towards a resolution that maintains staff safety while continuing to provide necessary services. Heads of Service will manage any service that is withdrawn in conjunction with advice from Legal Services as appropriate.

## **10. Reporting Violent Incidents**

- 10.1 All violent incidents must be reported on the Violent Incident Report form (VIR) [\(insert hyperlink to VIR\)](#) and a copy forwarded to the corporate Health & Safety Team.
- 10.2 When staff are involved in a violent incident their line manager must complete a VIR form with the individual involved as soon as reasonably possible after the incident.
- 10.3 The manager must carry out an investigation. The corporate Health & Safety Team will advise if additional reporting is required e.g. depending on the nature of the incident a RIDDOR report may be required.

## **11. Investigating Violent Incidents**

- 11.1 The line manager must start an investigation as soon as possible after the incident occurs. Assistance and support can be sought from, for example, the corporate Health & Safety Team, Occupational Health, Employee Assistance Programme, trade union safety representatives.
- 11.2 The investigation must collate factual evidence to establish what happened and what additional controls may be put in place to avoid similar incidents happening in the future. The extent of the investigation will be dependent on the severity of the incident.
- 11.3 Any additional controls or changes to practice identified must be implemented and risk assessments reviewed to reduce the risk of re-occurrence.

## **12. Involving the Police**

12.1 Examples of circumstances when the police should be called include:

- persistent threatening behaviour towards staff, service-users or visitors;
- a member of staff, service-user or visitor is physically assaulted;
- someone enters Council premises carrying a weapon;
- staff are unable to persuade someone behaving unreasonably to leave the premises;
- someone is behaving suspiciously in or around a Council building;
- staff suspect a crime has been committed or is about to be committed; and
- unreasonable behaviour which has not been resolved despite staffs efforts to manage the situation e.g. stalking, harassment, threatening telephone calls, use of illicit substances, etc.

## **13. Legal Assistance**

13.1 Where charges or counter charges are brought against an employee, in certain circumstances Legal Services can arrange for staff to be advised and defended against criminal charges. This is a decision for the Head of Service to make in consultation with Legal Services as the cost of legal support will come from the service area budget.

13.2 An employee attending court as a witness to a reported violent incident, will be given time off with pay to attend court for this purpose.

13.3 In exceptional circumstances (e.g. where a pattern of reported incidents of threatening behaviour is identified) Legal Services will consider any Head of Service's request to start legal proceedings against a member of the public in order to protect the employee(s) concerned.

## **14. Associated Policies and Procedures**

14.1 Each Service Area must ensure that service specific procedures are in line with this policy and the associated policies and procedures:

- Health and Safety Policy
- Stress Management Policy
- Disciplinary Code
- Disciplinary Procedure
- Fair Treatment at Work Policy

This list is not exhaustive



## **15. Review**

- 15.1 This policy is a local collective agreement between the Council and the recognised trade unions. Every effort will be made by both parties to make sure that this policy is reviewed regularly and amended by agreement, if required to meet future needs. In the event of a failure to reach agreement both parties reserve the right to end this local agreement by giving four months notice in writing. In such circumstances the terms of the local agreement will no longer apply to existing and future employees.

final draft

# Corporate Policy and Strategy Committee

10.00am, Tuesday, 25 March 2014

## Boundary Commission for Scotland – Publication of Proposals for Councillor Numbers – Proposed Consultation Response

Item number	7.4
Report number	
Wards	City wide

### Links

Coalition pledges	<a href="#">P33</a>
Council outcomes	<a href="#">CO23</a> , <a href="#">CO25</a>
Single Outcome Agreement	

**Sue Bruce**

Chief Executive

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# Executive summary

## Boundary Commission for Scotland – Publication of Proposals for Councillor Numbers – Proposed Consultation Response

### Summary

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The Local Government Boundary Commission for Scotland (the “Commission”) has started a review of Scotland’s local government electoral arrangements. They have met with each council to discuss the review, which will result in recommendations on the number of councillors for each council and the number and boundaries of wards for the election of those councillors. The review will not consider the external boundaries of council areas.

The Commission has drafted recommendations for the number of councillors on each council based on a methodology that, for the first time, has taken into account levels of deprivation as well as population distribution. Based on these criteria, similar councils have been grouped together in categories for the purpose of determining councillor numbers. The Commission is proposing that the number of councillors for the City of Edinburgh Council increases by 5 from 58 to 63.

The first stage of the review comprises consultation with councils on the proposed number of councillors. The consultation period closes on 23 April 2014 and a proposed response is attached at appendix 1 to this report. The Commission will then consult with the public on the proposed number of councillors before agreeing its recommendations to Scottish Ministers on the size of each council.

During the second stage of the review the Commission will develop proposals on ward boundaries, initially for consultation with each council followed by a public consultation. Finally the Commission will consider all representations and develop final recommendations for submission in its reports to Scottish Ministers by May 2016. This will inform preparations for the local government election, using the new wards, in May 2017.

### Recommendations

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1. To approve the response to the Local Government Boundary Commission for Scotland as detailed in appendix 1 to this report.

2. To note that the next stage of the review is expected to commence in May 2014 and will be consultation with the public on councillor numbers.
3. To note that later stages of the review will focus on proposed ward boundaries.

### **Measures of success**

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Not applicable.

### **Financial impact**

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An increase in costs to support any additional councillors.

### **Equalities impact**

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There is no direct equalities impact as a result of the report.

### **Sustainability impact**

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There is no direct sustainability impact as a result of the report.

### **Consultation and engagement**

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The Commission held an initial meeting with the Chief Executive and political group leaders. Further consultation has been undertaken on the proposals with each of the political groups.

### **Background reading / external references**

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Letter and guidance from the Local Government Boundary Commission for Scotland, 21 February 2014.

Link to the Improvement Service [Income Modelling Project](#)

Poverty and Inequality in Edinburgh, November 2013

## Boundary Commission for Scotland – Publication of Proposals for Councillor Numbers – Proposed Consultation Response

### 1. Background

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- 1.1 This report summarises, and presents for approval, a response to the Boundary Commission on the proposed number of councillors for the City of Edinburgh Council.

### 2. Main report

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- 2.1 The Local Government Boundary Commission for Scotland (the “Commission”) has started a review of Scotland’s local government electoral arrangements. They are required to conduct electoral reviews of each local authority at intervals of 8 to 12 years, as specified in the Local Government (Scotland) Act 1973. The last review was conducted between 2004 and 2006 and recommended the current multi-member wards that have been used for local government elections in Scotland in 2007 and 2012.
- 2.2 The Commission has met with each Council to discuss the review which will recommend the number of councillors on each council and the number and boundaries of wards for the election of those councillors. The review will not consider the external boundaries of council areas.
- 2.3 The first stage of the review comprises consultation with councils on the proposed number of councillors and closes on 23 April 2014. A proposed response is attached at appendix 1 to this report.

#### **Number of Councillors Proposed**

- 2.4 The initial phase of the review is to determine the number of councillors that the Commission will recommend for each council. Each council has been categorised based on deprivation and population distribution, with each category assigned a ratio of councillors to electors to calculate the appropriate number of councillors. This methodology has been applied consistently across all council areas.
- 2.5 The ratio of councillors to electors for each category is shown below:

Category	Criteria used to classify councils	Ratio
1	Less than 30% of the population living outwith settlements of 3,000 or more AND 30% or more of the population living in the most deprived areas	2,800
2	Less than 30% of the population living outwith settlements of 3,000 or more AND 15% or more and less than 30% of the population living in the most deprived areas	3,000
3	Less than 30% of the population living outwith settlements of 3,000 or more AND less than 15% of the population living in the most deprived areas	3,800
4	30% or more and less than 60% of the population living outwith settlements of 3,000 or more AND less than 15% of the population living in the most deprived areas	2,800
5	60% or more of the population living outwith settlements of 3,000 or more AND less than 15% of the population living in the most deprived areas	800

2.6 The City of Edinburgh Council is classified Category 3 and based on an electorate of 358,653 (at 10 March 2014) would have 94 councillors. The Commission has however maintained the minimum number of councillors for any council at 18 but extended the upper limit from 80 to 85. Having considered the disruption a significant change in councillor numbers can have, the Commission have applied a 10% change limit, meaning they will not propose an increase or decrease of more than 10% as a consequence of any one review. The Commission has therefore proposed that the number of councillors for the City of Edinburgh Council increases by 5 from 58 to 63 councillors.

### **Summary of proposed response to the Commission**

2.7 The Council has been underrepresented in its councillor numbers for a number of years. Applying the 10% rule to Edinburgh's current complement is 5.8 and it is the Council's view that this figure should be rounded up to 6 rather than down to 5, improving the ratio of electors to councillors from approximately 5,700:1 to 5,600:1.

2.8 In 2008 Scottish Ministers acknowledged the exceptional burden on the City of Edinburgh Council as local authority for Scotland's Capital. Scottish Ministers awarded additional funding, currently £3.9m per annum, in recognition of the additional financial burden on the authority as the Capital city.

2.9 As Edinburgh's population and electorate continue to grow, so does the level of representation the city will require at local government level. The total electorate

has increased by 13,000 in the last 15 months and continued growth is predicted.

- 2.10 The Council believes that every opportunity should be taken to reduce the disparity in councillor/elector ratios and that this opportunity should be taken to increase councillor numbers by 6, thus reducing the ratio in Edinburgh by approximately 100.
- 2.11 While high level summaries of SIMD 2012 data show relatively low overall rates of deprivation in Edinburgh, such analyses risk understating both the level and severity of deprivation, poverty and inequality in the city. SIMD analysis shows, for instance, that 54 areas of Edinburgh are ranked among the most deprived in Scotland, and that such areas are home to 45,000 Edinburgh residents. On this basis, only two other Scottish Local Authorities have a larger population of residents living in deprived areas.

### **Further stages of Review**

- 2.12 The Commission will consult with the public on the proposed number of councillors before agreeing its recommendations on the size of each council.
- 2.13 During the second stage of its review the Commission will develop proposals on ward boundaries for consultation, initially with each council and followed by a public consultation. In the meantime we are progressing the Natural Neighbourhoods work which we will use to inform the LGBCS consideration of ward boundaries.
- 2.14 Finally, the Commission will consider all representations and develop final recommendations in its reports to Scottish Ministers for approval in Spring 2016. This will inform preparations for the local government election, using the new ward boundaries, in May 2017.

## **3. Recommendations**

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- 3.1 To approve the response to the Local Government Boundary Commission for Scotland as detailed in appendix 1 to this report.
- 3.2 To note that the next stage of the review is expected to commence in May 2014 and will be consultation with the public on councillor numbers.
- 3.3 To note that later stages of the review will focus on proposed ward boundaries.

### **Sue Bruce**

Chief Executive

## Links

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<b>Coalition pledges</b>	P33 – Strengthen Neighbourhood Partnerships and further involve local people in decisions on how Council resources are used
<b>Council outcomes</b>	CO23 – Well engaged and well informed – Communities and individuals are empowered and supported to improve local outcomes and foster a sense of community CO25 – The Council has efficient and effective services that deliver on objectives
<b>Single Outcome Agreement</b>	
<b>Appendices</b>	Proposed consultation response



Local Government Boundary Commission for  
Scotland  
Thistle House  
91 Haymarket Terrace  
Edinburgh  
EH12 5HD

Date  
Our Ref  
Your Ref

Dear Sirs

**FIFTH REVIEW OF LOCAL GOVERNMENT ELECTORAL ARRANGEMENTS  
PROPOSALS FOR COUNCILLOR NUMBERS  
CONSULTATION RESPONSE**

I refer to your letter of 21 February 2014 regarding the Fifth Reviews of Local Government Electoral Arrangements (the "Reviews") to be carried out by the Local Government Boundary Commission for Scotland (the "Commission").

Your letter and enclosures provided a list of proposed councillor numbers for each of Scotland's local authorities, including the City of Edinburgh Council (the "Council"). I should be grateful if you could treat this letter as the Council's response to the Commission's proposals for councillor numbers.

The Council's view on the proposals for councillor numbers is that, while the proposed increase is both welcome and necessary, an increase of 6 councillors (to 64) would be more appropriate. This is for the following reasons:

1. Historical Underrepresentation

The Council has historically had proportionately fewer councillors than many other authorities in Scotland. The Council has an electorate of 358,653, a ratio of 6,184 electors for each of the Council's 58 councillors. The Scottish Index of Multiple Deprivation ("SIMD") and the Council's population distribution figures place the Council in Category 3, as noted in the Commission's classification table.

Sue Bruce, Chief Executive

Waverley Court, 4 East Market Street, Edinburgh EH8 8BG Tel 0131 469 3002 Fax 0131 469 3010  
sue.bruce@edinburgh.gov.uk

The Category 3 ratio of 3,800 electors per councillor is significantly lower than Edinburgh's current ratio, indeed, if the Council was to be constituted in a manner wholly consistent with the Category 3 ratio the Council would have 94 councillors.

I note that the Commission has sought, within the parameters set, to account for this underrepresentation by proposing an increase to councillor numbers of 5, from 58 to 63.

10% of the current councillor complement is 5.8 and it is the Council's view that this figure should be rounded up to 6 rather than down to 5, maximising this limited opportunity towards improving the Council's historic underrepresentation. 63 councillors will result in a ratio of 5,692:1, whereas 64 would improve the ratio to 5,603:1.

## 2. Capital City Status

In 2008 Scottish Ministers acknowledged the exceptional burden on the City of Edinburgh Council as local authority for Scotland's capital city. They awarded additional funding, currently £3.9m per annum, in recognition of the additional financial pressures, accepting the Council's case that Edinburgh's unique position as capital city significantly impacts on council services and infrastructure, with the city's population doubling for the summer and winter festival seasons.

## 3. Increasing Population

As Edinburgh's population and electorate continue to grow, so does the level of representation the city will require at local government level. The total electorate has increased by 13,000 in the last 15 months and continued growth is predicted.

The Council believes that every opportunity should be taken to reduce the disparity in councillor / elector ratios and that this opportunity should be taken, to increase councillor numbers to 6, thus reducing the ratio in Edinburgh by approximately 100.

## 4. Deprivation and Poverty

While high level summaries of SIMD 2012 data show relatively low overall rates of deprivation in Edinburgh, such analyses risk understating both the level and severity of deprivation, poverty and inequality in the city. SIMD analysis shows, for instance, that 54 areas of Edinburgh are ranked among the most deprived in Scotland, and that such areas are home to 45,000 Edinburgh residents. On this basis, only two other Scottish Local Authorities have a larger population of residents living in deprived areas.

Beyond SIMD, further evidence shows significant pockets of poverty in the city, as well as marked evidence of income inequality. Data taken from the Improvement Service sponsored '[Income Modelling project](#)', for instance, shows that an estimated 22% of Edinburgh households live on incomes below the poverty threshold. This level is above the Scottish average of 20% and higher than all but four other Scottish Local Authorities.

Within Edinburgh, the analysis further shows that these averages mask considerable levels of inequality across the city. In the most deprived areas of Edinburgh, the proportion of households living below the poverty threshold rises to 33%, compared against a city average of only 22%. This level is comparable to the rate recorded in the most deprived parts of Glasgow and Dundee and almost double the rate recorded across Edinburgh's least deprived areas. Overall, the analysis suggests that levels of inequality in Edinburgh are greater and more severe than that recorded in other Scottish cities. Such levels of inequality can have significant implications for the delivery of effective public services to areas of need and ensuring effective representation of local electorates.

I look forward to the commencement of the public consultation on councillor numbers in due course. Should you require anything further, please do not hesitate to contact me.

Yours faithfully

**Sue Bruce**  
Chief Executive

# Corporate Policy and Strategy Committee

10.00am, Tuesday, 25 March 2014

## Scottish Government Consultation: Promoting responsible dog ownership in Scotland: microchipping and other measures

Item number 7.5

Report number

Wards All

### Links

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Coalition pledges [P13](#) and [P14](#)

Council outcomes [CO21](#)

Single Outcome Agreement [SOA4](#)

### Mark Turley

Director of Services for Communities

Contact: Kirsty Morrison, Community Safety Strategic Manager

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# Executive summary

## Scottish Government Consultation: Promoting responsible dog ownership in Scotland: microchipping and other measures

### Summary

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The Scottish Government (SG) is currently conducting a consultation on the possible introduction of compulsory microchipping of dogs in Scotland. The aim of this measure would be to encourage responsible dog ownership and improve the safety of the public from dangerous and out of control dogs. The closing date for this consultation is 31 March 2014.

### Recommendations

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It is recommended that the Committee:

- 1) Notes the contents of this report;
- 2) Agree the Council's response to the consultation questionnaire 'Promoting responsible dog ownership in Scotland: microchipping and other measures'; and
- 3) Agree to have Council representation at the proposed Scottish Government summit on dangerous dogs.

### Measures of success

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The SG have not at this stage indicated how the success of microchipping would be recorded. On a local level this could be monitored in the measurement of service requests to the Council regarding stray or out of control dogs. This will evolve from the results of the consultation.

### Financial impact

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The SG have not indicated if, or how, funding for the introduction of compulsory microchipping will be established. If the Council was required to enforce these measures there would be cost implications but these cannot be quantified at this time. There may be a cost involved for equipment, scanners, database licence, etc in order to enforce any introduced measures.

### Equalities impact

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People on low incomes may face challenges in meeting the cost of the compulsory microchipping of their dog(s) or funding any additional measures proposed.

## Sustainability impact

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There are no sustainability impacts arising from this report.

## Consultation and engagement

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The proposed consultation response from the Council, attached to this report, has been developed with a view to the safety of the whole community. The SG consultation paper is open to all interested parties and is available from their website, <http://www.scotland.gov.uk/Consultations/Current?rowId=1712>

The consultation responses have been collated from across the Council. Community Safety has Authorised Officers enabling enforcement powers to be carried out under the Control of Dogs (Scotland) Act 2010 and also has management of the Dog Warden Service. Housing and Regeneration manage the Multi-Storey Working Group (MSWG) and contributed specifically with consideration to the management of dogs in multi-storey blocks. The MSWG was set up under instruction from the Health, Social Care & Housing Committee and has representation from cross party Councillors, relevant management and the Edinburgh Tenants Federation.

## Background reading / external references

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The Scottish Government Consultation Document, Promoting responsible dog ownership in Scotland: microchipping and other measures. 27 December 2013 to 31 March 2014

## Scottish Government Consultation: Promoting responsible dog ownership in Scotland: microchipping and other measures

### 1. Background

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- 1.1 The Scottish Government (SG) has received a high volume of correspondence from organisations affected by dog issues and from interested individuals in favour of compulsory microchipping for dogs.
- 1.2 Although the SG has indicated that it is favourable towards the introduction of microchipping, it now seeks opinions via their consultation paper on the subject, which is open 27 December 2013 to 31 March 2014.

### 2. Main report

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- 2.1 In May 2013, officials from the SG met with the Dogs Trust to discuss dog related issues. At this meeting it was agreed that the SG would consult on the possible introduction of compulsory microchipping of dogs in Scotland.
- 2.2 The consultation questionnaire has 27 questions on the subject of responsible dog ownership and the proposed Council response to the questions is attached to this report as Appendix 1.
- 2.3 The main responses from the Council on this consultation include:
  - Council agrees with compulsory microchipping to help make dog owners more responsible.
  - Council agrees that all dogs in Scotland should be microchipped.
  - Council would like all dogs to be microchipped in a two-phase approach over two years from legislation coming in to effect. This would enable Council officers to scan and report any owners to the appropriate authority within a reasonable timeframe.
- 2.4 The First Minister has announced that a summit will be held in early 2014 on dangerous dogs. This will bring together the SG, local authorities, COSLA, Police Scotland, prosecutors, victim groups and other key interests to discuss preventative measures aimed at improving public safety and the prevention of dog attacks.

### 3. Recommendations

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- 3.1 It is recommended that the Committee:
- 1) Notes the contents of this report;
  - 2) Agree the Council's response to the consultation questionnaire 'Promoting responsible dog ownership in Scotland: microchipping and other measures'; and
  - 3) Agree to have Council representation at the proposed Scottish Government summit on dangerous dogs.

#### **Mark Turley**

Director of Services for Communities

### Links

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<b>Coalition pledges</b>	P13 - Enforce tenancy agreements (council and private landlord) with a view to ensuring tenants and landlords fulfil their good conduct responsibilities P14 - Strengthen Council housing allocation policy to give recognition to good tenants and to encourage responsible tenant behaviour and responsibilities
<b>Council outcomes</b>	CO21- Residents, visitors and businesses feel that Edinburgh is a safe city
<b>Single Outcome Agreement</b>	SOA4 - Edinburgh's communities are safer and have improved physical and social fabric
<b>Appendices</b>	Appendix 1- Consultation Questionnaire: Promoting responsible dog ownership in Scotland: microchipping and other measures



**Promoting responsible dog ownership in Scotland: microchipping and other measures**

**CONSULTATION QUESTIONNAIRE**

**Sector**

Which of the following best describes you? (Please tick whichever option applies)

- A dog owner
- A dog breeder
- An animal welfare organisation/rescue
- A local authority
- Other

**Comments:**

**Current situation in Scotland**

1. Are all, some or none of the dogs/puppies in your care already/routinely microchipped? Please explain. (Please tick whichever option applies)

- All  Some  None  Don't know  N/A

**Comments:**

2. Do you offer a microchipping service to the general public? If you do, what geographical range do you cover, how many dogs did you chip in Scotland in 2012 and how much do you charge? Please explain your answers.

Yes  No  N/A  (Please tick whichever option applies)

Number:

Fee:

**Comments:**

3. If you run a rescue/rehoming centre, do you ensure that all, some or none of the dogs are microchipped prior to rehoming? How many dogs did you microchip/arrange to be microchipped in 2012? How many dogs came to you in 2012 that were already microchipped? Please explain your answers.

All  Some  None  N/A  (Please tick whichever option applies)

Number microchipped in 2012:

Number arriving microchipped in 2012:

**Comments:**

**Potential benefits of compulsory microchipping**

4. Do you consider that compulsory microchipping would help to make dog owners more responsible? Please explain and provide any evidence that you may have.

Yes  No  Don't Know  (Please tick whichever option applies)

**Comments:**

When investigating incidents under the Control of Dogs (Scotland) Act, situations have been encountered where dog ownership is disputed or in question, so compulsory microchipping would settle such disputes quickly.

Compulsory microchipping would also help with identification of dogs providing a clear link between the owner and the dog in the event of any investigations or subsequent enforcement action.

5. Do you consider that compulsory microchipping for dogs would help to deter dog theft? Please explain and provide any evidence that you may have.

Yes  No  Don't Know

(Please tick whichever option applies)

**Comments:**

A micro-chipped dog would be easier to trace and therefore deter theft of dogs.

6. Do you consider that compulsory microchipping for dogs would help to tackle the issue of puppy farming? Please explain and provide any evidence that you may have.

Yes  No  Don't Know

(Please tick whichever option applies)

**Comments:**

The microchipping of all pups should be enforced. Further education for potential purchasers should also be available in order to stop people buying from rogue breeders. This should be part of the registration system by microchipping along with the pedigree type and/or details of the proposed dog licence.

The breeder or parent information should be required as part of the microchipping. A database which contains only current owner information for example would not show the history of the dog or the breeder.

7. Do you consider that compulsory microchipping for dogs would help to address other dog welfare issues, such as abuse/mistreatment? Please explain and provide any evidence that you may have.

Yes  No  Don't Know

(Please tick whichever option applies)

**Comments:**

Compulsory microchipping could help to identify owners who abuse/abandon their dogs. There would also be an onus on owners to keep their pets healthy given they could easily be identified and tracked to that owner.

8. Do you consider that compulsory microchipping for dogs would help to prevent dog attacks on people/animals, including on assistance dogs? Please explain and provide any evidence that you may have.

Yes  No  Don't Know

(Please tick whichever option applies)

**Comments:**

Microchipping alone is unlikely to directly reduce such attacks, however by promoting more responsible dog ownership in general and increased accountability the number of attacks may decrease.

**Potential challenges of compulsory microchipping**

9. In the long term, the compulsory microchipping of dogs may require all owners to pay to microchip their dogs and to update their details on the commercial database that their dog is registered on. Do you think this would be an unfair burden on any particular sectors? Please explain.

Yes  No  Don't Know

(Please tick whichever option applies)

Rehoming/sanctuary charities

Individuals in receipt of benefits

Other

**Comments:**

This is part of the responsibilities of dog ownership, something the majority of responsible owners already do.

Re-homing/sanctuary charity's should be exempt from including their details on the ownership database, similar to a car trader not registering ownership of a car they will trade. However in such cases the charity or sanctuary should still be required to register the new owners' details for any dogs re-homed.

10. When a microchipped animal changes ownership, the registration details on the database must be updated for microchipping to be effective. If microchipping was to be made compulsory, with whom should this responsibility lie: The seller, the buyer, or both? Please explain why and how you consider that the requirement could be enforced?

Seller  Buyer  Both  Don't Know  (Please tick whichever option applies)

**Comments:**

Limiting the responsibility of updating details will result in gaps in the database as one party may blame the other. Therefore a requirement that the seller provides the new owners details when the ownership is transferred in addition to a further requirement that the owner is responsible for checking and maintaining the details would allow accurate information to be kept and used for appropriate purposes.

Enforcement could be difficult depending on the resulting legislation. The relevant information for updating details would need to be widely available and easily accessible for all, ideally at little or no cost to update.

11. Are you aware of any difficulties due to different microchip companies using different technical specifications regarding scanners etc.? Please explain.

Yes  No  Don't Know  (Please tick whichever option applies)

**Comments:**

Different scanners read different microchips, essentially there are competing systems in the marketplace. This causes issues when a dog appears to have no microchip on one scanner, but it may then show up on another system. This makes it difficult to establish definitively if a dog has been microchipped.

We suggest there is a standard established, so any microchip reader should be able to read a microchip of the legal standard.

12. Do you think that any regulation being introduced on microchipping should set minimum standards for commercial databases? Why, and if so what should they be?

Yes  No  Don't Know

(Please tick whichever option applies)

**Comments:**

Minimum standards should be set in order to control the relevant information recorded. A commercial company is likely to favour a reduced dataset for cost reasons reducing the effectiveness of an appropriate database of owner information.

A minimum standard would enable easy access to the required information.

13. Presently, the dog owner, the microchip implanter, and some animal welfare organisations are able to access current database records, but only enforcement authorities are able to see previous records. Do you think this should remain the same? Please explain.

Yes  No  Don't Know

(Please tick whichever option applies)

**Comments:**

Information stored on a public database could be used for other undesirable purposes if it was made more widely available, i.e. housebreaking - which households have a dog, or dog related services contacting owners to sell their products.

14. Do you believe that compulsory microchipping will be easy or difficult to enforce effectively? Why? Can you suggest what approach to enforcement would be most appropriate?

Easy  Difficult  Don't Know

(Please tick whichever option applies)

**Comments:**

Given the uncertain volume of dogs in Scotland which would require microchipping there may be delays in updating databases which may make enforcement difficult for an initial period of time.

All new born dogs should be chipped and any dog that is collected from the street when straying should be chipped at the owners cost, all breeders should ensure that their pups are registered and chipped and hopefully if a licence system is imposed all documents will strengthen responsible dog ownership.

15. Do you have any concerns that microchipping could cause health problems in dogs? Please explain.

Yes  No  Don't Know

(Please tick whichever option applies)

**Comments:**

Information from the Dogs Trust (largest dog welfare charity in the UK) state that, *“Microchipping just feels like a small pinch or mild sting – akin to a minor injection. The dog does not feel the chip at all after it has been inserted.”* Given this information, we have no concerns that microchipping will cause health problems.

**Business impact**

16. Do you believe that compulsory microchipping would have a positive or negative financial or other impact on owners, enforcement agencies, animal welfare organisations/rehoming charities, dog breeders, pet shops, microchip database companies? Please Explain.

Positive  Negative  Don't Know

**Comments:**

There would be both positive and negative impacts.

**Positive**

- Enforcement agencies (not yet decided by the Scottish Government but likely to be Local Authority or Police Scotland) will resolve ownership quicker potentially reducing officer time and financial costs relating to the Dog Warden Service/Edinburgh Dog and Cat Home (EDCH) boarding.

**Negative**

- There will be a financial cost involved for owners, animal welfare organisations and charities that previously would not microchip their dogs.
- Dog breeders and pet shops can include their financial costs in their overall pricing.
- Enforcement agencies will incur a financial initial set-up cost and have further on-going financial costs i.e. staff training, replacing equipment etc. Enforcement agencies will also have to bear the cost of any unrecoverable costs for microchipping such as an owner's inability/unwillingness to pay or if the owner cannot be established. Financial provision would require to be made of these costs.

17. Do you believe that all dogs in Scotland should be microchipped? Why?

Yes  No  Don't Know

(Please tick whichever option applies)

**Comments:**

Yes, to promote responsible ownership and traceability relating to dog incidents. The dog owner should bear the cost of microchipping. However, as stated in the above question, enforcement agencies may have to bear the cost of any unrecoverable costs for microchipping, such as an owner's inability/unwillingness to pay or if the owner cannot be established.

18. Do you consider that any sectors of dog ownership (for example rehoming/sanctuary charities, police, armed services, security services, guide/helper vermin control, sheep dogs, or other sectors) merit exemption from any requirement to microchip? Why?

Yes  No  Don't know

(Please tick whichever option applies)

**Comments:**

Every dog should be microchipped and each sector should be responsible for their dogs.

19. Which of the suggested options for introducing any requirement for compulsory microchipping do you believe would work best? Do you have an alternative option to suggest? Please explain.

(Please tick whichever option applies)

- 1. Status Quo
- 2. All puppies born after a specific date should be microchipped
- 3. All dogs microchipped on transfer of ownership
- 4. Two-phase approach over 2 years
- 5. Microchipping of all dogs within one year of legislation coming into effect.
- 6. Other

**Comments:**



## Other possible measures to promote responsible dog ownership

20. What other measures do you think might help promote responsible dog ownership?

### Comments:

New transferable dog licence system.

All breeders should be registered.

21. Do you think muzzling of dogs while in public should be introduced?

### Comments:

It is proposed that the Scottish Government conduct research on whether dogs should be required to be muzzled when exercised in public areas whilst off leash.

22. The Dog Fouling (Scotland) Act 2003, gives local authorities the powers to deal with dog mess

Are you aware that local authorities have these powers?

Yes  No  Don't know  (Please tick whichever option applies)

Do you think they are being used effectively in your area?

Yes  No  Don't know  (Please tick whichever option applies)

Is there more you think can be done to address this issue effectively?

Yes  No  Don't know  (Please tick whichever option applies)

### Comments:

The Edinburgh Peoples Survey indicates that dog fouling continues to be an issue for Edinburgh. The council will continue to educate dog owners on dog fouling and tackle this issue through increasing enforcement.

The Scottish Government should consider increasing the amount payable for fixed penalty notices under the Dog fouling (Scotland) Act 2003. This would be in line with the recent increase of fixed penalty notices as of 1 April 2014 for littering (£50 to £80) and flytipping (£50 to £200).

## Any other comments

23. Do you have any other comments on the possible introduction of compulsory microchipping for dogs in Scotland?

Microchipping dogs is a positive move towards responsible ownership.

We would like this introduced as a new comprehensive dog registration licence system would aid investigation into allegations of dog behaviour under the Control of Dogs (Scotland) Act 2010.

24. Do you have any other comments on the promotion of responsible dog ownership in Scotland?

The Dangerous Dog Act should also be revised. This is a police power but many incidents are not taken forward by the Edinburgh Procurator Fiscal due to some cases being a 'first offence'.

25. Do you consider that the consultation paper explained the key issues sufficiently for you to properly consider your responses?

Yes. The consultation paper fully explained the key issues.

26. Do you consider that you had sufficient time to respond to the consultation?

No. More time should have been made available to fully respond to the consultation.

27. Do you have any other comments on the way this consultation has been conducted?

No other comments.

# Corporate Policy and Strategy Committee

10.00, Tuesday, 25 March 2014

## Implementation of a Funding Allocation System

Item number 7.6  
Report number  
Wards

### Links

Coalition pledges [P30](#), [P38](#)  
Council outcomes [CO10](#), [CO11](#), [CO12](#), [CO13](#)  
Single Outcome Agreement [SO2](#)

### Peter Gabbittas

Director Health and Social Care

Michelle Miller, Chief Social Work Officer – [michelle.miller@edinburgh.gov.uk](mailto:michelle.miller@edinburgh.gov.uk)

Wendy Dale, Strategic Planning and Commissioning Manager –  
[wendy.dale@edinburgh.gov.uk](mailto:wendy.dale@edinburgh.gov.uk)

# Executive Summary

## Implementing a Funding Allocation System

### Summary

---

One of the duties placed on local authorities by the Social Care (Self-directed Support) (Scotland) Act 2013 is the requirement to notify those eligible for social care support of the estimated cost of meeting their support needs, in order to allow them to exercise informed choice about the way in which those needs are met.

At the meeting held on 28 January 2014, Health, Social Care and Housing Committee agreed:

- the approach being taken to the development of a Funding Allocation System in order to inform people of the “relevant amount” available to meet their social care needs; and
- that a report be submitted to Corporate Policy and Strategy Committee detailing the outcome of the work being undertaken to calibrate the Funding Allocation System, and seeking approval to implement the Funding Allocation System by 1 April 2014.

This report sets out the proposals for the calibration of the Funding Allocation System, which will meet the requirements placed on the Council by the legislation.

### Recommendations

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Committee is asked to:

- approve the proposals set out in this report for the implementation of a Funding Allocation System
- note the controls identified within the report to manage the operation of the proposed Funding Allocation System
- note that a report detailing the first six months’ operation of the Funding Allocation System will be submitted to the Health, Social care and Housing Committee at the earliest opportunity.

### Measures of success

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The Council is able to meet the requirement placed on local authorities by the Social Care (Self-directed Support) (Scotland) Act 2013 to notify people of the “relevant amount” (estimate of the cost of meeting their care and support needs).

The operation of the Funding Allocation System will be closely monitored to evaluate the following success factors:

- the implementation of the Funding Allocation System enables people to exercise greater choice and control over the way in which their care and support needs are met
- the Funding Allocation System is sufficiently flexible to be adjusted in response to issues identified through experience in operating the system
- the Funding Allocation System is calibrated in order both to meet the needs of individuals and remain affordable to the Council.

## Financial impact

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There is no direct financial impact arising from this report, which sets out the proposed methodology to be used in estimating the cost of meeting the care and support needs of individuals assessed as being eligible. The implications of the legislative requirement on local authorities to provide people with an estimate of the cost of meeting their care and support needs are detailed within the report.

## Equalities impact

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The need to ensure equity is one of the underlying principles, which has informed the development of the Funding Allocation System. This has been designed to ensure that it is applied:

- consistently, regardless of whether the individual chooses to direct their support themselves through a direct payment; asks the Council or another organisation to arrange and manage their support as they direct; asks the Council to select and manage their support for them; or chooses a mixture of these options
- equitably across all service user groups, whilst taking account of factors specific to each.

## Sustainability impact

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There is no sustainability impact arising from this report.

## Consultation and engagement

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A collaborative approach to engagement with service users, service providers and frontline staff has been a key feature of the Personalisation Programme, using mechanisms such as the Collaborative Inquiry Group and the 'Network to shape our future'. These were established to collaborate with frontline staff, and service users and carers, in the planning and delivery of the Personalisation Programme.

The proposed approach to establishing the estimated cost of meeting an individual's care and support needs, using a score generated through the outcome focused assessment and the scoring mechanism, has been discussed with people who use services, service providers and staff, through a range of fora. Due to the size of the sample used in developing the Funding Allocation System; the time it has taken to analyse the data; and the need to implement the system by 1 April 2014, it has not been possible to consult widely on the details of the financial bandings proposed. However, there is general recognition from both the Scottish Government and Audit Scotland that the implementation of the Self-directed Support legislation will be developmental. There will therefore be ongoing consultation on the operation of the Funding Allocation System and other aspects of self-directed support over the coming months, as the Council continues to collaborate with key stakeholders through the Personalisation Programme.

## **Background reading / external references**

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[National Self-directed Support Strategy](#)

[Social Care \(Self-directed Support\) \(Scotland\) Act 2013](#)

[Progress in the implementation of personalisation and self-directed support report to Health, Social care and Housing Committee 28 January 2013](#)

## Implementation of a Funding Allocation System

### 1. Background

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- 1.1 A report detailing progress on the implementation of the Social Care (Self-directed Support) (Scotland) (Act) 2013 in Edinburgh was submitted to the Health, Social Care and Housing Committee on 28 January 2014, setting out the approach to be taken to providing individuals eligible for social care support with an estimate of the cost of meeting their care and support needs. As work on the development of the proposed Funding Allocation System was still in hand, and given the implementation date of the legislation (1 April 2014), the Committee agreed that the proposals should be presented to the March meeting of the Corporate Policy and Strategy Committee for approval.
- 1.2 In order for individuals to exercise choice over how their care and support needs are met, they require to know the amount of money available to meet those needs. The (Self-directed Support) (Scotland) (Act) 2013 therefore places a duty on local authorities to notify individuals assessed as being eligible for social care support of the estimated cost of meeting their care and support needs. The legislation refers to this estimate by the Council as the “relevant amount”. In practice, it is usually referred to as the “indicative budget”. The indicative budget is the amount of money, which the individual and their social worker or the person who is assisting them should use as a guide when developing their support plan; it is not an absolute entitlement. Once the support plan has been agreed by the individual and the Council, the cost of the plan is referred to as the “personal budget”.
- 1.3 The Funding Allocation System is the mechanism proposed for the Council to use to identify the estimated cost of meeting the assessed care and support needs of an individual: their indicative budget.

### 2. Main report

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- 2.1 The overall approach to the allocation of resources through the Funding Allocation System was approved by the Health, Social Care and Housing Committee on 28 January 2014.

- 2.2 Following further work on the development of the Funding Allocation System, the indicative budget will be determined through the following steps:
- i. the level of the individual's need is identified through an outcome-focused assessment and expressed as a score
  - ii. the score is adjusted to reflect the extent to which the individual's needs are being met through informal support
  - iii. the impact of the caring role on informal carers is also taken into account and is added to the adjusted score
  - iv. the score is converted to a financial banding (the indicative budget), within which the cost of the individual's care and support needs should be met.
- 2.3 Detailed work has been undertaken to calibrate the Funding Allocation System by establishing the relationship between the scores generated by the assessment and the cost of meeting those needs. A sampling exercise was undertaken involving the completion of around 700 assessments or reviews, using the outcome focused assessment tool. The assessment allowed scores to be generated across seven domains:
- i. personal support needs
  - ii. nutrition
  - iii. making important decisions
  - iv. work and learning
  - v. leisure and community activities
  - vi. caring and parental responsibilities
  - vii. risks to wellbeing
- 2.4 The scores generated by these assessments were compared to the cost of the packages of care put in place as a result of the assessment/review, in order to determine the relationship between the two. This then led to a more focused and detailed analysis of a smaller cohort of 100 assessments. This allowed the range of scores for each area of need to be refined, along with the relative contribution to the overall score made by each area of need. An example of the scoring for one of the domains is attached as Appendix A.
- 2.5 One of the biggest risks in notifying individuals of their indicative budget is that they will view the figure as an entitlement, rather than an estimate. It is therefore proposed that the indicative budget should be expressed in terms of financial bandings, rather than specific amounts. For example, £100 to £200 per week or up to £200, rather than a precise amount of, say, £185.



- 2.6 The care package costs from a range of typical test cases were used to establish the relationship between levels of need expressed as a score and the cost of meeting needs. This analysis resulted in the creation of a number of financial bandings, which can be applied across service user groups.
- 2.7 Where it is not possible to meet the cost of an individual's care and support needs within their indicative budget, the case will be referred to named service managers who will decide on a case-by-case basis whether the amount of the indicative budget should be increased.
- 2.8 The proposed Funding Allocation System has been designed to be flexible and responsive, and to allow changes to be made in the light of experience or policy change. For example, the weighting between domains of need can be changed as can the weighting within domains and the financial bandings.
- 2.9 Despite the significant amount of work done to ensure the Funding Allocation System is calibrated to meet the needs of individuals *and* to be affordable, this is to some extent uncharted territory. Audit Scotland has recently identified as a risk for all Scottish councils the requirement to provide individuals with an estimate of the cost of meeting their care and support needs. This risk needs to be managed and monitored carefully.
- 2.10 It is therefore proposed that Edinburgh takes a measured approach, limiting initially the maximum amount of an individual budget allocated through the Funding Allocation System. For individuals with higher levels of need, we will establish an authorisation process to allow an increase in the indicative budget where it is insufficient to meet needs, i.e. consideration on a case-by-case basis by named service managers. This will ensure that the Council can continue to meet need, whilst the Funding Allocation System is bedding in.
- 2.11 Once operational, the Funding Allocation System will be subject to close monitoring to ensure that it is working as intended; to identify any areas for improvement; and to ensure robust financial control.
- 2.12 It is therefore proposed that:
- the maximum amount allocated directly through the Funding Allocation System from 1 April 2014 is £500 per week (£26,000 per annum)
  - the bandings used are those set out in the table below:

<b>Points banding</b>	<b>Financial banding per week</b>	<b>Financial banding per annum</b>
1 - 3.5	Under £50	Under £2,607
4- 8	£51 - £100	£2,607 - £5,214
9 - 12	£101- £150	£5,215 – £7,821
13 - 16	£151 - £200	£7,822 - £10,428
17 – 20.5	£201 - £250	£10,429 - £13,035
21 - 25	£251 - £300	£13,036 - £15,642
26 - 33	£301 - £400	£15,643 - £20,856
34 - 42	£401 - £500	£20,857 - £26,070

2.13 In order to mitigate against the inherent risks involved in such a significant change to the allocation of resources, the following controls will be put in place from 1 April 2014:

- all assessments will be checked by senior social workers prior to the generation of an indicative budget, to ensure that the detail within the assessment supports the level of need identified by the social work practitioner
- any requests for a level of funding over the amount of the indicative budget will be subject to consideration and approval by a senior manager
- monitoring will take place on a monthly basis comparing:
  - the indicative budget with the amount of funding allocated and agreed through support planning
  - expenditure on new cases compared with that for the same period during the previous year
- monthly reporting to the Director of Health and Social Care, the Chief Social Work Officer, the Head of Older People and Disabilities and the Principal Finance Manager for Health and Social Care – these monthly reports can be made available to members on request, and will be collated into a formal report for the Health Social Care and Housing Committee, following 6 months of the new system’s operation.

2.14 Where any issues are identified in relation to the operation of the Funding Allocation System, recommendations will be made to rectify these using the flexibilities built into the system.

### 3. Recommendations

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3.1 Committee is asked to

- approve the proposals set out in this report for the implementation of a Funding Allocation System
- note the controls identified within the report to manage the operation of the proposed Funding Allocation System
- note that a report detailing the first six months' operation of the Funding Allocation System will be submitted to the Health, Social Care and Housing Committee at the earliest opportunity.

## Peter Gabbitas

Director of Health and Social Care

## Links

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<b>Coalition pledges</b>	P30 – Continue to maintain a sound financial position including long-term financial planning
<b>Council outcomes</b>	P38 - Promote direct payments in Health and Social Care CO10 - Improved health and reduced inequalities CO11 - Preventative and personalised support in place CO12 - Edinburgh's carers are supported CO13 - People are supported to live at home
<b>Single Outcome Agreement</b>	SO2 - Edinburgh's citizens experience improved health and wellbeing, with reduced inequalities in health
<b>Appendices</b>	Appendix 1- Example of scoring system used within the Funding Allocation System

## Appendix 1

### Example of scoring system used within the Funding Allocation System

Domain 6 Nutrition						
The things I may do		My view	Carer's view	Assessor's view	Band	Score
6.1	I do not need help in this area.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
6.2	I need prompting to prepare a meal and/or eat and drink regularly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	A	1
					B	1
					C	1
					D	1.5
6.3	I need some help to prepare a meal and/or eat and drink regularly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	A	2
					B	2.5
					C	4
					D	5.5
6.4	I need all of my meals provided or prepared for me by someone else	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	A	6
					B	6.5
					C	7
					D	8
6.5	I need total support from someone else to help me to prepare my meals and to help me to eat and drink	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	A	8.5
					B	9
					C	9.5
					D	10.00

Please note the scores in this table are illustrative not actual

# Corporate Policy and Strategy Committee

10am, Tuesday, 25 March 2014

## Riddle's Court and 4-6 Victoria Terrace, Edinburgh

Item number	7.7
Report number	
Wards	11, City Centre

### Links

Coalition pledges	<a href="#">P1</a> , <a href="#">P15</a> , <a href="#">P28</a> , <a href="#">P30</a>
Council outcomes	<a href="#">CO2</a> , <a href="#">C07</a> , <a href="#">CO8</a> , <a href="#">C019</a>
Single Outcome Agreement	<a href="#">SO1</a> , <a href="#">SO3</a>

### Mark Turley

Director of Services for Communities

Peter Watton, Acting Head of Corporate Property

E-mail: [peter.watton@edinburgh.gov.uk](mailto:peter.watton@edinburgh.gov.uk) | Tel: 0131 529 5962

# Executive summary

## Riddle's Court and 4-6 Victoria Terrace, Edinburgh

### Summary

---

Previous Council decisions have authorised the lease of Riddle's Court to Scottish Historic Buildings Trust (SHBT) for a 99-year period at a peppercorn rent. The lease is subject to SHBT securing grant funding for the redevelopment of the property, which has now been achieved.

Riddle's Court is joined to another Council property, 4-6 Victoria Street, which is leased to a Youth Cafe (commonly known as 6VT). The original proposals did not envisage this element of the property being included in the proposed lease to SHBT. However, in order to deliver the project, and release the funding, the area is required.

This report sets out the current situation and seeks authority to assist 6VT to relocate with the provision of a new property and financial aid towards fit out costs and future rent.

### Recommendations

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That Committee:-

- 1) Notes the previous decision of the Children and Families and Finance and Resources Committees to grant a 99-year lease of Riddle's Court to SHBT at a peppercorn rent and restates its commitment to the restoration project at Riddle's Court.
- 2) Notes that SHBT has secured Heritage Lottery Funding for redevelopment of the property and that the area currently occupied by 6VT at 4-6 Victoria Terrace is included in the conditions of the lottery grant.
- 3) Further notes that the Heritage Lottery Fund has granted an extension of their offer with a revised deadline of 31<sup>st</sup> March 2014 to meet the conditions of the award.
- 4) Recognises the value of the work undertaken by 6VT and the Board's preference to remain in their current premises until suitable alternative accommodation can be secured.

- 5) To note the options and implications set out at paragraphs 2.4 and 2.5, and instruct Council officers to work with 6VT to seek their relocation by 31 December 2014, ideally by mutual agreement.
- 6) To request officers to report to the relevant Committee on the most appropriate mechanism to allow the resources currently allocated to SHBT to be realigned to 6VT to support the cost of capital fit out and rent of their new premises.

## Measures of success

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- The proposals will see £5.6m invested in one of Edinburgh's historic buildings and preserve its future.
- The proposals will provide new upgraded premises for 6VT at limited additional cost to the Council.

## Financial impact

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- The proposal will require the current management fee of £44,000 per annum reallocated from SHBT to 6VT. This will be sufficient to raise £300,000 in capital for fit out costs and provide a revenue subsidy of £20,000 per annum for future rent.

## Equalities impact

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- Subject to the recommendations of this report being approved a full equalities impact assessment will be carried out.

## Sustainability impact

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- The redevelopment of Riddle's Court will preserve a grade A Listed building for future generations.

## Consultation and engagement

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- Numerous meetings have been held with senior officials and Councillors and with SHBT and 6VT Board officials.

## Background reading / external references

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[Report – Education, Children and Families Committee – 15 March 2011 – Redevelopment of Riddle's Court](#)

Report – Finance and resources Committee – 7 June 2011 – Riddle’s Court – lease to the Scottish Historic Buildings Trust



## Riddle's Court and 4-6 Victoria Terrace, Edinburgh

### 1. Background

---

- 1.1 Riddle's Court is an A-listed 16<sup>th</sup> Century building located in the Old Town just off a close in the Lawnmarket. The southern elevation backs onto Victoria Terrace and immediately below is another Council property, 4-6 Victoria Terrace. Both properties are shown on the attached location plan.
- 1.2 Riddle's Court was operated as a community centre until 2007 and it is now occupied by the Scottish Historic Buildings Trust (SHBT) on a five year lease. 4-6 Victoria Terrace has been leased since 1994 to the Edinburgh City Youth Cafe Association (commonly known as 6VT) on an annual tenancy. The tenancy runs from 1 April until 31 March each year and can only be terminated on the 31 March each year by giving three months notice.
- 1.3 On 15<sup>th</sup> March 2011, the Education, Children and Families Committee approved that SHBT be granted a five year lease of Riddle's Court to enable SHBT to raise funds for the refurbishment of the building. SHBT was also granted an option agreement for a 99-year lease, which is triggered by SHBT securing a fully funded capital project for the renovation of Riddle's Court. Committee also approved that for the first five years, or until practical completion of the capital project (up to a maximum period of 10 years), Children and Families will pay an annual management fee to SHBT of £44,000 towards the cost of managing the building.
- 1.4 The lease and option agreement was subsequently approved by the Finance and Resources Committee on 7<sup>th</sup> June 2011.
- 1.5 6VT works in partnership with the Council providing a range of services to young citizens many of whom are considered to be vulnerable and at risk. As such, the Council gave commitments to 6VT to permit continued occupation following redevelopment. This was reflected in the above reports which stated that 4-6 Victoria Terrace did not form part of the proposed lease to SHBT, however, access to the premises would be required during the construction period. SHBT and the Council would take all reasonable steps to ensure that the Youth Cafe suffers as little disruption as possible. In the event that 6VT relocated from 4-6 Victoria Terrace at some future date, SHBT would have the option to include the property within their lease.

## 2. Main report

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- 2.1 The project is to redevelop the building into the Patrick Geddes Centre for Learning. During the business planning and design stage by SHBT it became clear that the project could not be delivered without utilising 4-6 Victoria Terrace. This was mainly due to the need to install a lift shaft at that level and the resultant impact on that space. Additionally, in order to sustain the financial future of the completed project, the space is required by SHBT for commercial use to generate additional revenue.
- 2.2 Planning and Listed building consent for the full scheme, including the Victoria Street level, was granted on 29 January 2014. On 11 February 2014, SHBT received a formal offer of grant from the Heritage Lottery Fund (HLF) of £3.4m towards their target of £5.6m. This, together with other grants received, means that the project is almost fully funded and can start. The HLF element of the funding can only be released on confirmation that SHBT have secured a long lease of the property, including that element currently occupied by 6VT. The time limit on confirming this can be achieved, to secure the HLF funding, is 31 March 2014 with vacant possession required by 31 December 2014 to allow works to commence.
- 2.3 There have been numerous discussions between the Council, SHBT and 6VT to try and establish a financial and operational solution to relocate 6VT. The Council has proposed a number of alternative properties for 6VT, for example, it could make the former Lismore Rugby Club and Number Shop at 188-190 Pleasance, which are currently vacant, available for let to 6VT to enable its relocation. SHBT also offered to make one of their properties available. To date, no agreement has been able to be reached with 6VT.
- 2.4 There is a strong possibility that, unless a compromise can be reached, the grant funding will be lost. Consequently, the Council has been giving further consideration to the assistance it can provide to 6VT to relocate. The options available to the Council are as follows:-

### **6VT remain at Victoria Terrace**

- This will result in SHBT losing the grant funding and they have intimated that they would walk away from the project. This could allow the Council to sell the asset but it would have limited value in its current condition and impacted by the most valuable part of the building (Victoria Terrace) being excluded.
- A recent building survey, commissioned by SHBT, has identified that immediate repairs are required. These repairs, to the roof and facade, are communal to the building and, in terms of the existing lease, 6VT would be liable to contribute a pro rata share estimated at approximately £170,000. The repairs cost estimates that to bring Riddle's Court into a

good condition, and to prevent any further decay of the fabric (excluding internal improvements/alterations), is in the order of £1.5m.

- Without capital investment in the whole building there is strong evidence to suggest that 6VT will have to relocate in any event in the short to medium term.

### **Assist 6VT to relocate**

- Any new premises will require capital expenditure for fit out. For example, an outline assessment of the cost of fitting out the former Lismore Rugby Club and Number Shop has been estimated at £300,000. The two units have an estimated rental value of £20,000 per annum.
- Both Children and Families and SHBT have suggested that the current £44,000 per annum, currently paid as a management fee to SHBT, could be commuted to 6VT to fund the borrowing costs for fit out with any residue, deemed as a grant, contributing to rental payment to the Council.
- The proposed new premises could offer the opportunity for 6VT to expand and grow their operations, which is not possible from Victoria Terrace.

2.5 In summary, the project to restore Riddle's Court is ready to commence releasing over £5m of investment. For the project to proceed the Council is required to agree to relocate 6VT and include the area they currently occupy into the lease with SHBT. This would ideally be done by mutual agreement. If this cannot be achieved then the Council will need to decide whether to terminate 6VT's lease at the next opportunity, 31 March 2015.

## **3. Recommendations**

---

3.1 That Committee:-

- 1) Notes the previous decision of the Children and Families and Finance and Resources Committees to grant a 99-year lease of Riddle's Court to SHBT at a peppercorn rent and restates its commitment to the restoration project at Riddle's Court.
- 2) Notes that SHBT has secured Heritage Lottery Funding for redevelopment of the property and that the area currently occupied by 6VT at 4-6 Victoria Terrace is included in the conditions of lottery grant.
- 3) Further notes that the Heritage Lottery Fund has granted an extension of their offer with a revised deadline of 31<sup>st</sup> March 2014 to meet the conditions of the award.

- 4) Recognises the value of the work undertaken by 6VT and the Board's preference to remain in their current premises until suitable alternative accommodation can be secured.
- 5) To note the options and implications set out at paragraphs 2.4 and 2.5, and instruct Council officers to work with 6VT to seek their relocation by 31 December 2014, ideally by mutual agreement.
- 6) To request officers to report to the relevant Committee on the most appropriate mechanism to allow the resources currently allocated to SHBT to be realigned to 6VT to support the cost of capital fit out and rent of their new premises.

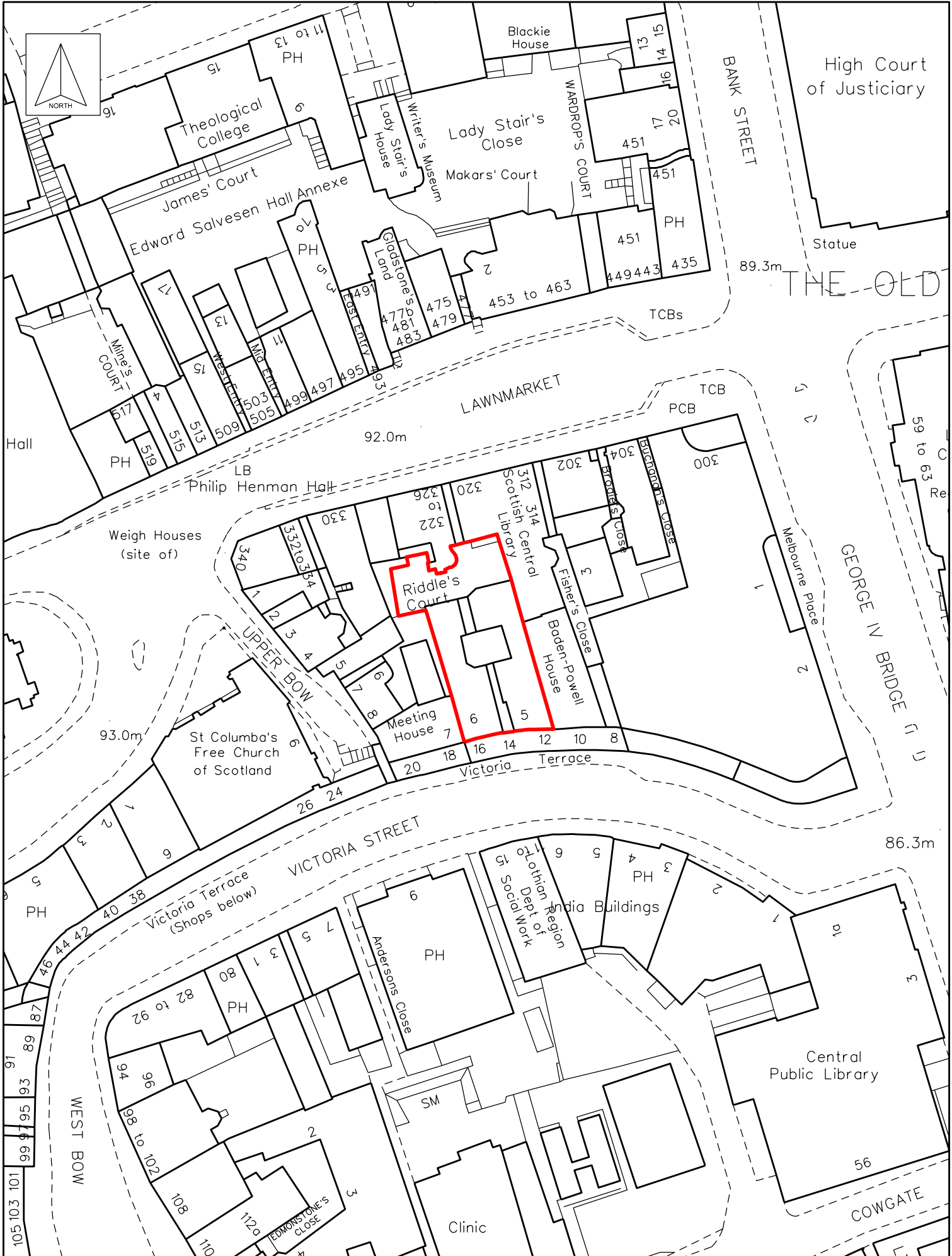
## Mark Turley

Director of Services for Communities

### Links

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<b>Coalition pledges</b>	<p>P1 - Increase support for vulnerable children, including help for families so that fewer go into care.</p> <p>P15 - Work with public organisations, the private sector and social enterprise to promote Edinburgh to investors.</p> <p>P28 - Further strengthen our links with the business community by developing and implementing strategies to promote and protect the economic well being of the city.</p> <p>P30 - Continue to maintain a sound financial position including long-term financial planning .</p>
<b>Council outcomes</b>	<p>CO2 - Our children and young people are successful learners, confident individuals and responsible citizens making a positive contribution to their communities.</p> <p>CO7 - Edinburgh draws new investment in development and regeneration.</p> <p>CO8 - Edinburgh's economy creates and sustains job opportunities.</p> <p>CO19 - Attractive Places and Well Maintained – Edinburgh remains an attractive city through the development of high quality buildings and places and the delivery of high standards and maintenance of infrastructure and public realm.</p>
<b>Single Outcome Agreement</b>	<p>SO1 - Edinburgh's Economy Delivers increased investment, jobs and opportunities for all.</p> <p>SO3 - Edinburgh's children and young people enjoy their childhood and fulfil their potential.</p>
<b>Appendices</b>	<p>Appendix 1 – Location plan</p>



TITLE

Riddle's Court  
Edinburgh

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**EDINBURGH**

Estate Services  
Corporate Property  
Services for Communities  
4 East Market Street

DATE  
March 2014

SCALE  
1:800 @ A4

DRAWN BY  
A.Powers

# Corporate Policy and Strategy Committee.

10am, Tuesday 25 March 2014

## Integrated Children's Services – referral from the Education, Children and Families Committee

Item number	7.8
Report number	
Wards	All

### Links

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

### Carol Campbell

Head of Legal, Risk and Compliance

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# Terms of Referral

## Integrated Children's Services

### Terms of referral

---

The Education, Children and Families Committee on 4 March 2014 considered a report on a proposal to take forward the development of Integrated Children's Services within the city of Edinburgh. The intention was to seek agreement within the Council and NHS Lothian to take forward a consultation process and to develop a more extensive business case and firm proposals, including management structures.

The proposal would then be submitted to the Scottish Government along with a paper setting out the integrated adult health and social care arrangements within the city.

The Education, Children and Families Committee agreed:

- 1) The rationale for such an Integrated Service and the proposal to consult on a wide basis to further its development.
- 2) To request that a further report be submitted to the August Committee reporting on the consultation process and outlining the next stage of the development of an Integrated Service.
- 3) To refer the report to the Corporate Policy and Strategy Committee to approve the proposals.

### For decision/action

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1. The Education, Children and Families Committee has referred the attached report to the Corporate Policy and Strategy Committee for approval.

### Background reading / external references

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None.

### Links

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<b>Coalition pledges</b>	See attached report
<b>Council outcomes</b>	See attached report
<b>Single Outcome Agreement</b>	See attached report
<b>Appendices</b>	Report by the Director of Children and Families

# Education, Children and Families Committee

10am, Tuesday, 4 March 2014

## Integrated Children's Services

Item number

Report number

Wards

All

### Links

Coalition pledges

[P1](#), [P36](#)

Council outcomes

[CO1 – CO6](#)

Single Outcome Agreement

[SO2](#), [SO3](#)

### Gillian Tee

Director of Children and Families

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# Executive summary

## Integrated Children's Services

### Summary

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The attached report is a paper which outlines the proposal to take forward the development of Integrated Children's Services within the city of Edinburgh. This proposal will establish systems that further develop effective partnership working at a local level and deliver even better outcomes for children, young people and their families in Edinburgh.

This high level paper will provide the platform for an extensive consultation and engagement programme across the areas of provision within scope of an Integrated Service. This engagement will involve staff and service users as well as recognising Trade Union consultation processes where appropriate and relevant to the changes proposed.

The intention is to seek agreement within City of Edinburgh Council and NHS Lothian to take forward this consultation process and to develop a more extensive business case and firm proposals (including management structures) for such an Integrated Children's Service here in the city. This proposal would then be submitted to the Scottish Government along with the paper which sets out the integrated adult health and social care arrangements within the city

### Recommendations

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1. The Committee is asked to agree the rationale for such an Integrated Service and the proposal to consult on a wide basis to further its development
2. That the Committee request a further paper to be submitted to the August Committee reporting on the consultation process and outlining the next stage of the development of an Integrated Service.
3. That the Committee request the Corporate Policy and Strategy Committee to approve the proposals.

### Measures of success

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The Integrated Children's Plan, the Children and Families Service Plan and the NHS Lothian Children and Young People's Health and Wellbeing Strategy outline the areas of activity which will maintain and improve outcomes for children, young people and their families in Edinburgh. The existing performance framework which supports these

plans will be reviewed and further developed to acknowledge Integrated Services. We would expect to see improvements in the priority areas within these plans.

## Financial impact

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The development of Integrated Services will be managed within existing Children and Families budgets and we would anticipate that efficiencies can be achieved through the development of more shared resources and business support functions.

## Equalities impact

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As the process develops a full Equalities and Right Impact Assessment will be undertaken. However, the development of an Integrated Service should help us address areas of inequality more effectively and efficiently.

## Sustainability impact

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Developing models of collocation and shared services will have a positive effect in terms of property use and associated energy requirements and the development of more integrated working practices should produce more sustainable services in the longer term.

## Consultation and engagement

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This proposal to develop Integrated Children's Services builds on – and will be supported by - the very positive work of the multi-agency Edinburgh Children's Partnership.

A full information, consultation and engagement programme will be developed to explore the potential in this discussion document and to determine the best structures and approaches to delivering integrated services which improve outcomes.

## Background reading / external references

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None

## Gillian Tee

Director of Children and Families

## Links

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<b>Coalition pledges</b>	P1. Increase support for vulnerable children, including help for families so that fewer go into care
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<b>Council outcomes</b>	<p>P36. Develop improved partnership working across the Capital and with the voluntary sector to build on the “Total Craigroyston” model</p> <p>CO1. Our children have the best start in life, are able to make and sustain relationships and are ready to succeed</p> <p>CO2. Our children and young people are successful learners, confident individuals and responsible citizens making a positive contribution to their communities</p> <p>CO3. Our children and young people in need, or with a disability, have improved life chances</p> <p>CO4. Our children and young people are physically and emotionally healthy</p> <p>CO5. Our children and young people are safe from harm or fear of harm, and do not harm others within their communities</p> <p>CO6. Our children and young people’s outcomes are not undermined by poverty and inequality</p>
<b>Single Outcome Agreement</b>	<p>SO2. Edinburgh’s citizens experience improved health and wellbeing, with reduced inequalities in health</p> <p>SO3. Edinburgh’s children and young people enjoy their childhood and fulfil their potential</p>
<b>Appendices</b>	<p>1. “Towards a Model of Integrated Children’s Services for Edinburgh”</p>

## **DRAFT FOR CONSULTATION**



### **Towards a Model of Integrated Children's Services for Edinburgh**

#### **Vision for children services in Edinburgh**

*Our vision is for all children to enjoy their childhood and achieve their potential.*

The positive Care Inspectorate joint inspection of services for children and young people in the City of Edinburgh in 2013 recognised the work that has been done to implement Getting it right for every child across the authority and to improve outcomes for children and families in line with the aspirations in the city's Integrated Plan for Children and Young People.

However, we also know we can do more to do to improve the co-ordination and integration of children's services and our proposals for Integrated Children's Services are intended to progress this agenda and:

- improve and extend help and support at an early stage for children, young people and families so they get the help they need before difficulties get worse;
- improve planning to meet needs so that children and young people experience long-lasting improvements;
- implement more systematic and joint approaches to quality assurance and self-evaluation to improve outcomes for children and young people;
- continue to reduce outcome gaps for children and young people whose life chances are at risk and place a stronger focus on achieving speedier improvement for the most vulnerable.

This proposal for an Integrated Children's Service in Edinburgh will establish systems that further develop effective partnership working at a local level and deliver even better outcomes for children, young people and their families here in Edinburgh.

#### **Outcomes**

The integrated Plan for Children and Young People (2012-2015) covers the range of services from universal provision to more targeted and intensive interventions and identifies six high level strategic outcomes:

1. Our children have the best start in life.
2. Our children are successful learners, confident individuals, and responsible citizens making a positive contribution to their communities.
3. Our children in need or with a disability have improved life chances.
4. Our children are physically and emotionally healthy.
5. Our children are safe from harm.
6. Our children outcomes are not undermined by poverty or inequality.

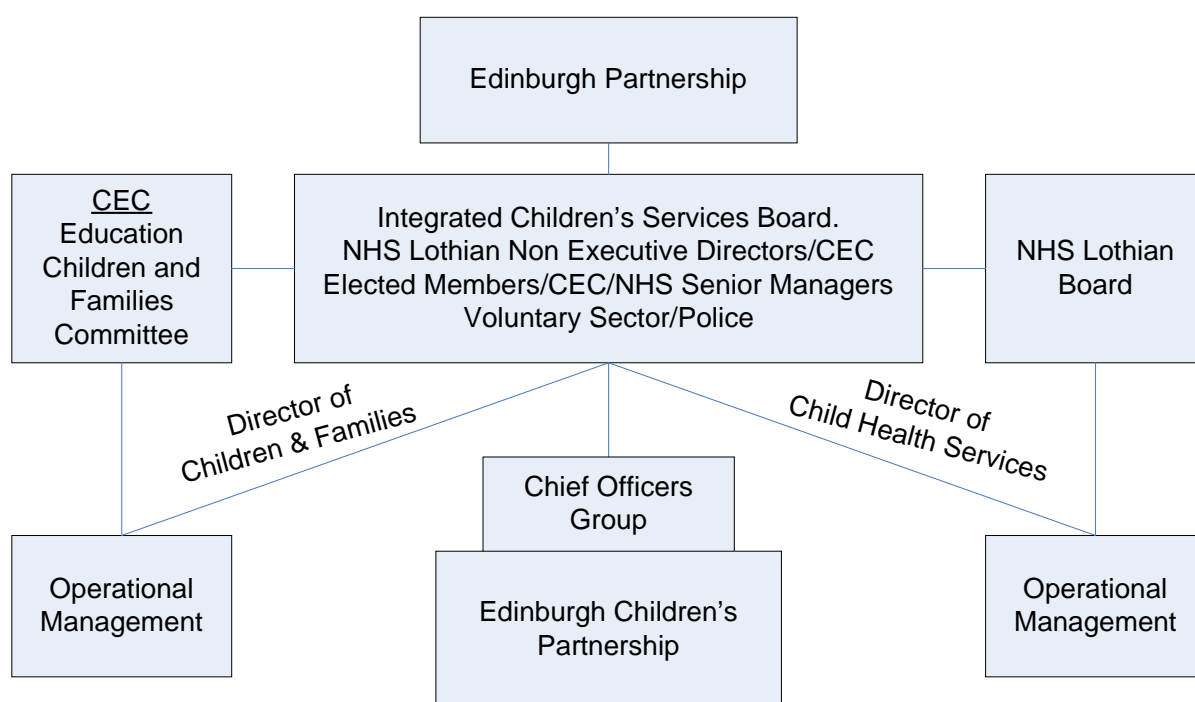
**Key Principles** We are determined to “do whatever it takes” (in terms of support, service development and service delivery) to achieve these outcomes. This means:

- Maintaining a focus on prevention and early intervention in our service planning and delivery
- Working with people to help them make the most of their own strengths and resources
- Developing services in partnership with children, families and communities so that we build on assets to develop solutions and judge their effectiveness together.
- Providing services and early interventions as soon as they are needed and for as long as they are needed with regular reviews of the effectiveness of those interventions.
- Making it easy for people to access our services as locally as possible.
- Making sure our services are joined up and working together effectively.
- Ensuring that children and families have one person that they can get, wherever possible to know over time and who will work with them to help them get the help they need.

**Proposals for the development of integrated children’s services in Edinburgh**

**1. To establish a Joint Integrated Children’s Services Board within the Edinburgh Community Planning Partnership.**

**Governance Arrangements – Children’s Services in Edinburgh**



This Children’s Partnership Board would include equal membership from Council and NHS alongside Police Scotland and Voluntary Sector representation and would oversee the work of the existing officer-led Children’s Partnership as well as the delivery of the following services for children in Edinburgh: Education, Social Work and NHS Lothian Community Children’s Services.

It is envisaged that the Board would initially operate on a consensual basis, similar to the former Joint Board of Governance for adult services in Edinburgh. Whilst recognising the

need to develop appropriate management structures, this would ensure a holistic view of all of children's services in Edinburgh from universal to specialist and acute services and build on the successful work of the Children's Partnership. We would expect that the development of such a Board will also improve transition arrangements for young people moving into adult services and build on the important interface with existing adult treatment and care services in terms of better supporting families as a whole unit.

## **2. To strengthen management arrangements of children's health services in Edinburgh through the establishment of a Director of Health for Children and Young People.**

The creation of the shadow Health and Social Care Partnership and anticipated future dissolution of the Community Health Partnership (CHP) in April 2015 has a consequential effect for Health Visiting and School Nursing services that are currently managed within Edinburgh CHP. It has been proposed that these services will not be managed or governed within the Edinburgh Health and Social Care Partnership. An agreement on the future management and governance of these services is therefore required for inclusion in our Health and Social Care Integration Plan. The status quo is therefore not an option. A number of high level discussions about models which would strengthen and further integrate community health services a preferred management arrangement has been proposed.

This proposal is to incorporate the CHP managed Children's Services within the existing portfolio of the Director of Operations for the Women and Children's Directorate, who currently manages a wide range of NHS Lothian wide and Edinburgh Community Child Health Services including Community Medical Staff, the Community Children's Nursing Team, Children's Outreach Service & Community Respite, Complex Care / Packages of Care and supply of NHS Community Children's Equipment. This would bring together the management of Edinburgh's children's community health services under one NHS Director of Children's Health Services. Under this arrangement all universal and specialist children's community health services currently managed within the CHP and Children and Women's Directorate will become a single operational unit. This structure will ensure that all elements of professional accountability, support and supervision are appropriately developed, managed and delivered.

As mentioned in the Governance Section, there is the potential over time, to include the management of Child and Adolescent Mental Health Services, Family Nurse Partnership and Allied Health Professionals. Given the significant contribution these services make to the health and wellbeing of children and young people it will be important to consider this as part of the consultation process. Should all these services be included within a single management arrangement it is envisaged that a 'Head of Children's Community Health Services' will be required with clear lines of professional leadership and accountability.

The Director of Health for Children will work in partnership with the Director of Children and Families in the Council and together they will have responsibility for the delivery of children's services in Edinburgh. This will strengthen the work of the existing Children's Services Chief Officers' Group which comprises the Director of Children and Families in the Council, the NHSL Child Health Commissioner, the Police Commander and the Voluntary Sector lead from the Children and Families Network.

### **3. To ensure the consistent implementation of Getting it Right for Every Child for all children and families**

Edinburgh already has effective arrangements in place for Getting it Right for Every Child in Edinburgh. These arrangements were commended in the recent inspection of children's services in Edinburgh and include:

- A named midwife responsible for maternal health and continuity of care during pregnancy and until handover to the named Health Visitor around 10-14 days of a baby's life.
- A named Health Visitor until the child enters Primary School
- A named Head Teacher for school age children.
- The development of a single assessment and single plan for a child or a family.
- That every child or family should have one person that they can get to know over time and who will work with them to help them get any extra help they need. For most children this will be a health visitor or head teacher but for some children with complex needs this will be another professional.

The integration of services will support the further embedding of these arrangements and ensure that the core elements are consistently applied in practice across the city in line with the requirements of the Children and Young People's Bill

### **4. To establish neighbourhood multidisciplinary children's services management teams across Edinburgh to ensure the oversight and delivery of integrated children services.**

Multi-agency Children's Services Management Groups (CSMGs) are already operating in 5 areas across the city. Their remit is to develop Getting it Right practice, support the development of the 'Team around the Cluster' model and improve interagency collaboration and the effectiveness of services at local level. Each is supported by an Area Co-ordinator. The CSMGs should comprise operational managers who have responsibility for a range of children's services within a defined geographical area: to progress the integration agenda it will be important that the membership and remit of the CSMGs are revised and formalised and that they comprise Service Managers from the key services for children in Edinburgh e.g. education, social work, NHS Lothian Community Children's Services, police and voluntary sector.

Their role will be to provide the necessary leadership to ensure the delivery of the vision and outcomes for children within their local area. They will ensure that the services they manage work together effectively to "do whatever it takes" to improve the outcomes and life chances of children in their area. They will have a key role in translating the principles for integrated services into reality for the children and families in their area and for maximising the opportunities for collocation and shared business services. The boundaries of each CSMG should be determined during the period of consultation in order to maximise the potential for synergy between adult and children's service integration.

### **5. To extend the Total Place approach to the other school clusters across the city.**

The work to date in Total Neighbourhood in East Edinburgh and the first year evaluation of Total Craigroyston both demonstrate good progress towards improving coordination with positive feedback from local people about the work which is being undertaken to “join things up”. Whilst there is much more to do to realise the potential of fully integrated local services for children and families, outcomes for children and young people have already improved markedly in a number of areas in Craigroyston:

- The number of school leavers into positive destinations is the highest level recorded.
- Educational attainment and staying on rates at Craigroyston high school have improved significantly with 100% pupils attaining 5 standard grades at level 3.
- Feedback from secondary school staff is that the attainment of S1 pupils on transfer is the best it has been for a number of years.
- Joint work between health visitors and social work is resulting in support being offered much earlier to families who need it.

Some outcomes have not yet improved, (for example school attendance levels remain a cause for concern) and there are still concerns about a number of young people involved in antisocial behaviour in the community as well as about the increased impact of substance misuse on families. Issues such as this will remain a focus for the integration agenda as we go forward. Feedback from staff and parents is largely positive with a number of important strengths identified (see annex 1 for details of feedback from Craigroyston). Parents recognised that services were prioritising their area and working more closely with the community and across different services to meet local needs. Staff across the agencies highlighted that there was a real sense of partnership and listening to feedback from local people and of working jointly to address problems. No one was under any illusion that Total Craigroyston was a panacea or that there were any easy solutions to longstanding problems. Rather there was a sense of local services working more closely together and in partnership with the community they serve to tackle problems together and learn from what was working and what was not. This in turn was having a positive impact on outcomes for children and families. This “can do”, solution focused, learning culture is key.

As part of the integration agenda it is proposed to extend the Total Place approach to the other school clusters throughout the city on a phased basis. This will involve identifying the multi-agency team (including education, community learning and development, social work, health, housing, community safety, police and voluntary sector staff) linked to each school cluster throughout Edinburgh. The role of the team will be to provide the necessary support to ensure the delivery of the vision and outcomes for children within their local area. Staff will ensure they work together effectively to “do whatever it takes” to improve the outcomes and life chances of children in their area and translate the principles for integrated services into reality for the children and families in their area. For each cluster the focus will be on:

- strengthening support for children and families from universal services;
- strengthening support for families;
- strengthening support for the community.

Highly skilled leadership is seen to be key to the success of the Total Place approach with clear responsibility delegated to an identified individual to coordinate the work of local services, ensure that services are working together effectively and in partnership with the community for the benefit of children and families.



It is therefore proposed to identify a Coordinator for each cluster team. This will be from within existing resources on the basis that these arrangements will make more effective use of the wide range of multi-agency resources already in place within each local area. Coordinators will be appointed on a phased basis informed by an assessment of need and local circumstances by the neighbourhood CSMG.

Staff and parents had feedback about how they would like to see services improve. This feedback is included at annex 1. An improvement plan is being developed to respond to this feedback and will be taken forward as part of the wider plans for developing integrated services.

## **6. To develop integrated city wide services for children with additional support needs /disabilities.**

There are some groups of children, for example with additional support needs or a disability who require more specialist services than are routinely available at a locality level. Examples include children with complex and exceptional healthcare / additional support for learning needs, autism or mental health problems or with disabilities and severe and challenging behaviour. Work is required to ensure a coordinated multi-agency getting it right approach and to improve the consistency in the quality and availability of provision for children with a disability across Edinburgh. It is proposed to build on the successful model of case management referral groups to ensure that these children's needs are identified and that they access support in the best way possible and to look specifically at the "team support" that would be most appropriate in a special school or home setting. Opportunities should also be explored for improving joint commissioning approaches to ensure that the planning and delivery of services is as integrated as possible, meeting the needs of children as close to home, wherever possible.

### **Consultation and engagement**

It is proposed to engage, consult and inform staff, children and families, NHS staff partnership and Trade Unions from the respective organisations on these proposals to shape their further development in readiness for submission to the Government as part of the Edinburgh Health and Social Care Integrated Plan by December 2014.

S Egan, Associate Director and Child Health Commissioner, NHS Lothian

F Mitchell, Director of Operations, NHS Lothian

G Tee, Director, Children and Families, City of Edinburgh Council

## Total Craigroyston: Feedback from Parents and Staff

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Overall there is strong support from parents and staff about the Total Craigroyston approach.

The following strengths were identified:

- Parents recognised that services were prioritising their area and working more closely with the community and across different services to meet local needs. There was a sense of partnership and listening to feedback from local people and working jointly to address problems. Parents reported that a wide range of statutory and voluntary services were available locally.
- They highlighted the importance of being able to get support from universal services, having open access services and services which supported the whole child and the whole family. They appreciated services which worked in partnership with parents and involved them in the development of solutions. They valued having a relationship with a key individual who get to know them over time.
- They valued “Trim” the residents/ tenants group and felt this could be used more e.g. to advertise services available locally. They valued having the community shop, food coop, open cafe and activities run by local people for local people.
- They highlighted the importance of schools as providing highly valued, non stigmatising support. They valued schools which welcomed parents (fathers as well as mothers), ran breakfast clubs, after school clubs and holiday provision, led work on Rights Respecting Schools addressed issues of bullying, provided advice and support for parents including parenting programmes. They highlighted the excellent work of the home school link worker at Forthview primary school.
- They valued the range of services provided through the early years centres and would like more of these e.g. longer session times. They valued the Pilton Community Heath project.
- They appreciated services which worked in partnership with parents, took a whole family focus and were willing to “do whatever it takes” to meet the family’s needs.
- They valued the “My Child” year long course run by adult education and which was on offer for all parents and also the Health and Literacy project at Pennywell.
- They valued voluntary sector services e.g. the pregnancy cafe and Bump Start at the Haven, Circle family support service. They valued the Pilton Community Heath project.
- They valued the expertise of staff from Rowanfield Special School and its multi-agency approach.
- Staff also valued Total Craigroyston and even staff who had worked in the area for a long time said they had a better idea of the full range of services available locally. They appreciated the Support in Time meetings to coordinate support for particular children and families.

Parents and staff also had a number of suggestions for improving services

- They felt services needed to be available earlier and not just when problems had developed and the staff should listen more to parents and children when they said they had concerns about their child. They did not like having to tell their story to so many different people.
- They felt that it was difficult to get a clear picture of the range of services available in the area and that some parents may not know where to go to for help.
- They had concerns about lack of early diagnosis and help for children with Additional Support Needs and about long waiting times for some services e.g. occupational therapy, speech therapy, counselling and mental health services. Parents of children with complex needs often had lots of appointments and sometimes had difficulty accessing them e.g. children in special schools could have lots of appointment in different places.
- They thought there needed to be better support for domestic abuse and for families with parents in prison.
- They thought there should be more for young people to do in the local area (or more information about what is available for them). There is a particular problem with young people taking and driving cars causing a risk to themselves and others.
- They thought transition from primary to secondary school could be improved.
- There were difficulties with thresholds for services e.g. could the pregnancy cafe keep some families for longer if they needed it, could a midwife continue beyond 10 days?
- There is a lack of space for some activities e.g. for community groups to meet, lack of a parents room in the early years centre.
- There isn't a good multiagency system for identifying the families which need help early on. There aren't enough services offering direct, practical help to parents e.g. family support workers. Parents and staff felt that better use could be made of resources in the local community e.g. older people in the community who could act as "grandparents" for young families experiencing hardship.

## **Recommendations**

1. Strengthen work in schools in relation to home school links, parent support, parenting, out of school care.
2. Increase the availability of the "My Child" programme run by adult education.
3. Provide better information for parents on the range of support available for them.
4. Look at the services available on an area basis to make it easier for parents to access support and for services to work together effectively e.g. early years centres as a point of support for under 5s, schools (with home school link workers) as a point of support for school age children, community centres providing multiagency support services e.g. health clinics, more co location of services so services work together more closely and parents know where to go to for help. The new Muirhouse centre provides an opportunity for this.
5. Improve coordination of support for individual children and families e.g. developing a child or family plan overseen by someone who has a relationship with the family over time, is able to do "whatever it takes" to support the family with services which are needs led rather than service led e.g. being able to keep with a family if they need it.
6. Increase the number of open access services which parents can go to without the need for a referral or a waiting list.

7. Increase availability of early intervention services for all children e.g. health visitors, school nurses, home school link workers.
8. Increase support for children with additional support needs and make it easier and faster to access services. In particular, increase availability of occupational therapy, speech and language therapy and mental health services. Make it easier for children to access services e.g. local clinics, school based services, text message reminders about appointments.
9. Increase availability of support for parents e.g. parenting, family support services.