Notice of meeting and agenda

Corporate Policy and Strategy Committee

10.00am, Tuesday, 5 December 2017

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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1.   Order of business

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

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

3.1   If any

4.   Minutes

4.1   Minute of the Corporate Policy and Strategy Committee of 3 October 2017 (circulated) – submitted for approval as a correct record

5.   Forward planning

5.1   Corporate Policy and Strategy Committee Key Decisions Forward Plan December 2017 (circulated)

5.2   Corporate Policy and Strategy Committee Rolling Actions Log (circulated)

6.   Business Bulletin

6.1   Corporate Policy and Strategy Committee Business Bulletin (circulated)

7.   Executive decisions

7.1   Edinburgh Biodiversity Duty Report 2015-2017 – report by the Executive Director of Place (circulated)

7.2   Sustainable Energy Action Plan – report by the Executive Director of Place (circulated)

7.3   Change Management Reform – report by the Chief Executive (circulated)

7.4   Assurance of Council Human Resources Policies – referral from the Governance, Risk and Best Value Committee (circulated)

8.   Routine decisions

8.1   Summary Report on Community Empowerment (Scotland) Act 2015: Proposed Consultation Response on Common Good Matters – referral from the Finance and Resources Committee (circulated)

8.2   Council Resilience Annual Report – report by the Chief Executive (circulated)

8.3   Working Groups as Public Meetings – report by the Chief Executive (circulated)

8.4   Edinburgh and South East Scotland City Region Deal – Role of Third Sector and Social Enterprises – report by the Chief Executive (circulated)

8.5   Internal Audit Quarterly Update Report – referral from the Governance, Risk and Best Value Committee (circulated)

8.6   Edinburgh Schools Inquiry – report by the Chief Executive (circulated)

9.   Motions

9.1   Motion by the Lord Provost

"Committee:

Notes that there has been a structural change in the Armed Forces resulting in a greater number and reliance on Reservists.

Notes that Council has recently signed up to the Armed Forces Covenant which commits to promoting the employability and skills of Reservists.

Notes that the Council does not currently know how many of its employees are Reservists and that therefore has not quantified the risk if some or all are called up for duty.

Instructs the Chief Executive to:

Submit a report to committee, in 2 cycles, detailing the number of Reservists currently employed by service.

Update the Council Risk Register to include the information contained in the report."

Laurence Rockey

Head of Strategy and Insight

Committee Members

Councillors McVey (Convener), Day (Vice-Convener), Aldridge, Burgess, Doggart, Macinnes, Main, McLellan, Perry, Rankin and Whyte.

Information about the Corporate Policy and Strategy Committee

The Corporate Policy and Strategy consists of 11 Councillors and is appointed by the City of Edinburgh Council. The Corporate Policy and Strategy Committee usually meets every eight 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

If you have any questions about the agenda or meeting arrangements, please contact Allan McCartney or Jamie Macrae, Committee Services, City of Edinburgh Council, Business Centre 2.1, Waverley Court, 4 East Market Street, Edinburgh EH8 8BG, Tel 0131 529 4246/0131 553 8242.

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.

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Please note: this meeting may be filmed for live and subsequent broadcast via the Council's internet site – at the start of the meeting the Convener will confirm if all or part of the meeting is being filmed.

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Any information presented by you at a meeting, in a deputation or otherwise, in addition to forming part of a webcast that will be held as a historical record, will also be held and used by the Council in connection with the relevant matter until that matter is decided or otherwise resolved (including any potential appeals and other connected processes). Thereafter, that information will continue to be held as part of the historical record in accordance with the paragraphs above.

If you have any queries regarding this, and, in particular, if you believe that use and/or storage of any particular information would cause, or be likely to cause, substantial damage or distress to any individual, please contact Committee Services on 0131 529 4105 or committee.services@edinburgh.gov.uk .

Item 4.1 - Minutes

Corporate Policy and Strategy Committee

10.00 am, Tuesday, 3 October 2017

Present

Councillors McVey (Convener), Day (Vice-Convener), Aldridge, Burgess, Doggart, Macinnes, Main, McLellan, Perry, Rankin and Rust (substituting for Councillor Whyte).

1. Deputation

The Committee agreed to hear a deputation from Michael Vallance and Johan Collins from the Power to the People group.

The main points raised by the deputation were:

- The deputation raised concerns about the effect that the benefits cap was having on families in Edinburgh and reiterated the proposals set out in previous deputations.
- Concerns were raised about the under spend in the Discretionary Housing Payments (DHP) budget. The deputation confirmed that they had been in correspondence with officers to coordinate attendance at an event to raise awareness of DHP and to ensure that eligible individuals understood the application process.
- During discussion, it was confirmed that the Council would be running a pilot to waive the initial access fee for individuals accessing any possessions that had been put into storage.

The Convener thanked the deputation and invited them to remain for the Committee's consideration of the report by the Executive Director of Resources.

(References – Corporate Policy and Strategy Committee, 8 August 2017 (item 1); letter from the Power to the People Group to the Corporate Policy and Strategy Committee, 2 October 2017, submitted.)

2. Welfare Reform – Update

An update was provided on Welfare Reform, including an outline of the work underway to support the rollout of Universal Credit and to respond to the issues raised by the Power to the People deputation. It was confirmed that Welfare Reform issues would be taken forward by the Committee's Welfare Reform Working Group.

Decision

1) To note the ongoing work to support Universal Credit and Welfare Reform, in particular the extension of the benefit cap in Edinburgh.

2) To note the current spend projections for Discretionary Housing Payments, Council Tax Reduction Scheme and the Scottish Welfare Fund.

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3) To note the Members Briefing detailed at Appendix 4 to the report in response to Power to the People deputation at Full Council on 29 June 2017.

4) To agree that officers would provide Power to the People with the Homelessness and Housing Council Policy.

5) To note that the Homelessness and Housing Senior Support Manager would arrange to meet with people experiencing temporary accommodation issues.

6) To agree that the Customer Manager would liaise with the Advice Services Team about the restructure of the service and the impact of a reduction on resources and the capacity of the service to give advice, and whether the 70% success rate of people appealing against the benefits decisions was being fed back to the Department of Work and Pensions.

7) To provide Councillors with a projection of the number of Universal Credit claimants after it was rolled out to everyone.

(References – Act of Council (No 1), 29 June 2017; report by the Executive Director of Resources, submitted.)

3. Minutes

Decision

To approve the minute of the Corporate Policy and Strategy Committee of 8 August 2017 as a correct record, subject to the amendment of the report author from the Executive Director of Resources to the Chief Executive at item 10.

4. Corporate Policy and Strategy Committee Key Decisions Forward Plan August to October 2017

The Corporate Policy and Strategy Committee Key Decisions Forward Plan for December 2017 was presented.

Decision

To note the key decisions forward plan.

(Reference – Key Decisions Forward Plan December 2017, submitted.)

5. Corporate Policy and Strategy Committee Rolling Actions Log

Details were provided of the outstanding actions arising from decisions taken by the Committee.

Decision

1) To agree to close items 9 and 11.

2)   That officers would update Councillors on the progress of the transfer of land from the Sasines Register to comply with the Land Registration (Scotland) Act 2012 (item 3).

3)   To otherwise note the Rolling Action Log.

(Reference – Rolling Actions Log, submitted.)

6.   Corporate Policy and Strategy Committee Business Bulletin

The Corporate Policy and Strategy Committee Business Bulletin was presented.

Decision

To note the Business Bulletin.

(Reference – Corporate Policy and Strategy Committee Business Bulletin, submitted.)

7.   Contact Centre – Performance Update: April – July 2017

The Performance Update for April – July 2017 was presented. It was highlighted that significant improvements had been made since the previous update and that officers were continuing to consider ways to improve performance.

Decision

1)   To note current performance trends within the Contact Centre.

2)   To note ongoing service and performance improvement activities to ensure that Council services were easy to access and citizen queries and complaints were dealt with effectively.

(References – Corporate Policy and Strategy Committee, 28 March 2017 (item 10); report by the Executive Director of Resources, submitted.)

8.   Council Asbestos Policy

Details were provided of the new Council Asbestos Policy. The new policy would replace the existing Corporate Policy for Managing Asbestos.

Decision

1)   To approve the new Council Asbestos Policy.

2)   To agree that officers would circulate details of cases of asbestos-related disease in Edinburgh to members of the Committee.

(Reference – report by the Executive Director of Resources, submitted.)

9.   Council Fire Safety Policy

Committee considered the new Council Fire Safety Policy. The new policy would replace the existing Fire Safety Policy.

Decision

To approve the Council Fire Safety Policy.

(Reference – report by the Executive Director of Resources, submitted.)

10.   Inspection of Older People's Services Progress Report

Details were provided of a progress report on the Inspection of Older People's Services. Following the Inspection of Older People's Services in October/November 2016, a detailed report was produced in order to address the issues identified. The report set out 17 recommendations for improvement.

An update was provided on the Health and Social Care Partnership's progress in responding to the 17 recommendations and outlined the commitment to review the original action plan to ensure activity was prioritised appropriately and realistically.

Decision

1)   To note actions taken to date in responding to the inspection's recommendations, as set out in Appendix 1 of the report.

2)   To note the Health and Social Care Partnership's intention to review the associated action plan and report back on priorities and timescales.

3)   To agree that the timetable for the appointment of a permanent Chief Officer would be brought to the next meeting of the Committee.

Declarations of interest

Councillor Main declared a non-financial interest as a member of the Edinburgh Integration Joint Board.

(References – Edinburgh Integration Joint Board, 22 September 2017 (item 8); report by the Interim Chief Officer, Edinburgh Health and Social Care Partnership, submitted.)

11.   Edinburgh's Domestic Abuse Strategy and Improvement Plan: Developing a Coordinated Community Response

Committee considered the domestic abuse strategy and improvement plan, which set out work streams to reshape domestic abuse services in Edinburgh. Financial savings were anticipated through improving pathways across services and upskilling the professionals already involved with families using the services.

Decision

To agree the strategy and improvement plan and updated action plan attached at Appendix 1 and Appendix 2 of the report.

Declarations of interest

Councillor Macinnes declared a non-financial interest as the Chair of a domestic abuse charity.

(References – Corporate Policy and Strategy Committee, 28 February 2017 (item 8); report by the Interim Chief Officer, Edinburgh Health and Social Care Partnership, submitted.)

12.   Public Bodies Climate Change Duties Report 2016-17

The Public Bodies Climate Change Duties Report for 2016-17 was presented. The report was due to be returned to the Scottish Government on 30 November 2017. The adaptation element was due to be reported independently to Transport and Environment Committee on 5 October 2017

Motion

1)   To approve submission to the Scottish Government of the Public Bodies Climate Change Duties Report 2016/17, outlined in Appendix 1 to the report.

2)   To note the intention to review internal governance arrangements to ensure they were fit for purpose post transformation. Progress would be reported through the Member Officer Working Group on Carbon, Climate and Sustainability.

-    Moved by Councillor McVey, seconded by Councillor Day

Amendment

1)   To approve submission to the Scottish Government of the Public Bodies Climate Change Duties Report 2016/17, outlined in Appendix 1 to the report.

2)   To note the intention to review internal governance arrangements to ensure they were fit for purpose post transformation. Progress would be reported through the Member Officer Working Group on Carbon, Climate and Sustainability.

3)   To note that achieving the target of a 42% reduction in council carbon emissions by 2020 would require a significant increase in current performance.

4)   To therefore request a report to Committee on the outcome of the review of governance intended to assist in identifying and implementing carbon reduction projects.

-    Moved by Councillor Burgess, seconded by Councillor Main

In terms of standing order 20 (7) the amendment was accepted as an addendum to the motion.

Decision

1)   To approve submission to the Scottish Government of the Public Bodies Climate Change Duties Report 2016/17, outlined in Appendix 1 to the report.

2)   To note the intention to review internal governance arrangements to ensure they were fit for purpose post transformation. Progress would be reported through the Member Officer Working Group on Carbon, Climate and Sustainability.

3)   To note that achieving the target of a 42% reduction in council carbon emissions by 2020 would require a significant increase in current performance.

4)   To therefore request a report to Committee on the outcome of the review of governance intended to assist in identifying and implementing carbon reduction projects.

(Reference – report by the Head of Strategy and Insight, submitted.)

13.   Chief Social Work Officer Annual Report 2016/2017

The Chief Social Work Officer Annual Report for 2016/2017 was presented.

Decision

1)   To note the Chief Social Work Officer's Annual Report for 2015/16 at Appendix 1 of the report.

2)   To note that during the interim management arrangements established for the Edinburgh Health and Social Care Partnership, the Executive Director of Communities and Families would hold the statutory role of the Council's Chief Social Work Officer.

(Reference – report by the Interim Chief Officer, Edinburgh Health and Social Care Partnership, submitted.)

14.   Edinburgh Integration Joint Board Annual Performance Report 2016/17

Committee considered   the first Edinburgh Integration Joint Board Annual Performance Report for 2016/17.

Decision

To note the first Annual Performance Report of the Edinburgh Integration Joint Board.

(Reference – report by the Interim Chief Officer, Edinburgh Health and Social Care Partnership, submitted.)

15.   Conference Invitation – "Tomorrow's World" – COSLA and Improvement Service Annual Conference & Exhibition 2017 (5-6 October 2017)

Committee considered a report advising of the decision made by the Chief Executive under urgency provisions, in consultation with the Council Leader Members had been nominated to attend the annual COSLA and Improvement Service Conference & Exhibition, being held on 5-6 October 2017 at Crieff Hydro.

Decision

1)   To note the decision by the Chief Executive under urgency provisions, in consultation with the Council Leader, to authorise delegates to attend the COSLA and Improvement Service Annual Conference & Exhibition to be held at Crieff Hydro Hotel, Perthshire on 5-6 October 2017.

2)   To note that Councillors Burgess, McVey and Macinnes would no longer be attending the conference, but that Councillor Ian Campbell would attend.

3)   To agree that the total cost for members' attendance would be reported back to the next Committee as part of the Business Bulletin.

(Reference – report by the Chief Executive, submitted.)

16.   Motion by Councillor Day – Europe

The following motion by Councillor Day was submitted in terms of Standing Order 29.1:

"Committee notes that 74% of Edinburgh voters who took part in the EU referendum held on 23 June 2016 voted to remain in the European Union.

Committee is concerned that the departure of Scotland and the UK from the EU is likely to result in serious damage to our relationship with European institutions, businesses and citizens.

Therefore, Committee believes that the best interests of Edinburgh and its citizens would be served by Scotland and the UK remaining in the EU.

Recognising, however, that the UK government is proceeding with the legislation to withdraw the UK from the EU, Committee believes that the best option is for Scotland and the UK to remain in the single market and customs union.

Committee further recognizes that the potential effect of 'Brexit' on the economy and the citizens of Edinburgh could be reduced by taking the following steps:

- Providing welcome and advice services to EU nationals in Edinburgh (as well all those from outside the EU who come to the Capital);
- Working with key employers in the city, such as finance, legal services, universities, NHS, to help recruitment and retention.
- Working to resist barriers to travel with the EU, to promote those coming to Edinburgh to study and visit;
- Keeping close links with cities across Europe, in particular our twin and partner cities, and with EU institutions.

Committee therefore instructs the Chief Executive to report in one cycle, with proposals to implement the above measures.

Committee further supports the retention of rights enjoyed by EU nationals within the UK and instructs the Council Leader to write to the UK Government setting out opposition to any erosion of these rights and opposing proposed measures such as the register of EU nationals."

Motion

To approve the terms of the motion by Councillor Day

- Moved by Councillor Day, seconded by Councillor McVey

Amendment

To move no action.

- Moved by Councillor Rust, seconded by Councillor Doggart

Voting

The voting was as follows:

For the motion	-	8 votes (Councillors Aldridge, Burgess, Day Macinnes, Main, Perry, Rankin)
For the amendment	-	3 votes (Councillors Doggart, McLellan, Rust)

Decision

To approve the motion by Councillor Day.

Corporate Policy and Strategy Committee – 5 December 2017
27 February 2018

Item	Key decisions	Expected date of decision	Wards affected	Director and lead officer	Council Commitments
1.	Regulation Of Investigatory Powers (RIPSA) Report	27 February 2018		Executive Director of Place Lead Officer: Andrew Mitchell andrew.mitchell@edinburgh.gov.uk 0131 469 5822	
2.	Carbon Reduction Projects	27 February 2018		Chief Executive Lead Officer: Jenny Fausset jenny.fausset@edinburgh.gov.uk 0131 469 3538	
3.	Welfare Reform	27 February 2018		Executive Director of Resources Lead Officer: Sheila Haig sheila.haig@edinburgh.gov.uk 0131 469 5088	

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Item	Key decisions	Expected date of decision	Wards affected	Director and lead officer	Council Commitments
4.	Contact Centre – Performance Update: Aug - Dec 2017	27 February 2018		Executive Director of Resources Lead Officer: Nicola Harvey nicola.harvey2@edinburgh.gov.uk 0131 469 5006	

Corporate Policy and Strategy Committee

5 December 2017

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
1	06.11.12	The Future Management and Ownership of Easter Craiglockhart Hill Local Nature Reserve (LNR) – motion by Councillor Burns (Agenda for 6 November 2012)	To provide information on the possibility of community ownership and management of the woodland and open space in the area in the longer term and how this might be achieved, with ownership transferring to the Council as an interim measure, with a view to the eventual transfer of ownership and management, to a community organisation.	Executive Director of Place	Early 2018		Discussions are continuing with the developer and these must be concluded before any engagement on the management and ownership of the land can progress

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
2	09.06.15 Minute of 9 June 2015 (items 6 and 16) 01.09.15	Safecall CEC 114 - Update Report on Management Action B Report	1) To recognise that no further disciplinary action would be instigated in relation to these matters until all relevant information was available. 2) To agree that a further report would thereafter be considered by Committee advising of any further management action.	Chief Executive Chief Executive	Autumn 2018 Autumn 2018		A report will be brought back to Committee once the ongoing due legal process is concluded.
3	04.08.15	Common Good Assets Register	1) To note that further reports would be brought to Committee: a) once Scottish Ministers' guidance about common good registers had been issued; and b) to consider the implications arising from compliance with	Acting Executive Director of Resources	October 2017		A report went to the Finance and Resources Committee on 28 September 2017 on Community Empowerment (Scotland) Act 2015: Proposed Consultation Response on Common Good Matters. The report

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
	24.01.17		the Land Registration (Scotland) Act 2012. 2) To note that the common good definition in Section 3 of the report by the Acting Director of Services for Communities was not intended to be exclusive and that there would be clarification of the definition with the next report to Committee. 3) To call for an update on the progress of the transfer of land from the Sasines Register to comply with the Land Registration (Scotland) Act 2012.				was referred to the Corporate Policy and Strategy Committee and is on the agenda for 5 December 2017 **Recommended for closure**. Letter outlining the Council position circulated by email to members on 19 October 2017 – **Recommended for closure**.
4	04.10.16	[Business Case for the Management Transfer of Secondary School Sports Facilities to Edinburgh](#)	That an update report be submitted to Committee in 6 months.	Acting Executive Director of Communities and Families	February 2018		An update report will be submitted to the Education, Children & Families Committee on 12 December 2017 – this will be

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
		Leisure – Progress Report					referred to CP&S Committee on 27 February 2018.
5	08.11.16	Sustainable Edinburgh 2020 Annual Report 2015-16	To note that details of the full community planning framework would be included in the report back to Committee on the Council's Business Plan	Chief Executive	December 2017		Report on the agenda for 5 December 2017 – **Recommended for closure**.
6	08.11.16	Unaccompanied Asylum Seeking Children	To note that the city had been asked to consider involvement in a national UASC dispersal scheme and that detailed financial modelling was currently being undertaken with a view to bringing a report back to Committee, hopefully before Christmas.	Chief Social Work Officer			The Committee on 6 December 2016 asked that a report be submitted to the meeting on 24 January 2017. The report related to a national UASC dispersal scheme which, at the time it was written, was expected to be implemented imminently. It has

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
							since emerged that there is no legal basis for a national transfer scheme so the report is on hold whilst that legal aspect is confirmed by the Home Office. There has been no movement or discussion between the Scottish and UK governments about this. A report will be brought to Committee as soon as progress is made.
7	06.12.16	New Performance Management Framework and Policy	To request a review of the Policy after one year of operation (April 2018).	Acting Executive Director of Resources	April 2018		
8	24.01.17	Strategy and	To agree that the Fair	Chief	January 2018		

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
		Insight Sustainability Policies - Assurance Statement	Trade Policy and Resource Use Policy would be reviewed in light of new legislation and Council structures and reported to Committee for approval within 12 months	Executive			
9	28.02.17	Domestic Abuse Service Redesign Update - Developing a Co-ordinated Community Response	To note that it was intended to submit the finalised Strategy and Improvement Plan to the Corporate Policy and Strategy Committee and the Finance and Resources Committee in Summer 2017.	Head of Safer and Stronger Communities and Chief Social Work Officer	October 2017		Report to the Corporate Policy and Strategy Committee on 3 October 2017 – **Recommended for closure.**
10	28.02.17	EUROCITIES Mayors' Summit	To note that a post-visit report would be provided after the event.	Chief Executive	n/a		Visit did not go ahead – **Recommended for closure.**
11	08.08.17	Business Bulletin	1) To agree that the after the reappointment of the Welfare Reform	Executive Director of Resources	3 October 2017		The Working Group met on 4 September 2017 and Power to the People attended

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
			Working Group, a meeting should be organised as a matter of urgency to address the issues raised by the Deputation. 2) To agree that officers would continue to engage with the Power to the People Group and would inform them of decisions taken by the Welfare Reform Working Group regarding the issues raised. 3) To note that a report would be brought to the Committee on 3 October 2017 and to agree that details of the support offered to homelessness clients should be				the meeting where a report was presented that addressed the issues raised by the deputation. A report was brought to the Committee on 3 October 2017 – **Recommended for closure**.

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
			included in the report.				
12	08.08.17	Key Decisions Forward Plan	To agree that the inspection of health and social care services report would be added to the forward plan and would be considered at the October 2017 meeting of the Corporate Policy and Strategy Committee.	Chief Officer, Health and Social Care Partnership	5 December 2017		Report went to Committee on 3 October 2017 – **Recommended for closure.**
13	08.08.17	Appointments to Working Groups - 2017-18	1) To agree to investigate the possibility of Working Groups being held in public and to report back to the meeting of the Corporate Policy and Strategy Committee in October 2017. 2) To agree to add a link in the report to the Terms of	Chief Executive	5 December 2017		Report is on the agenda for 5 December 2017 – **Recommended for closure.** Links have been added to the report that provides the remit of the Working Groups – **Recommended for closure.**

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
			Reference for the Corporate Policy and Strategy Committee's Working Groups.				
14	03.10.17	Welfare Reform Update	1) To agree that officers would provide Power to the People with the Homelessness and Housing Council Policy. 2) To note that the Homelessness and Housing Senior Support Manager would arrange to meet with people experiencing temporary accommodation issues. 3) To agree that the Customer Manager would liaise with the Advice Services	Executive Director of Resources	Not specified		

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
			Team about the restructure of the service and the impact of a reduction on resources and the capacity of the service to give advice, and whether the 70% success rate of people appealing against the benefits decisions was being fed back to the Department of Works and Pensions (DWP). 4) To provide Councillors with a projection of the number of Universal Credit (UC) claimants after it was rolled out to everyone.				
15	03.10.17	Council Asbestos Policy	That officers would circulate details of cases of asbestos-related	Executive Director of Resources	Not specified	1 November 2017	**Recommended for closure**.

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
			disease in Edinburgh to members of the Committee.				
16	03.10.17	Inspection of Older People's Services – Progress Report	1) That the Health and Social Care Partnership would review the associated action plan and report back on priorities and timescales. 2) To agree that the timetable for the appointment of a permanent Chief Officer would be brought to the next meeting of the Committee.	Interim Chief Officer, Edinburgh Health & Social Care Partnership	Not specified		1) This is detailed in this report to the IJB on 17 November 2017. 2) Key appointment dates are contained in the Business Bulletin for 5 December 2017. The dates for the Assessment Centre onwards will be finalised shortly. **Recommended for closure, subject to confirmation of the remaining dates.**
17	03.10.17	Public Bodies Climate Change	To request a report to committee on the	Head of Strategy and	Not specified		

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
		Duties Report 2016-17	outcome of the review of governance intended to assist in identifying and implementing carbon reduction projects.	Insight			
18	03.10.17	COSLA Conference Invitation – Tomorrow's World – 5-6 October 2017	To agree that the total cost for members' attendance would be reported back to the December 2017 Committee as part of the Business Bulletin.	Chief Executive	5 December 2017		Included in the Business Bulletin for 5 December 2017 – **Recommended for closure**.

Item 6.1 - Business Bulletin

Corporate Policy and Strategy Committee

10.00am, Tuesday, 5 December 2017

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

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Corporate Policy and Strategy Committee

Convener:	Members:	Contact:
Councillor Adam McVey Vice Convener: Councillor Cammy Day	Councillor Adam McVey (Convener) Councillor Cammy Day (Vice-Convener) Councillor Robert Aldridge Councillor Steve Burgess Councillor Phil Doggart Councillor Lesley Macinnes Councillor Melanie Main Councillor John McLellan Councillor Ian Perry Councillor Alasdair Rankin Councillor Iain Whyte	Allan McCartney Committee Services Jamie Macrae Committee Services

Recent news	Background

Chief Officer, Edinburgh Health and Social Care Partnership – Recruitment Timeline

Key Activity/Milestone	Date
Meeting with FWB and key officers on high level search findings – Waverley Court	6 November
Search period commences through FWB	8 November
Search period ends and proposed long list produced	8 December
Long list agreed - Waverley Gate	19 December
Long list Interviews conducted	10/11 January
Short list agreed – Waverley Gate	16 January
Assessment Centre – Waverley Court	TBC
Wash-up session / recommendation agreed	TBC
Report prepared for recommendations for role	TBC

Background

It was agreed at Committee on Tuesday, 3 October 2017 that the timetable for the appointment of the permanent Chief Officer would be available in this Business Bulletin.

Edinburgh Integrated Joint Board Meeting	2 March	For further details please see report at [Committee](#) on Tuesday, 3 October, 2017.
COSLA and Improvement Service Annual Conference and Exhibition Councillors Cameron, Ian Campbell, Main, Rose, and Whyte attended the COSLA and Improvement Service Annual Conference and Exhibition at the Crieff Hydro Hotel, Perthshire on 5/6 October 2017. The total cost to the Council for attendance was £2,330 (not including VAT).		

Forthcoming activities:

Corporate Policy and Strategy Committee

10.00am, Tuesday, 5 December 2017

Edinburgh Biodiversity Duty Report 2015-2017

Item number	7.1
Report number	
Executive/routine	
Wards All	
Council Commitments	

Executive Summary

The Nature Conservation (Scotland) Act 2004 places a statutory duty on all public bodies to further the conservation of biodiversity. The Wildlife and Natural Environment (Scotland) Act 2011 requires the publication of a report, every three years, on how public bodies are meeting this duty. The next report is due on 1 January 2018.

The purpose of this report is to seek Committee approval of the City of Edinburgh Council Biodiversity Duty Report for the period January 2015 to December 2017. The report details the activities across the Council to support and conserve biodiversity and demonstrates the great variety and range of the work being carried out, and is included in Appendix 1.

The work reported on in Appendix 1 is guided by the Edinburgh Biodiversity Action Plan, a city wide partnership initiative which supports the aims of the Scottish Biodiversity Strategy. The action plan is delivered by the Edinburgh Biodiversity Partnership, chaired and led by the Council.

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Report

Edinburgh Biodiversity Duty Report 2015-2017

1.   Recommendations

1.1   It is recommended that the Corporate Policy and Strategy Committee:

1.1.1   approves the Edinburgh Biodiversity Duty Report 2015-17 for submission to Scottish Government and publication on the Council's website; and

1.1.2   notes the contributions and achievements made across the Council to meet Edinburgh's biodiversity duty.

2.   Background

2.1   The Nature Conservation (Scotland) Act 2004 places a duty on all public bodies, including the City of Edinburgh Council, to further the conservation of biodiversity in the course of carrying out their responsibilities.

2.2   In complying with this Biodiversity Duty, public bodies must have regard to the Scottish Biodiversity Strategy. The 2004 document 'Scotland's Biodiversity: It's in Your Hands' and the 2013 supplement '2020 Challenge for Scotland's Biodiversity', together comprise the Scottish Biodiversity Strategy. The Scottish Biodiversity Strategy in turn supports efforts to meet the global Aichi targets for biodiversity.

2.3   The Wildlife and Natural Environment (Scotland) Act 2011 places a further obligation on public bodies to provide a publicly available report, every three years, on the actions taken to comply with the biodiversity duty. This second report has to be made available by 1 January 2018. The first report covering 2012 to 2014 was approved by this Committee in November 2014 and submitted to Scottish Government in December 2014.

3.   Main report

3.1   Biodiversity is the variety of all life and includes wildlife, habitats and other forms of nature.

3.2   On a global scale, human activity is causing biodiversity to be lost at a greatly accelerated rate with irreversible losses that can damage the vital ecosystem services on which human life depends. International targets to halt biodiversity loss are reflected in the Scottish Biodiversity Strategy.

3.3   The Biodiversity Duty aims to do more than safeguard ecosystem services by improving habitats and species. It is also about connecting people and their environment, contributing to health and wellbeing and inspiring communities.

3.4   Appendix 1 of the Edinburgh Biodiversity Duty Report 2015-17 contains a summary of work carried out by Council services to comply with the biodiversity duty. This includes details of projects on the ground, the inclusion of biodiversity in policies and plans and examples of partnership working.

3.5   The report demonstrates the breadth of activities delivered by the Council which help to protect and increase Edinburgh's biodiversity. Particular strengths in Edinburgh are the high level of community involvement in greenspace projects and the extent of partnership working both within and outwith the Council.

3.6   The work of the Council and the Edinburgh Biodiversity Partnership links clearly with the emerging City Vision, which has identified Edinburgh as a city of great natural beauty, with excellent green spaces and wild areas and a proposed goal to create the "greenest city in the world, with our seven hills connected by roof-top meadows, community gardens and tree-lined streets".

3.6   Particular initiatives which are highlights of the last three years are:

- production of a fourth Edinburgh Local Biodiversity Action Plan in 2016 which has over 250 actions to be delivered by the Edinburgh Biodiversity Partnership;

- development of the Edinburgh Living Landscapes initiative; and

- multiple examples of local community greenspace projects.

4.   Measures of success

4.1   The status of biodiversity and activity on biodiversity conservation in Edinburgh is monitored through:

- The submission of the Biodiversity Duty Report to Scottish Government by 1 January 2018;

- Annual progress report on the delivery of the Edinburgh Local Biodiversity Action Plan.

5.   Financial impact

5.1   The production of the Biodiversity Duty Report is met within existing budgets.

6.   Risk, policy, compliance and governance impact

6.1   There is a risk the Council could fail in its statutory duty for biodiversity. The submission of the attached report to Scottish Government, supporting the Edinburgh Biodiversity Action Plan 2016-2018 and the expansion of the biodiversity duty actions will help ensure the Council complies with the duty.

7.   Equalities impact

7.1   There are no predicted infringements of rights or negative impacts on equalities.

7.2   The conservation of biodiversity directly enhances the rights to life and health by protecting the essential ecosystem services our natural environment provides. There is also the potential to enhance other associated rights such as education and standard of living through local biodiversity projects.

8.   Sustainability impact

8.1   The impacts of this report in relation to the three elements the Climate Change (Scotland) Act 2009 Public Bodies Duties have been considered, and the outcomes summarised below. Relevant Council sustainable development policies have been taken into account and noted at Background reading (see below).

8.2   Compliance with the statutory biodiversity duty will help achieve a sustainable Edinburgh by incorporating biodiversity into many of the Council's existing activities and actions, thus helping to create a resilient natural environment, reduce carbon emissions, improve social justice, economic wellbeing and good environmental stewardship.

9.   Consultation and engagement

9.1   No external consultation or engagement is required in the preparation of this report on internal activity. All Heads of Service were invited to provide information for their service area in preparation of this report.

10.   Background reading/external references

10.1   Scotland's Biodiversity: It's In Your Hands – A Strategy for the Conservation and Enhancement of Biodiversity in Scotland 2004

10.2   2020 Challenge for Scotland's Biodiversity – A Strategy for the Conservation and Enhancement of Biodiversity in Scotland 2013

10.3   Edinburgh Local Biodiversity Action Plan 2016-2018

10.4   Edinburgh Statutory Biodiversity Duty Report 2012-2014

10.5   Scottish Government guidance and template for biodiversity duty reporting.

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11. Appendices

Appendix 1   City of Edinburgh Council Biodiversity Duty Report 2015-2017

City of Edinburgh Council Biodiversity Duty report 2015-2017

Section 1: Introductory information

Governance, Leadership and Management

The City of Edinburgh Council is a local authority with responsibility for an area including the city of Edinburgh, surrounding countryside and the Pentland Hills Regional Park. The Council is made up of 63 elected councillors representing 17 wards. The Council is currently led by a coalition of the SNP Group and the Labour Group. The Council operates through a system of committees and sub-committees with officers reporting to committees on relevant matters.

All committee reports include a section on Sustainable Impacts. This requires all officers to consider the environmental impact of the contents of their report through the use of a sustainability worksheet. Biodiversity is a consideration under the climate change adaptation and environmental good stewardship sections of this worksheet.

The Council is the lead body for the Edinburgh Biodiversity Partnership. The Edinburgh Biodiversity Partnership was one of the first in Scotland and has been in place for 18 years. The Council employs a Biodiversity Officer to facilitate the Edinburgh Biodiversity Action Plan (EBAP). Councillors oversee the production and delivery of the Edinburgh LBAP through the committee reporting process.

The Council is also a signatory to the Central Scotland Green Network Declaration, the Climate Change Declaration, the Scotland Landscape Charter and Scotland's Geodiversity Charter, which was recently re-signed.

Section 2: Mainstreaming

The conservation of biodiversity is embedded in the delivery of Council services such as Planning and Building Standards and Parks and Greenspace. This ensures that land use planning and the management of Council-owned land deliver protection and enhancements for biodiversity. The role of the natural environment and biodiversity is reflected in the Council's Climate Change Adaptation Framework.

The Planning and Building Standards policy framework supports the protection and enhancement of designated nature conservation sites, protected species and biodiversity in the wider landscape. The statutory Strategic Development Plan, Local Development Plan and non-statutory planning guidelines reflect the overarching aims of the Central Scotland Green Network of delivering connected green corridors, and protecting and enhancing the natural environment.

The Edinburgh Living Landscape initiative seeks to create resilient green networks on the Council Parks and Greenspace estate, delivering a healthy environment and increased accessibility for people. The inclusion of biodiversity in assessments such as Parks Quality Standards and Green Flag Award for parks and greenspace is also integral to the management of Council land.

The Council's best sites for nature are identified as Natural Heritage Parks and managed by a dedicated Natural Heritage Service team. Six of these sites are designated as Local Nature Reserves. Programmes such as Eco-schools and the outdoor play project help deliver biodiversity gains within schools and education.

A list of plans, policies and strategies which reflect biodiversity objectives are given below:

Edinburgh Biodiversity Action Plan

Open Space 2021

Edinburgh Adapts: Climate Change Adaptation Action Plan 2016-2020

Resilient Edinburgh Climate Change Adaptation Framework 2014-2020

Allotments Strategy

SESplan Strategic Development Plan

Edinburgh Local Development Plan

Edinburgh Design Guidance

Edinburgh and Lothians Forestry and Woodland Strategy

Trees in the City: Trees and Woodland Action Plan

Sustainable Edinburgh 2020

Sustainable Timber Policy

Sustainable Procurement Policy

Sustainable City Food Plan

Section 3: Actions taken to improve biodiversity conservation

The Council has five main directorates:

- Chief Executive

- Place

- Resources

- Communities and Families

- Health and Social Care

Relevant activities within each directorates are detailed below.

Chief Executive Directorate

Strategy and Insight

The Strategy and Insight Team leads on carbon, climate change and sustainability work within the Council. The team co-ordinate various policies, action plans and projects which have clear links to biodiversity conservation.

Sustainable Edinburgh

Sustainable Edinburgh 2020 is the Council's Framework for the sustainable development of the city until 2020. One of its objectives for 2020 is to ensure that "Edinburgh will have preserved and enhanced its biodiversity, landscape and coastal environments".

The Climate Change Adaptation Framework mentioned above was approved in 2014. An Action Plan, Edinburgh Adapts, was approved in 2016 to take forward the high-level actions in the Framework. The Edinburgh Adapts Action Plan's section on Natural Environment and Greenspace aims to protect and enhance Edinburgh's biodiversity and green spaces, providing nature-based solutions to climate-related problems. It was developed in close collaboration with the Edinburgh Biodiversity Action Plan.

A combined sustainability and equalities e-tool under development specifically addresses biodiversity in the context of adapting to a changing climate.

All the above help the Council to comply with the Climate Change (Scotland) Act.

The Edinburgh Sustainable Development Partnership is co-ordinated from this service. The team also lead on related initiatives such as Edible Edinburgh. Edible Edinburgh is a cross-sector

partnership advocating the transformation of our food systems to promote sustainable development. One of six key aims of the Edible Edinburgh Sustainable Food City Strategy focuses on land use: '*to grow, produce and distribute food more locally while conserving and protecting our natural resources and environment'.* A range of food growing and community projects are ongoing including the Gracemount Grow Stronger and Granton Walled Garden projects.

Place Directorate

Place Development Service

Planning and Transport

This is a key service which leads the delivery of the EBAP. It also delivers biodiversity conservation through land management policies, protection and designation of local sites.

Edinburgh Biodiversity Action Plan
The Edinburgh Biodiversity Action Plan (EBAP) is the main delivery mechanism for biodiversity conservation across the city. The action plan is prepared by the Edinburgh Biodiversity Partnership, supported and chaired by the Council. The fourth EBAP was produced in 2016 and includes over 250 actions to be delivered from 2016-2018. These are a range of positive actions for biodiversity across the City. The Council's Place Development has a lead role in the co-ordination of delivery and monitoring of the actions by the Edinburgh Biodiversity Partnership, in collaboration with other departments.

SES Plan and the Local Development Plan
The Strategic Development Plan and Local Development Plan (LDP) include a range of planning policies to deliver biodiversity protection and enhancements. Locally important sites are protected through the Local Nature Conservation Site (LNCS) system within the LDP, together with Local Nature Reserves (LNR). LDP policies also recognise the value and potential of biodiversity outside designated sites. The Plans aims to enhance, safeguard and avoid fragmentation of the City's green network.

Edinburgh Design Guidance
In conjunction with the LDP, the Edinburgh Design Guidance sets out the Council's expectation for the design of new development in Edinburgh. This outlines expectations for landscape proposals and how biodiversity should be maintained and enhanced through development.

Open Space 2021

The new strategy takes a co-ordinated approach to protecting and developing the city's network of open space, helping to deliver Edinburgh's contribution to the development of the Central Scotland Green Network. The Strategy is aligned with the Local Development Plan and co-ordinates with related strategies, including those for parks and gardens, allotments, play, sports facilities, active travel, climate change adaptation and biodiversity.

Key proposals in the draft included:

Continuing to manage the city's parks to a good standard and preparing management plans and funding bids to improve Leith Links and Calton Hill;

Creating a network of good quality green corridors, large and local parks as the city grows, with better design advice for developers;

Extending access to play areas through the Play Area Action Plan; requiring new developments to meet 'play value' standards and promoting informal play within street and open space design;

Improving the value of existing greenspaces for people and wildlife, by expanding the Edinburgh Living Landscape project;

Empowering communities to establish community gardens, orchards and woodlands in under-utilised spaces, in particular for local food growing, with growing space and allotments also promoted in new developments; and

Extending annual quality checks and the Friends Group network to include cemeteries in recognition of their value to local history and potential for informal recreation. The Council will work with Edinburgh World Heritage to improve five burial grounds in the World Heritage Site.

In-house Training
Training and advice are provided by Citywide Transport and Planning to Council departments on a range of biodiversity topics. For example, training sessions on biodiversity have been offered to Planning, Building Standards and Transport staff. In addition an updated Advice Note relating to swifts in new developments was produced for distribution to developers.

External Partnerships
Citywide Transport and Planning officers represent the Council on external partnerships and groups which have a biodiversity remit, such as the Lothian and Fife Green Network Partnership, Central Scotland Green Network and Forth Estuary Forum.

Housing – Development and Regeneration

Community Gardens Pilot

Project development is underway for four community gardens, primarily for CEC tenants, across the four Council Locality areas, as a pilot to establish best practice before potentially rolling out a wider programme across the city. These gardens will be managed and maintained by tenants. Work is currently underway to identify pilot sites with the intention to begin work on the ground in 2018.

Community Gardens in Affordable Housing Developments

Development and Regeneration is proposing three new community gardens as part of new affordable housing developments at Greendykes, Crewe Road Gardens and Craigmillar Town Centre. The essential infrastructure for growing will be provided as part of each housing development and it is anticipated that residents and/or neighbours will build upon this and manage and maintain the community gardens to suit their needs, once they have moved into their new homes.

Place Management Service

Parks, Greenspace and Cemeteries

This is a key service in the delivery of biodiversity conservation through greenspace management and habitat creation projects.

Living Landscape
The Edinburgh Living Landscape (ELL) initiative is led by Parks, Greenspace and Cemeteries in partnership with Scottish Wildlife Trust, Royal Botanic Garden Edinburgh, Green Surge and Edinburgh and Lothians Greenspace Trust. It advocates the development of an ecosystem approach to the management of the Council's open space estate in order to realise the benefits to both biodiversity and public amenity. It aims to create resilient green networks to deliver a healthy, accessible and attractive environment.

As part of Phase 3 of the ELL initiative in 2017, Parks, Greenspace & Cemeteries maintained 72 annual/perennial meadows across the four Council Localities citywide.   Naturalised grassland now accounts for approximately 10% of the Council's amenity grass estate. An emphasis in 2017 was to not increase the area of naturalised grassland but to ensure that these areas were better maintained and further developed. This has been achieved by bulb planting in naturalised grass areas and incorporating ELL into our Landscape Quality Standards (LQS) assessments. In 2017 Trinity Primary School became the latest school to get involved with the ELL programme, bringing the total amount of schools involved to seven.

Allowing grassland habitats to develop in a more natural manner in urban settings by reducing grass cutting or sowing flowering plants offers these benefits:

- biodiversity will increase as birds, mammals and insects are attracted to more natural, wilder areas;
- costs of managing intensively maintained areas of grassland can be reduced;
- planting flowering species will add colour to the cityscape throughout the seasons; and
- less regular cutting slows rainwater run-off and helps lock-up carbon in soils, reducing CO_2 release

Natural Heritage Service – site management and community involvement
The Natural Heritage Service manages the Council's natural heritage parks, including six Local Nature Reserves and the Pentland Hills Regional Park. These sites represent the most important natural areas owned by the Council, which lie at the core of Edinburgh's green network. The service runs volunteer activities including practical conservation tasks and wildlife surveys. There is a key programme of events and monitoring which is significant in terms of community engagement in biodiversity conservation. In one year in the Pentland Hills Regional Park alone, 49 volunteers helped with 26 days of biodiversity surveys.

Pentland Hills Woodland Expansion
The Natural Heritage Service has helped to secure funding for a landscape-scale habitat creation project in the Pentland Hills Regional Park. Three sites, including Bonaly Country Park, have been planted with a total of 62 hectares of new woodland, funded by Forestry Commission Scotland. This new woodland connects and expands existing areas of woodland and helps to deliver the vision of the Central Scotland Green Network and meet woodland expansion targets in the Scottish Forestry Strategy.

Friends of Parks
Edinburgh has a network of 54 Friends of Parks groups, supported by Parks, Greenspace and Cemeteries staff. These groups are made up of volunteers who work closely with the Council and play a key role in enhancing and protecting local parks, woodlands and green spaces. The Friends groups meet 3-4 times per year at a regular Friends Forum. An AGM, hosted by CEC is held, usually in November where various issues and current practices across the UK are discussed and information sharing takes place between groups. Given the current political and financial climate Friends groups are a crucial link with an engaged group of citizens in the city who will undoubtedly play an ever-increasing role in their respective parks and communities going forward.

Allotments
Implementation of the Allotments Strategy by Parks, Greenspace and Cemeteries staff has resulted in the creation of new allotment sites on Council land across the city. Some of these were supported by funding through the Neighbourhood Environment Programme. Gardens and allotments offer a valuable habitat, particularly in urban areas.

Urban Pollinators
The Council has been part of the UK Urban Pollinators initiative in partnership with the University of Edinburgh. Wildflower meadows were created in Edinburgh parks and school grounds as part of this scientific collaboration between universities, city councils and wildlife trusts, researching insect pollinators in urban habitats in the UK. The meadows created as part of this project continue to be managed for biodiversity now that the project is complete. Other meadow areas have also been created on Council land.

Invasive Non-Native Species on Council land
Invasive non-native species (INNS), that are a threat to natural habitats and species, are controlled on Council land. These include giant hogweed (*Heracleum mantegazziznum*), Japanese knotweed (*Fallopia japonica*), and himalayan balsam (*Impatiens gladulifera)*.

Localities

Many community parks and greenspace projects which support biodiversity conservation are delivered across the four Localities, supported by local parks staff.   Some examples are:

- Community gardens in the North East Locality, initiated by demand from local residents for food growing
- Tree planting in Diaches Brae
- Bulb planting in naturalised grass areas across localities
- Hailes Quarry Park wetland creation with interpretation
- Annual and perennial meadows across all localities as part of Edinburgh Living Landscape
- Tree planting throughout South West Locality through area board funding
- Street tree planting funded by NEPs
- Creation of a South West community gardening network hub
- Community clean ups in new woodlands and along watercourses
- First stage of Saughton Park restoration project
- Balgreen Triangle improvements carried out by Water of Leith Conservation Trust on Council-owned land.

Resources Directorate

Corporate Procurement Service

The Council has had a comprehensive Sustainable Procurement Policy in place since 2012. The sustainable procurement policy and objectives are addressed within every procurement plan, which is at the start of each procurement process. Thus, the policies build awareness and are discussed with stakeholders. There is also a mandatory sustainability risk assessment of procurement projects as part of the individual procurement plan. This is a practical tool to ensure compliance with climate change duties (attached).

The Sustainable Procurement Policy also informs the Council's terms and conditions of contract. For example in schedule 8 section 1.1g a duty is placed on service providers to assist the Council on climate change.

The Commercial and Procurement team also use sustainability as selection and award criteria and seek to constantly evaluate processes that minimise the impact of the procurement for example in construction off-site fabrication, use of electric vehicles and use of local suppliers to reduce transport emissions are encouraged and scored accordingly.

The Policy has 4 main Outcomes

Outcome 1: the social and economic benefits from our procurement are maximised

Outcome 2: the environmental impacts are minimised and the environmental benefits maximised from our procurement

Outcome 3: Edinburgh has a more sustainable supply chain

Outcome 4: sustainable procurement is embedded within the Council

To give an example, the Council procures timber and timber-based goods from verifiable sustainable sources that evidence clear chains of custody in line with the Council's [Purchasing Policy for Sustainable Timber and Timber Products](#), to help protect the natural environment and reduce biodiversity impacts.

Communities and Families directorate

Eco-schools and Outdoor learning
Environmental education in schools is delivered by this service, helping to support the Curriculum for Excellence. Additional biodiversity-related activities include the development of outdoor play projects within school grounds and delivery of the Eco-schools programme.

The Eco-schools programme is supported by the Outdoor Learning team. 84% of all nurseries, primary and secondary schools in Edinburgh have been accredited with an Eco-schools award. 93% of all schools are registered for the programme.

The Council is also providing support to external partners engaging with schools as part of the Scottish Biodiversity Strategy project to engage 100 schools across Scotland in learning in their local greenspace.

Many schools have carried out biodiversity improvements within their grounds and are engaged in outdoor learning. Examples of work in schools:

Cramond Primary School have created a natural outdoor play space within their grounds which offer enhanced play opportunities as well as biodiversity benefits.

Currie High School has won awards for eco-work. There are wind turbines on campus, managed woodland and they are part of the Edible Edinburgh Food for Life programme. Roseanna Cunningham, Cabinet Secretary for Environment, Climate Change and Land Reform, visited the school in January 2017 to find out more about their recent work.

Section 4: Partnership working and biodiversity communications

Partnership working

As stated above, the Council is lead partner for the Edinburgh Biodiversity Partnership. The Partnership comprises approximately 30 organisations and bodies, including government agencies, conservation bodies, environmental trusts and local volunteer conservation groups. The group is responsible for the production and delivery of the Edinburgh Biodiversity Action Plan. The current Plan runs from 2016 to 2018 and includes over 250 actions for priority habitats, species and projects.

More information on the Edinburgh Biodiversity Partnership's work can be found in the latest progress report.

The Council provides third party funding to the Water of Leith Conservation Trust and Edinburgh and Lothian Greenspace Trust. Both organisations deliver a programme of work with outcomes for community engagement and biodiversity. The Council is also a member of the Forth Estuary Forum. The Council has a Service Level Agreement with The Wildlife Information Centre to access wildlife data to support decision making.

Council officers also work in partnership within:

- Edinburgh Sustainable Development Partnership
- Edinburgh Adapts Steering Group
- Edinburgh Living Landscape Initiative
- Lothian and Fife Green Network Partnership
- SEPA's Area Action Group for River Basin Management Planning
- Lothian and Borders GeoConservation Group

Communication and engagement

Awareness-raising, communication and engagement are a key element of biodiversity work within Edinburgh. The Council has undertaken a range of work to promote biodiversity, including:

- Co-ordination and promotion of an annual Edinburgh Biodiversity Week;
- Publication of web-based information and use of social media;
- Use of e-newsletters to promote projects and events;
- Co-ordination of 'Friends of Parks' programme and support for community projects within parks;
- A council-run website for Edinburgh's parks, EdinburghOutdoors.org.uk, contains a wildlife by month calendar for Edinburgh;

- New guidance for Biodiversity in Parks and Greenspace has been updated;
- A programme run by the Natural Heritage Service of annual events, conservation tasks and wildlife surveys;
- Production of guidance information related to rare and protected species, for internal and external use by staff, developers and architects;
- Work with members of the Edinburgh Biodiversity Partnership on awareness activities and events, such as supporting the RSPB working with schools and communities on annual Bioblitz events and engaging volunteers with wildlife surveys.

Training and learning

Training and learning opportunities have incorporated biodiversity, including:
- Internal training sessions on landscape and biodiversity for Planning, Building Standards and Roads and Transport staff;
- Work-related learning and knowledge sharing provided by Biodiversity Officers working with colleagues across services, e.g. Parks staff.
- Biodiversity Officers and other staff attending biodiversity conferences, workshops and events e.g. Scottish Biodiversity Strategy events, Scottish Green Infrastructure Forum and SNH Sharing Good Practice events.

Section 5: Biodiversity highlights and challenges

Biodiversity highlights

The report above demonstrates the breadth of activities delivered by the Council which help to protect and increase Edinburgh's biodiversity. Particular strengths in Edinburgh are the high level of community involvement in greenspace projects, and the extent of partnership working both within and out with the Council. Specific initiatives that are highlights of biodiversity delivery from the last three years are:

- Production of the fourth Edinburgh Biodiversity Action Plan in 2016, which contains over 250 actions being delivered by the Council and Edinburgh Biodiversity Partnership over a 3 year period;
- Closely aligning biodiversity conservation and climate change work by incorporating the natural environment within the new Edinburgh Adapts: Climate Change Adaptation Action Plan 2016-2020;
- Securing funding for landscape-scale woodland creation in Pentland Hills Regional Park;
- Development of Edinburgh Living Landscapes initiative; and
- Multiple examples of local community greenspace projects.

Challenges

The main challenges in the next three years will be the continued pressure on resources across all services and any changes to the regulatory framework currently in place for the natural environment, arising from Brexit.

Section 6: Monitoring

The status of biodiversity, and activity on biodiversity conservation, in Edinburgh is monitored through:

- Annual progress report on delivery of the Edinburgh Local Biodiversity Action Plan;
- The Environmental Quality Indicators report;
- Annual report on Nature Conservation produced by the Parks and Greenspace Natural Heritage Service; and
- A programme of species monitoring and survey work is carried out by Council staff, volunteers and partners to provide the baseline data for indicators. This includes regular

surveying such as butterfly and bumblebee transects, as part of national monitoring programmes, and surveys to support the production of species atlases, as well as site-based monitoring. These data are managed by The Wildlife Information Centre and from there passed to the NBN Gateway.

Section 7: Contribution to national targets

Targets/key steps from Chapter 1 (Healthy ecosystems) of the "2020 Challenge for Scotland's Biodiversity"	Contribution to key step?	Justification
(1.1) Encourage and support ecosystem restoration and management, especially in catchments that have experienced the greatest degradation	Yes	Through the Edinburgh Biodiversity Action Plan
(1.2) Use assessments of ecosystem health at a catchment level to determine what needs to be done	Yes	As appropriate through Edinburgh Biodiversity Action Plan projects arising.
(1.3) Government and public bodies, including SNH, SEPA and FCS, will work together towards a shared agenda for action to restore ecosystem health at a catchment-scale across Scotland	Yes	Through the Edinburgh Biodiversity Action Plan and as project opportunities arise, e.g. as part of landscape scale woodland creation in Pentland Hills Regional Park
(1.4) Establish plans and decisions about land use based on an understanding of ecosystems. Take full account of land use impacts on the ecosystems services that underpin social, economic and environmental health	Yes	Through the Edinburgh Biodiversity Action Plan, Local Development Plan and system for designating Local Nature Conservation Sites.
Targets/key steps from Chapter 3 (Biodiversity, health and quality of life) of the "2020 Challenge for Scotland's Biodiversity"	**Contribution to key step?**	**Justification**
(3.1) Provide opportunities for everyone to experience and enjoy nature regularly, with a particular focus on disadvantaged groups	Yes	Wide range of work such as supporting Friends of parks groups, food growing projects, outdoor learning for schools, community engagement with Local Nature Reserves, and projects such as Green Team working with disadvantaged and special needs young people on nature conservation practical projects.
(3.2) Support local authorities and communities to improve local environments and enhance biodiversity using green space and green networks, allowing nature to flourish and so enhancing the quality of life for people who live there	Yes	Supporting Friends of Parks and Parks and Greenspace colleagues to enhance their local parks. Edinburgh Living Landscape initiative delivering naturalisation of parks. Providing biodiversity guidance and audits for improvements to greenspaces.

(3.3) Build on good practice being developed by the National Health Service (NHS) and others to help encourage greenspace, green exercise and social prescribing initiatives that will improve health and wellbeing through connecting people with nature	Yes	Links through Edinburgh Biodiversity Partnership and projects on NHS Lothian estate.
(3.4) Increase access to nature within and close to schools, and support teachers in developing the role of outdoor learning across the Curriculum for Excellence	Yes	Active eco-schools project in Edinburgh, supporting teachers through CPD. Integrating biodiversity into design of new school grounds e.g. Cramond PS. Supporting Edinburgh Outdoor Learning Network. Edinburgh Biodiversity Partnership in school partnership working.
(3.5) Encourage public organisations and businesses to review their responsibilities and action for biodiversity, and recognise that increasing their positive contribution to nature and landscapes can help meet their corporate priorities and performance	Yes	Square Metre for Butterflies project to encourage businesses to make green roofs e.g. Glenmorangie.
Targets/key steps from Chapter 4 (Wildlife, habitats and protected places) of the "2020 Challenge for Scotland's Biodiversity"	**Contribution to key step?**	**Justification**
(4.1) Ensure that the management of protected places for nature also provides wider public benefits	Yes	The process of creation and management of Local Nature Conservation Sites in Edinburgh includes an analysis of wider public benefits such as access for education and recreation.
(4.3) Integrate protected areas policy with action for wider habitats to combat fragmentation and restore key habitats	Yes	Planning policy and EBAP 2016-2018 takes a habitat network approach to ensure fragmentation is minimised.
(4.5) Involve many more people than at present in this work and improve understanding of the poorly known elements of nature	Yes	Community engagement and encouraging wildlife recording is integrated across the Edinburgh Biodiversity Action Plan. CEC Team Building Days held mainly outdoors with opportunities to learn from other organisations e.g. RSPB. Events held in Council offices to raise awareness of wildlife with colleagues.
Targets/key steps from Chapter 5 (Land and freshwater management) of the "2020 Challenge for Scotland's Biodiversity"	**Contribution to key step?**	**Justification**
(5.1) Promote an ecosystem approach to land management that fosters sustainable use of natural resources and puts biodiversity at the heart of land-use planning and decision-making	Yes	Local Development Plan, Local Nature Conservation Sites, Edinburgh Biodiversity Action Plan and the Edinburgh Living Landscape initiative. Management of Local Nature Reserves. Parks

		Officers given training on integrating biodiversity into their parks and greenspaces through audits, advice and a handbook.
(5.2) Ensure that measures taken forward under the Common Agricultural Policy encourage land managers to develop and retain the diversity of wildlife habitats and landscape features	Yes	Natural Heritage Officers working with local landowners and farmers to improve heather moorland for wildlife in Pentland Hills Regional Park. New Muirburn Code distributed to colleagues.
(5.3) Support 'High Nature Value' farming and forestry		n/a
(5.4) Put in place the management necessary to bring Scotland's protected areas into favourable condition and improve the ecological status of water bodies	Yes	Through Edinburgh Biodiversity Action Plan support for SSSI and SPA protection, LDP Policies, land management on Council estate and through our contribution to the River Basic Management Planning process led by SEPA e.g. Natural Heritage Officers, and Parks and Greenspace staff controlling Himalayan Balsam along Braidburn and Water of Leith.
(5.5) Ensure that biodiversity and ecosystem objectives are fully integrated into flood risk management plans, and restore wetland habitats and woodlands to provide sustainable flood management	Yes	Water of Leith Flood Prevention Scheme had major element of utilising upland catchment at Threipmuir Reservoir for flood storage and ensure protected species were considered through design & construction.
(5.6) Restore and extend natural habitats as a means of building reserves of carbon and to help mitigate climate change	Yes	Incorporated in Edinburgh Biodiversity Action Plan, Planning policy and Edinburgh Adapts. Climate change and potential invasive species and diseases accounted for in new planting plans e.g. species other than Ash adopting PlantSmart principles.
(5.7) Provide clear advice to land and water managers on best practice	Yes	Biodiversity in Parks and Greenspace guidance. Advising colleagues in Roads and Transport on managing verges for wildlife using good practice from elsewhere e.g. Cornwall.
Targets/key steps from Chapter 6 (Marine and coastal) of the "2020 Challenge for Scotland's Biodiversity"	**Contribution to key step?**	**Justification**
(6.4) Achieve good environmental status for Scottish seas	Yes	Marine Conservation Society organises beach cleans along Edinburgh shoreline. Supported project on vertipools. Natural Heritage Service manages beach litter at Cramond SSSI and removal of invasive species.

Corporate Policy and Strategy Committee

10.00am, Tuesday, 5 December 2017

Sustainable Energy Action Plan

Item number	7.2
Report number	
Executive/routine	
Wards	All
Council Commitments	18

Executive Summary

The Sustainable Energy Action Plan (SEAP) is the city wide programme to reduce carbon emissions by 42% by 2020. The second SEAP annual report was submitted to Committee in March 2017. This presented data on the carbon emissions reduced to date and information on the action programme and key initiatives. The Committee noted the progress on the SEAP but asked for a report back on the progress of actions labelled as "red" and "amber".

Report

Sustainable Energy Action Plan

1.   Recommendations

1.1   The Committee is asked to note the contents of the report.

2.   Background

2.1   The Sustainable Energy Action Plan (SEAP) was approved in February 2015 setting out the five-year strategic programme aiming to reduce carbon emissions across the city by 42% by 2020.

2.2   The second SEAP annual report was submitted to Committee in March 2017. This presented data on the carbon emissions reduced to date and information on the action programme and key initiatives. The Committee noted the progress on the SEAP but asked for a report back on those actions labelled as "red" and "amber" in the project programme.

2.3   This report provides an update on those actions.

3.   Main report

3.1   The SEAP programme consists of a total of 115 actions covering the five key action areas of:

- energy efficiency;
- district heating;
- renewables;
- resource efficiency; and
- sustainable transport.

3.2   Of these actions, 11 relate to wider policy measures requiring implementation by either the UK or Scottish Government and therefore out with the control of the Council. However, they are included in the overall programme as they have an impact on city wide carbon emissions.

3.3   All projects in the SEAP programme have been given a "traffic light" status with the following criteria:

- "green": these are projects that are completed, or well underway and/or on track in terms of timescales and therefore pose no concerns;

- "amber": these are projects that might have longer timescale or started but behind schedule, or there may be some unresolved issues such that there are some concerns; and
- "red": these are projects that have stalled, unlikely to happen or have major concerns.

3.4 The report submitted to Committee in March this year showed that the majority of SEAP projects had green status where there were few concerns. A small number of projects had either red or amber status.

3.5 Appendix 1 details those projects identified in the March report as red or amber and provides a brief update for each action. In many cases, these projects have now progressed and the status has been improved accordingly. There is now only one project in the red category which for technical reasons is unlikely to progress. However, some projects have moved from green to amber and will be monitored.

3.6 The SEAP is a five-year plan up to 2020. Consequently, the timescales for some actions can be variable and so may remain as amber for a period of time. An example of this is the larger infrastructure projects which can take several years to develop and deliver.

3.7 All projects are reviewed regularly via a Project Monitoring Matrix. As work progresses on developing and implementing actions or project specific business plans, the matrix is updated to reflect progress and timescales.

3.8 The next annual report on progress is due to be submitted to Committee in April 2018 which will provide a more detailed update.

4. Measures of success

4.1 The key measure of success for the SEAP is a reduction in carbon emissions across the city which will meet Council targets and pledges. Other measures however will include a reduction in the number of households in fuel poverty, the amount of renewable energy generated across the city and the number of local energy projects initiated.

5. Financial impact

5.1 There are no adverse financial impacts for the Council associated with the activities outlined in this report.

6. Risk, policy, compliance and governance impact

6.1 By implementing a SEAP, the Council is mitigating any risks of non-compliance with the Climate Change (Scotland) Act 2009. In addition, a number of the SEAP projects will assist the mandatory carbon emissions reporting under the Public Bodies Duties introduced by Scottish Government.

7. Equalities impact

7.1 There are no adverse equalities impact associated with this report.

7.2 By delivering affordable energy and reducing fuel poverty, the SEAP will contribute positively to key equalities outcomes of reducing inequality, poverty and deprivation

8. Sustainability impact

8.1 The SEAP will have a positive impact on sustainability through actions specifically designed to lower carbon emissions through energy efficiency, encouraging sustainable travel, resource efficiency and encouraging low and zero carbon energy generation. This will increase the city's resilience to climate change impacts.

8.2 The projects within the SEAP will benefit a sustainable Edinburgh by helping alleviate fuel poverty in communities and by improving both quality of life and the environment. It will assist in making local businesses more resilient, provide business opportunities for local suppliers, and provide local people with more disposable income, providing a boost to the local economy and a knock on effect in terms of employment opportunities.

9. Consultation and engagement

9.1 There is continual engagement on the SEAP with a wide range of organisations. The SEAP is a standing item on the Member/Officer Working Group and the Edinburgh Sustainable Development Partnership. Updates are provided quarterly.

10. Background reading / external references

None.

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11. Appendices

Appendix 1: SEAP Projects List of Red and Amber Actions

APPENDIX 1 LIST OF RED AND AMBER ACTIONS

No of Action	Summary of Action	CO$_2$ (kt) Saving	Comment	Previous Status	New Status
Energy Efficiency					
2	Large scale energy retrofit programme for non domestic buildings (phase 2) 15 properties.	7.0	The first phase of the energy retrofit programme is nearing completion. While progress of any Phase 2 will be influenced by the first phase, this action is now being picked up and will be developed further.	RED	AMBER
17	Future phases retrofit of small to medium sized commercial buildings (e.g. shops, restaurants, offices, hotels) with energy efficiency measures.	84.5	The more strategic energy retrofit programmes are part of a wider number of both UK Government policies and Scottish Government energy initiatives. In particular, the development of the Scottish Government's Energy Efficiency Programme (SEEP) is addressing the replicability and scale of retrofit programmes. Edinburgh has a number of projects underway under the current SEEP programmes.	AMBER	AMBER
18	Future phases of public and community buildings with energy efficiency measures such as better insulation and heating systems that will reduce heat and electricity demand.	95.0		AMBER	AMBER
19	Scotland Energy Efficiency Programme (SEEP) Duncan Place energy retrofit	1.8	Funding has been secured for the retrofit of Duncan Place.	AMBER	GREEN
21	Energy Switch 2020 (Dunedin Canmore)	tbc	The Projects have stalled somewhat. Awaiting further information.	AMBER	AMBER
23	Water Efficiency Project (Dunedin Canmore)	tbc		AMBER	AMBER
24	Chop Cloc Trail Project (Dunedin Canmore)	tbc		AMBER	AMBER
25	Install smart meters for gas and electricity in every home to encourage better domestic energy management.	5.0	Programme is now progressing. Research and cases studies being made available to local authorities. This action will be moved to the Government Policy section.	AMBER	GREEN
26	Council to replace all stair lighting with LEDs	2.4	All stair lighting in Council blocks now replaced.	RED	GREEN
District Heating					
42	The Council will lead the development of an Edinburgh District Heating Strategy that provides the framework for establishing a city wide network.	50.0	Funding has been secured to begin the development of a Heat and Energy Efficiency Strategy.	AMBER	GREEN
43	Produce guidance for developers on district heating and sustainable building design.	tbc	Work carried out by the Scottish Cities Alliance has produced some guidance on heat networks as part of wider energy assessments. This is being reviewed as to its application in Edinburgh.	RED	AMBER

44	Publish a heat map for Edinburgh that will identify the major heat loads across the city.	tbc	Ongoing but resource needed	🟧	🟧
45	The Council will carry out an evaluation of its own estate and assess the opportunities for connections to existing buildings.	tbc	Some further work to be developed as part of this action. More strategic approach being developed.	🟩	🟧
46	The Council will work with EDI to deliver the district heating scheme at Fountainbridge.	3.2	Business case developed. There are still some issues around delivery and funding that need to be addressed. A funding gap still exists.	🟧	🟧
47	Take forward the potential district heating scheme at the BioQuarter.	5.8	Business case developed. There is however a funding gap to take the project forward. Other options being evaluated.	🟩	🟧
Renewables					
59	The Council will publish a new policy on renewables and instigate a study into their application in Edinburgh including the potential for new jobs and skills	tbc	A new software tool has been procured which allows assessments of potential renewables opportunities in solar PV. This will assist any study into their application.	🟥	🟧
Resource Efficiency					
61	Pilot a resource efficient business district, to test out a number of resource efficiency measures in collaboration with other businesses.	tbc	Concept developed. Further development in 2017.	🟧	🟧
66	The Council will work in partnership with Scottish Water / SHARC energy to evaluate a scheme piloting waste heat from sewage pipes for Council buildings	0.6	Council now part of a project with the Building Research Establishment. This will be a 9 month project looking at the potential for waste heat across the city.	🟥	🟧
68	Trial a pilot using biofuel in the Council fleet to other partners with large scale fleet e.g. Lothian Buses.	4.5	This has stalled due to technical difficulties and unlikely to be taken forward.	🟥	🟥
Sustainable Transport					
76	Progression of feasibility study to fund a trial of ultra-low emission vehicles (ULEV) taxis funded by OLEV 2017-2020	14.8	Applications still being explored directly with OLEV.	🟧	🟧
79	Introduce electric plug in hybrid (Euro 6) into the Lothian Buses fleet.	tbc	Progressing with now fully electric buses in the fleet.	🟧	🟩
87	Cycling Scotland's Cycle Friendly University Campus project (HW and UoE universities)	tbc	Now progressing.	🟧	🟩
88	eCycle project - electrically assisted bicycles (University partnership)	tbc	Now progressing.	🟧	🟩
Carbon Management Plans of Edinburgh's largest employers					
	Carbon Management Plans	tbc tbc	Work continues on the development of carbon management plans by organisations across the city.	🟧	🟧

Corporate Policy and Strategy Committee

Tuesday, 5 December 2017

Change Management Reform

Item number	7.3
Report number	
Executive/routine	
Wards	All

Executive summary

This report outlines proposals to implement a portfolio and a coordinated change management approach to the planning and delivery of change.

Report

Recommendations

It is recommended that Committee:

1.1 note the current governance arrangements for major projects;

1.2 endorse the proposed enhancements to current governance arrangements, standards and processes in line with good project and programme delivery practice;

1.3 endorse the approach to change management and implementation of a portfolio management approach to support delivery of outcomes required to deliver the business plan;

1.4 note this report will be referred to Governance, Risk and Best Value Committee on 16 January 2018.

Background

2.1 The Corporate Programme Office (CPO) was created by the Policy and Strategy Committee on 7 Aug 2012 and tasked with oversight of major programmes or projects (those with an investment value exceeding £5M) and other large projects that were either corporate in nature or particularly sensitive to the Council's reputation.

2.2 CPO had responsibility for ensuring governance arrangements were in place to support project and programme delivery across the organisation. This responsibility varied from providing advice and guidance to projects, to directly leading project and programme delivery. CPO also performed a scrutiny, assurance and reporting role, providing the Corporate Leadership Team (CLT) and Elected Members with transparency on delivery progress.

2.3 In April 2016, a new Transformation Team within Strategy and Insight absorbed the functions of CPO within its broader remit of supporting significant business change and process improvement across the organisation, as required to deliver the Council business plan.

2.4 The service now seeks to build on the work of the CPO through the introduction of a robust change and portfolio management approach. This approach will ensure consistency in the management of change, through the implementation of pre-project activities, enhanced governance and standards, and will provide process transparency and minimise the risk of delivery failure.

2.5 Oversight of the delivery of Major Capital Projects will continue through this approach. However, status reporting will be expanded to include delivery of other significant change initiatives, thereby providing the Change Board and Committee with a holistic view of change required to deliver the outcomes supporting achievement of the council business plan.

2.6 Key to embedding this approach is a proposed Delivery Unit within Strategy and Insight. This unit will:

- support and promote the use of best practice project and programme delivery standards across all organisational change delivery
- provide independent delivery assurance
- provide a scrutiny and challenge function to significant change initiatives
- provide dashboard reporting on the change delivery process to the Change Board (monthly) and the Governance Risk and Best Value Committee (six-monthly).

Main report

Management of Change

3.1 Progress has been made in recent years to mature the organisation's approach to delivering change, but there is further scope for improvement. At present, projects are initiated in different and sometimes inconsistent ways. Major projects are reported on through different routes and using inconsistent management and reporting tools. Current arrangements will be strengthened to ensure efficient and coherent delivery of change in a broader context. This revised approach is encapsulated in six elements described below.

A single process for change initiation

3.2 The initiation of major projects and more routine change requests come through a number of different processes and routes. This risk both the robustness of individual business cases and the ability to assess and prioritise work volume.

3.3 To address this, the ICT, Strategy and Insight and Procurement teams, are working to put in place a single digital approach to requesting change that can be embedded across all service areas. This process ensures work can be prioritised effectively, resources are focused on priorities, and projects are following best practice methods – while keeping bureaucracy to a minimum.

Consistent gateway process applied throughout the change process

3.4 Appendix 1 sets out the proposed change management process, showing the stages that significant change initiatives will progress through prior to entering into the delivery (portfolio) stage. Each stage must show clear deliverables. Effective application of these stages will support successful delivery by ensuring due process has been applied and there is a business justification for the investment.

3.5 No changes are proposed to the current arrangement in place around Elected Member involvement in the engagement, scrutiny and challenge of change delivery.

Greater alignment with strategic objectives through a portfolio approach

3.6 Adopting a portfolio management approach to the delivery of change will support the organisation in achieving its challenging ambitions within a tighter fiscal environment. Correct implementation will deliver greater value for money by providing a framework and discipline that effectively allocates available resource to those initiatives that best support delivery of the organisation's strategic priorities. Other benefits of such an approach include:

- supporting change board members to make decisions on whether initiatives within the portfolio are collectively sufficient to achieve the desired aims of the organisation;

- supporting change board members to ensure a balanced portfolio is agreed in terms of risk, timing and overall contribution to strategic objectives;

- providing a better view of what change initiatives are planned and underway, what their costs and benefits are, and how they are progressing;

- ensuring more of the right change initiatives are undertaken and initiatives that are performing poorly or do not strategically align are removed at an earlier stage;

- improving management of dependencies between initiatives for the overall benefit of the organisation, even if it means rescheduling some of them;

- improving management of the organisation's constraints, including skills, resources and the overall capacity for change;

- increasing focus on benefits realisation and lessons learned, via active management that ensures the business actually changes and exploits the capabilities delivered to it.

3.7 The change portfolio is a well-understood, professional approach to project and programme management. Alongside the broader performance framework, delivery of the portfolio approach is key to ensuring the Council is effectively supporting the delivery of the Council Business Plan. Appendix 2 provides the current projects included in the portfolio, and the project life cycle stage for each project.

3.8 As set out above, this approach will also include an element of prioritisation to ensure emerging projects and programmes meet the strategic objectives of the Council. In a time of significant challenges as well as resource constraints, it is important to maintain a consistent and rigorous approach to focusing resources on the delivery of our priorities. Early stage prioritisation will be carried out using a set of consistent criteria and scoring framework which is set out at Annex 4.

3.9   A monthly dashboard that sets out progress of the portfolio will be produced and reported to the Change Board (CLT) and the Council Leader and Deputy Leader. A 'Governance of Significant Change' report will be presented on a six monthly basis to Governance, Risk and Best Value Committee and referred to Corporate Policy and Strategy Committee. The report will build on the legacy 'Governance of Major Projects' report and be expanded to incorporate other significant change initiatives. It will also include an enhanced project/programme status dashboard. Reporting to the Finance and Resources Committee will cease.

Stronger governance and assurance through the proposed delivery unit and change board

3.10   As detailed in section 2.6, support and oversight of this revised approach will be led by a proposed new Delivery Unit within Strategy and Insight. This is currently under consultation as part of the Strategy and Insight Organisational Review. The Delivery Unit would support the embedding of the end-to-end change process and will work closely with service teams and senior management in planning and delivering significant change.

3.11   The proposed Delivery Unit will act as mentor and coach to service teams, embedding good project and programme delivery practices. In this role, they will also challenge and scrutinise delivery practices, escalate issues and risks where appropriate, and ensure sufficient visibility on change progress is provided to CLT and Elected Members.

3.12   The proposed Delivery Unit will operate within a border framework including a Change Board chaired by the Chief Executive, and a Working Group reporting through committee as appropriate. This clear governance approach will ensure cross-council decision-making on the investment and prioritisation of change initiatives. Appendix 5 details the proposed change governance structure and Appendix 7 sets out in more detail the role of the proposed Delivery Unit.

Closure and lessons learned

3.13   To support successful change there is a need to learn lessons from both live and closing projects and to apply these to future change planning and delivery. SROs and Project Managers remain responsible for ensuring this activity is undertaken at the closure of their own projects. The proposed Delivery Unit will identify trends and ensure good practice is applied in future, and will work with projects to ensure identified areas of weakness have appropriate resolutions implemented.

3.14   Implementing and embedding this approach will require buy-in and commitment from across the organisation, particularly at senior management level. The proposed Delivery Unit will support necessary communication and change of practices required to achieve this.

Delivery Focussed

3.15   To achieve delivery of the Council's ambitious change programme, there needs to be focus on prioritising delivery and resourcing. As part of the Strategy and

Insight Organisational Review it is proposed more emphasis is placed on supporting delivery of significant change.

3.16 However, to achieve delivery of business plan ambitions, the Council will at times require to supplement and flex how change is delivered with temporary resource across a range of skill sets, e.g. transformational change, construction, engineering etc.

3.17 Estimated resource requirements including rough order of magnitude costs will be identified at the Business Case stage and delivery supported by proposed change delivery teams, external resource (where in house capacity or capability is not available), or a combination of the above.

Assurance Reviews

3.18 Internal Audit will provide assurance over the risks associated with the portfolio and individual projects as part of the annual Internal Audit plan. A risk-based approach will be applied when deciding which project-related audits will be included in the plan.

3.19 The output of Assurance Reviews and outstanding actions will be presented as part of the standing items on each Change Board, thereby providing a fuller picture on delivery assurance and, where necessary, prompt remedial actions.

Measures of success

4.1   Success will be based on how well the change process supports delivery of those initiatives required to achieve the organisations strategic objectives and coalition commitments. Ensuing that more of the right change initiatives are undertaken and any that do not align to strategic objectives are removed at an earlier stage. More granular measures of success include:

- adoption and embedding the change process across the organisation
- transparent and consistent reporting across all the portfolio
- monitoring of identified and approved benefits that ensures ongoing validity of the initiatives and ultimate delivery.

Financial impact

5.1   The financial impacts of significant change will also be reported through the revenue and capital monitoring process.

5.2   The cost of set up and resourcing of the Delivery Unit is to be subsumed within the existing and future Strategy and Insight service budget.

Risk, policy, compliance and governance impact

6.1   Implementation of the proposals will ensure greater transparency in decision making, management of risk, prompt remedial action and provide assurance around the delivery of change.

Equalities impact

7.1   Equalities impact assessments are carried out within individual initiatives and addressed in separate reports to Council or committee.

Sustainability impact

8.1   Each initiative within the portfolio is responsible for undertaking its own sustainability impact assessment.

Consultation and engagement

9.1   Consultation and engagement is carried out within individual initiatives and is addressed in separate reports to Council or committee.

Background reading / external references

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Links

Coalition pledges	All
Council priorities	All
Single Outcome Agreement	
Appendices	Appendix 1: Change Process
	Appendix 2: Change Process including significant change initiatives
	Appendix 3: Change type
	Appendix 4: Portfolio Prioritisation Matrix
	Appendix 5: Change Governance
	Appendix 6: Change Delivery Standards (Project/Programme)
	Appendix 7: Proposed Delivery Unit - Functions

Appendix 1: Change Process

IDEA	INITIATION	PLANNING	PIPELINE	DELIVERY	CLOSE
Idea explored and feasibility to progress assessed.	• Objectives, scope and benefits articulated prior to detailed planning.	• Creation of plans and approach to help guide team through change delivery stages and closure.	• Change initiatives approved and in the pipeline for future delivery.	• Executing the plan to deliver the outputs/outcomes required to achieve the benefits detailed in the business case.	Outcomes/Outputs delivered & handed over to BAU • Lessons Learned • Business Benefits
• CID	• Initial Business Case • Full Business Case	• PID • Plans	• Portfolio schedule	• Status/Highlight • RAID • End Stage	• Close Report (inc. Lessons Learned).
Initial review of requirements and assessed against an agreed list of criteria	Approval to proceed to next stage	Approval to proceed to next stage	Approval to proceed to next stage	Delivery support and scrutiny	Post delivery review focusing o benefit delivery and handover activities
Transformation	Working Group	Change Board	Change Board / Service Area	Delivery Team / PMO	Delivery Team / PMO

IDEA CHALLENGE & VIABILITY SCOPING   ⟷   **PORTFOLIO**

Appendix 2: Change Process & Current Initiatives

	IDEA	INITIATION	PLANNING	PIPELINE	DELIVERY (PORTFOLIO)	CLOSE
STAGE DESCRIPTION	**Description:** Idea explored and feasibility to progressed to next stage assessed. **Documentation:** - Change Initiation Document (CID). **Process:** - CID completed by service area and submitted to **transfromationpmo@edinburgh .gov.uk** - CID referred to **Working Group** for (a) approval to progress to 'INITIATION' stage, (b) stop/reject, (c) refer back to service area for futher clarity/detail.	**Description:** Business justification agreed and authority given to progress to 'PLANNING' stage. **Documentation:** - Initial Business Case - Full Business Case **Process:** - Initial Business Case prepared by service and submitted to the Change Board for (a) approval and funding to deliver full business case, (b) reject, (c) revise and resubmit, (d) put on hold. - Assuming approval to proceed to full business case resource secured and business case delivered. - Full Business Case approved by Change Board and appropriate Committee if required.	**Description:** Detailed planning and any procurement activities undertaken. **Documentation:** - Procurement / Tendering / Contractor Appointed - Plan - PID/PDD **Process:** - Completion of any detailed planning and procurement activities - Final approval by change board and committee prior to implementation.	**Description:** Approved Projects/Programmes that have completed all pre-delivery stages, i.e. IDEA/INITIATION/PLANNING and to be scheduled for future delivery.	**Description:** Project / programme delivery of the capability required to realise the business benefits agreed at business case stage.	**Description:** Formal project / programme closure. **Documentation:** - Project/Programme Closure Document. **Process:** - Project/Programme Manager completes closure documentation. SRO to approve closure and dissolve project/programme team(s).

Ref	CP	Name	Ref	CP	Name	Ref	CP	Name	Ref	CP	Name	Ref	CP	Name	Ref	CP	Name
			SIP.008		Swift Replacement	SIP.009		Business Intelligence	SIP.007	16	Roads Improvement Programme	SIP.001		Customer Programme			
									SIP.011		Building Standards Improvement	SIP.001a		Intelligent Automation			
												SIP.001b	35	Channel Shift			
												SIP.001c		ERP			
												SIP.002		Asset Management Strategy			
												SIP.003	37, 38, 40	Health & Social Care			
												SIP.004	23, 25	Waste & Cleansing Improvement			
												SIP.005	52	Localities			
												SIP.006		Edinburgh Leisure - FM Transfer Schools			
			SIP.010	23,25	Communal Bin Review							SIP.010		ICT Transformation			
MCP.024	28	New Secondary Schools (CP)	SIP.012		CONFIRM	MCP.025	22	Tram Extension	MCP.024		Street Lighting: LED	MCP.001	1	NHT	MCP.027		Queensferry Crossing
MCP.025	28	New Primary Schools (CP)	MCP.021	28	Broomhills PS	MCP.018	28	Queensferry HS	MCP.017	42	Meadowbank Redevelopment	MCP.002	1	21st Century Homes			
			MCP.022	28	Victoria PS (Replacement)	MCP.026		EDI - India Quay	MCP.015	28,32,33	Early Years Programme	MCP.003		WoL Flood Prevention - Phase 2			
			MCP.023	28	Castlebrae HS (Replacement)	MCP.019	28	St Crispins PS				MCP.004		Zero Waste: Edinburgh & Midlothian			
						MCP.020	28	New South Edinburgh PS				MCP.005		Fleet Services/Transport Review			
						MCP.015	28,32,33	Early Years Programme				MCP.006		West Princes St Gdns inc. Ross Pavillion			
												MCP.007		Edinburgh St James			
												MCP.008		Leith Programme			
												MCP.009		Northbridge			
												MCP.010		EDI - Craigmiller Regeneration			
												MCP.011		EDI - Market Street			
												MCP.012		EDI - Granton Waterfront			
												MCP.013	28	Boroughmuir HS			
												MCP.014	28	St Johns PS			
												MCP.015	28, 32, 33	Early Years Programme			
												MCP.016	28	Rising Schools Rolls			
												MAN.001		Historic Abuse Enquiry			
												MAN.002		GDPR Implementation			
												FUT.001		City Vision			
												FUT.002	6	City Deal			

Appendix 3 – Change Types

	SERVICE IMPROVEMENT (SIP)	MAJOR CAPITAL PROJECTS (MCP)	PEOPLE & CULTURE (P&C)	LEGISLATIVE / MANDATORY (MAN)	STRATEGIC CHANGE (STR)
TRACKED WITHIN THE PORTFOLIO	Significant change to processes, technology or ways of working (likely with a strong cross-departmental impact) which will deliver improvements and efficiencies for current/future services, e.g. • Roads Improvement • Process Automation • Waste Improvement • Channel Shift	Major infrastructure projects requiring capital investment of >£5M, e.g. • Early Years Programme • St Johns PS • Northbridge refurbishment • West Princes St Gardens	Projects and programmes that drive large scale and significant change for our people and improve culture (both internal & external), e.g. • HR policy & ways of working. • Future, Engage, Deliver • Relationship building • Compact	Initiatives we are required to do from a legislative/ reputational perspective, e.g. • GDPR Implementation	Initiatives that deliver longer-term strategic step-change, e.g: • City Deal • City Vision • Localities • Efficiencies & Transformation
TRACKED THROUGH BUSINESS AS USUAL (BAU)	Localised changes and initiatives that have some strategic, political or financial impact but are delivered as part of operational continuous improvement, e.g. • Change of Print provider • Document management	Infrastructure projects and programmes with capital investment of <£5M, e.g. • Hunters Hall cycle hub and pitch • Care home refurbishments •	Departmental initiatives and day-to-day line management accountabilities delivered within existing policies and procedure frameworks, e.g • WLT • Small organisational reviews as part of ongoing service review • Change to policies.	Operational changes required to align with legislative requirements, e.g. • Cole Report • Historic Abuse Enquiry • Software updates required to comply with legislative changes	

Definitions:
• **Significant Change** – change initiatives that have a weighted score ≥14 when assessed via the 'prioritisation matrix'; or any other corporate project the Chief Executive shall, in consultation with the Change Board and the Convenor or vice-Convenor of the Governance, Risk and Best Value Committee so designate.

The Portfolio Prioritisation Matrix applies a score from 1 (Low) to 3 (High) on level of impact a proposed project or programme has on a number of key criteria, i.e. a projects contribution to strategic priorities, financial impact, level of risk, community/citizen impact, people and culture impact. The criteria are weighted based on importance.

• **Major Capital Projects -** As designated in the Council's Scheme of Delegation, section 3.14 & 3.15, any project which has an estimated value of > £5M; or any other corporate project the Chief Executive shall, in consultation with the Change Board and the Convenor or vice-Convenor of the Governance, Risk and Best Value Committee, so designate.
• **Strategic Change** – change initiatives that deliver longer term, i.e. >5 years strategic change.

Appendix 4 – Portfolio Prioritisation Matrix

	Agreed Weighting	Low - 1	Medium - 2	High - 3
Strategic	1.0	Does not align to the Council's Strategy Framework	Supports/ enables Council Strategy Framework Business Plan/ Coaltion Pledges, City Vision/ City Deal	Integral component Council Strategy Framework Business Plan/ Coaltion Pledges, City Vision/ City Deal
Financial	1.0	Financial impact revenue/ capital <£1m	Financial impact revenue/ capital £1-5m	Financial impact revenue/ capital £5m + Generates significant savings/income
Risk	1.0	Low probability of the risk materialising which has an impact on the Council's Objectives	Possible that the risk may materialise which has at least a significant impact on the Council's objectives	Greater than 50% that the risk will materialise with at least a significant impact to the Council's objectives
Service Improvement	1.0	Incremental change to the current service offering	Provides opportunity for a changed service offering such as deploying new software, however the changes does not fundamentally alter the service offering	Provides opportunities to deliver at least one service in a new or significantly different manner
Community / Environmental Impact	0.8	Moderate impact on one locality	Moderate impact on multiple Localities or significant impact in at least one locality	Major impact on Multiple Localities or significant impact in at least one locality forming part of a locality improvement plan
Political	0.7	Negligible/ Minor political implications	Project will require ongoing Committee Scrutiny	Highly sensitive, likely to be subject to Committee debate and scrutiny. Potential
Staff Impact/Culture	0.7	Negligible/ Minor staff implications	Major staff implications in at least one Service Area	Highly sensitive, likely to be subject to Committee debate and scrutiny. Potential
Legislative	1.0	Marginal change to existing regulatory/ legislative framework	New Mandatory Regulatory/ Compliance Project which has an incremental change. Unlikely to carry reputational impact	New Mandatory Regulatory/ Compliance Project with potential of reputational impact

Appendix 5 – Change Governance

- **Committee** – Six monthly status update on the Council's Portfolio of Change to Governance, Risk and Best Value (GRBV) Committee for scrutiny. The update report will then be referred to Corporate Policy and Strategy Committee for information.
- **Change Board** –meets monthly & comprised of CLT attendees. Responsible for (i) making investment decisions and agreeing prioritisation of change initiatives, (ii) issue resolution escalated from working group, and (iii) tracking Portfolio delivery progress.
- **Change Working Group** – meets monthly & comprised of Heads of Service. Responsible for (i) overseeing and progressing change ideas, (ii) overseeing and if required issue resolution in relation to the portfolio, (ii) review and challenge of business cases, (iv) providing support and information to support Change Board decisions.
- **Proposed Delivery Unit** – to provide support and challenge to change initiatives reporting via the Portfolio, (including major capital projects). Portfolio Programme and Project Managers to submit monthly highlight/status that have been approved by SRO's/Sponsors. The Delivery unit will coordinate papers required for Change Working Group and Change Board, including (i) Portfolio dashboard, (ii) Escalating top Risks and Issues. (iii) Any CID's submitted that require decision on progress.
- **Programme Board** – all programmes should have a board that meets every 4-6 weeks. Depending on size and nature of a programme, they may require individual project boards that report into the programme board. Some Programmes may have individual project boards reporting in to them
- **Project Board** – for a stand-alone project there should be a board that meets on a 4-6 weekly basis, chaired by the Project Sponsor. It is also recommended a large project that is part of a programme should convene a project board.
- **Project Team Meeting** – recommended weekly project team meetings to track project delivery. Chaired by the Project Manager and attended by Project Team responsible for delivery of project tasks.

- *Note: there may be occasions when an individual programme/project may be called or request to attend the Change Working Group, e.g. issue that may impact on the wider portfolio that needs to be resolved.*
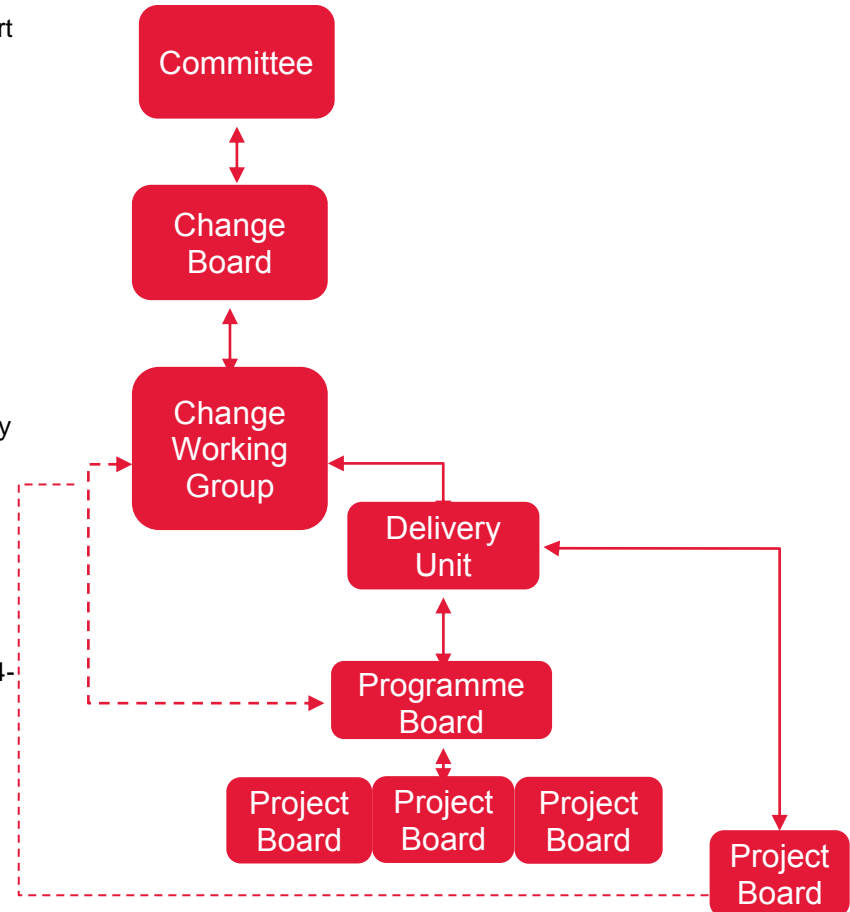
Appendix 6 – Change Delivery Standards (Project/Programme)

Detailed below are the basic standards that should be applied and adopted across all projects and programmes within the Portfolio. The Delivery Unit will be the custodian of these standards/templates and will be published on the Orb for download and use.

STANDARD	DESCRIPTION	FREQUENCY	NOTES
Business Case	Details the justification for change; All change initiatives in the portfolio **must** have a business case. This should be reviewed and updated at each project stage boundary during delivery to ensure ongoing validity. The Business Case must have a section detailing anticipated benefits and named owners who will be accountable for delivery of the stated benefits	Update at each stage/tranche of delivery	Mandatory for the portfolio
PID	Details the approach to delivering the agreed change(s) required to realise the benefits agreed as part of the business case.	Update at each stage/tranche of delivery	Mandatory for the portfolio
Benefits Realisation Strategy	Document detailing the approach to managing delivery of the project/programmes benefits.	Approve at initial Project/Programme Board. Update at end of each stage/tranche of delivery.	Mandatory for the portfolio
Plan	Plan detailing tasks, task owners and timescales • Plan should be agreed at initial board meeting. This agreed plan will act as the baseline to monitor any slippage to plan against. • Project Manager responsible for delivery and maintenance of the plan. all change initiatives in the portfolio **must** have a plan	Monthly	Mandatory for the portfolio
Highlight / Status Report	Details status of the project/programme • Report should detail SRO, Project/Programme Manager, Delivery Stage, key milestones, overview of progress within current reporting period, status of individual project/programme workstreams, top RAID items, budget position, change controls raised in reporting period the report covers. all change initiatives in the portfolio **must** provide status reports	Monthly	Mandatory for the portfolio
RAID	Risks, Assumptions, Issues, Dependencies	Updated Real time	Best practice

	• Project Manager to own document and ensure all RAID item owners are actively managing their RAID items. • SRO's to have visibility of RAID items and address any items escalated from the Project Manager.		Issues should be actively managed to resolution. Depending on impact this could be require daily management until issue is resolved.
Change Control	Documents proposed change of agreed project/programme scope; • whenever a change to the scope of the change initiative is made that exceeds project/programme tolerances. The change control should details the nature and impact of the change and approved/rejected by the SRO.	By exception	Best Practice
Exception Report	To be prepared by the Project/Programme Manager when the project/programme is forecast to exceed tolerances, e.g. budget, time, quality.	By exception	Best Practice
Project/Programme Close	To be completed for all projects and programmes within the portfolio when the outputs and outcomes are delivered and project team disbanded. Provides a summary of how well a project/programme has delivered the outputs/outcomes stated in its business case, final budget position, benefit position, lessons learned, outstanding tasks, owners and timescales for completion. • Project/Programme Manager prepares. • SRO signs off Note: Good project practice would promote undertaking lessons learned at the end of each stage/tranche of delivery. However as a minimum a lessons learned exercise must be undertaken at the project/programme closure. Lessons Learned will be collated and themed by the Delivery unit and provided to the Change Board on a monthly basis to provide visibility on areas of change delivery that may need improved or where good practice is being demonstrated that can be harnessed and applied to other change delivery programmes.	Project/programme closure	Best Practice

A change toolkit has been prepared that provides a number of templates available to all projects and programmes. Consultation with key project/programme delivery functions and stakeholders to agree final documentation is underway. An exercise to roll the standards templates across all projects/programmes to ensure consistency of approach.

Appendix 7: Proposed Delivery Unit - Functions

A Delivery Unit can significantly increase an organisation's chances of successfully delivering its strategy, maximising benefits and delivering change initiatives more cost effectively. It can do this in a number of ways. For example:

- maintaining a 'big picture' understanding of the business change portfolio
- provide decision support to the Change Board to ensure the right programmes and projects are launched
- provide standards and processes to ensure consistency of delivery
- provide independent oversight, scrutiny and challenge to ensure things are done right first time
- provide assurance, coaching and mentoring to build a competent workforce capable of delivering project and programmes using best practice techniques
- provide 'one version of the truth', reporting function with management dashboards to focus decisions and management interventions
- reduce the likelihood and impact of events that would have a negative consequence; and, conversely, increasing the likelihood and impact of events that would have a positive consequence
- improve organisational accountability, decision making, transparency & visibility
- identify, understanding and managing multiple and cross cutting risks and issues
- protect revenue and capital spend, and enhancing VFM.
- execute change more effectively and efficiently, and improving organisational PPM delivery capability
- protect reputation and stakeholder confidence.

Corporate Policy and Strategy Committee

10.00am, Tuesday, 3 October 2017

Assurance of Council Human Resources Policies - 2017 - referral from the Governance, Risk and Best Value Committee

Item number	7.4
Report number	
Wards	All

Executive summary

On 26 September 2017, the Governance, Risk and Best Value Committee considered a report which made recommendations to streamline the assurance process for Human Resources Policies. The report has been referred to the Corporate Policy and Strategy Committee for approval.

Terms of Referral

Assurance of Council Human Resources Policies - 2017

Terms of referral

1.1 On 3 September 2013, the Corporate Policy and Strategy Committee agreed a policy framework to strengthen the governance arrangements in place to ensure Council policies were easily accessible, and created, reviewed and revised in a consistent manner.

1.2 On 28 February 2017, the Corporate Policy and Strategy Committee requested a review of the approach to assurance for the Council's Human Resources. The review has been completed and submitted to the Governance, Risk and Best Value Committee for scrutiny.

1.3 On 26 September 2017, the Governance, Risk and Best Value Committee considered the report and agreed:

    1.3.1 To note the proposed process for the assurance of Council Human Resources policies as detailed.

    1.3.2 To refer the report to Corporate Policy and Strategy Committee for decision.

    1.3.3 To include reference to Committee decisions in relation to the policy in the proposed approach.

For Decision/Action

2.1 The Governance Risk and Best Value Committee has referred the report to the Corporate Policy and Strategy Committee for approval of the streamlined assurance process for Human Resource Policies.

Background reading / external references

Governance, Risk and Best Value Committee, 26 September 2017.

Laurence Rockey

Head of Strategy and Insight

Contact: Laura Millar, Assistant Committee Clerk

E-mail: laura.millar2@edinburgh.gov.uk | Tel: 0131 529 4319

Links

Appendices	Appendix 1 – Assurance of Council Human Resources Policies – 2017 – report by the Executive Director of Resources

Governance, Risk and Best Value Committee

10.00am, Tuesday, 26 September 2017

Assurance of Council Human Resources Policies - 2017

Item number

Report number

Executive/routine

Wards

Council Commitments

Executive Summary

The Council has in place a Corporate Policy Framework which enables a consistent application of policy assurance processes across the organisation. At the Corporate Policy and Strategy Committee in February 2017, a request was made for a review of the current policy assurance process in relation to Human Resources Policies.

As a result of this review, this report makes recommendations to streamline the assurance process in relation to these policies, while ensuring it still maintains a focus on best practice, continuous improvement and robust governance. Additionally, this report recommends that Human Resource Policies are exempt from the application of Corporate Policy Framework templates, but instead are presented to Committee as they would be available to staff.

Report

Assurance of Council Human Resources Policies - 2017

1.   Recommendations

1.1   To scrutinise the proposed process for the assurance of Council Human Resources policies as detailed.

1.2   To refer the report to Corporate Policy and Strategy Committee for decision.

2.   Background

2.1   The Corporate Policy and Strategy Committee agreed on 3 September 2013 to strengthen governance arrangements in relation to policy assurance by agreeing a policy framework to ensure that all current Council policies are easily accessible, and are created, revised and renewed in a consistent manner. This included the development of a comprehensive register of Council policies, which are required to be assured on an annual basis, along with the introduction of a policy template to provide the Council with a standardised format in terms of content and style. This included internal Human Resource policies.

2.2   At the Corporate Policy and Strategy meeting in February 2017 a request was made for the Council to review its current approach to the assurance of Human Resource (HR) policies. This review has now been completed and the Governance, Risk and Best Value Committee are asked to scrutinise the proposals made.

2.3   Recognising the differing nature of HR Policies, in that they are typically based in statute, case law, national terms and conditions of service or Government policy this report recommends two key changes to the current approach: firstly, that HR policies should be considered throughout the year as and when there is a requirement to do so, and; that these policies are exempt from the Corporate Policy Template, but are instead presented to Committee as they would be made available to our employees.

3.   Main report

3.1   The Council has in place a Corporate Policy Framework which requires a consistent application of Policy assurance across the organisation. However, at the Corporate Policy and Strategy Committee in February 2017, a request was made for a review

of the current policy assurance specifically in relation to Council HR policies for our employees.

3.2 The proposed approach would mean that HR Policies would be reported to Committee as and when a change to the existing policy deemed this necessary, primarily as a result of: changes to legislation or statute; agreement of new national terms and conditions of service or Government Policy; organisational change; or resulting from changes agreed through Trade Union Consultation (a recent example being Performance Policy).

3.3 Additionally, recognising that it is important that when considering HR Policies, it is critical for the relevant Committee to scrutinise, review and approve changes to policy or new policies, as they would be presented to employees. The current template adopted by Committee does not enable this. Therefore, it is recommended that the relevant HR Policy is attached to the Committee report concerned at that time as an appendix as it would be made available to employees.

3.4 We believe that this approach will provide the Committee with a clear and consistent means of scrutinising the Council's HR Policies, whilst providing assurance that they are legally robust, adopt best practice and are reviewed within required timescales in response to external and internal drivers.

3.5 To provide additional oversight, it is recommended that Annual Assurance is provided to Committee, which details all the HR Policies which have been reviewed or approved in the preceding year for scrutiny together with a status report relating to the other HR Policies.

3.6 In addition to the assurance required by Committee, it is recognised that there is further work to undertake, to work towards ensuring that all existing HR policies are presented in a consistent and accessible template, coupled with the relevant guidance and education for line managers.

4. Measures of success

4.1 That all Council policies are assured in a consistent and timely manner which ensures necessary scrutiny and oversight arrangement remain in place.

4.2 That all Council HR policies are reviewed in line with changes to such policies as a result of legislative changes or to drive best practice or continuous improvement.

5. Financial impact

5.1 There are no financial implications as a result of this report.

6. Risk, policy, compliance and governance impact

6.1 The changes to the assurance process aim to recognise the importance of the assurance of HR policies in a timely manner.

7. Equalities impact

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

8. Sustainability impact

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

9. Consultation and engagement

9.1 Consultation has taken place with officers in Resources and in particular HR. The Governance, Risk and Best Value Committee provides member scrutiny before consideration by the Corporate Policy and Strategy Committee.

10. Background reading/external references

10.1 Corporate Policy and Strategy Committee 3 September 2013 - Review of Council Policy

Stephen S Moir

Executive Director of Resources

Contact: Katy Miller, Head of Human Resources

E-mail: katy.miller@edinburgh.gov.uk | Tel: 0131 469 5522

11. Appendices

11.1 Performance Management Policy, available on the Orb.

11.2 New Performance Management Framework and Policy, report to Corporate, Policy and Strategy Committee, 6 December 2016

Performance Management Policy

We believe that all our employees want to do the best possible job they can for the Council and the people in our city and that we are all responsible for the work we do and how we do it. As your employer, it is our job to provide you with the right support so we can help you be at your best. Being at your best applies to both what you do and how you do it. We expect our Council Values to be at the heart of the approach we all bring to our work.

A user guide is available to support this policy to ensure that it is implemented as intended, with the focus on helping you to do your job to the best of your ability and supporting you to improve when you need help.

Author

Employee Relations, Human Resources, Resources Directorate.

Purpose

The purpose of this policy is to:

set out how we'll manage sickness absence across the organisation, and ensure that you know what's expected of you and what support we can put in place to support you, if you find yourself absent from work with an illness.

Review

The policy will be reviewed as required, in the light of business needs or changes to legislation, in consultation with the recognised Trade Unions.

This document is a local collective agreement between the Council and the recognised Trade Unions. We will make every effort to ensure that this policy is maintained as a local collective agreement, with changes made by agreement. If we cannot agree, either party can end the local collective agreement by giving four months' notice in writing. In such circumstances, the terms of the local agreement will cease to apply to existing and future employees.

We will review this policy regularly to ensure that it continues to support the performance of our colleagues.

Scope

The principles of this policy apply to all our colleagues and we expect everyone to approach their work in line with our Values. We recognise that there are groups of employees who have their own nationally agreed procedures for continuing professional development and managing performance. These remain in place.

However, nothing in those procedures exempts staff and managers from following the key principles outlined in this policy, and all staff are expected to have regular conversations with their managers, as a matter of good practice and to demonstrate the Council's Values as they go about their work.

Contents

1   Key principles

Clear expectations

We can all expect to have clarity on our role and what's expected of us. From your first weeks with the organisation onwards, you can expect to have an understanding of how your work fits in to the work we do in the city and to have clear goals, standards and measures for the part you play.

Support

We can all expect to be supported to perform at our best. This support includes advice, coaching, training and support for our development on the job. In return, we are all expected to do our very best and participate fully in conversations about our performance.

Focus on you

This policy is designed to look beyond the narrow focus of how you do your job and looks at you as an individual, giving the flexibility to factor in your personal circumstances where they relate to your performance.

Focus on improvement

The focus of this policy is on supporting you to do your job in the best way you can and identifying any additional support, tools or adjustments needed where there are any issues meeting the standards required.

Feedback

We can all expect to get regular feedback on how we are doing. We will all get the chance to have regular, two-way conversations about our performance and development. Your manager will help you seek feedback from others and will regularly review your performance with you.

2   Responsibilities

We will make sure that our approach to performance helps you be at your best at work. We will support your manager, so that they feel confident in providing you with the tools you need to do your job as well as the support and information you need. If you cannot meet the requirements of your job, your line manager will provide you with the support to help you reach the expected standards.

Employee's responsibilities

We are all individually responsible for managing our performance and engaging in conversations about it.

- You are responsible for the quality of your work and for putting in the effort needed to do the job to the standard required.
- You need to be clear on what it is you are being asked to do at work and what you need to do to achieve your goals and/or measures.
- You will need to work with your manager to agree how you are going to achieve your goals and/or measures and when you need to achieve them by.

If you need help, tell your manager and make it clear what support you think you need to be able to do your job.

Manager's responsibilities

- Your manager will make sure that you understand what you are expected to do in your job and that you know how to do it well.

- They will agree a set of goals and/or measures for you to achieve each year, starting from when you first join the Council.
- They will give you the support you need to achieve these by having regular conversations with you about your work throughout the year and by providing you with the time and development you need to do the best you can.

Your manager will have received appropriate performance management training to ensure that the performance management framework is adopted and applied consistently and fairly across the organisation.

Your manager's performance will be evaluated each year on how effectively they support their people to perform and how they manage the performance of their area.

3   Performance management

Setting and measuring goals

When you join us, your manager will set goals and/or measures for you and set out the wider standards of performance expected, in line with what is required in your area and with the Council's Values. Performance conversations will then happen throughout the year.

Annual conversation about progress and priorities

There will also be a more formal annual conversation between you and your manager. The annual meeting will be your opportunity to review your progress in the year that has just passed and to get clear on the priorities and expectations for the year ahead. The date at which the annual conversation takes place will be determined by the needs of the area where you work. Senior managers will still have their annual conversation in the spring.

During the annual conversation, as well as being clear on what you are aiming to achieve and how you should go about achieving it, you will also discuss any development and support needs you might have. The aim is to ensure that you can give your best possible performance and we absolutely encourage you to ask for the help you need to achieve that. Your work goals and/or measures and your development priorities will be recorded along with the support you need.

Regular one-to-one catch-ups

Throughout the year, you and your manager will have the opportunity to have regular one-to-one catch-ups. The frequency will depend on what works well for you and your manager. During these conversations, you will be able to discuss progress against your goals and/or measures, your health and wellbeing, any challenges you are encountering, along with support and development needs you might have. You will also be able to share and receive feedback on your performance.

Looking back over the year

At the end of the performance management cycle, you should arrange the next annual conversation to look back and review your performance for the year and provide an opportunity for reflection, feedback and recognition before planning for the year ahead once again. The 'looking back' part of the annual conversation will build on all the catch-up conversations you have had throughout the year so there should be no surprises. You and

your manager will agree a performance rating that reflects what you have accomplished during the year and how you have approached it.

If you don't feel you're achieving your goals

Occasionally you might feel that you are not going to be able to meet the standard of performance for the job or some goals and/or measures that were agreed. If you feel that, you should speak to your manager and let them know why you think you will not achieve what's expected of you and discuss what help you need. Your manager will listen to what you say and will give you the help you need where they can. It is your responsibility to make sure that you ask for help and take responsibility for meeting the necessary standards.

If your manager doesn't feel you're achieving your goals

In some cases, your manager might feel that you are not performing to the required standard, in which case they will bring this up as part of normal day-to-day management. Additional support should be discussed as part of everyday performance management. If you feel you need additional support, make sure that you ask for it. Your manager will be supportive in this. They will also be specific about expected improvements.

Managers will always want to understand why you might not be performing as well as expected and will try to understand your point of view, as well as giving you clear and honest feedback. Our aim is always to find out how we can help you achieve the required standards and expectations and to agree a way of resolving any issues and getting back on track. Your manager and yourself will agree how your performance can be improved and how often to meet in order to monitor your improvement until you are back performing at your best.

4   Performance improvement

Performance improvement plan

We understand that under-performance cannot always be improved by everyday performance management and further intervention is sometimes needed. If you have been given help but your manager feels that you are continuing to underperform, then they will set up a meeting with you to put a formal performance improvement plan in place. You can be represented at this meeting by a trade union representative or accompanied by a work colleague.

However, we must stress that being asked to attend a formal meeting about your performance should not come as a surprise to you. Your manager will have been discussing your performance with you throughout the year.

Any areas where your performance could improve will have been brought to your attention before any formal action is considered and your manager will have supported you to try to improve your performance on an informal basis, through normal day-to-day management at the time. We see formal performance improvement as the last stage of a concerted effort to help you achieve the desired level of performance, backed by evidence of the support you've received.

Stage	Actions and outcomes
Meeting to discuss the plan	The meeting will be a structured conversation between you and your manager about putting in place a formal plan to resolve the performance issues. Your manager will set out where you have not met the expected standards, with the evidence they've got from the conversations you had through the year. It's important that both you and your manager share feedback on any issues that are affecting your performance and that you discuss the impact they are having on your ability to do your work. It is important that you speak up about any factors impacting on your ability to perform so that your manager can consider any reasonable adjustments or whether your performance would be better dealt with under another Council policy.
Making you aware of potential outcomes	By the end of the meeting, your manager will set out the improvement in your performance that they expect to see. They will confirm that this represents a formal warning about your performance. This means that if there is no improvement in your performance, then this could result in your dismissal. Your manager will also tell your head of service that your performance is being managed using a performance improvement plan. We must emphasise that your manager will want to help you improve your performance and will want you to succeed. Equally, it's important that you see this as an opportunity to show that you can perform well in your job.
Confirming improvement needed	After the meeting to discuss the performance improvement plan, your manager will send you a completed performance improvement plan and a letter confirming that you are under performance improvement measures. In this letter, they will confirm that you have 12 working weeks to improve. They will also set out how often you will meet to monitor your improvement and the actions you are expected to take to show your improvement. The letter will also confirm your formal warning and note that if you do not improve your performance, then this could result in your dismissal. The warning will be live for 9 months and if your performance drops during that time, then you will be given a final written warning.
Monitoring performance	While your performance is under review, you and your manager will meet regularly to review your progress and, where required, adjust any development support you need to help. We would expect this to be at least weekly, in order for both you and manager to see if your performance is improving and to give feedback on progress made.
Improvement achieved	At the end of the review period, your manager will meet with you to discuss the outcome of the improvement period. You can be represented at this meeting by a trade union representative or accompanied by a work colleague. If you have achieved the improvement needed, then no further action will be taken and everyday performance management will continue. Your written warning will still be live for 9 months. If there is another drop in performance during this period, your manager will meet with you to discuss the situation. If the dip in performance means that further formal performance improvement support is put in place for you, then you will also be given a final written warning.

No improvement	If you have not met the required standard of performance at the end of the improvement period, then your manager will meet with you to discuss the situation. You can be represented at this meeting by a trade union representative or accompanied by a work colleague. The meeting will be a structured conversation between you and your manager about putting in place a formal plan to resolve the performance issues. Your manager will set out where you have not met the expected standards, with the evidence they've got from the conversations you had through the year. It's important that both you and your manager share feedback on any issues that are affecting your performance and that you discuss the impact they are having on your ability to do your work. It is important that you speak up about any factors impacting on your ability to perform so that your manager can consider any reasonable adjustments or whether your performance would be better dealt with under another Council policy. By the end of the meeting, your manager will set out the improvement in your performance that they expect to see. You will then be given a final warning and a further 4 working weeks to try to improve your performance levels. This means that if there is no improvement in your performance, then this could result in your dismissal. The warning will be live for one year. Your manager will also tell your head of service that your performance is being managed using a performance improvement plan.
Final performance improvement meeting	If you do not reach the standard of performance needed for your job in the final 4 working week period, then your manager will meet with you to confirm this and arrange for a final meeting to be chaired by your head of service (or a senior manager in your area with the authority to dismiss). You can be represented by a trade union representative or accompanied by a work colleague to both the meeting with your manager and the meeting with your head of service. At the final performance improvement meeting, the chairperson will review your performance improvement plan, consider the performance level you have been able to achieve, the support you received, your own feedback on what has prevented you achieving the standards required and feedback from your manager. You will be given the opportunity to share your thoughts on the situation. At the end of the meeting, the chairperson will confirm what action is to be taken. This will be either dismissal, action short of dismissal, redeployment or, in exceptional circumstances, a further period of review of up to 4 working weeks. This will only be considered if you have been able to demonstrate that you can achieve the required standard within that time. The chairperson will send you a letter confirming the decision.

5   Appeals

If you are dismissed or action short of dismissal is taken, you can appeal that decision by following the standard appeal process, which will be set out in your confirmation letter. You cannot appeal any other outcome of the final meeting.

Corporate Policy and Strategy Committee

10.00am, Tuesday, 6 December 2016

New Performance Management Framework and Policy

Item number	7.6
Report number	
Executive/routine	
Wards	

Executive Summary

The organisation is under pressure to transform itself and become fit for purpose to operate effectively in a much altered financial climate. It also has bold ambitions to deliver joined up public services that have the biggest impact in strengthening and empowering the communities we serve. The organisation's Wider Leadership Team have a clear and ambitious vision of the type of culture that needs to be established to ensure the organisation is at its most effective and productive in delivering for the city in new ways.

Our approach to managing performance and supporting our people to perform at their best plays a crucial role in enabling the organisation to be at its best in delivering for the city.

In response to insight from staff and managers that was sought out in 2015, a group of staff and managers from around the organisation have worked together to transform our approach to performance management.

Included with this report is the new approach that has been tested extensively across the organisation and negotiated with our trade unions. Agreement is sought on the new Performance Management Policy that accompanies this new Performance Framework, to enable us to create a culture of learning and performance across the Council.

Links

Coalition Pledges
Council Priorities
Single Outcome Agreement

·EDINBVRGH·
THE CITY OF EDINBURGH COUNCIL

Report

New Performance Management Framework and Policy

1. Recommendations

1.1 Note our ambitions to establish excellent performance management practices and create a positive culture of learning and performance, as represented in our new Performance Framework, which will come in to effect from 1 April 2017.

1.2 Agree the accompanying new Performance Management Policy as a replacement to the Managing Work Performance Policy with effect from 1 April 2017, in line with the introduction of the new Performance Framework.

2. Background

2.1 The organisation is under pressure to transform itself and become fit for purpose to operate effectively in a much altered financial climate. It also has bold ambitions to deliver joined up public services that have the biggest impact in strengthening and empowering the communities we serve. The organisation's Wider Leadership Team have a clear and aspirational vision of the type of culture that needs to be established to ensure the organisation is at its most effective and productive in delivering for the city in new ways.

2.2 Our approach to managing people performance is a significant cultural lever to pull in securing a culture of learning and performance that will help us support our people to deliver their best and help us transform how we work in the city to make the biggest difference.

2.3 The business case for organisations adopting high performance working practices is a compelling one and the cost of not doing so - to staff, customers and the organisation - can be considerable. Meta-research undertaken by The Mindgym in 2011, for example, suggests that when managers play their performance management and development role effectively, performance can increase by as much as 25%. As we are now operating in a climate of reduced resources, this productivity benefit is significant and the support for staff that comes with it is necessary for our people.

2.4 Work commenced in summer 2015 to determine how to change our approach to managing performance in a way that would have the biggest and most positive impact on our culture and our performance as a Council.

2.5 In August 2015 we embarked on an exercise to understand our staff experience of performance management and identify what would need to happen to create a positive performance culture. We talked with approximately 200 staff in focus

groups, interviewed around 20 managers who it was thought were 'pockets of excellence', sought the perspective of around a dozen senior leaders and heard from around 150 staff through an online system survey, in addition to desk research and benchmarking with around half a dozen other companies.

2.6   What we heard from staff suggested that, while some managers were excellent in supporting their teams to perform, this was not felt to be the norm and our approach as an organisation was neither fuelling performance nor driving engagement.

2.7   The key frustrations we heard were that our performance management approach felt like a 'box ticking' process, felt unconnected with why people were here and didn't support people to deliver their best. The over-focus on process and compliance was felt to be compounded by the fact that supporting systems and materials were overly cumbersome, complex and difficult to engage with.

2.8   Staff in focus groups also found it frustrating that performance issues appeared to be tolerated, with the impact on them being that they often had to take up slack of others, albeit a minority of the workforce. Managers we interviewed described the difficulties faced when trying to tackle performance issues due to feeling unsupported by the organisation with the pressures faced when tackling issues and as a result of the policy timelines being so long in practice.

2.9   Additionally, we found that the focus on pay was getting in the way of positive, stretching and developmental performance conversations, we found that colleagues getting feedback was not the norm and that, not only did poor performance appear to be tolerated, it was also felt that great performance was sometimes just 'tolerated'.

3.   Main report

3.1   In response to insight gleaned from staff and managers about what would be needed to close the gap between our current reality and our ambitions to create a culture of learning and performance, a 'Business User Group' was established in September 2015 to work with HR to co-create a new Performance Framework.

3.2   The thinking behind the new Performance Framework (and accompanying Performance Management Policy) has been focused on how to establish a supportive climate for performance that engages people at a human level, establishes a consistently high bar, makes it easy for our people to deliver their best performance and ultimately maximises the potential of our workforce. The focus is on supportive, developmental and, where needed, courageous conversations.

3.3   In addition to engagement and negotiation with our trade unions, there has been wide engagement of colleagues in the creation of the new approach and iterative developments of the new approaches have been extensively tested in a variety of Council operating environments throughout summer 2016. (See section 9 for more details).

3.4   As a departure from current practice, the new approach is inclusive of all colleagues of all grades. While some staff, such as teaching staff, have nationally agreed professional procedures, the principles and spirit of the new approach will apply to all.

3.5   The key components and changes to practice outlined in the Performance Framework and Policy are:

3.5.1   To support great conversations about 'the how' of performance, a new values map has been created to replace the Council's complex competency framework. The map brings to life the behaviours demonstrated when colleagues are approaching their work in line with our organisational values.

3.5.2   To move the focus from process and 'box ticking' to positive and stretching conversations about service delivery, a new approach to the annual conversation has been created to replace the 'Performance Review and Development' (PRD) conversation. The approach is more forward-looking, has been significantly simplified and moves away from a mathematical approach to evaluating performance to an agreement about the broad ballpark a colleague's performance is in, with a view to prompting a development-oriented conversation.

3.5.3   To increase our focus on supporting our staff to be their best and deliver their best throughout the year, a focus on year-round conversations is central to the framework. To support managers in having the most positive impact in these year-round conversations, a picture of what good looks like has been created for one-to-one and team conversations.

3.5.4   Drawing on the weight of external research showing the correlation between getting regular, balanced feedback from a variety of key stakeholders (peers, customers etc.) and performance improvement, a tool to support staff and managers in seeking feedback from the people they work with is included in the framework.

3.5.5   To support managers to support the minority of staff whose performance needs improvement, timeframes in the policy have changed. While the existing Managing Work Performance Policy had timeframes for improvement that could have resulted in resolution within a six month period, in practice it has been taking at least a year and sometimes up to 18 months to resolve performance issues, with negative consequences for the manager, the team and indeed the affected staff member. Due to the new focus on having clear and supportive performance conversations throughout the year, the timeframes for resolving performance issues have reduced to within six months (12 weeks initially, a possible extension of four weeks and a further short extension in exceptional circumstances). The focus is very much on supporting people to improve, and training will be provided to ensure manager capability in applying the policy fairly so as to avoid overly punitive interpretations (see 3.7).

3.6   In response to the feedback heard from staff and managers last year, the overall approach has been simplified and more flexibility incorporated to enable it to be successfully used in the wide variety of operating environments we have. While the whole framework is designed to be used flexibly, two key aspects of flexibility are:

3.6.1   To ensure flexibility in relation to operating environments, the performance cycle will be flexible for all staff, with the exception of senior managers whose performance year will remain on an April to March basis to align with the management of the organisation's performance. This ensures that different operating environments can choose a point in the year that aligns well with their service priorities and enables managers of high volumes of staff to spread out the more time-intensive conversations throughout the year.

3.6.2   To ensure flexibility of process, it is intended that managers of staff without easy access to the new online forms (that will be developed as part of the new Business World launch) can use simple paper forms and would only be required to add their performance evaluation 'score' for each member of staff each year.

3.7   To support managers and staff to use the new approach well, an extensive engagement and development plan has been developed.

3.7.1   This will see all levels of senior managers (approximately 350+ people managers from the CEO down) take part in a robust two-day workshop in the January- March 2017 period, to support them in modelling the best possible practices ready for the 1 April launch. Thereafter, all other managers will receive a comparable amount of development to support them in rethinking and practising new approaches to performance conversations.

3.7.2   Additionally, to support and engage staff in proactively playing their role in this, e-user guides are being developed and a road show of short workshops will run from January 2017 onwards to engage them in their role in managing their performance and development.

3.8   The link between pay and performance will be reviewed in 2017.

4.   Measures of success

4.1   An evaluation and embedding change plan is currently being developed that will drive our focus in measuring and adjusting the change in the coming two years and beyond.

4.2   Indicators of success will be agreed at the level of practice and also at the level of impact (i.e. impact on colleagues, impact on service). At the level of practice, we will return to the ten indicators that were used in the summer 2015 research phase (including, for example, determining the extent to which our people have clear, aligned and stretching goals, are getting clear, honest and frequent feedback on their progress, etc).

5. Financial impact

5.1 There are costs associated with the development phase of this work that are incorporated within the organisation's transformation budget but an internal delivery model is being used to minimise costs.

6. Risk, policy, compliance and governance impact

6.1 Due to the links between people performance and organisational performance and change capability, the risks to the organisation's ability to successfully transform itself to be fit for purpose in a new climate are significant if this new approach is not implemented.

7. Equalities impact

7.1 There are no direct equalities impacts arising from this report.

8. Sustainability impact

8.1 There are no adverse environmental outcomes arising from this report.

9. Consultation and engagement

9.1 Since September 2015, HR have worked with a 'Business User Group' established to co-create the new Performance Framework and Policy. This group has been made up of a trade union representative, a senior manager representative, two manager representatives and two staff representatives.

9.2 In creating the new values map, furthermore, the indicators were created by interviewing a random sample of top performers in the organisation to seek to understand, 'codify' and share the great approaches they are taking. The new map was then confirmed with a sample of Wider Leadership Team members to ensure it was fit for purpose not just for today but also for the future.

9.3 Additionally, in spring 2016, six 'early adopter sites' were identified to test out and refine the new approaches in the draft framework to ensure that the new framework was fit for purpose and flexible enough to meet the needs of our large variety of operating environments. The feedback from early adopter sites has been used to improve the iterations of the new framework and the reception to the overall approach has been overwhelmingly positive.

9.4 The trade union negotiation for the new Performance Framework was successfully concluded on 14 November 2016.

10. Background reading/external references

10.1 The report from the Mindgym metaresearch from September 2011, referenced at 2.3, is available in hard copy from Jo Guz.

Stephen Moir

Executive Director of Resources

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11. Links

Coalition Pledges	
Council Priorities	
Single Outcome Agreement	
Appendices	Appendix 1 – Our Performance Framework: Being our best in everything we do for the people in our city
	Appendix 2 – Performance Management Policy

OUR PERFORMANCE FRAMEWORK

Being our best in everything we do for the people in our city

ABOUT THIS FRAMEWORK

WHAT IS IT? – Having great performance conversations is a craft you develop over time. This framework is NOT designed to teach you how to have these conversations – it aims to offer a blend of templates, tools and tips to be used flexibly to suit your needs and situation. If you would like support to practice performance conversations, you can book into a development workshop.

WHAT DOES IT COVER? – The framework is made up of the following elements:

VALUES MAP – A set of the best behaviours, approaches, qualities and attitudes that show HOW we are expected to approach our work. These are aligned to our core values: Customer first / Working Together / Honest & Transparent / Forward-Thinking

ANNUAL CONVERSATION – A chance to step back and take stock. We reflect on the year that's been and what we've accomplished and we get prepared for the year ahead and what we want to achieve.

PERFORMANCE IMPROVEMENT CONVERSATION – As and when issues arise, we may need a conversation about improving our performance. This is a one to one discussion to dig deeper into the reasons for a performance issue, to get clear on what the issue is and to agree a way forward together.

ONE to ONE CHECK-IN - Regular one to one catch ups that take place throughout the year. We talk about progress against goals and measures, your life and wellbeing, challenges you are encountering and any support and development needs you have. You'll also be able to share and receive feedback.

FEEDBACK – Quick and simple tools to enable real-time and regular feedback on performance from our colleagues, managers, direct reports and customers.

TEAM CHECK-IN – Regular team catch ups that take place throughout the year. A chance to discuss and reflect on our team priorities, goals, challenges, ideas and opportunities. It's also a chance to share our learning, discuss the wider context and celebrate our achievements.

Click here **for our Performance Management policy**

1

Values Map

This VALUES MAP is a set of all the best qualities, behaviours, approaches and attitudes that show how we do things when we are at our best. Our four values make our organisation unique. They are at the heart of everything we do and the core of who we are and who we want to be. The values map will help us to celebrate what we do well, have meaningful conversations about how we can be at our best and how we might want to develop.

FORWARD THINKING

We think ahead and approach our work creatively to continuously improve the services we offer

HONEST and TRANSPARENT

We hold ourselves accountable to our city and act with integrity in everything we do

PUT CUSTOMERS FIRST

We treat our customers with respect and deliver caring and responsive services

WORK TOGETHER

We keep connected with our communities and partners and make relationships a priority, working flexibly together to achieve our goals

At my best

I do everything with commitment and total belief in what I care for

I am consistent and deliver what I said I would efficiently and to the highest standard possible

I care and use a genuine approach to engage with customers and the people I work and interact with

When making decisions, I focus on the outcome and have the person at the heart

I am flexible and adapt my style and communication to focus on what matters to people

I am committed and see things through to the very end

I involve customers to be active partners and acknowledge that I might not always be the expert

I take the time to listen and ask questions to seek understanding

I try to make people feel at ease and comfortable by building trust and being open

Put Customers first

1st

We treat our customers with respect and deliver caring and responsive services

Not at my best

I let my mood affect how I treat others

I make little or no effort to understand things from others' point of view and ignore the voice of the customer

I make promises I cannot keep for an easier way out

I make assumptions and take a "one size fits all" approach when working with people

I focus solely on the task and process, not the people

I can be insensitive and unhelpful to customers and my style does not take into account their feelings and opinions

I behave in a way that is detrimental for my customers or has a negative impact on the Council's reputation

I engage people in a way that inspires them to be a part of it

I give importance to relationships and make time for growing them

I acknowledge the good work and achievements of the people around me

I approach conversations with shared solutions in mind

I extend trust and take time to understand people I am working with

I recognise the times when what's needed is to roll up our sleeves and pull together

I show people I care about them and have their backs when needed

I help the people I work with to stay connected to the good work we are doing together

I am genuine with people and respectful in my conversations

I give colleagues the same importance as external customers and take the time to get to know them so that we can work well together

Working Together

We keep connected with our communities and partners and make relationships a priority, working flexibly together to achieve our goals

I don't flex my style to meet others' needs

I sometimes play power games to drive forward my own agenda and undermine the people I work with

I behave in a way that is detrimental for my colleagues and team

I am not approachable and don't prioritise giving people time and space

I have little interest and take no responsibility in getting to know people and finding out the best about them

I don't make efforts to share information about my work that is not confidential with others

I feel that it is easier to get the job done myself

I assume and have a "one size fits all" approach to working together with people

I give greater importance to my own opinions and achievements over others

I don't make efforts to understand how my work or the team work fit into the bigger picture

I pay lip service to working together – I play at listening but don't really explore different perspective and let the important things remain unsaid

Not at my best

4

I feel excited, passionate and connected with the work I do

I am curious and open to new approaches and I think creatively to make things happen

I actively play my part in making the future vision for our service and city a reality

I embrace change with enthusiasm and see it as an opportunity to make things better

I regularly take stock of what I am here to do

I make sure I know the facts and what is important when planning and making decisions

I encourage others to share ideas and try new things

If I see that something is not working or it could be improved, I take responsibility to do something about it

I embrace the "rocky road" and always look for sustainable solutions and opportunities for improvement

I take small steps to achieve the big goals

I take ownership for my own learning to continuously develop and fulfil the requirements of my role

Forward thinking

We think ahead and approach our work creatively to continuously improve the services we offer

I ignore problems, don't use my initiative and hide behind my job description

I rely on established solutions, ignore feedback and don't ask or value other people's views and suggestions

I take short cuts and turn a blind eye when things are getting tough

I dismiss fresh and new ideas and discourage people from suggesting new ways of doing things

I stick to the status quo and remain focussed on problems, not solutions

I ignore the facts and evidence to justify my decisions

I work within my own rigid parameters

I stay true to our values and feel accountable to do the right thing even when it's really challenging to do so

I play my part in helping my team act with integrity in everything we do together

I am transparent about the work I do, how I go about it and the decision I make

I am open and honest about what I do and don't know and seek people's ideas and suggestions to find solutions

I take the time to reflect on my approach to help me stay true to the Council values and the values that are important to me

I have conversations that are clear and frank at the same time as being respectful and constructive

I have confidence in myself to make the right decisions and, if needed, say no in a constructive manner

I speak up to positively challenge others in a way that is constructive, direct and appropriate

Honest and transparent

We hold ourselves accountable to our city and act with integrity in everything we do

I might be manipulative when influencing others and leave people with the impression I want to give

I blame the "system" and others by not taking responsibility for my actions

I come across as defensive when service improvements are suggested and think "we've always done it this way"

When making decisions, I hold back for fear of being judged or being wrong

I talk negatively about the Council and people working within it

I waver and don't remain involved until the resolution

I am blunt and insensitive when being honest

I pass the buck when things get tough

I don't tell the whole truth about my work, my approach or the decision I make

I put off the conversations and don't tackle the tough stuff

Not at my best

THE ANNUAL CONVERSATION

A conversation once a year between us and our line manager. A chance to step back and take stock. We reflect on the year that's been and what we've accomplished and we get prepared for the year ahead and what we want to achieve

LOOKING AHEAD: SETTING THE COURSE

WHY
What are we trying to make happen in our service area this year and why? What's the difference I want to make in this?

WHAT
What does this mean for my contribution in the year ahead? What will I need to do? And how will I know that I've been successful? What does good look like? What will the measure of good be?

HOW
How will I go about it? How do I want to approach my work this year in a way that I'll be most proud of? What will great look like in terms of my approach?

MY SUPPORT AND DEVELOPMENT
What does this mean for my development and the support I need in the year ahead? Where do I want to go longer term and what support would help?

OUTPUTS
Agreement on:

Expectations for the year ahead

What I do	How do it
My goals and/or performance measures	Our values and relevant professional standards

My development priorities/knowledge, skills, behaviour

LOOKING BACK: REFLECTING ON MY ACHIEVEMENTS

OUTPUTS
Agreement on:
My performance zone

What I deliver	How I go about it

Implications for my development

MY IMPACT
So, all in all, what's the impact I had this year on our outcomes, service, and colleagues? And how does this relate to what we're trying to make happen in our service?

MY LEARNING & STRETCH
What are my reflections on what I learnt this year? In what ways did I develop and stretch myself and the service this year? And how does that sit with the development priorities set?

HOW I WENT ABOUT IT
What are my reflections on the approach I took this year – on the good days and the more challenging days? How does that chime with our values? And did I feel supported to bring my best?

WHAT'S BEEN ACCOMPLISHED
What's the best of what I've achieved or accomplished this year? And how does that stack up against my goals and measures?

ANNUAL CONVERSATION QUESTIONS BANK

Some suggested questions from both an employee and manager perspective that we can choose from to prompt a good annual conversation

LOOKING BACK

MANAGER

What strengths or approaches did you use that helped you achieve that?

When you think about the last 12 months, what do you feel really proud of?

What have you enjoyed working on most over the year?

What is something new you learned in the past year

What has been challenging or had you feeling out of your comfort zone?

EMPLOYEE

What impact has my contribution made on our service area?

In what ways do you think I could further improve?

What you do feel my key achievements have been over the last 12 months?

LOOKING FORWARD

MANAGER

Where do you think you could focus your energies over the next 12 months that would make the biggest impact?

What goals are we looking at this year that interest you and present an opportunity to develop?

How can we be clear on what good looks like in all key areas of the role?

How do you want to stretch your skills or further grow your impact this year?

What support do you need – and from who?

EMPLOYEE

What are some of the big priorities coming up for our team that I might contribute to and how do these relate to the bigger picture?

What support and development opportunities are available to help me achieve my priorities?

What are the standards we're striving for in our service?

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PERFORMANCE ZONES

Reflecting back on the whole year on balance, these zones give us an overall sense of how we are doing in our role in terms of what we do and how we do it

GEM (GOING THE EXTRA MILE)

At various points throughout the year, there will be many times when we're truly going the extra mile – going above and beyond to pull together in the face of team challenges, delivering a particularly impressive quality of service or being the one who works consistently behind the scenes to keep the show on the road against the odds. Why wait until the end of the year to recognise this? It's hoped that space can be created throughout the year to appreciate, recognise and celebrate these moments at the time.

NEEDING SUPPORT

It might be because I'm brand new in post or, for whatever reason, I'm not yet hitting what's expected of me in my role yet and am showing the need for solid improvement in one or more key areas for my contribution to be where it needs to be in the year ahead.

This will likely include one or more of the following:

- Struggling to achieve performance goals, measures or standards expected in my role
- Being a way off approaching my work in a way that sits well with our values or professional standards
- Avoiding helping out my colleagues where needed or showing no real desire to ensure our service meets the standards our customers should be able to expect
- Requiring a level of support or direction that wouldn't ordinarily be expected for the level and scope of the role
- Struggling to have a positive impact on my customers or service users or having a negative impact on the team

ALMOST THERE

Whether I'm brand new to role or not, I'm a developing performer who is very close to consistently achieving what's expected of me and need just a bit more development in one or more areas to be really delivering my best in the year ahead and beyond.

This will likely include one or more of the following:

- Sharpening up my approach in relation to a key skill, one of our values or one of the professional standards we hold as important in my area
- Doing more to ensure I balance my priorities or deliver within the expected timeframes
- Stretching myself to be more proactive in overcoming the day-to-day challenges I face in my role
- Developing the experience needed for the role or focusing on the learning that would help with the changes and developments in my area
- Focusing in on improving the impact I have with my colleagues or customers / service users or focusing on improving the relationships that are key to this role

FULLY EFFECTIVE

I'm reliably broadly achieving what's expected of me on all fronts not just in terms of what I deliver but how I go about it, including taking responsibility for my ongoing development and supporting the team along the way.

This will likely include:

- Broadly hitting the performance goals and/or measures expected in my role (taking in to account reasonable obstacles)
- Consistently approaching my work in a way that fits really well with our values and professional standards (taking in to account the fact that we all may have the occasional bad day)
- Reliably helping out my colleagues and offering ideas, however small, for how we can continuously improve our service
- Embracing opportunities to learn within my role and, for the most part, actively keeping focused on my ongoing personal development
- Typically having a positive impact on my customers or service users and being somebody who is a consistently positive face for the Council

ANNUAL CONVERSATION RECORD

A form to record the key points and actions arising from the annual conversation

Name of employee	Name of manager
Employee number	Performance period

Performance goals and/or measures

This is the place to make sure you have a clear agreed picture of what good looks like for the employee in the year ahead. This may be a set of goals / objectives or it may be a set of key performance measures.

Personal development priorities

This is the place to make sure you have a clear agreed picture of what the priorities are for the employee's personal development in the year ahead to help the role holder to be at their best in the year ahead.

Review of the year

Employee reflections	Manager reflections	Performance zone

ONE-to-ONE CHECK-IN

A one-to-one catch up that take place regularly (frequency to be agreed between us and our manager) throughout the year. These might be pre-arranged meetings or just a quick touch-base. This tool suggests some topics that can be used to focus the conversations. Pick which ones feel the most important to talk about at the time

A conversation around what challenges, barriers & obstacles are being experienced and how these could be overcome and what support we might need to overcome them.

A conversation about us as a person. A chance to discuss how we are in general, how we are feeling, any time off we have had and anything in our personal life that might be impacting on our working life or vice versa

A chance to use feedback to reinforce good practice or behaviour, recognise where we have gone the extra mile or highlight where improvements are needed. Feedback and recognition should be two-way.

CHALLENGES & SUPPORT

FEEDBACK & WHAT I DO WELL

LIFE & WELLBEING

PERSONAL DEVELOPMENT

GOALS & PERFORMANCE MEASURES

TASK & ACTIVITIES

A conversation about our personal development needs and an opportunity to explore how we might want to expand our knowledge, skills and experience and reflect on career aspirations.

A conversation to ensure that goals are on track

A conversation around recent and up-coming task & activities

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ONE-to-ONE CHECK-IN QUESTIONS BANK [Manager questions]

Some suggested questions for managers to choose from and personalise to help to start a good one-to-one check-in conversation

PERSONAL DEVELOPMENT

- How are you progressing against your personal development priorities? Where do you feel you would like to further grow?
- What might be one area for development that would help you to perform even better or have more impact?
- When thinking of your long term career, what is important to you?

TASK & ACTIVITIES

- What's taking up most of your time at the moment?
- How well prioritized do your various tasks feel?
- What has gone well for you recently? What is about the approach you're taking that's helped?
- What are you trying to make happen in the next month?
- Who do you need to involve in that?

FEEDBACK & WHAT I DO WELL

- What is your sense of how well you are performing?
- What feedback have you sought recently and what have you learned from this?
- What makes you feel valued at work?
- Do you have any feedback for me?

GOALS & PERFORMANCE MEASURES

- How do you feel your goals are progressing?
- What approaches are you taking to achieve your goals / the standards?
- What is getting in the way of you achieving what's needed in your role?
- Are you getting the right support from me or others? What could I do more of to have you feel supported?

CHALLENGES & SUPPORT

- What is your biggest challenge right now?
- What approaches are you taking to address it and what have you learned in the process?
- What other approaches could you consider?
- What support could help you?

LIFE & WELLBEING

- How do you feel about your work/life balance right now? How can I help?
- What worries or concerns do you have?
- What changes could you make to improve your thinking time or "headspace"?
- What do you spend your time on that doesn't add value that you could stop doing?

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ONE-to-ONE CHECK-IN QUESTIONS BANK [Employee questions]

Some suggested questions for employees to choose from and personalise to help to start a good one-to-one check-in conversation

CHALLENGES & SUPPORT

- What approaches could I take to address my biggest challenge?
- How can I get support with….?
- Who can help me with...?
- Who needs support from me in the team?

TASK & ACTIVITIES

- What do you see as being some of my recent highlights?
- What's one bit of feedback you could give me to help my development?

FEEDBACK & WHAT I DO WELL

- What is your sense of how I am performing?
- What's your sense of the best of my strengths?
- What nudge would you give me that would help me be more effective?
- Can you give me some feedback on what you saw from me during ... piece of work?

GOALS & PERFORMANCE MEASURES

- How do you see my goals are progressing?
- How close to hitting the measures of success do you think I am?
- Am I delivering to the standard you're looking for?

PERSONAL DEVELOPMENT

- What personal development opportunities are there that could help me with...?
- How could I learn more about…..?
- Who might I be able to shadow to learn more about....?

LIFE & WELLBEING

- How might I get the right balance between work and life in my role?
- What changes could I make to get more headspace?

CHECK-IN PREPARATION TOOL

An optional tool for both a manager and an employee to use, if helpful, to prepare for a one-to-one check in. We could use it to jot down reminders of what we would like to talk about and/or make a note of some good questions to ask

CHALLENGES & SUPPORT

TASK & ACTIVITIES

FEEDBACK & WHAT I DO WELL

GOALS & PERFORMANCE MEASURES

PERSONAL DEVELOPMENT

LIFE & WELLBEING
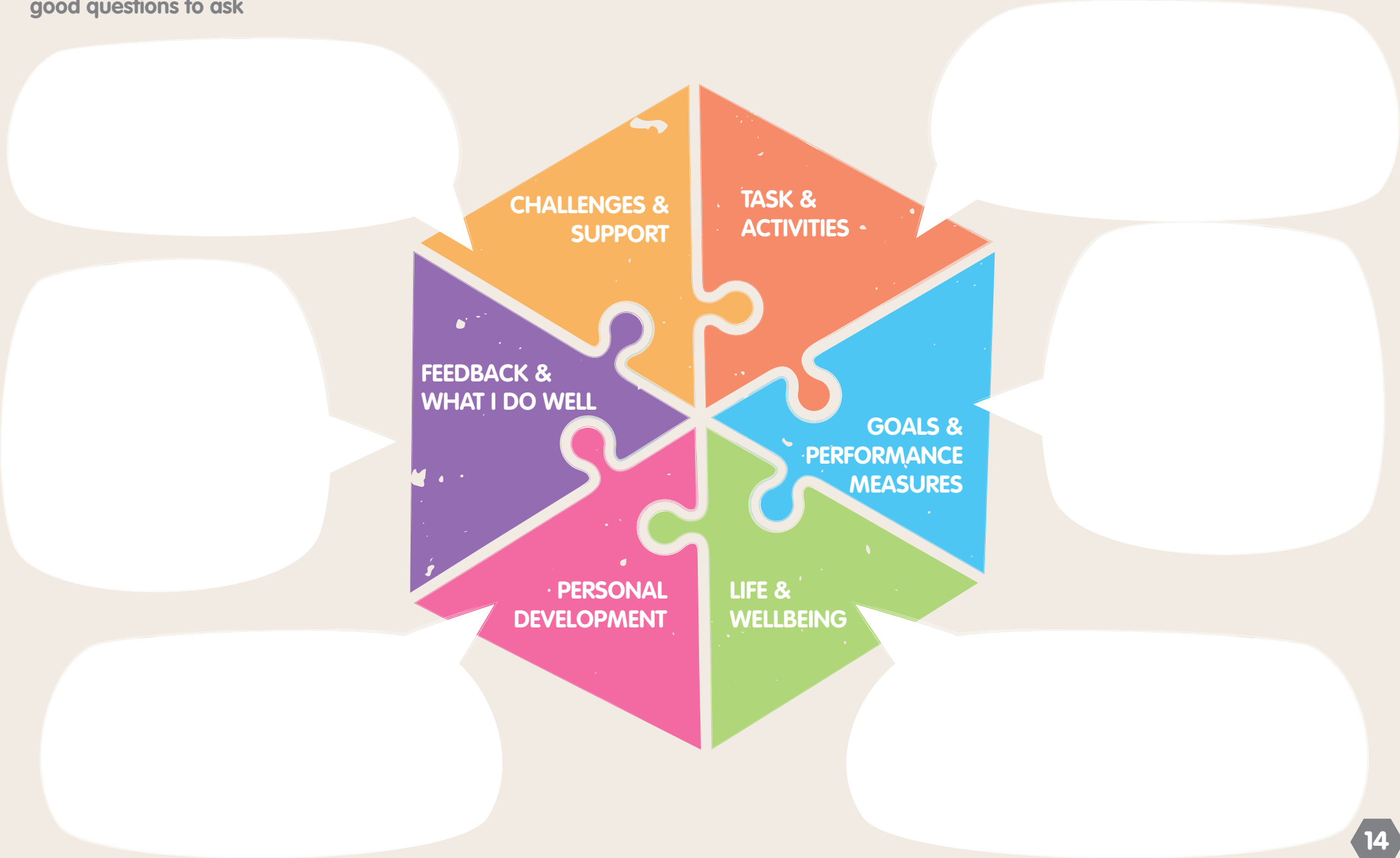
ONE-to-ONE CHECK-IN RECORD

A form to record the key points and actions arising from a one-to-one check in meeting

Name of employee	Name of manager

DATE	MAIN TOPICS DISCUSSED	ACTIONS (Who will do what by when)

TEAM CHECK-IN

A regular team catch up (frequency will vary between service areas). This tool suggests some topics that can be used to focus team check-in conversations. Pick which ones feel the most important to talk about

A conversation about challenges we are facing, any team tensions and obstacles to us achieving our goals and priorities. A chance to explore solutions and ways forward together and ways of supporting each other.

A chance to share what we are learning with each other e.g. feeding back after attending an event or sharing something we have read or seen.

A conversation about our wider context – what is going on in our organisation, city or beyond that could impact our performance. What changes and news do we need to touch base on as a team?

A conversation to get a sense check about how we are currently performing.

A chance to celebrate what we are doing well as a team, where we have gone the extra mile and reflecting on our impact.

A conversation to get clear on our team goals and priorities. What does good look like?

CHALLENGES & IDEAS

TEAM LEARNING

CURRENT PERFORMANCE

BIGGER PICTURE & NEWS

CELEBRATING ACHIEVEMENTS

TEAM GOALS & PRIORITIES

PERFORMANCE IMPROVEMENT CONVERSATION

As and when issues arise, we may need a conversation about resolving a performance issue. This tool suggests a way to structure a one-to-one performance improvement conversation to dig deeper into the reasons for a performance issue, to get clear on what the issue is and to agree a way forward together

WHAT IS THE PURPOSE OF THE CONVERSATION?

State why we're here and the intent to resolve the issue.

SHARING FEEDBACK ABOUT THE ISSUE

- Give honest and constructive feedback about the issue, with specific examples
- Describe the impact of the issue on others
- Clarity what will happen if nothing changes
- Recognise what is working well that we can build on

EXPLORING THE REASONS BEHIND THE ISSUE

- Explore what they think about the issue
- Explore possible reasons for the issue
- Try to learn what is going on from their point of view

WHAT CAN & WILL WE DO ABOUT IT?

Work towards a resolution to find a way forward together, being clear about what happens next and who will do what.

TOP 3 TIPS

- Choose the time and place for the conversation carefully
- Ask open questions and listen carefully to the responses
- Keep focused on moving towards a resolution

Click here for links to the Performance Improvement Policy and template for a Performance Improvement Plan

PERFORMANCE IMPROVEMENT QUESTIONS BANK

Some suggested questions for managers to choose from and personalise to help explore reasons behind a performance issue and what we can do about it

Exploring the issue

Can we talk through how you approached X piece of work?

What is the issue as you see it?

What impact can you imagine this having on others?

How engaged do you feel with your work generally?

How clear are you on the goals, standards and expectations of the role?

How confident do you feel in your ability?

How supported do you feel?

What else is happening that might be having an impact?

Exploring what we can do about it

How do we move forward from here to get things back on track?

What is the best first step in resolving this?

What support would help you? From who?

What could I do differently to help you be at your best?

What are the next steps we're agreeing then?

Where might you need to grow your skills?

What might get in the way and how will we get past that?

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TIMELY AND REGULAR FEEDBACK AND APPRECIATION

A tool to encourage us to regularly seek feedback on our performance from our manager, colleagues, direct reports and/or customers and to remind us to show timely appreciation to others

When I'm at my best, how does it effect others?

When I'm at my best, what do you see from me?

What are my unique strengths?

My strengths

What do you value about my approach?

Asking Others About

managers

you

peers

customers

direct report

Giving Appreciation

– Ask Yourself Regularly…

Is there someone I owe a simple thank you to?

Is there something great I've seen someone do?

Why was it great and how will I let them know?

Is there someone I owe some appreciation to? (including the reliable people who are sometimes in the background)

When I'm not at my best, what do you see?

How I can improve?

When I'm not at my best, how does it effect others?

What could I improve on and how might I go about it?

Top Tips
- Be honest
- Be specific
- Be respectful
- Be constructive

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FORWARD THINKING

We think ahead and approach our work creatively to continuously improve the services we offer

HONEST and TRANSPARENT

We hold ourselves accountable to our city and act with integrity in everything we do
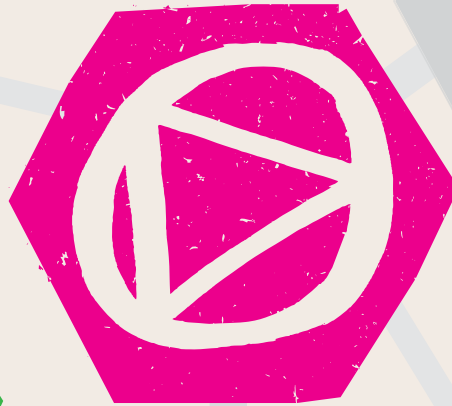
PUT CUSTOMERS FIRST

We treat our customers with respect and deliver caring and responsive services

WORK TOGETHER

We keep connected with our communities and partners and make relationships a priority, working flexibly together to achieve our goals

If you want to know more about our new performance framework or if you have any questions, please contact your manager.

We would love to hear your feedback on this framework, email us at performance2@edinburgh.gov.uk

Performance Management

Implementation date: 1 April 2017

Control schedule

Approved by	
Approval date	
Senior Responsible Officer	Katy Miller
Author	Stewart Cassie
Scheduled for review	

Version control

Version	Date	Author	Comment
0.1	15 November 2016	Stewart Cassie	Final draft for Corporate Policy & Strategy Committee

Committee decisions affecting this policy

Date	Committee	Link to report	Link to minute

Performance Management

Policy statement

1.1 We believe that all our employees want to do the best possible job they can for the Council and the people in our city and that we are all responsible for the work we do and how we do it. As your employer, it is our job to provide you with the right support so we can help you be at your best

1.2 Being at your best applies to both **what you do** and **how you do it**. We expect our Council Values to be at the heart of the approach we all bring to our work.

1.3 A toolkit is available to support this policy to ensure that it is implemented as intended, with the focus on helping you to do your job to the best of your ability and supporting you to improve when you need help.

Scope

2.1 The principles of this policy apply to all our colleagues and we expect everyone to approach their work in line with our Values.

2.2 We recognise that there are groups of employees who have their own nationally agreed procedures for continuing professional development and managing performance. These remain in place.

2.3 However, nothing in those procedures exempts staff and managers from following the key principles outlined in this policy, and all staff are expected to have regular conversations with their managers, as a matter of good practice and to demonstrate the Council's Values as they go about their work.

Key Principles

3.1 **Clear Expectations**

We can all expect to have clarity on our role and what's expected of us. From your first weeks with the organisation onwards, you can expect to have an understanding of how your work fits in to the work we do in the city and to have clear goals, standards and measures for the part you play.

3.2 **Support**

We can all expect to be supported to perform at our best. This support includes advice, coaching, training and support for our development on the job. In return, we are all expected to do our very best and participate fully in conversations about our performance.

3.3   **Feedback**

We can all expect to get regular feedback on how we are doing. We will all get the chance to have regular, two-way conversations about our performance and development. Your manager will help you seek feedback from others and will regularly review your performance with you.

3.4   **Focus on Improvement**

The focus of this policy is on supporting you to do your job in the best way you can and identifying any additional support, tools or adjustments needed where there are any issues meeting the standards required.

3.5   **Focus on you**

This policy is designed to look beyond the narrow focus of how you do your job and looks at you as an individual, giving the flexibility to factor in your personal circumstances where they relate to your performance

Policy content

4.1   Performance Management

When you join us, your manager will set goals and/or measures for you and set out the wider standards of performance expected, in line with what is required in your area and with the Council's Values. Performance conversations will then happen throughout the year. There will also be a more formal annual conversation between you and your manager. The annual meeting will be your opportunity to review your progress in the year that has just passed and to get clear on the priorities and expectations for the year ahead. The date at which the annual conversation takes place will be determined by the needs of the area where you work. Senior managers will still have their annual conversation in the spring.

During the annual conversation, as well as being clear on what you are aiming to achieve and how you should go about achieving it, you will also discuss any development and support needs you might have. The aim is to ensure that you can give your best possible performance and we absolutely encourage you to ask for the help you need to achieve that. Your work goals and/or measures and your development priorities will be recorded along with the support you need.

Throughout the year, you and your manager will have the opportunity to have regular one-to-one catch-ups. The frequency will depend on what works well for you and your manager. During these conversations, you will be able to discuss progress against your goals and/or measures, your health and wellbeing, any challenges you are encountering, along with support and development needs you might have. You will also be able to share and receive feedback on your performance.

At the end of the performance management cycle, you should arrange the next annual conversation to look back and review your performance for the year and provide an opportunity for reflection, feedback and recognition before planning for the year ahead once again. The 'looking back' part of the annual conversation will build on all the catch-up conversations you have had throughout the year so there should be no surprises. You and your manager will agree a performance rating that reflects what you have accomplished during the year and how you have approached it.

Occasionally you might feel that you are not going to be able to meet the standard of performance for the job or some goals and/or measures that were agreed. If you feel that, you should speak to your manager and let them know why you think you will not achieve what's expected of you and discuss what help you need. Your manager will listen to what you say and will give you the help you need where they can. It is your responsibility to make sure that you ask for help and take responsibility for meeting the necessary standards.

In some cases, your manager might feel that you are not performing to the required standard, in which case they will bring this up as part of normal day-to-day management. Additional support should be discussed as part of everyday performance management. If you feel you need additional support, make sure that you ask for it. Your manager will be supportive in this. They will also be specific about expected improvements.

Managers will always want to understand why you might not be performing as well as expected and will try to understand your point of view, as well as giving you clear and honest feedback. Our aim is always to find out how we can help you achieve the required standards and expectations and to agree a way of resolving any issues and getting back on track. Your manager and yourself will agree how your performance can be improved and how often to meet in order to monitor your improvement until you are back performing at your best.

4.2   Performance Improvement

We understand that under-performance cannot always be improved by everyday performance management and further intervention is sometimes needed. If you have been given help but your manager feels that you are continuing to underperform, then they will set up a meeting with you to put a formal performance improvement plan in place. You can be represented at this meeting by a trade union representative or accompanied by a work colleague.

However, we must stress that being asked to attend a formal meeting about your performance should not come as a surprise to you. Your manager will have been discussing your performance with you throughout the year. Any areas where your performance could improve will have been brought to your attention

before any formal action is considered and your manager will have supported you to try to improve your performance on an informal basis, through normal day-to-day management at the time. We see formal performance improvement as the last stage of a concerted effort to help you achieve the desired level of performance, backed by evidence of the support you've received.

The meeting will be a structured conversation between you and your manager about putting in place a formal plan to resolve the performance issues. Your manager will set out where you have not met the expected standards, with the evidence they've got from the conversations you had through the year. It's important that both you and your manager share feedback on any issues that are affecting your performance and that you discuss the impact they are having on your ability to do your work. It is important that you speak up about any factors impacting on your ability to perform so that your manager can consider any reasonable adjustments or whether your performance would be better dealt with under another Council policy.

By the end of the meeting, your manager will set out the improvement in your performance that they expect to see. They will confirm that this represents a formal warning about your performance. This means that if there is no improvement in your performance, then this could result in your dismissal. Your manager will also tell your head of service that your performance is being managed using a performance improvement plan.

We must emphasise that your manager will want to help you improve your performance and will want you to succeed. Equally, it's important that you see this as an opportunity to show that you can perform well in your job.

4.3 Confirming the Improvement Needed

After the meeting to discuss the performance improvement plan, your manager will send you a completed performance improvement plan and a letter confirming that you are under performance improvement measures. In this letter, they will confirm that you have 12 working weeks to improve. They will also set out how often you will meet to monitor your improvement and the actions you are expected to take to show your improvement. The letter will also confirm your formal warning and note that if you do not improve your performance, then this could result in your dismissal.

4.4 Reviewing progress

While your performance is under review, you and your manager will meet regularly to review your progress and, where required, adjust any development support you need to help. We would expect this to be at least weekly, in order for both you and manager to see if your performance is improving and to give feedback on progress made.

4.5   **Improvement Achieved**

At the end of the review period, your manager will meet with you to discuss the outcome of the improvement period. You can be represented at this meeting by a trade union representative or accompanied by a work colleague. If you have achieved the improvement needed, then no further action will be taken and everyday performance management will continue. Your written warning will still be live for 9 months. If there is another drop in performance during this period, your manager will meet with you to discuss the situation. If the dip in performance means that further formal performance improvement support is put in place for you, then you will also be given a final written warning.

4.6   **No Improvement**

If you have not met the required standard of performance at the end of the improvement period, then your manager will meet with you to discuss the situation. You can be represented at this meeting by a trade union representative or accompanied by a work colleague.

The meeting will be a structured conversation between you and your manager about putting in place a formal plan to resolve the performance issues. Your manager will set out where you have not met the expected standards, with the evidence they've got from the conversations you had through the year. It's important that both you and your manager share feedback on any issues that are affecting your performance and that you discuss the impact they are having on your ability to do your work. It is important that you speak up about any factors impacting on your ability to perform so that your manager can consider any reasonable adjustments or whether your performance would be better dealt with under another Council policy.

By the end of the meeting, your manager will set out the improvement in your performance that they expect to see. You will then be given a final warning and a further 4 working weeks to try to improve your performance levels. This means that if there is no improvement in your performance, then this could result in your dismissal. The warning will be live for one year. Your manager will also tell your head of service that your performance is being managed using a performance improvement plan.

4.7   **Final Performance Improvement Meeting**

If you do not reach the standard of performance needed for your job in the final 4 working week period, then your manager will meet with you to confirm this and arrange for a final meeting to be chaired by your head of service (or a senior manager in your area with the authority to dismiss). You can be represented by

a trade union representative or accompanied by a work colleague to both the meeting with your manager and the meeting with your head of service.

At the final performance improvement meeting, the chairperson will review your performance improvement plan, consider the performance level you have been able to achieve, the support you received, your own feedback on what has prevented you achieving the standards required and feedback from your manager. You will be given the opportunity to share your thoughts on the situation.

At the end of the meeting, the chairperson will confirm what action is to be taken. This will be either dismissal, action short of dismissal, redeployment or, in exceptional circumstances, a further period of review of up to 4 working weeks. This will only be considered if you have been able to demonstrate that you can achieve the required standard within that time.

The chairperson will send you a letter confirming the decision.

4.8 Appeals

If you are dismissed or action short of dismissal is taken, you can appeal that decision by following the standard appeal process, which will be set out in your confirmation letter.

You cannot appeal any other outcome of the final meeting.

Implementation

5.1 To support an effective implementation in line with the principles of this policy, a comprehensive period of development for staff and managers will commence in January 2017, ahead of implementation in April 2017.

Roles and responsibilities

6.1 We will make sure that our approach to performance helps you be at your best at work. We will support your manager, so that they feel confident in providing you with the tools you need to do your job as well as the support and information you need. If you cannot meet the requirements of your job, your line manager will provide you with the support to help you reach the expected standards.

6.2 We are all individually responsible for managing our performance and engaging in conversations about it. You are responsible for the quality of your work and for putting in the effort needed to do the job to the standard required. You need to be clear on what it is you are being asked to do at work and what you need to do to achieve your goals and/or measures. You will need to work with your

manager to agree how you are going to achieve your goals and/or measures and when you need to achieve them by. If you need help, tell your manager and make it clear what support you think you need to be able to do your job.

6.3   Your manager will make sure that you understand what you are expected to do in your job and that you know how to do it well. They will agree a set of goals and/or measures for you to achieve each year, starting from when you first join the Council. They will give you the support you need to achieve these by having regular conversations with you about your work throughout the year and by providing you with the time and development you need to do the best you can.

6.4   Your manager will have received appropriate performance management training to ensure that the performance management framework is adopted and applied consistently and fairly across the organisation.

6.5   Your manager's performance will be evaluated each year on how effectively they support their people to perform and how they manage the performance of their area.

Related documents

7.1   This policy forms part of the overall performance framework, a copy of which is attached.

Equalities impact

8.1   For details of the completed Record of Equality and Rights Impact Assessment (ERIA) form, contact the named author of the policy.

Sustainability impact

9.1   It has been assessed that this policy will have no environmental impact.

Risk assessment

10.1   The revised policy is fully compliant with legislative requirements and good employment practice.

Review

11.1   This document is a local collective agreement between the Council and the recognised Trade Unions. We will make every effort to ensure that this policy is maintained as a local collective agreement, with changes made by agreement. If we cannot agree, either party can end the local collective agreement by giving four months notice in writing. In such circumstances, the terms of the local agreement will cease to apply to existing and future employees

11.2   We will review this policy regularly to ensure that it continues to support the performance of our colleagues.

Corporate Policy and Strategy Committee

10.00am, Tuesday 5 December 2017

Summary Report on Community Empowerment (Scotland) Act 2015: Proposed Consultation Response on Common Good Matters - referral from the Finance and Resources Committee

Item number	8.1
Report number	
Wards	All

Executive summary

On 28 September 2017, the Finance and Resources Committee approved the Council's response to the Scottish Government consultation in relation to Common Good property. The report and response has been referred to the Corporate Policy and Strategy Committee for noting.

Terms of Referral

Summary Report on Community Empowerment (Scotland) Act 2015: Proposed Consultation Response on Common Good Matters

Terms of referral

1.1   Part 8 of the Community Empowerment (Scotland) Act 2015 places new duties on local authorities in relation to Common Good property.

1.2   The Scottish Government consultation sought views on issues such as timescales, information about assets, local consultation, publicising proposals and the disposal and use of Common Good property.

1.3   Responses to the consultation were to be provided by 29 September 2017, and will be made public on the Scottish Government website.

1.4   The Finance and Resources Committee agreed:

    1.4.1   To approve the Council's response to the Scottish Government consultation in relation to Common Good property subject to the following changes:

-   To recommend a further tab be added to the register that would highlight properties that are under investigation.

-   The period of consultation should be flexible.

    1.4.2   To refer the report to Corporate Policy and Strategy Committee for noting.

For Decision/Action

2.1   The Finance and Resources Committee has referred the report to the Corporate Policy and Strategy Committee for noting.

Background reading / external references

Finance and Resources Committee 28 September 2017.

Laurence Rockey

Head of Strategy and Insight

Contact: Stuart McLean, Governance Officer

E-mail: stuart.mclean@edinburgh.gov.uk | Tel: 0131 529 4106

Links

Appendices	Appendix - report by the Executive Director of Resources

Finance and Resources Committee

10.00am, Tuesday, 28 September 2017

Community Empowerment (Scotland) Act 2015: Proposed Consultation Response on Common Good Matters

Item number	7.7
Report number	
Executive/routine	Routine
Wards	City-wide
Council Commitments	11 and 47

Executive Summary

The Community Empowerment (Scotland) Act 2015 places new duties on local authorities in relation to Common Good property.

The Scottish Government is consulting on the guidance for local authorities on how to fulfil the requirements of the Act. The guidance asks for views on issues such as timescales, information about assets, local consultation, publicising proposals, and the disposal and use of common good property.

This report seeks approval of the Council's response.

Report

Summary Report on Community Empowerment (Scotland) Act 2015: Proposed Consultation Response on Common Good Matters

1. Recommendations

1.1 It is recommended that Committee;

1.1.1 approves the Council's response to the Scottish Government consultation in relation to Common Good property; and

1.1.2 Refers this report to Corporate Policy and Strategy Committee for noting.

2. Background

2.1 Part 8 of the Community Empowerment (Scotland) Act 2015 places new duties on local authorities in relation to Common Good property. The Scottish Government consultation concerns the statutory guidance related to these processes and asks for views on issues such as timescales, information about assets, local consultation, publicising proposals and the disposal and use of Common Good property.

2.2 Responses to the consultation are to be provided by 29 September 2017, and will be made public on the Scottish Government website.

2.3 This report seeks approve of the Council's response.

3. Main report

3.1 Common Good property is owned by local authorities and has been passed down, through local government reorganisation, from former burghs. Those burghs would have received it as a gift or purchased it. It includes land and buildings, moveable items such as furniture and art, and cash funds. There may be restrictions on how certain items of Common Good property are allowed to be used, and whether the local authority can dispose of them. In some cases, this has to be decided by the courts. It is also worth noting that, due to the time which has passed, it is sometimes difficult and complex to establish whether property forms part of the Common Good.

3.2 Section 102 places a duty on local authorities to "establish and maintain a register of property which is held by the authority as part of the Common Good."

3.3 Section 104 places a duty on local authorities "before taking a decision to dispose of, or change the use of, such (Common Good) property the local authority must publish details about the proposed disposal or, as the case may be, the use to which the authority proposes to put the property."

3.4 Section 103 and 105 require local authorities "to have regard to any guidance issued by the Scottish Ministers" in relation to these duties.

3.5 Part 8 does not define or redefine Common Good or remove or alter any restrictions on the use or disposal of Common Good property.

3.6 A copy of the full consultation document is attached at Appendix 1. The Council's draft response to the consultation is attached at Appendix 2.

4. Measures of success

4.1 Local authorities and communities will have a clear understanding of their rights and responsibilities under Part 8 of the Community Empowerment (Scotland) Act 2015 in relation to Common Good property.

5. Financial impact

5.1 There is no direct financial impact arising from the content of this report. The Capital Coalition Council budget motion, approved by the Council at the meeting of 21 January 2016 included, inter alia, an instruction to allocate monies to develop and maintain a Common Good Asset Register. It is anticipated that the work associated with Part 8 of the Act will be contained within the budget.

6. Risk, policy, compliance and governance impact

6.1 The risk that Common Good property could be unlawfully disposed of or appropriated is managed within the review processes currently in place. Once final guidance is issued in relation to the duties under Part 8 of the Act, the Council will develop processes designed to meet the requirements.

7. Equalities impact

7.1 There is no direct relevance of the report's contents to equalities related issues. However, the statutory obligation placed on the Council for administering property held as part of the Common Good, is to have regard to the interests of all the inhabitants of the city.

8.   Sustainability impact

8.1   There are no adverse impacts on carbon, adaptation to climate change and sustainable development arising directly from this report.

9.   Consultation and engagement

9.1   Council Officers in Resources and Strategy and Insight have been consulted in the preparation of this draft response.

10.   Background reading/external references

10.1   N/A.

Stephen S. Moir

Executive Director of Resources

Contact: Susan Craig, Operational Estate Manager

E-mail: susan.craig@edinburgh.gov.uk | Tel: 0131 529 5934

11.   Appendices

Appendix 1: Scottish Government Consultation on Draft Guidance

Appendix 2: Council Response to Consultation

Community Empowerment and Common Good Property

Consultation on Draft Guidance

June 2017

Community Empowerment and Common Good Property: Consultation on Draft Guidance

Overview

1. This is a consultation on guidance for local authorities on how to fulfil the requirements of Part 8 of the Community Empowerment (Scotland) Act 2015 in relation to Common Good property.

2. Common Good property is owned by local authorities and has been passed down, through local government reorganisation, from former burghs. Those burghs would have received it as a gift or purchased it. It includes land and buildings, moveable items such as furniture and art, and cash funds. There may be restrictions on how certain items of Common Good property are allowed to be used, and whether the local authority can dispose of them. In some cases this has to be decided by the courts. It is also worth noting that, due to the time which has passed, it is sometimes difficult to know whether property forms part of the Common Good.

Why we are consulting

3. Part 8 of the Community Empowerment (Scotland) Act 2015 places new duties on local authorities in relation to Common Good property. This consultation concerns the statutory guidance related to these processes and asks for views on issues such as timescales, information about assets, local consultation and publicising proposals.

    *   Section 102 places a duty on local authorities to "establish and maintain a register of property which is held by the authority as part of the common good."

    *   Section 104 places a duty on local authorities "Before taking any decision to dispose of, or change the use of, such [common good] property the local authority must publish details about the proposed disposal or, as the case may be, the use to which the authority proposes to put the property."

    *   Sections 103 and 105 require local authorities "to have regard to any guidance issued by the Scottish Ministers" in relation to these duties.

4. Part 8 does not define or redefine Common Good or remove or alter any restrictions on the use or disposal of Common Good property.

Responding to this Consultation

We are inviting responses to this consultation by **29 September 2017**.

Please respond to this consultation using the Scottish Government's consultation platform, Citizen Space. You can view and respond to this consultation online at:

https://consult.scotland.gov.uk/local-government-policy/community-empowerment-and-common-good-property

You can save and return to your responses while the consultation is still open. Please ensure that consultation responses are submitted before the closing date of **29 September 2017**.

If you are unable to respond online, please complete the Respondent Information Form (see "Handling your Response" below) and send to:

Karen Fraser
Local Government and Analytical Services Division
Area 3G North
Victoria Quay
Edinburgh
EH6 6QQ

Handling your response

If you respond using Citizen Space (http://consult.scotland.gov.uk/), you will be directed to the Respondent Information Form. Please indicate how you wish your response to be handled and, in particular, whether you are happy for your response to published.

If you are unable to respond via Citizen Space, please complete and return the Respondent Information Form attached to this document. If you ask for your response not to be published, we will regard it as confidential, and we will treat it accordingly.

All respondents should be aware that the Scottish Government is subject to the provisions of the Freedom of Information (Scotland) Act 2002 and would therefore have to consider any request made to it under the Act for information relating to responses made to this consultation exercise.

Next steps in the process

Where respondents have given permission for their response to be made public, and after we have checked that they contain no potentially defamatory material, responses will be made available to the public at http://consult.scotland.gov.uk. If you use Citizen Space to respond, you will receive a copy of your response by email.

Following the closing date, all responses will be analysed and considered along with any other available evidence to help us. Responses will be published where we have been given permission to do so.

Comments and complaints

If you have any comments about how this consultation exercise has been conducted, please e-mail them to: CGConsultation@gov.scot

Or you can contact us by post:

Karen Fraser
Local Government and Analytical Services Division

Area 3G North
Victoria Quay
Edinburgh
EH6 6QQ

Scottish Government consultation process

Consultation is an essential part of the policy-making process. It gives us the opportunity to consider your opinion and expertise on a proposed area of work.

You can find all our consultations online: http://consult.scotland.gov.uk. Each consultation details the issues under consideration, as well as a way for you to give us your views, either online, by email or by post.

Consultations may involve seeking views in a number of different ways, such as public meetings, focus groups, or other online methods such as Dialogue (https://www.ideas.gov.scot)

Responses will be analysed and used as part of the decision making process, along with a range of other available information and evidence. We will publish a report of this analysis for every consultation. Depending on the nature of the consultation exercise the responses received may:

- indicate the need for policy development or review
- inform the development of a particular policy
- help decisions to be made between alternative policy proposals
- be used to finalise legislation before it is implemented

While details of particular circumstances described in a response to a consultation exercise may usefully inform the policy process, consultation exercises cannot address individual concerns and comments, which should be directed to the relevant public body.

Chapter 1 - Common Good registers

1. Section 102 of the Community Empowerment (Scotland) Act 2015 requires local authorities to develop and publish Common Good registers. Before publishing the final version of the register, each local authority must publish a list of property which it proposes to include on its Common Good register and consult on this list.

Publication

2. Local authorities should aim to be consistent in how and where they publish both the initial list of common good property and the final Common Good register. So, in common with the requirements for publishing the final register (Chapter 4), the public should be able to inspect the list of Common Good property free of charge and access it electronically, ideally on the local authority's own website.

3. Local authorities must be ready to make the list of property available in alternative languages and formats, if requested, to meet equality requirements. They may also wish to produce paper copies of the list if they think this will be more accessible to the groups they are looking to reach. Other alternatives could be, for example, to enable people to view the list on a computer at a public enquiry office, or send out printed extracts in response to telephone enquiries.

QUESTION 1: If applicable, where or how else should this information be published as a minimum requirement? Why is this needed in addition?

Length of consultation

4. The list of Common Good property should be made publicly available for comment for at least eight weeks.

QUESTION 2: What are your views on the timescale of eight weeks for people to comment on the list of common good property?

Information about property

5. The list of Common Good property should include enough detail about each item to enable members of the public to identify and locate individual assets. As a minimum this should be: the name of the asset, a brief description of what the asset is, the location of the asset, the name of the burgh to which the asset formerly belonged and any additional information about the asset which may be of use to a reader (see Annex A for more information).

6. There is no requirement on local authorities to make checks or confirm title before including property and assets on the list. This is because it is recognised that the ownership and boundaries of land and property are sometimes unclear, especially where records are old and land has changed hands by statutory powers or reorganisation of public bodies.

QUESTION 3: What, if any, further information about common good property should be provided?

Chapter 2 – Identifying and contacting Community Bodies

1. When the list of property is published, local authorities must invite community councils and other community bodies to consider the list and provide their views.

How to contact Community Bodies

2. The definition of "community bodies" given in section 106 of the Act is quite broad. We recognise that it may be difficult for local authorities to identify every individual group with a potential interest in a piece of common good property. Therefore we recommend that local authorities work with community planning partners and organisations such as Voluntary Action Scotland to help identify relevant groups in the local area. Local authorities should also note that the Local Government etc. (Scotland) Act 1994 defines specific geographical areas where communities will have an interest in common good property.

3. We expect local authorities to use a variety of methods to reach community bodies and they may find the revised National Standards for Community Engagement helpful when trying to connect with diverse groups of people from across the community. Community councils are already statutory consultees in the planning process and we would recommend that local authorities take advantage of these existing links when notifying community councils about proposals relating to common good property.

QUESTION 4: What, if any, further ways should local authorities use to identify and contact relevant community bodies?

Chapter 3 – Dealing with representations

1. The ability to provide views and comments (make representations) before the common good register is formally published, ensures that individuals, community councils and other community bodies have an opportunity to make a case for property to be included in or excluded from the register.

How to make representations

2. When publishing the list of common good property, local authorities should clearly set out the process and timescale for making any representations. All representations should be made in writing, either by e-mail or by letter. It should also be made clear that all representations will be published (although personal details must be handled in accordance with the local authority's data protection policy).

How to access representations

3. We expect local authorities to publish all the representations they receive. All of these documents, whether paper copy or electronic, should be accessible from the same place as the list of property and, eventually, the Common Good register.

Responding to representations

4. Local authorities should aim to investigate and respond to representations within eight weeks. The final response should be published alongside the original representation. Once a local authority has fully considered a representation, this decision will be final - unless significant new information comes to light or a court decides otherwise. Local authorities are not required to consider repeated representations in relation to the same asset when no new information is provided.

QUESTION 5: What are your views on the timescale of eight weeks to investigate representations in respect of the register?

Chapter 4 - Publishing the Common Good register

1. Local authorities should aim to publish the first version of their Common Good register as soon as practicable after the initial eight week consultation period has closed, and in any case within six months of the end of the consultation.

2. In cases where there have been numerous or particularly complex representations and a local authority is still carrying out investigations, a note should be added to the register to that effect. A covering note to the Register should make clear that some representations are still being followed up and there should be an indication of when these investigations are likely to be completed and a new version of the register made available. This should maintain transparency while still allowing local authorities to properly investigate complex cases.

QUESTION 6: What are your views on the timescale for publishing the Common Good register?

QUESTION 7: Do you agree or disagree with the proposals to publish the register even when some items on it are not yet confirmed?

Access to the register

3. The public must be able to inspect the Common Good register free of charge, and the document must be available electronically, ideally on the local authority website.

4. Local authorities should ensure that their Common Good register is easy to find and has clear instructions for use. They must also be ready to provide information from the register in alternative languages and formats if requested, to meet equality requirements. It is not necessary to produce a full paper version of the register, although this may be the preferred option for some local authorities. Alternatives could be, for example, to enable people to use the register on a computer at a public enquiry office, or to send out printed extracts in response to telephone enquiries.

Review

5. Common Good registers should be considered to be "living documents" and local authorities should revise their register if new Common Good assets are identified or if existing assets are disposed of or re-classified. It is also good practice to review the register at regular intervals, such as at the same time as the register of common good assets for accounting purposes (which is usually carried out annually). The process and timescale for review of the Common Good register should be made clear, along with the date of the last update.

QUESTION 8: What are your views on reviewing the common good register annually?

Chapter 5 - Consultation when planning to dispose or change the use of Common Good property

1. Section 104 requires local authorities to consult with the local community when they are planning to dispose of common good property, or change its use. Each local authority must publish details of the proposed disposal or change of use of common good property.

What information should be included about the property

2. The proposal should clearly state which property is being considered and what the plans are. The proposal should include enough detail to enable members of the public to identify and locate the property. To identify the property, the local authority should use the same information about the property that is included in the Common Good Register (Chapter 1). In relation to cash funds, "change of use" would not cover every payment to different people, or moving investments about, but would include, for example, changing the rules about what type of things could be funded.

Where and how should details be published

3. As a minimum, local authorities should publish the details of the proposal on their own website and should ensure that this is publicised widely. If the request relates to a building or area of land, a public notice should be placed on the building or land, or on an object close to it. If it is a building open to the public, you may also want to put a copy somewhere prominent inside. However, it is more important that the notice is put up where interested people will see it than that it is on or adjacent to the land in question. It could be displayed in a village shop, on a community noticeboard or an information point in a car park - wherever local events and notices are normally advertised.

QUESTION 9: If applicable, where or how else, should details of a proposed disposal or change of use be published as a minimum requirement? Why is this (are these) needed in addition?

Chapter 6 – Consulting the Community

1. Local authorities must notify community councils and community bodies when the proposal is published.

Representations

2. Local authorities must invite community councils and other community bodies to consider and give their views on the proposal making it clear that all representations will be published. This ensures a transparent process and that individuals, community councils and other community bodies have an opportunity to consider the proposal and how it might affect them. It should be made clear that people will have at least 20 working days from date of publication to make representations.

QUESTION 10: What are your views on the timescale of 20 days to make a representation on a proposed change or disposal of a common good asset?

Final response

3. Local authorities should aim to consider and respond to any representations within 20 working days. The final response(s) should then be published online alongside the original representation(s). Local authorities should also ensure that they publish the final decision about the proposal (i.e. whether the proposal will be taken forward and any changes which will be made) and notify community bodies and anyone who made a representation.

QUESTION 11: What are your views on the timescale of 20 days to respond to representations?

QUESTION 12: If the proposals are amended, should the guidance recommend consulting again on the revised proposal?

Annex A – Information to be included in Common Good Register

Information fields	Detail
Name of asset	The name by which the asset is generally known by
Description of asset	A brief description of what the asset is e.g. land, building, fund
Location	The most detailed information that the local authority has about the location of the asset e.g. grid reference, map or description. A member of the public should be able to use the description to accurately identify where the asset is
Former Burgh	The former Burgh to which the asset originally belonged
Additional Information	Any extra information which might be of use to a reader e.g. if the asset is managed by a third party or, if the asset is not land or property, a description of what the asset is

Example of what entries in a Common Good Register might look like

Name of asset	Type of asset	Location	Former Burgh linked to asset	Additional Information
Scotlandtown Recreation Park	land	An acre of land in Scotlandtown, which is bordered to the north by the river Alba and on the east by Scotland Street. It is adjacent to Scotlandtown town hall.	The Royal Burgh of Scotlandtown	Exact date of acquisition is unclear but was before 1900.
*Chandlers Row	land	A lane in Scotlandtown, running from the Harbour to the Marketgate.	The Royal Burgh of Scotlandtown	***Unconfirmed as common good property – still under investigation.**
Dunalba Common Good Fund	fund	N/A	The Burgh of Dunalba	Fund set up for the benefit of the inhabitants of Dunalba. Detailed information about what can be funded is available direct from the local authority
Painting of Provost Ross (1893)	painting	Dunalba Town House, Mercat Square, Dunalba	The Burgh of Dunalba	Painting gifted to the Burgh of Dunalba by the family of Provost Ross in 1893

APPENDIX TWO: PROPOSED COUNCIL RESPONSE TO CONSULTATION

Chapter 1 – Common Good Registers

1. If applicable, where or how else should this information be published as a minimum requirement? Why is this needed in addition?

    Response: Agree that the local authority's website is the best place for the register to be made available.

2. What are your views on the timescale of eight weeks for people to comment on the list of common good property?

    Response: 8 weeks may be too short a period for people to become aware of and comment on the list of common good property. 12 weeks is suggested as an alternative.

3. What, if any, further information about common good property should be provided?

    Response: It is recommended that information about how an asset is defined should be provided, for example, for a park, what level of detail is required where there are monuments contained within that park?

Chapter 2 – Identifying and contacting Community Bodies

4. What, if any, further ways should local authorities use to identify and contact relevant community bodies?

    Response: There is a distinction between identifying and contacting, notifying and connecting. It is not clear what the expectation is in terms of what the local authority should do. Scottish Government could consider if links could/need to be made with the "Guidance on Engaging Communities in Decisions Relating to Land" under Part 4 of the Land Reform (Scotland) Act 2016 in terms of community consultation and engagement.

Chapter 3 – Dealing with representations

5. What are your views on the timescale of eight weeks to investigate representations in respect of the register?

    Response: Some cases will be complex and will require historic records to be retrieved and examined to permit a local authority to fully consider representations; 8 weeks could be too short a period. It will also depend on the number of representations received and the resource available to the local authority to process the representations. It is recommended that the period should be extended to 12 weeks.

Chapter 4 - Publishing the Common Good register

6. What are your views on the timescale for publishing the Common Good register?

    Response: It would be more appropriate for the long stop date of 6 months to start from the date that representations are received, rather than the date the consultation has closed.

7. Do you agree or disagree with the proposals to publish the register even when some items on it are not yet confirmed?

Response: It is recommended that the register is published with confirmed assets only, to avoid ambiguity. The register can be added to when the status of additional assets is confirmed.

8. What are your views on reviewing the common good register annually?

Response: As with the accounting treatment of common good assets, an annual review of the register is appropriate and the register should be treated as a "living document." Some leeway could be given for local authorities to determine the review date to tie in with their own reporting timescales.

Chapter 5 – Consultation when planning to dispose or change the use of Common Good property

9. If applicable, where or how else, should details of a proposed disposal or change of use be published as a minimum requirement? Why is this (are these) needed in addition?

Response: It is not considered that any further publication is required – other than the consultation referred to in Chapter 6. Further guidance on what stage the proposal should be advertised would be useful.

Chapter 6 – Consulting the Community when planning to dispose or change use

10. What are your views on the timescale of 20 days to make a representation on a proposed change or disposal of a common good asset?

Response: The timescale of at least 20 working days from date of publication to make representations is considered sufficient.

11. What are your views on the timescale of 20 days to respond to representations?

Response: If the issue is particularly complex, it may require additional time. It is recommended that the timescale is increased to 28 days.

12. If the proposals are amended, should the guidance recommend consulting again on the revised proposal?

Response: No, as this could lead to a protracted period of representations and amendments. The revised proposals, having been examined, should be able to proceed.

Corporate Policy and Strategy Committee

10.00am, Tuesday, 5 December 2017

Council Resilience: Annual Report (1 October 2016 to 30 September 2017)

Item number	8.2
Report number	
Executive/routine	
Wards	All

Executive summary

This report provides information on Council resilience activities and initiatives undertaken during the period 1 October 2016 to 30 September 2017.

·EDINBVRGH·
THE CITY OF EDINBURGH COUNCIL

Corporate Policy and Strategy Committee

Council Resilience: Annual Report

(1 October 2016 to 30 September 2017)

Recommendations

1.1   To note the resilience activities undertaken during the period of this report;

1.2   To note the resilience model and reporting structure outlined at Appendix 6; and

1.3   To approve the proposed Resilience service forward work plan for 2017/18 set out at Appendix 7.

Background

2.1   This report provides a summary of resilience activities across the City of Edinburgh Council, in liaison with partner and stakeholder organisations, in the period from 1 October 2016 to 30 September 2017.

2.2   This year has seen five serious incidents in the United Kingdom categorised as terrorist attacks. In response to these incidents, the UK Government has twice raised the UK Threat Level from International Terrorism to its highest state of "Critical", meaning that an attack is deemed imminent. The move to Critical involves the invocation of a range of measures intended to increase security and provide public reassurance.

2.3   On 14 and 15 June 2017, the Grenfell Tower Block fire took place in Kensington, West London. The fire resulted in over 80 casualties and an estimated 60 fatalities. The incident also led to calls for immediate preventive checks by Local Authorities and others on a range of high rise tower blocks.

Main report

3.1   In the United Kingdom, there is a statutory duty on Category 1 Responders to carry out contingency planning as specified in the Civil Contingencies Act 2004. In Scotland, the term Category 1 Responders includes Local Authorities, the Emergency and Health Services and the Scottish Environment Protection Agency (SEPA). The Act, together with the supporting regulations and guidance, sets out the roles and responsibilities of those involved in emergency preparedness and response at the local level.

3.2 The Emergency and Health Services together with Local Authorities and SEPA are at the core of the response to most incidents. They are subject to the full range of civil preparedness activities including:

- assessing the risk of incidents occurring and using these assessments to inform contingency planning;

- putting in place emergency response plans;

- putting in place business continuity management arrangements;

- putting in place advance arrangements to make information available to the public about emergencies and maintaining arrangements to warn, inform and advise the public in the event of an incident;

- providing advice and assistance to businesses and voluntary organisations in relation to business continuity management (this duty applies to Local Authorities only);

- sharing information with other local responders to enhance coordination; and

- cooperating with other local responders to enhance coordination and efficiency.

Organisations designated as Category 2 Responders have a duty to cooperate and share information with Category 1 Responders. These organisations include the Utilities (gas, water, electricity and telecommunications) and Transport authorities (including Edinburgh Airport Ltd, Network Rail and Forth Ports Ltd).

3.3 On behalf of the Chief Executive, the Council's Resilience service, within Strategy and Insight (Governance and Democratic Services function), provides the lead role for the Council's Business Continuity, Emergency Planning, Community Resilience and Counter Terrorism activities, including the role of Lead Resilience Advisor. The Resilience service also has delegated responsibility from the Council Leadership Team for the coordination of the Council's response to Serious Organised Crime.

Resilience Planning - National Input

3.4 The following table details the Council's Resilience input into national and associated planning. Training and exercising initiatives associated with these activities are included at Appendix 4.

Lead Organisation/Group	Activity	City of Edinburgh Council Lead
UK Government: National Emergency Plan for Fuel	Contributing to UK and Scottish Government planning arrangements	Resilience service

	for incidents involving disruption to fuel supplies	
UK Government: Maritime and Coastguard Agency (MCA) National Contingency Plan	Contributing to MCA planning arrangements for major maritime incidents involving oil and chemical pollution	Resilience service
Scottish Government: Animal and Plant Health Agency	Contributing to Scottish Government and wide-area contingency arrangements for animal disease outbreaks	Resilience service and Trading Standards
Scottish Government: Mass Fatalities Working Group	Contributing to the development of arrangements for managing incidents and events involving large numbers of fatalities	Resilience service and Scientific and Environmental Services
British Standards Institute: CAR/001 Continuity and Resilience Committee	Development of BSI Standards and guidance for business continuity, including ISO 22301	Resilience Manager
East of Scotland Critical Infrastructure Core Group and Main Group	Improve the protection and resilience of critical assets and systems	Resilience Manager
CONTEST: Scottish Counter Terrorism Prepare Sub Group	Mitigate the impact of a terrorist incident in Scotland where it cannot be stopped and promote recovery from its aftermath	Resilience Manager
CONTEST: Scottish Counter Terrorism Protect Sub Group	Strengthen Scotland's protection against terrorist attacks in the UK or against interests overseas and reduce vulnerability	Resilience Manager
UK Business Continuity Group (business continuity group for eight largest cities in UK outside London)	Sharing and promoting best practice in Business Continuity Management	Resilience service

Resilience Planning – Scottish, Regional and Local Resilience Partnerships

3.5   The Scottish Resilience Partnership (SRP) replaced the former Regional Advisory Board for Scotland (RABS) and provides a national partnership for resilience. The Deputy First Minister attends the SRP when available. The SRP oversees the national resilience process and provides resilience assurance to Ministers. Standing membership of the SRP includes Scottish Government Departments, the Chief Constable, Chief Fire Officer, Chief Ambulance Officer and a representative from the Society of Local Authority Chief Executives (Scotland). A diagram showing the Scottish Resilience coordinating structure is at Appendix 1.

3.6   The creation of the SRP follows on from the formation of three Regional Resilience Partnerships (RRPs) (established in November 2013) that cover the East, West and North of Scotland. The City of Edinburgh Council is a partner organisation in the East of Scotland RRP. The East of Scotland RRP is chaired by the Assistant Chief Constable (East), Police Scotland, and is expected to meet two or three times a year, or more often if required. A list of the East RRP membership is at Appendix 2.

3.7   Each of the three RRPs (East, West and North) bring together senior representatives from the emergency and health services, Scottish Government, local authorities, SEPA and organisations such as the utilities and transport sectors. Representatives from the voluntary, commercial and other agencies are invited to attend as required. The role of the RRP is to provide a wide area, strategic forum for the coordination of emergency preparedness, training and exercising activities.

3.8   Beneath the structure of the East of Scotland RRP, sit three Local Resilience Partnerships (LRPs) for the Lothian and Borders, Fife and Forth Valley areas. The City of Edinburgh Council is a member of the Lothian and Borders LRP.

3.9   The LRPs meet on a regular basis to provide a coordinating role for emergency preparedness activities within their respective boundaries, with representation from many of the same organisations as the RRPs but with a more localised focus and remit.

3.10   The agenda for the East of Scotland RRP is coordinated by a Business Coordinating Group. The Business Coordinating Group includes the Chairs of the three LRPs (Lothian and Borders, Fife and Forth Valley) plus the chairs of each of the themed Capability Groups (see Appendix 3). The Business Coordinating Group is chaired by the East of Scotland Senior Resilience Coordinator (appointed by Scottish Government).

3.11   A diagram showing the Regional and Local Resilience Partnership coordinating structure is shown at Appendix 3.

3.12   The establishment of the Resilience service comprises the Resilience Manager, two Senior Resilience Specialists and three Resilience Specialists.

3.13   The Resilience Manager reports to the Senior Manager of Governance and Democratic Services, part of the Strategy and Insight Division.

3.14   Resilience planning in the City of Edinburgh Council is managed through three main Groups, each of which addresses a key resilience issue, integrating emergency planning, business continuity and counter-terrorism.

The three Groups are the:

- Council Resilience Group;
- Council Counter-Terrorism Group; and
- Edinburgh Community Resilience Group.

Each Group is chaired by the Resilience Manager. A diagram showing the Council's resilience groups and governance structure is provided at Appendix 5.

3.15   The Council's Resilience Business Partnering Model has been developed by the Resilience Manager and agreed with key internal stakeholders to support Service Areas and the Localities model. The Model is provided at Appendix 6. Designated Business Partners from the Resilience service are supporting the wider Council resilience team which includes Resilience Coordinators, Resilience Specialists and also Resilience Deputies in each business critical area, all of whom receive specialised training to enable effective resilience planning and response.

3.16   The Council Resilience Group monitors the Council's Resilience Management Programme. The Group is the focus for the Council's resilience activities, including planning, incident debriefs, training and exercise initiatives and facilitates the sharing of information across the Council on business continuity, emergency planning and contingency preparations for major events. The Group includes representatives from all Council Services and key cross-council specialist functions. Designated representatives are responsible for the co-ordination of resilience activities within their respective areas of responsibility.

3.17   The Council Counter-Terrorism Group includes representatives from Police Scotland and key Council Service areas. The remit of the Group is to identify, develop, coordinate and monitor the Council's activities in order to comply with counter-terrorism legislation and guidance, including the Counter Terrorism and Security Act and CONTEST, through an agreed annual work plan to address relevant priorities. Working with Police Scotland, the Council seeks to raise awareness of the terrorist threat, enhance resilience and the

Council's ability to respond to a terrorist threat or incident, develop activities, regularly update the Edinburgh CONTEST group, through the Chair, and contribute to the development of its programme.

3.18 The Edinburgh Community Resilience Group consists of two main strands: the Edinburgh Community Resilience Project aims to improve the preparedness of Edinburgh's communities to withstand serious disruptions (currently in pilot phase); the Edinburgh Resilience Forum exists to help fulfil the Council's legislative duty to provide business continuity management advice and assistance to the City's public, voluntary, commercial and business sectors.

3.19 To support the Resilience Management Programme, the following key outputs have been delivered:

- Corporate registration to ISO22301 status (the International Standard for Business Continuity) maintained (re-certification successfully achieved April 2017).
- Emergency communications requirements assessed, procured and implemented for Council Resilience Group members and other key colleagues.
- Resilience Training Needs Analysis for those with a resilience responsibility.
- 'In Case of Emergency' ("ICE" Briefing Packs) and weekly briefings provided for all Chief Officers on Call.
- The Resilience Management System reviewed, and relevant procedures agreed.
- 2017/18 Resilience Exercise Programme agreed.
- 2017/18 Resilience Training Programme agreed.
- Review, validation and sign off as appropriate of Resilience plans and procedures.
- Resilience Competencies Framework reviewed.
- Council Resilience Risk Register reviewed quarterly.
- Council CONTEST (Counter-Terrorism) Group objectives and priorities agreed.
- Edinburgh Community Resilience Pilot Project completed.
- Annual Edinburgh Community Resilience Week delivered.

3.20 The Council has a primary Incident Co-ordination Centre (CICC); a backup contingency arrangement is also in place to augment the space available to assist with the co-ordination of a prolonged or serious incident, should the need arise.

3.21 In addition to its primary role as the Council's dedicated Incident Co-ordination Centre, the CICC is used to facilitate resilience training events and exercises on a regular basis. The facilities are also available to the Council's Public

Safety function to assist in the planning, co-ordination and monitoring of major public events in the City. Exceptionally, the CICC has also been made available to other Council services to facilitate the coordination of significant projects or planned major operations in the City.

3.22   The Council's responsibility for the safe delivery of significant, planned events in the City is coordinated by the Council's Public Safety function through a series of Events Planning and Operations Groups (EPOGs) with representatives from key internal and external stakeholders. Where it is decided that specific contingency arrangements are required for a particular event, the Resilience function, in liaison with all relevant organisations, is responsible for preparing a multi-agency Contingency Plan to augment existing arrangements for dealing with the occurrence of serious incidents during a public event.

3.23   During the period considered by this report, event Contingency Plans were completed by the Resilience service for Edinburgh's Hogmanay Street Party (31 December 2016 to 1 January 2017) and the Edinburgh Festival Fireworks (28 August 2017).

3.24   A list of key events, training initiatives, exercises and incidents that took place during the period is at Appendix 4.

3.25   The Resilience service prepares an annual forward work plan each year in liaison with the designated representatives on the Council Resilience Group. A copy for 2017 to 2018 is attached at Appendix 7.

Measures of success

4.1   The City of Edinburgh Council continues to be viewed as a progressive Authority in the development of the Scottish and UK resilience agenda.

Financial impact

5.1   There are no significant, new financial implications arising from this report.

Risk, policy, compliance and governance impact

6.1   The actions and outputs described in this report adhere to the risk compliance policy and governance arrangements. In addition, the recommendations in the report do not impact on any existing policies of the Council.

Equalities impact

7.1   The development of resilience initiatives contributes to the delivery of the Equality Act 2010 public sector duties, in advancing equality of opportunity and fostering good community relations. In addition, resilience activities contribute towards the preservation of life, a key human rights article.

Sustainability impact

8.1 The report describes the multi-agency and internal planning, training and exercise work undertaken across the Council, in liaison with stakeholder organisations, to make Edinburgh more resilient to the effects of serious incidents and major disruptions which impact on social cohesion and community wellbeing.

8.2 The activities set out in this report contribute to the city's resilience to climate change by promoting greater awareness and preparedness of impacts caused by severe weather and other adverse incidents and putting in place plans and procedures to reduce or ameliorate the effects. As a member of the Edinburgh Adapts Steering Group, the Resilience service contributed to the Edinburgh Adapts Climate Change Adaptation Action Plan 2016-2020 – Annual Progress Report (approved by Transport and Environment Committee, 5 October 2017). The Resilience service continues to provide input as required to the Edinburgh Adapts Steering Group and through the following initiatives:

- As part of the risk assessment process, to incorporate current and emerging climate change related risks and impacts into resilience planning, including severe weather planning and associated other relevant contingency planning.

- Edinburgh Community Resilience Project (Pilot) - helping neighbourhood areas enhance their capacity to respond to and recover from resilience incidents.

8.3 The initiatives described in this report contribute to making Edinburgh more sustainable by promoting inter-agency working with partner organisations to minimise or mitigate the effects of serious emergencies on the environment.

Consultation and engagement

9.1 Resilience is a statutory, cross-Council activity involving internal and external consultation and engagement with a range of partner organisations and stakeholder interests. There is an emergency preparedness structure in place across the UK. Within Scotland, three strategic, multi-agency Regional Resilience Partnerships (North, West and East) coordinate resilience planning, training and exercise initiatives. Each of the three Regional Resilience Partnerships (RRPs) is chaired by an Assistant Chief Constable, Police Scotland. The City of Edinburgh Council is a partner organisation in the East of Scotland RRP.

Background reading / external references

- The Civil Contingencies Act 2004;

- The Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005 (as amended 2013); and

- Preparing Scotland: Scottish Guidance on Preparing for Emergencies.

Andrew Kerr

Chief Executive

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Links

Coalition Commitments	
Appendices	**Appendix 1** - Scottish Resilience Coordinating Structure
	Appendix 2 - East of Scotland Regional Resilience Partnership Member Organisations
	Appendix 3 – East of Scotland Regional Resilience Partnership Structure
	Appendix 4 – Events, Training, Exercises and Incidents from 1 October 2016 to 30 September 2017
	Appendix 5 – Council Resilience Groups
	Appendix 6 – Council Resilience Business Partnering Model
	Appendix 7 – Resilience Service Forward Work Plan 2017 - 2018

Scottish Resilience Co-ordinating Structure
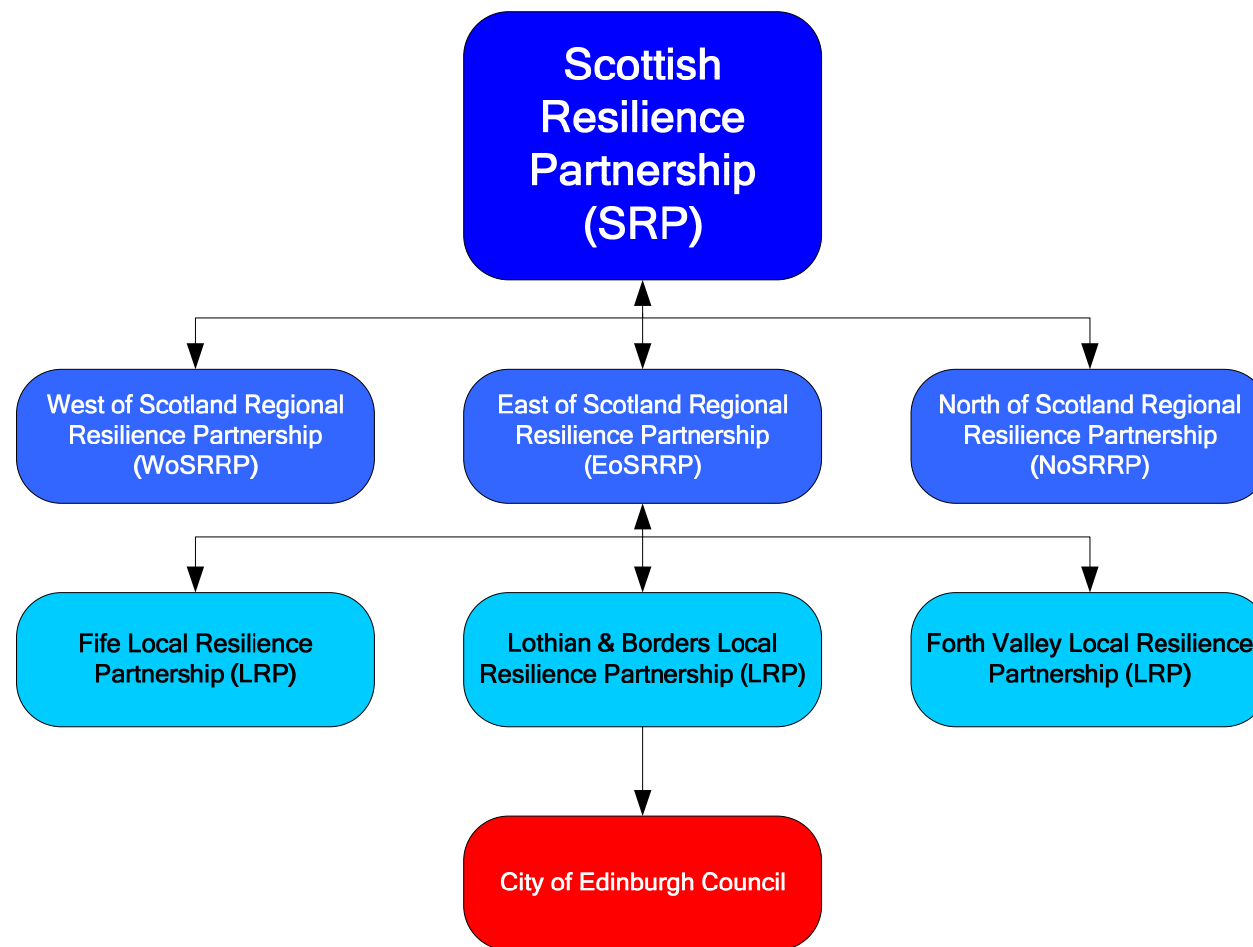
**East of Scotland Regional Resilience Partnership
Member Organisations**

Police Scotland *(Chair)*

Senior Resilience Coordinator, Scottish Government Resilience *(Secretariat)*

The City of Edinburgh Council

Clackmannanshire Council

East Lothian Council

Falkirk Council

Fife Council

Midlothian Council

Scottish Borders Council

Stirling Council

West Lothian Council

NHS Borders

NHS Fife

NHS Forth Valley

NHS Lothian

Scottish Fire and Rescue Service

Scottish Ambulance Service

HM Coastguard

Scottish Environment Protection Agency

Scottish Water (representing all the Utilities)

Military Liaison

British Transport Police

Civil Nuclear Constabulary

Health and Safety Executive

Animal and Plant Health Agency

Crown Office Procurator Fiscal Service

Edinburgh Airport Ltd

Forth Ports Ltd

Network Rail

NOTE: Other agencies may be co-opted as necessary.

East of Scotland Regional Resilience Partnership

Chair, Assistant Chief Constable (Police Scotland).

Business Coordinating Group

Chair: Senior Resilience Coordinator, East of Scotland Regional Resilience Partnership

Forth Valley LRP*

Lothian & Borders LRP*

Fife LRP*

Regional Capability Groups

Local Workstreams (to meet local need as required)

Planning & Response

(Police Scotland)

Risk

(SFRS)

Training & Exercising

(SAS)

Health

(NHS)

Public Comms

(Police Scotland)

Care for People

(Local Authority)

Response & Recovery Arrangements

Business Continuity

Vol Sector

Critical Infrastructure

Resilient Telecoms

COMAH / MAHP**

Oil Pollution

Resilience Preparedness Assessment

FV LRP Risk

Fife LRP Risk

L & B LRP Risk

Scientific and Technical Advice Cell (STAC)

Pan Flu

Mass Casualties

Animal Health

Rest Centres

Persons at Risk

Incident Assistance Teams

*Local Resilience Partnership

** Control of Major Accident Hazards/Major Accident Hazard Pipelines

Key Resilience Events, Training, Exercises and Incidents –

1 October 2016 to 30 September 2017

Date	Event	Purpose	Location	Lead	Participants
4 Oct 16	Clearwater Forth Counter Pollution Exercise (Live Play - Incident Coordination Centres and Media Briefing Centre)	Annual exercise to test oil pollution response arrangements for incident in Firth of Forth	East Lothian Council Offices, Penston House, Macmerry/Marine Emergency Centre, Grangemouth/ Dakota Hotel, Queensferry	Forth Ports Ltd, HM Coastguard, East Lothian Council	Forth Ports Ltd, Forth Navigation Service, HM Coastguard, East Lothian Council, Targe Towing, BP, City of Edinburgh Council
4 Oct 16	Table Top Exercise	To test multi agency arrangements for major health incident during high profile, public event	BT Murrayfield Stadium	Scottish Rugby Union, Council Public Safety	Scottish Rugby Union, Emergency and Health Services, G4S, Council Public Safety, Council Resilience,
5 Oct 16	Counter Terrorism (CT) Training Workshop	Workshop to Raise Awareness of Prevent (WRAP) – To provide information on the Prevent thread of the UK Government's	Western General Hospital	Council Resilience	Western General Hospital Team

Date	Event	Purpose	Location	Lead	Participants
		Counter Terrorism Strategy (CONTEST)			
7 Oct 16	Seminar (Resilient Communities Conference)	To strengthen the role of Volunteers in the evolving resilience environment	Scottish Government Offices, Victoria Quay, Edinburgh	Scottish Government (Resilience Division)	Emergency and Health Services, Local Authorities, Voluntary Organisations
11 Oct 16	Practical Exercise	To exercise physical body handling and victim identification and documentation processes	Hospital Mortuary, Edinburgh Royal Infirmary (ERI)	NHS Lothian, Police Scotland - DVI (Disaster Victim Identification)	NHS Lothian (ERI Mortuary Staff), Police Scotland – DVI, Council (City Mortuary Staff)
12 Oct 16	Table Top Exercise/Workshop	To examine arrangements for responding to multi fatality incidents affecting Edinburgh	Boardroom, ERI	NHS Lothian, Police Scotland - DVI	NHS Lothian, Police Scotland – DVI, Council (Bereavement Services, Communication Services, Resilience)
13 Oct 16	Building Incident Manager Training	Raise awareness of Council bomb threat and suspicious item procedures	Wester Hailes Education Centre	Council Resilience	Council Communities and Families
13 Oct 16	Counter Terrorism (CT) Training Workshop	Workshop to Raise Awareness of Prevent (WRAP) – To provide information on the Prevent thread of the UK Government's Counter Terrorism Strategy (CONTEST)	Wester Hailes Education Centre	Council Resilience	Council Communities and Families – Head Teachers

Date	Event	Purpose	Location	Lead	Participants
20 Oct 16	Walk Through Exercise	To examine the protocols for obtaining, allocating and operating 4x4 vehicles in emergencies	City Chambers	Council Resilience	Council Resilience Group (Service area and Specialist function leads for Resilience issues)
26 Oct 16	Seminar/Workshop	To examine arrangements for community cohesion following a terrorist incident	Glasgow City Chambers	Professional Interest Networking Group, Scottish Emergency Planning Society (SEPS) and Scottish Multi Agency Training and Exercising Unit (SMARTEU)	SEPS and CONTEST Group Members
28 Oct 16	"Move to Critical" Workshop	To explore preparatory actions by agencies should UK Terrorist Threat Level be raised to "Critical"	City Chambers	Police Scotland, SMARTEU and Scottish Government	Emergency and Health Services, Local Authorities and CONTEST Group Members in the Lothian and Borders area
1 Nov 16	Integrated Emergency Management Training Course	Introduction to Integrated Emergency Management for individuals new to resilience who may be required to attend multi agency incidents or events	City Chambers	Scottish Government - Scottish Resilience Development Service (ScoRDS)	Member Organisations of the East of Scotland Regional Resilience Partnership

Date	Event	Purpose	Location	Lead	Participants
3 Nov 16	Severe Weather Training Course	To train and familiarise senior staff with a potential involvement in the response to severe weather	Bankhead Depot	Council Resilience	Place: Winter Maintenance, Transport, Roads, Street Lighting, Traffic and Engineering, Environment, Waste Management
15 Nov 16	E-Sendex Training	To train and familiarise Resilience staff with the use of E-Sendex telephone notification messaging system	Waverley Court	Resilience Specialist	Resilience service staff
15 Nov 16	Business Continuity Training	To provide business continuity training for Resilience service staff	Waverley Court	Senior Resilience Specialist	Resilience service staff
16 Nov 16	Severe Weather Table Top Exercise	To validate arrangements in the Council Severe Weather Resilience Plan	Bankhead Depot	Council Resilience	Place: Winter Maintenance, Transport, Roads, Street Lighting, Traffic and Engineering, Environment, Waste Management, Chief Executive, Communication Services, Health and Social Care

Date	Event	Purpose	Location	Lead	Participants
17 Nov 16	Critical Infrastructure Workshop	To determine the requirement for a dedicated East of Scotland area Critical Infrastructure Capability Group	City Chambers	Senior Regional Resilience Coordinator (East) Scottish Government	East of Scotland Regional Resilience Partnership Member Organisations
23 Nov 16	Strategic Level Resilience Continuous Professional Development (CPD) Event	CPD and Networking	Transport Scotland Headquarters, Queensferry	Senior Regional Resilience Coordinator (East) Scottish Government	Strategic Representatives of East of Scotland Regional Resilience Partnership
24 Nov 16	Building Incident Manager: Bomb Threat and Suspicious Item Procedure Training	Raise awareness of the Bomb Threat and Suspicious Item Procedure for Building Incident Managers	Wester Hailes Education Centre	Council Resilience	Communities and Families, Police Scotland Schools Liaison Officers (Edinburgh)
24 Nov 16	Workshop to Raise Awareness of Prevent (WRAP)	To provide information on the Prevent thread of the UK Governments Counter Terrorist Strategy (CONTEST)	Wester Hailes Education Centre	Council Resilience	Head Teachers, Communities and Families
29 Nov 16	Lothian and Borders area Severe Weather Workshop	To review winter weather preparedness	East Lothian Council offices, Penston House, Macmerry	Resilience Coordinator, Lothian and Borders area	Partner agencies of the Lothian and Borders Local Resilience Partnership

Date	Event	Purpose	Location	Lead	Participants
2 Dec 16	Edinburgh's Hogmanay Street Party Table Top Exercise	To test the emergency coordination arrangements for an incident at Edinburgh's Hogmanay Street Party	City Arts Centre	Council Public Safety, Event Organisers, Police Scotland	Council Service areas, Emergency and Health Services, Event Organisers and Contractors
5 Dec 16	SOLAN GOOSE Table Top Exercise	To examine the multi agency response to receipt of a diversionary aircraft at Edinburgh Airport (inflight disease outbreak)	Edinburgh Airport Hilton Hotel	Edinburgh Airport Ltd, Scottish Multi Agency Training and Exercising Unit (SMARTEU)	Edinburgh Airport Ltd, Airline Operators, Emergency and Health services, Council Resilience and Environmental Health
6 Dec 16	Conference (Pandemic Influenza Planning and Preparations) and	To review the outcomes from the 2015 Scottish Government sponsored Silver Swan Programme of Pandemic Influenza events	Police Scotland Training College, Tulliallan	Scottish Government	Scottish Government, Health Boards, Local Authorities, Police, Fire and Ambulance services
21 Dec 16	Explosives Disposal Incident	Destruction of recovered ordnance	Police Scotland, Fettes Avenue	Police Scotland, Military (EOD)	Council Resilience, Place

Date	Event	Purpose	Location	Lead	Participants
31 Dec 16	Edinburgh's Hogmanay Street Party	Live performances, music events and assorted entertainments.	City Centre Arena, Edinburgh and Various Coordinating Centres	Executive Director of Place on duty as Council Gold	Council Public Safety /Police Scotland/Unique Events/Council Resilience
4 Jan 17	Power Outage Incident	Temporary Disruption to Power Supplies	EH6 and EH7 areas	Scottish Power Energy Network, Resilience Manager	Scottish Power Energy Network, Service area Resilience Coordinators and Specialists
10 Jan 17	Explosives Disposal Incident	Grenade discovered in playground of Primary School. Confirmed inert by EOD and removed for disposal	Gilmerton Primary School	School Head Teacher, Police Scotland, Military (EOD)	Communities and Families, Communication Services, Council Resilience, Police Scotland, Military (EOD)
11 Jan 17	Forth Road Bridge Closure Incident	Bridge closed in both directions after high sided vehicle overturned	Forth Road Bridge and surrounding road network	Transport Scotland, Scottish Government, Police Scotland	
19 Jan 17	Volatile Explosive Substance Discovered	Container of "Picric" acid discovered in residential garage during fire safety visit	Greenbank Crescent	Police Scotland	Scottish Fire and Rescue Service, Police Scotland, Military (EOD), Council Resilience

Date	Event	Purpose	Location	Lead	Participants
9 Feb 17	Resilience Awareness Training for Service area Resilience Coordinators and functional Specialists	To familiarise newly appointed Service area resilience Coordinators and functional Specialists with Resilience roles and responsibilities	Waverley Court	Resilience Manager	Service area Resilience Coordinators and functional Specialists
23 Feb 7	Chief Officer Resilience Awareness Training	To familiarise Chief Officers with Council Resilience structures and procedures and the role of the designated Chief Officer on call	Waverley Court	Resilience Manager	Head of Communications
1 Mar 17	DARK STAR Table Top Exercise	To exercise the longer term recovery and coordination arrangements following a serious incident at BP Dalmeny Installation	Main Council Chamber and Dunedin room, City Chambers	Council Resilience and Scottish Resilience Development Service (ScoRDS)	Council Service areas, BP Dalmeny Ltd, Police Scotland, NHS Lothian, SEPA, Neighbouring Local Authorities
1 Mar 17	Chief Officer Resilience Awareness Training	To familiarise Chief Officers with Council Resilience structures and procedures and the role of the designated Chief Officer on call	Waverley Court	Resilience Manager	Head of Strategy and Insight

Date	Event	Purpose	Location	Lead	Participants
3 Mar 17	Counter Terrorism (CT) Table Top Exercise/Workshop	Pre-build Awareness and Learning Event in preparation for UK National 2017 CT exercise (Border Reiver)	Stirling Management Centre	SMARTEU	UK and Scottish Government Services and Agencies, Emergency and Health services, appropriate Local Authorities
6-9 Mar 17	ISO 22301 BSI External Audit	To audit the Council for full re-certification against ISO 22301:2012 (the International Standard for Business Continuity). Full re-certification is required every 3 years.	Various Council services and buildings	Resilience, British Standards Institute (BSI)	Council Service areas
14 Mar 17	Forth Road Bridge Closure Incident	Bridge closed in both directions after high sided vehicle overturned	Forth Road Bridge and surrounding road network	Transport Scotland, Scottish Government, Police Scotland	All service areas and
20 Mar 17	Chief Officer Resilience Awareness Training	To familiarise Chief Officers with Council Resilience structures and procedures and the role of the designated Chief Officer on call	Waverley Court	Resilience Manager	Head of Customer

Date	Event	Purpose	Location	Lead	Participants
22 Mar 17	Terrorist Incident	Vehicle and knife attack.5 Dead and 40 injured	Westminster Bridge and House of Commons, London	UK Government, Emergency and Health Services	
27 Mar 17	Resilience Awareness Training for Service area Resilience Coordinators and functional Specialists	To familiarise newly appointed Service area resilience Coordinators and functional Specialists with Resilience roles and responsibilities	Waverley Court	Resilience Manager	Service Resilience Coordinator (Place)
3 Apr 17	Loggists Training	Training course for personnel required to maintain incident logs in emergencies	Scottish Prison Service College, Polmont	Learning and Development Coordinator, East of Scotland Regional Resilience Partnership	East of Scotland Regional Resilience Partnership Organisations (City of Edinburgh Council Resilience Specialists)
3 Apr 17	Chief Officer Resilience Awareness Training	To familiarise Chief Officers with Council Resilience structures and procedures and the role of the designated Chief Officer on call	Waverley Court	Resilience Manager	Head of Place Management

Date	Event	Purpose	Location	Lead	Participants
10 Apr 17	Elections Challenge Session	To test and validate the Elections Contingency Plan (Local Government Elections 4 May 17)	Meadowbank Stadium	Council Public Safety	Council Service areas, Police Scotland, Scottish Fire and Rescue Service, Edinburgh Leisure, CGI
18 Apr 17	Resilience Awareness Training for Service area Resilience Coordinators and functional Specialists	To familiarise newly appointed Service area resilience Coordinators and functional Specialists with Resilience roles and responsibilities	Waverley Court	Resilience Manager	Service Resilience Coordinators/ Specialists Chief Executive, Resources
18/19 Apr 17	Edinburgh Community Resilience Week	To provide a forum for the Edinburgh Community to share latest business continuity developments	City Chambers	Council Resilience	Council Service areas, Edinburgh Business Community, Emergency and Health services, Tertiary Education sector
2 May 17	Ethylene Leak, Ineos, Grangemouth	Evacuation of Ineos Chemical Plant. Sheltering advised for local residents.	Grangemouth	Police Scotland, Ineos, Scottish Ambulance Service, Scottish Fire and Rescue Service	Council Resilience, Communications Services
13 May 17	Global Ransomware Cyber Attack	Major Ransomware cyber attack (WannaCry) impacting numerous organisations worldwide including the NHS in Scotland	Global	Various International and National Government Agencies	Various Organisations

Date	Event	Purpose	Location	Lead	Participants
22 May 17	Terrorist Incident	Suicide bombing. 22 Dead, over 60 injured	Manchester Event Arena	UK Government, Emergency and Health Services	
23 May 17	UK Threat Level upgraded to "Critical" (Returned to "Severe" Saturday, 27 May 2017)	Raise UK preparedness for imminent attack threat.	UK Wide	UK Government	
25 May 17	Building Incident Manager: Bomb Threat and Suspicious Item Procedure Training	Raise awareness of the Bomb Threat and Suspicious Item Procedure for Building Incident Managers	Wester Hailes Education Centre	Council Resilience	Head Teachers and Business Managers, Communities and Families
25 May 17	Workshop to Raise Awareness of Prevent (WRAP)	To provide information on the Prevent thread of the UK Governments Counter Terrorist Strategy (CONTEST)	Wester Hailes Education Centre	Council Resilience	Head Teachers and Business Managers, Communities and Families
30 May 17	Familiarisation and briefing event	Pre-build Awareness and Learning Event in preparation for UK National 2017 CT exercise	Police Scotland, Fettes Avenue, Edinburgh	Police Scotland and SMARTEU	UK and Scottish Government Services and Agencies, Emergency and Health services, appropriate Local Authorities, Utilities, Transport Authorities

Date	Event	Purpose	Location	Lead	Participants
2 Jun 17	Council Resilience and Response Briefing	Presentation for Council Leadership Team on resilience arrangements for responding to serious incidents	Chief Executive's Boardroom	Council Resilience	Council Leadership Team
3 Jun 17	Terrorist Incident	Vehicle and knife attack. 10 dead (including 3 attackers) and 48 injured	London Bridge and Borough Market	UK Government, Emergency and Health Services	
5 Jun 17	Chemical, Biological, Radiological, Nuclear (CBRN) Remediation Workshop	To consider recovery arrangements following a major contamination incident	Scottish Government Offices, Victoria Quay	Senior Resilience Coordinator, East of Scotland Regional Resilience Partnership	East of Scotland Regional Resilience Partnership Organisations
9 Jun 17	Training Course, Integrated Emergency Management	To provide an introduction to Resilience for newly appointed Resilience Specialists or non-specialists with Resilience within their portfolio	East Lothian Council offices, Penston House, Macmerry	Learning and Development Coordinator, East of Scotland Regional Resilience Partnership	East of Scotland Regional Resilience Partnership Organisations
13 Jun 17	Project Griffin (Training Workshop)	To provide advice and information regarding the threat of terrorism	Waverley Court	Counter Terrorism Security Adviser	Edinburgh CONTEST Group, Council Counter Terrorism Group, Council Resilience Group

Date	Event	Purpose	Location	Lead	Participants
14 Jun 17	Grenfell Tower Block Fire	Major fire destroyed tower block, approx. 80 people treated in hospital, 60 plus fatalities, (final death toll unknown).	Westminster and Kensington, London	UK Government, Emergency and Health Services	
19 Jun 17	Terrorist Incident	Vehicle attack. 1 dead and 10 injured	Finsbury Park Mosque, London	UK Government, Emergency and Health Services	
21 Jun 17	Command Workshop	Pre-build Awareness and Learning Event in preparation for UK National 2017 CT exercise	Chief Executive's Boardroom	Council Resilience, Organised Crime & Counter Terrorism Unit, Police Scotland	Council Leadership Team
26 Jun 17	Chief Officer Resilience Awareness Training	To familiarise Chief Officers with Council Resilience structures and procedures and the role of the designated Chief Officer on call	Waverley Court	Resilience Manager	Head of Place Development
27 Jun 17	Global Ransomware Cyber Attack	Major Ransomware cyber attack (Petya) impacting numerous organisations worldwide.	Global	Various International and National Government Agencies	Various Organisations

Date	Event	Purpose	Location	Lead	Participants
28 Jun 17	Scientific and Technical Advice Cell (STAC) Training and Exercise	Training and table top exercise to test STAC arrangements prior to Torness Exercise Magpie ("7 September 2017)	Torness Strategic Coordinating Centre (TSCC), East Lothian Council offices, Penston House, Macmerry	Health Protection Scotland, NHS Lothian, NHS Borders, EDF Energy, East Lothian Council	Members of Lothian and Borders Local Resilience Partnership Organisations with responsibilities in a Torness Off Site Emergency, EDF Energy, Scottish and UK Government Departments
17 July – 21 Aug	CT Awareness Training – Edinburgh Festival	To raise awareness of how to respond to a CT Event within the City during the festival season.	Various	Resilience	All customer facing staff directly affected by the festival
25-27 Jul 17	System Failure	Health and Social Care CATS (Community Alarms Scheme) affecting vulnerable clients	City wide	Health and Social Care, Place (Housing), Resilience	Edinburgh Health and Social Care Partnership, Place, Council Resilience, Communication Services

Date	Event	Purpose	Location	Lead	Participants
3 Aug 17	Report of Suspicious Item	Suspicious item reported outside Headquarters building	Council Headquarters, Waverley Court, East Market Street	Police Scotland, Council Corporate Property, Facilities Management, Security and Resilience	Waverley Court staff, visitors and tenants.
3 Aug 17	BLACK SWAN Table Top Exercise	Pre-build Awareness and Learning Event in preparation for UK National 2017 CT exercise	Police Scotland Training College, Tulliallan	Police Scotland and SMARTEU	UK and Scottish Government Services and Agencies, Emergency and Health services, appropriate Local Authorities, Utilities, Transport Authorities
10 Aug 17	Explosives Disposal Incident	Destruction of recovered ordnance	Residential property, Elgin Road	Police Scotland, Military (EOD)	Council Resilience
17 Aug17	Virgin Money Festival Fireworks Challenge Session	To test the emergency coordination arrangements for an incident at the Virgin Money Festival Fireworks	Virgin Money Offices, St Andrew's Square	Council Public Safety, Event Organizers, Police Scotland, Council Resilience	Council Service areas, Emergency and Health Services, Event Organisers and Contractors

Date	Event	Purpose	Location	Lead	Participants
22 Aug 17	Queensferry Crossing Experience and Queensferry Crossing Official Opening Ceremony Table Top Exercise	To test the emergency coordination arrangements for an incident during the Queensferry Crossing Experience or the Queensferry Crossing Official Opening Ceremony	FCBC Contact and Education Centre, South Queensferry	Council Public Safety, Event Organisers, Police Scotland, Council Resilience	Council Service areas, Emergency and Health Services, Event Organisers and Contractors
25 Aug 17	Suspect Package Report (unattended baggage)	Police attended and confirmed item was not hazardous	Outside Writer's Museum, Lady Stair's Close, Lawnmarket	Police Scotland, Council Culture staff	Writer's Museum and City Art Centre staff
28 Aug 17	Virgin Money Edinburgh Festival Fireworks	Sponsored Concert and Fireworks Event	Edinburgh Castle, Princes Street Gardens and City Centre area	Council Public Safety, Event Organisers, Police Scotland,	Emergency and Health Services, Council Services, Scottish Chamber Orchestra, Pyrovision
11 Sep 17	Torness Off Site Incident Arrangements, Familiarisation Training	Familiarisation Training and Workshop in preparation for Torness Off Site Exercise Magpie (27 Sep 17)	Torness Strategic Coordination Centre, Penston House, Macmerry, East Lothian	EDF Energy, East Lothian Council, Police Scotland	Members of Lothian and Borders Local Resilience Partnership Organisations with responsibilities in a Torness Off Site Emergency, EDF Energy, Scottish and UK Government Departments

Date	Event	Purpose	Location	Lead	Participants
15 Sep 17	Terrorist incident	Explosive device in train passenger carriage ignited but failed to detonate fully. Approximately 20 casualties transported to hospital in first response.	Parson's Green Underground Station, Fulham, West London	UK Government, Emergency and Health Services	
15 Sep 17	Move to Critical Threat Level declared by UK Government Friday night (returned to Severe Level on Sunday afternoon (17 Sep 17))	Raise UK preparedness for imminent attack threat.	UK wide	UK Government, Emergency and Health Services	

Date	Event	Purpose	Location	Lead	Participants
27 Sep 17	Torness Off Site Exercise Magpie	UK Level 2 Nuclear Exercise	Various Locations including EDF Energy Emergency Support Centre, Barnwood, Gloucester, Torness Power Station, Torness Strategic Coordination Centre, Penston House, Macmerry, East Lothian	Office of the Nuclear Regulator, EDF Energy, East Lothian Council, Police Scotland	Office of the Nuclear Regulator, Members of Lothian and Borders Local Resilience Partnership Organisations with responsibilities in a Torness Off Site Emergency, EDF Energy, Scottish and UK Government Departments
28 Sep 17	Building Incident Manager: Bomb Threat and Suspicious Item Procedure Training	Raise awareness of the Bomb Threat and Suspicious Item Procedure for Building Incident Managers	Murrayburn Depot	Council Resilience	Various Staff Levels, Communities and Families
28 Sep 17	Workshop to Raise Awareness of Prevent (WRAP)	To provide information on the Prevent thread of the UK Governments Counter Terrorist Strategy (CONTEST)	Murrayburn Depot	Council Resilience	Various Staff Levels, Communities and Families

Date	Event	Purpose	Location	Lead	Participants
28 Sep 17	Ready for Winter Training	To raise awareness of Communities and Families Severe Weather Contingency Arrangements	Murrayburn Depot	Council Resilience	Communities and Families Head Teachers and Business Managers)

Council Resilience Groups

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Edinburgh Community Safety Partnership Executive
Corporate Strategy and Policy Committee
Communities and Neighbourhoods Committee

-- under review --

Edinburgh CONTEST Group

Council Leadership Team

Head of Strategy and Insight

Governance and Democratic Services Senior Manager

Resilience Manager

Council Counter-Terrorism Group
Council Resilience Group
Edinburgh Community Resilience Group

Locality Leadership Teams x 4
Resilience Locality Lead

Locality Management Teams x 4
Resilience Locality Lead

Service Area Resilience Groups

Care for People Subgroup

ICTS / CGI Resilience Subgroup

Edinburgh Community Resilience Project

Edinburgh Resilience Forum Events
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Council Resilience Business Partnering Model

Corporate Policy and Strategy Committee

Edinburgh Partnership – Community Safety Planning Partnership

Council Leadership Team

Head of Strategy and Insight

Governance and Democratic Services Manager

Resilience Manager

Culture and Communities Committee

Under review

Edinburgh CONTEST Group

Council Counter-Terrorism Group
Chair: Resilience Manager
Frequency: 3 times per year

Resilience (Locality Resilience support, Resilience Business Partners)

CT Coordinators:
C&F — Customer Hub
EHSCP — ICT
Place — Comms
Resources — HR
Chief Executive — Property
Economic Development — Prevent SPOC

Police Scotland Counter Terrorism Liaison Officer

Council Resilience Group (CRG)
Chair: Resilience Manager
Frequency: 10 times per year

Designated Locality Resilience support:
North East
South East
South West
North West

Resilience Business Partners:
C&F
EH&SCP
Place
Resources
Chief Executive

Service Area Resilience Coordinators:
C&F
EH&SCP
Place
Resources
Chief Executive
Economic Development

Cross-Council Resilience Specialists:
ICT
Corporate Property
Communications
HR
Customer Hub

Co-opted Resilience Specialists (Health and Safety, Legal, Insurance)

Edinburgh Community Resilience Group
Chair: Resilience Manager
Frequency: biannual

Resilience (Locality Resilience support, Resilience Business Partners)

Service Area Resilience Coordinators
City Strategy and Economy Resilience Coordinator

Key Partner Agencies:
Police Scotland, NHS Lothian, Edinburgh Airport, Fire and Rescue, FSB

Business sector leads

Locality Leadership Teams x 4
Resilience Locality Lead: Resilience Manager

Designated Resilience Locality support:
North East
South East
South West
North West

Locality Management Teams x 4
Resilience Locality Lead: Resilience Manager

Designated Resilience Locality support:
North East
South East
South West
North West

Service Area Resilience Groups

Care for People Subgroup

ICTS / CGI Resilience Subgroup

Resilience Deputies (business-critical areas)

Edinburgh Community Resilience Project

Edinburgh Resilience Forum Events

Community Resilience Project Subgroup

Resilience Service Forward Work Plan 2017 to 2018

Item	Description	Task
1	Management Information System	Implement/Train
2	Unit Business Continuity Arrangements	Develop/Input on MIS
3	Corporate Pandemic Influenza Plan	Review/Validate/Exercise
4	Rest Centre Plan	Develop/Sign Off/Exercise
5	Council Severe Weather Plan	Annual Review/Validate/Exercise
6	Community Resilience Project Phase 2 Funding	Complete Pilot/Evaluate Outcomes
7	Training Needs Analysis	Annual Analysis
8	Virtual Council Incident Coordination Centre	Develop/Validate Operations Guide
9	ISO22301 Audits	Biannual Continuing Assessment Audits
10	CT Corporate / Interagency Arrangements	Develop/Validate/Exercise
11	CT Training Programme (WRAP/Griffin/BIM/other relevant Products)	New and Refresher Training
12	SmartResilience (European Commission Horizon 2020 Funded European Cities Project)	Complete agreed project tasks

13	Develop and maintain an appropriate resilience framework and infrastructure, including business partnering for Service Areas and Localities	Develop/Implement
14	Edinburgh's Hogmanay 2017/18 Resilience Arrangements	Review/Validate/Exercise
15	BIAs for Essential Activities	Review/Complete
16	Key Suppliers Business Continuity Protocol Training	Ongoing
17	Edinburgh Community Resilience Week 2018	Annual
18	Training Programme	Annual
19	Exercise Programme	Annual
20	Resilience Incident Notification and Escalation Framework	Review/Validate/Exercise
21	Edinburgh Festival Fireworks Contingency Arrangements 2018	Annual Review/Validate/Exercise
22	Resilience Reserves Staffing Project	Develop/Agree/Launch
23	Business Continuity Strategies	Develop/Agree/Input on MIS

Corporate Policy and Strategy Committee

10am, Tuesday, 5 December 2017

Working groups as public meetings

Item number	8.3
Report number	
Executive/routine	
Wards	
Council Commitments	

Executive Summary

The Corporate Policy and Strategy Committee in August 2017 requested a report on the possibility of working groups being held in public. There are no legislative requirements for working groups but as a result they are not permitted to take decisions. A working group can be held in public but consideration should be given to how it operates and whether if it should be held in public, it should be an advisory committee of the Council.

Report

Working groups as public meetings

1. Recommendations

1.1 To note that executive and planning and regulatory committees had responsibility for all aspects of working groups within their remit, including whether they should be held in public.

1.2 To note that consideration should be given by the relevant parent committee to whether the working group was the most appropriate vehicle for each matter.

2. Background

2.1 In August 2017, the Corporate Policy and Strategy Committee requested a report on the possibility of working groups being held in public.

2.2 The Council agrees the membership and remit of working groups at the relevant committee. This is undertaken annually in May or June. This clarifies the membership, provides a democratic legitimacy and allows the Council to monitor the number and necessity of all working groups. This approach was agreed by Corporate Policy and Strategy Committee in December 2013 and the number of working groups has reduced from 43 in 2013 to the current 22 confirmed working groups.

3. Main report

3.1 The Council currently uses working groups as a supporting element of the Council's decision-making processes. There have been a variety of working groups which have officers, partners or community representatives as member of the group.

3.2 The Local Government (Scotland) Act 1973 (1973 Act) allows Councils to make decisions by delegating to committees, sub-committees, joint committees or officers. Additionally, it allows Councils to create advisory committees. These are not decision-making committees and allow non-councillor members to be voting members of the committee. As formal Council committees, the access provisions in the 1973 Act also apply. These include the requirement that they must be public meetings and papers be made publicly available three clear days before the meeting.

3.3   Any consideration on whether a working group should be held in public should be driven by the objectives of the working group and what the Council expects it to achieve.

3.4   Working groups can be an effective tool for Councils for the following reasons:

   3.4.1   Flexible – less rules apply so can consider business quickly;

   3.4.2   Membership – can include partners, community representation and officers as members;

   3.4.3   Privacy – holding meetings in a private session can be conducive to discussion, especially if involving members who are not elected members of public sector employees;

   3.4.4   Policy – the informal style and inclusive membership of working groups can often be a useful vehicle for developing policy;

   3.4.5   Can be very effective at considering specific issues or projects.

3.5   There is freedom for a working group to meet in public if the Council wishes this. However, if the working group is to be held in public and the main objective is to ensure it is transparent and accessible then these objectives may be better realised by the group being constituted as an advisory committee instead. This would result in Procedural Standing Orders and the access to information provisions in the 1973 Act applying. Committees are the most transparent and accessible way for the Council to democratically carry out its business.

3.6   As outlined above, working groups can be a useful vehicle for moving forward Council business. It can be useful for specific projects, for example the Tram All Party Oversight Group, specific issues such as Music is Audible working group or long-standing consultation groups such as the Joint Consultative Group (JCG). The flexibility and ability to hold meetings in private can be an effective way of encouraging discussion and creative thinking in the group before reaching a proposed way forward and the matter being referred for a decision at committee.

3.7   If the working group is not being held in public then it is important to ensure that there are robust arrangements in place to ensure that the work of the group and decisions are considered in the democratic, transparent and accessible environment of a committee.

3.8   It should also be noted that it is likely that the documents considered by the working group can be shared with other elected members and they may be available to the public under Freedom of Information Act laws.

3.9   The reasons and objectives for a working group differ from group to group and thus it is proposed that there should be no blanket policy requiring working groups to meet in public. Whether they are held in public is a decision for the relevant executive or planning and regulatory committee and consideration should be given to the reasons why a working group is being formed and whether it is the

appropriate vehicle. The committee should also outline expectations in regard to the output or results of the working group and where this would be reported.

4. Measures of success

4.1 An effective, transparent and democratic decision making structure.

5. Financial impact

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

6. Risk, policy, compliance and governance impact

6.1 The Corporate Policy and Strategy Committee had previously agreed an approach to working groups and this report complies with this approach.

6.2 It is important that the crucial differences between working groups and committees is maintained.

7. Equalities impact

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

8. Sustainability impact

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

9. Consultation and engagement

9.1 Not applicable.

10. Background reading/external references

10.1 Corporate Policy and Strategy Committee December 2013 – Working Groups

10.2 Minute of Corporate Policy and Strategy Committee August 2017

Andrew Kerr

Chief Executive

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11. Appendices

Corporate Policy and Strategy Committee

10:00am on Tuesday 5 December 2017

Edinburgh and South East Scotland City Region Deal – Role of Third Sector and Social Enterprises

Item number	8.4
Report number	
Executive/routine	
Wards	
Council Commitments	

Executive Summary

Council on 26 October 2017, in agreeing to establish a Joint Committee for the purpose of progressing and implementing the Edinburgh and South East Scotland City Region Deal, agreed an addendum from the Green Party calling for a report to this Committee about the role for the Third Sector and Social Enterprises within the City Region Deal.

This paper provides an update for the Corporate Policy and Strategy Committee on:

- The overall governance position;
- Engagement with the private sector, and third sector in the run up to the signing of Heads of Terms; and
- The role envisaged for the third sector and social enterprises as partners enter the delivery phase of the Deal.

Report

Edinburgh and South East Scotland City Region Deal - Role of Third Sector and Social Enterprises

1.   Recommendations

1.1   That Committee notes the content of the Report.

2.   Background

2.1   Since Spring 2016, the six local authorities (City of Edinburgh, East Lothian, Fife, Midlothian, Scottish Borders and West Lothian) have been working with the Scottish and UK Governments to develop a transformational and inclusive city region deal that will provide the jobs of the future and address key economic barriers and issues constraining the region's economic potential.

2.2   A Heads of Terms tripartite agreement between the Scottish Government, UK Government and regional partners was signed in July 2017. This sets out the commitment of both Governments to jointly invest up to £600m over the next 15 years subject to:

- Approval of final business cases for all projects and programmes;

- Development of a final city deal document and implementation plan;

- Establishment of clear and robust governance arrangements; and

- The consent of all constituent local authorities and partners.

Further detail on the implementation of specific commitments will follow in a finalised City Region Deal document which will require to be agreed by Council.

2.3   A key driver for investment in the Edinburgh and South East Scotland City Region Deal is the opportunity to address inclusion across the region.

3.   Main report

3.1   In agreeing to establish a joint committee for the purpose of progressing and implementing the Edinburgh and South East Scotland City Region Deal, Council agreed an addendum from the Green Party in the following terms:

"In recognition of the £2.5billion contribution to GDP in Edinburgh alone contributed by the third sector, agrees that a further report should be submitted to Corporate Policy and Strategy Committee in December 2017, setting out how the third sector,

and specifically social enterprises, should be included as core partners in delivering the City Region Deal."

3.2   The third sector and social enterprises within that sector were key consultees during the negotiation process with Government towards the [Heads of Terms](#) signing in July 2017. A number of events were held where the third sector and social enterprises provided input into their vision for the city region and what they would like to see in the City Region Deal. These included:

- Regional social enterprise workshop in September 2015.
- Cross-regional business workshop in November 2015.
- Accelerating Growth launch event at EICC in August 2016

3.3   Specific asks were made to Government relating to social enterprises, including an ask to devolve existing social enterprise funding to a Regional Investment Fund to create the region's first 'virtual' social enterprise network. Following feedback from Government, it was agreed to remove these from further submissions and as a result no additional finance or powers to support the third sector and social enterprises was granted in the Heads of Terms.

3.4   The Heads of Terms specified a number of new Governance arrangements that partners must take forward, including reference to the integral role that the private and third sectors must play in the new Governance structure (see Paragraph 28, copied below):

"Partners will establish a new model of regional governance that will encompass the best practice approaches identified within the regional partnerships work stream of Phase 2 of the Enterprise and Skills Review. Following the recommendations of the Enterprise and Skills Review the model will focus on the needs of the area and will include an integral role for the private and third sectors. The new regional governance will include effective engagement with Scottish Enterprise, Skills Development Scotland and incorporate senior business and industry leadership. In respect of the Scottish Borders, the announcement of the South of Scotland Enterprise Agency will require Scottish Borders Council, all agencies and Government to take an approach that ensures an effective fit between the governance for the City Region Deal and the statutory nature of the new Agency."

3.5   The new Governance structure is currently in the process being agreed and established. The diagram below shows the proposed Governance structure that partners are working towards at policy level, the five core programmes beneath that governance structure and the projects that sit within each programme.

Policy

- Joint Committee
- Higher/Further Education Group
- Executive Board
- Regional Business Leadership Council
- Scottish Government
- Programme Management Office
- UK Government

Programme

- Research, Development and Innovation
- Integrated Regional Skills Programme
- Transport
- Culture
- Housing

Project / Powers

- Bayes Centre
- WCDI
- Usher Institute
- Edinburgh Futures Institute
- National Robotarium
- Easter Bush
- QMU Innovation Park
- Tweedbank
- Fife Industrial Estates
- Labour Market Analysis & Impact
- Concessionary Travel
- Digital Enablement
- Integrated Business Support
- Intensive Family Support Service
- Targeted Skills Development (Gateways)
- Integrated Knowledge Management & Talent Bank
- A720
- West Edinburgh
- IMPACT
- Housing Infrastructure Fund
- Consent to on-lend
- Risk sharing guarantee
- Public sector land/ property commission

3.6 The Joint Committee is currently in the process of being formed. Five of the six local authorities have formally agreed to establish the Joint Committee at their council meetings, with West Lothian Council to consider the paper on 28 November.

3.7 The Regional Business Leadership Council (RBLC) is expected to be established in early 2018, and will:

- work collaboratively with partners in the region to support the delivery of the ambition set out in the region.

- operate at a high level, and will use its commercial knowledge and expertise to guide ESESCR partners towards interventions at an operational level that will ensure that the deal is of maximum benefit throughout the region.

- augment, and build on existing business forums or similar structures without superseding them. It will be the one business forum with a focus on City Region Deal activity.

3.8 A core principle of the RBLC is that it will be business and third sector-led, and that partners will engage with the group as it shapes its own remit.

3.9 Nominations to sit on the group will be considered by consulting with regional businesses and third sector networks and organisations. To ensure that all potential suitable members are captured and that a breadth of views are captured, this will be alongside an open application process advertised on the City Region Deal website, and shared widely by partner networks.

3.10 The RBC will have an appropriate balance of membership:

- by geography: all six local authorities will be proportionally represented by organisations that operate in their area;

- by sector: Organisations that operate in key industry areas that are relevant to the city region deal will be represented: e.g., data/digital and construction;

- by size: Small, medium and large organisations will all be represented;

- by organisation type: Individuals from the following organisations will be represented on the group: private sector businesses, higher education institutions, further education institutions, third sector organisations (including social enterprises), government and government agencies; and by gender and ethnicity.

3.11 The third sector and social enterprises are also recognised as key delivery partners at project level. For example, it is expected that the third sector and social enterprises will help to deliver skills training programmes and will be involved in innovative construction to deliver the 60,000 new homes required across the region.

3.12 At least one business/third sector member of the RBLC will also sit on the Joint Committee to ensure there is appropriate communication and alignment between the two groups.

4. Measures of success

4.1 Within the outline business cases being developed for each of the projects, a key requirement is to develop a Monitoring and Evaluation Framework. This will demonstrate the expected outcomes of each project. One key metric is how each project will deliver inclusive growth. It is recognised that the third sector and social enterprises can assist in delivering inclusive growth.

5. Financial impact

5.1 Regional partners have committed to contributing up to £501m to match fund the joint commitment from both governments. Overall this represents a deal worth £1.1bn of investment. More precise detail on the financials and the implementation of the specific commitments will be included within the finalised City Region Deal documentation which will require to be agreed by Council in early 2018.

6. Risk, policy, compliance and governance impact

6.1 A City Region deal-wide programme level risk register has been developed to highlight key risks in the Implementation Phase. As part of the business cases being developed for each project, key risks and mitigating actions have also been identified.

7. Equalities impact

7.1 A key driver for the Deal is to promote equality through addressing inclusion across the region. It is recognised that prosperity and success is not universal across the region: 21% of children are living in poverty; there is a lack of mid-market and affordable housing; and too many people are unable to move on from low wage/low

skills jobs. The deal will address these issues, create new economic opportunities, and is expected to provide up to 21,000 new jobs

7.2   Each projects' business case must demonstrate the impact that it will have on inclusion. A Monitoring and Evaluation Framework is also being developed for the programme, which will incorporate clear indicators to align with the Scottish Government Inclusive Growth Framework, also under development.

8.   Sustainability impact

8.1   The City Region Deal provides a mechanism to help drive forward investment in sustainable place making. It will be developed in line with the city's stated ambition to advance a sustainable economy. A holistic approach to sustainable growth is at the heart of the City Region Deal.

9.   Consultation and engagement

9.1   A scoping paper on the remit and membership of the Regional Business Leadership Council is currently being considered by the Edinburgh and South East Scotland City Region Deal Executive Board and Leaders' Group. The Joint Committee, when formed, will consider this paper and appoint the Regional Business Leadership Council accordingly. The principles for the Joint Committee was approved by Council on 26 October.

9.2   The Final Deal Documentation, which will include the Governance Framework is required to be approved by each Council before being adopted. This is expected to take place in early 2018.

10.   Background reading/external references

10.1   [Edinburgh and South East Scotland City Region Deal Heads of Terms](#)

10.2   [The Edinburgh and South East Scotland City Region Deal](#) (Corporate Policy and Strategy Committee, 8 August 2017)

10.3   [Governance for the Edinburgh and South East Scotland City Region Deal](#) (The City of Edinburgh Council, 26 October 2017)

Andrew Kerr

Chief Executive

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11. Appendices

None

Corporate Policy and Strategy Committee

10.00am, Tuesday, 5 December 2017

Internal Audit Quarterly Update Report: 1 January 2017 – 30 June 2017 – referral from the Governance, Risk and Best Value Committee

Item number	8.5
Report number	
Wards	All

Executive summary

The Governance, Risk and Best Value Committee on 26 September 2017 considered a report which detailed the Internal Audit progress for the period 1 January 2017 to 30 June 2017.

The report has been referred to the Corporate Policy and Strategy Committee on the recommendation that high risk findings from audit reports be submitted to their parent Committee for information. This relates to the internal audit report for Management Information – Referral from the Edinburgh Integration Joint Board. Attached is Appendix 1 of the report, which provides an overview, and the relevant extract of Appendix 2, which is Section 7 – Management Information.

Terms of Referral

Internal Audit Quarterly Update Report: 1 January 2017 – 30 June 2017

Terms of referral

1.1 On 26 September 2017, the Governance, Risk and Best Value Committee considered a summary of the findings and status of work from the Internal Audit plan of work. The plan is updated throughout the year with additional reviews and any emerging risks.

1.2 The report by the Chief Internal Auditor highlighted the progress made along with 13 reports, categorised by level of risk.

Details of the action plans with implementation dates to mitigate any findings were also contained within the report. Any action which remained outstanding after the agreed implementation date would be reported back to the Governance, Risk and Best Value Committee.

1.3 The Governance, Risk and Best Value Committee agreed:

1.3.1 To note the progress of Internal Audit in issuing 11 Internal Audit reports during Quarter 4 of the 2016/17 plan year and 2 Internal Audit reports during Quarter 1 of the 2017/18 plan year.

1.3.2 To note the areas of higher priority findings for reviews issued during this six month period.

1.3.3 To refer the 6 reports noted in Appendix 1 as potentially being of interest to the Audit and Risk Committee of the Edinburgh Integration Joint Board (IJB) to that Committee.

1.3.4 To note the 6 audit in progress during Quarter 1 of the 2017/18 plan year as detailed in Appendix 1 of the report.

1.3.5 To request information on:

- the total spend on homelessness provision

- the checks in place for recovering money from the Government.

- the governance of the Homelessness Taskforce.

1.3.6   To request a report on the operation of homelessness services which
         included costs and a map of facilitates in the city to the Housing and
         Economy Committee and Homelessness Taskforce

For Decision/Action

2.1   The Corporate Policy and Strategy Committee is asked to note the attached
       audit report with high risk findings concerning Management Information –
       Referral from the Edinburgh Integration Joint Board.

Background reading / external references

Webcast of Governance, Risk and Best Value Committee – 26 September 2017

Laurence Rockey

Head of Strategy and Insight

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Links

Appendices	Appendix 1 – Internal Audit Quarterly Update Report: 1 January 2017 – 30 June 2017 – report by the Chief Internal Auditor

Governance, Risk and Best Value Committee

10.00am, Tuesday 26 September 2017

Internal Audit Quarterly Update Report: 1 January 2017 – 30 June 2017

Item number

Report number

Executive/routine

Wards

Council Commitments

Executive summary

Internal Audit has made reasonable progress in the last quarter of the 2016/17 plan year and the first quarter of the 2017/18 plan year.

This report provides details of the activity from 1 January – 30 June 2017.

EDINBVRGH
THE CITY OF EDINBURGH COUNCIL

Report

Internal Audit Quarterly Update Report: 1 January 2017 – 30 June 2017

Recommendations

1.1 Committee is requested to note the progress of Internal Audit in issuing 11 Internal Audit reports during Quarter 4 of the 2016/17 plan year and 2 Internal Audit reports during Quarter 1 of the 2017/18 plan year.

1.2 Committee is requested to note the areas of higher priority findings for reviews issued during this six month period.

1.3 Committee is requested to refer the 6 reports noted in Appendix 1 as potentially being of interest to the Audit and Risk Committee of the Edinburgh Integration Joint Board (IJB) to that Committee.

1.4 Committee is requested to note the 6 audit in progress during Quarter 1 of the 2017/18 plan year as detailed in Appendix 1.

Background

2.1 Internal Audit is required to deliver an annual plan of work, which is scoped using a risk-based assessment of Council activities. Additional reviews are added to the plan where considered necessary to address any emerging risks and issues identified during the year, subject to approval from the relevant Committees.

2.2 Status of work and a summary of findings are presented to the Governance, Risk and Best Value Committee for consideration on a quarterly basis.

Main report

Audit Findings for the period

3.1 Internal Audit has made reasonable progress in the final quarter of the 2016/17 plan year with 13 reports being issued for the quarter. These reports contain a total of 11 High, 18 Medium and 4 Low rated findings.

3.2 Reasonable progress was also evident in the first quarter of the 2017/18 plan year with 2 audits completed and 6 in progress. The 6 audits in progress include a thematic review performed across the Council's 10 care homes which has involved circa 120 audit days. Detailed outcome reports and management action

plans have been issued to individual care homes and the overarching report that outlines the consolidated outcomes and findings will be issued in September 2017.

3.3 The current status of all outstanding recommendations from reports issued prior to this period is discussed in the report 'Internal Audit follow-up arrangements: status report' presented separately to the Committee.

3.4 No reports were referred by the Edinburgh Integration Joint Board (EIJB) Audit and Risk Committee at their meeting in June 2017. It is recommended that the Committee refers 4 of the reports issued in Quarter 4 2016/17 to the next EIJB Audit and Risk Committee meeting (refer Appendix 1). None of the reports completed in Quarter 1 2017/18 are recommended for referral.

3.5 Appendix 1 provides a summary of reports and the classification of findings in the period. A full copy of all final reports is available to members upon request.

3.6 Appendix 2 provides a summary of the High-Risk findings and associated management actions.

Measures of success

4.1 Once implemented, the recommendations contained within these reports will strengthen the Council's control framework.

Financial impact

5.1 None.

Risk, policy, compliance and governance impact

6.1 If Internal Audit recommendations are not implemented, the Council will be exposed to the risks set out in the relevant detailed Internal Audit reports. Internal Audit recommendations are raised as a result of control gaps or deficiencies identified during reviews therefore overdue items inherently impact upon compliance and governance.

6.2 To mitigate the associated risks, the Committee should review the progress of Internal Audit and the higher classified findings, and consider if further clarification or immediate follow-up is required with responsible officers for specific items.

Equalities impact

7.1 No full ERIA is required.

Sustainability impact

8.1   None.

Consultation and engagement

9.1   None.

Background reading/external references

10.1   None.

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Chief Internal Auditor

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11. Appendices

Appendix 1 – Summary of Internal Audit report findings issued for period of 1 January 2017 – 31 March 2017.

Appendix 2 – Summary of High Risk Findings and Management Actions for period of 1 January 2017 – 31 March 2017

Summary of Internal Audit reports issued during Quarter 4 2016/17 (1 January 2017 – 31 March 2017)

Internal Audit reports				
Title of Review	High Risk Findings	Medium Risk Findings	Low risk Findings	Advisory Comment
# Leavers Process (RES1603)	4	1	-	-
# Property Maintenance – (RES1615)	2	2	1	-
Health and Safety – Contractor Management (RES1601)	1	2	-	-
Complaints (CF1619)	-	3	1	-
# Information Commission Officer Audit Follow Up (RES 1606)	-	3	1	-
Royal Edinburgh Military Tattoo – Stock Management and Anti-Fraud procedures (JB1604)	-	2	1	-
Lothian Valuation Joint Board (JV1601)	-	1	-	1
# Contentious Testing – Working Time Regulations (RES1618)	-	1	-	-
Prevent Strategy (CF1618)	-	1	-	-
Lothian Borders Community Justice Authority (JB1603)	-	-	-	-
SesTrand (JB1602)	-	-	-	-
* # IT Disaster Recovery (CW1602)	1	-	-	-
* # Review of External Security (CW1603)	3	2	-	-
Total	11	18	4	1
Audit report referred by the Edinburgh Integration Joint Board Audit and Risk Committee				
Management Information	1	3	-	-

These reviews may be of interest to members of the Audit and Risk Committee of the Edinburgh Integrated Joint Board and it is proposed that these reviews are referred to that Committee.

* These audits were included in the 2016/17 plan. Whilst work had commenced prior to year end, reports were not finalised until May 2017.

Summary of Internal Audit reports issued during Quarter 1 2016/17 (1 April – 30 June 2017)

Internal Audit reports				
Title of Review	High Risk Findings	Medium Risk Findings	Low risk Findings	Advisory Comment
Short Term Homelessness Housing Provision (SSC1701)	2	3	1	-
Edinburgh Shared Repairs Service (RES1701)	-	-	2	1
Total	2	3	3	1
No Audit reports were referred by the Edinburgh Integration Joint Board Audit and Risk Committee from their June meeting.				

Summary of Internal Audits in progress during Quarter 1 2016/17 (1 April – 30 June 2017)

Internal Audit reports		
Title of Review	Start Date	Estimated Completion Date
Property Conservation Lessons Learned (RES17)	February 2017	Final report issued August 2017
Care Homes (HSC1701)	March 2017	Final overarching report expected by end September 2017 – individual reports have been issued to each of the 10 care homes reviewed.
HR and Payroll – Starters Process (RES1704)	April 2017	Final report issued July 2017
Ross Bandstand (PR1701)	May 2017	Final report expected by end August 2017
Treasury (RES1703)	June 2017	Final report issued August 2017
Local Development Plan (PL1705)	August 2017	Final Report expected by end August 2017

City of Edinburgh Council

Internal Audit

Summary of Critical/High Risk Findings and Management Actions

(1 January 2017 – 30 June 2017)

Section 7 – Management Information – Referral from the Edinburgh Integration Joint Board Audit & Risk Committee

Total number of findings

	Critical	High	Medium	Low
Total	-	1	3	1

Background

The Edinburgh Integration Joint Board ('EIJB') approved the Strategic Plan for Health and Social Care in Edinburgh in March 2016. This plan forms the basis for directions issued to NHS Lothian and City of Edinburgh Council setting out how services should be delivered.

The EIJB is required to establish a performance management framework to enable it to monitor progress against the priorities and actions set out in the Strategic Plan. As part of the performance management framework, the EIJB will need data from the organisations of the Edinburgh Health & Social Care Partnership which is accurate, timely, and curated to meet the particular needs of the EIJB, allowing them to monitor performance effectively and make informed decisions on the provision of health and social care in the City.

The Public Bodies (Joint Working) (Scotland) Act 2014 also requires all Integrated Joint Boards to publish an Annual Performance Report, with the first due in July 2017 for the 2016/17 financial year. Boards will report performance in each locality against the 9 National Outcomes.

Scope

The scope of this review will be to assess the design and operating effectiveness of the EIJB's controls relating to management information. This included:

- The development of the Performance Management Framework; and
- Review performance reporting on delays across the Health & Social Care system

Summary of High Risk Findings

Performance Management Framework in Development
A key part of the strategic plan is the development of a performance management framework, which will allow the EIJB to monitor progress against national and local outcomes, and embed quality improvement.

The EIJB is also required by the Public Bodies (Joint Working) (Scotland) Act 2014 to publish a performance report each year, with the first report due in July 2017. The Scottish Ministers have indicated that this will be a report on performance against the 9 National Outcomes and 23 core indicators.

At the time of audit fieldwork, 6 months into the 2016/17 performance year, both the Performance Management Framework and the Annual Performance Report are in development. Management are building a performance management framework from scratch and, in consultation with stakeholder groups, are in the process of developing metrics for the 44 strategic objectives set by the EIJB, and the 23 core indicators set by the Scottish Ministers.

Rubrics (definitions of what 'excellent', 'acceptable' and 'poor' look like for that section) are being trialled for 5 of the 44 strategic objectives. Progress against the remaining 39 strategic objectives will be tracked by monitoring whether key milestones in the project plan are met. The project plans are currently being drafted.

Until the Performance Management Framework is developed, however, regular performance reporting to the EIJB and its subgroups is limited to financial updates and statutory delayed discharge reporting.

Recommendations and Agreed Management Action for High Risk Finding

Recommendations	Agreed Management Actions	Target Date	Status of Actions Due
Performance Management Framework in Development The Performance Management Framework, including preparation for the Annual Performance Report, should be finalised and embedded. This should include:	We now monitor and have data against the 23 core indicators. However, the 2016/17 data will not be available by July 2017. This is a national issue and Scottish Government is aware of it.		
		28 February 2017	Complete

Recommendations	Agreed Management Actions	Target Date	Status of Actions Due
- Performance measures (whether criteria for rubrics, or 'traditional' performance indicators); - Data required to assess performance against the National Outcomes and internal performance measures; - Establishing the source and timing of data; - Defining the roles of Committee and key management groups in relation to performance monitoring; and - Agreeing the frequency and format of performance reporting	A Performance Board is being established as part of the overall governance framework for the Health and Social Care Partnership which will work closely with the IJB Performance and Quality Group. The main role of the Performance Board will be to agree the core set of performance indicators and monitor delivery against these. The Board will have its first meeting in February 2017. An initial meeting has taken place to discuss the content of the Annual Performance Report. A core group has been identified to take this forward and a series of meetings is being arranged for early in the New Year. The intention is for a draft report to go to the IJB Development session in April 2017. A governance framework will be developed and documented setting out the roles remits and membership of the various committees and groups and the relationship between them. ***Responsible Officer:*** Strategic Planning Manager	31 July 2017 28 February 2017	Not Due Complete

Status of actions due will be validated by Internal Audit as part of the follow-up review process.

Summary of High Risk Findings

Off-contract purchasing

A significant element of expenditure on B&Bs is on off-contract properties that are consistently used and in some cases fully occupied by the council for the whole year.

In 2016/17, 15,362 bed nights were purchased in off-contract B&Bs for a total of £953,006.51. The following table shows frequently used off-contract B&Bs in 2016/17: Off Contract B&B	No of Bed nights	Cost of Bed nights	Average cost per night	
Abbot House Hotel*	3658	£191,982.50	£52.48	
Abbey Lodge	2372	£158,200.00	£66.69	
Aaron Lodge	2287	£119,058.57	£52.06	
Edinburgh Regency Guest House	1605	£108,270.00	£67.46	
Parkview Hotel	909	£80,648.80	£88.72	
Heriott Park B&B	586	£56,185.00	£95.88	
Premier Inn (South Queensferry)	208	£33,625.95	£161.66	
John's Place (No 9)*	614	£28,838.00	£46.97	
Ravensdown	677	£27,200.00	£40.18	
Premier Inn (Leith)	119	£12,656.94	£106.36	
Premier Inn (Haymarket)	112	£11,958.70	£106.77	

Section 7 – Management Information – Referral from the Edinburgh Integration Joint Board Audit & Risk Committee

Total number of findings

	Critical	High	Medium	Low
Total	-	1	3	1

Background

The Edinburgh Integration Joint Board ('EIJB') approved the Strategic Plan for Health and Social Care in Edinburgh in March 2016. This plan forms the basis for directions issued to NHS Lothian and City of Edinburgh Council setting out how services should be delivered.

The EIJB is required to establish a performance management framework to enable it to monitor progress against the priorities and actions set out in the Strategic Plan. As part of the performance management framework, the EIJB will need data from the organisations of the Edinburgh Health & Social Care Partnership which is accurate, timely, and curated to meet the particular needs of the EIJB, allowing them to monitor performance effectively and make informed decisions on the provision of health and social care in the City.

The Public Bodies (Joint Working) (Scotland) Act 2014 also requires all Integrated Joint Boards to publish an Annual Performance Report, with the first due in July 2017 for the 2016/17 financial year. Boards will report performance in each locality against the 9 National Outcomes.

Scope

The scope of this review will be to assess the design and operating effectiveness of the EIJB's controls relating to management information. This included:

- The development of the Performance Management Framework; and
- Review performance reporting on delays across the Health & Social Care system

Summary of High Risk Findings

Performance Management Framework in Development
A key part of the strategic plan is the development of a performance management framework, which will allow the EIJB to monitor progress against national and local outcomes, and embed quality improvement.

The EIJB is also required by the Public Bodies (Joint Working) (Scotland) Act 2014 to publish a performance report each year, with the first report due in July 2017. The Scottish Ministers have indicated that this will be a report on performance against the 9 National Outcomes and 23 core indicators.

At the time of audit fieldwork, 6 months into the 2016/17 performance year, both the Performance Management Framework and the Annual Performance Report are in development. Management are building a performance management framework from scratch and, in consultation with stakeholder groups, are in the process of developing metrics for the 44 strategic objectives set by the EIJB, and the 23 core indicators set by the Scottish Ministers.

Rubrics (definitions of what 'excellent', 'acceptable' and 'poor' look like for that section) are being trialled for 5 of the 44 strategic objectives. Progress against the remaining 39 strategic objectives will be tracked by monitoring whether key milestones in the project plan are met. The project plans are currently being drafted.

Until the Performance Management Framework is developed, however, regular performance reporting to the EIJB and its subgroups is limited to financial updates and statutory delayed discharge reporting.

Recommendations and Agreed Management Action for High Risk Finding

Recommendations	Agreed Management Actions	Target Date	Status of Actions Due
Performance Management Framework in Development The Performance Management Framework, including preparation for the Annual Performance Report, should be finalised and embedded. This should include:	We now monitor and have data against the 23 core indicators. However, the 2016/17 data will not be available by July 2017. This is a national issue and Scottish Government is aware of it.	28 February 2017	Complete

Recommendations	Agreed Management Actions	Target Date	Status of Actions Due
- Performance measures (whether criteria for rubrics, or 'traditional' performance indicators); - Data required to assess performance against the National Outcomes and internal performance measures; - Establishing the source and timing of data; - Defining the roles of Committee and key management groups in relation to performance monitoring; and - Agreeing the frequency and format of performance reporting	A Performance Board is being established as part of the overall governance framework for the Health and Social Care Partnership which will work closely with the IJB Performance and Quality Group. The main role of the Performance Board will be to agree the core set of performance indicators and monitor delivery against these. The Board will have its first meeting in February 2017. An initial meeting has taken place to discuss the content of the Annual Performance Report. A core group has been identified to take this forward and a series of meetings is being arranged for early in the New Year. The intention is for a draft report to go to the IJB Development session in April 2017. A governance framework will be developed and documented setting out the roles remits and membership of the various committees and groups and the relationship between them. ***Responsible Officer:*** Strategic Planning Manager	31 July 2017 28 February 2017	Not Due Complete

Status of actions due will be validated by Internal Audit as part of the follow-up review process.

Corporate Policy and Strategy Committee

10.00am, Tuesday, 5 December 2017

Edinburgh Schools Inquiry

Item number	8.6
Report number	
Executive/routine	
Wards	City-wide

Executive Summary

As a result of investigations following a wall collapse at Oxgangs Primary in January 2016, structural issues were identified at schools built between 2002 and 2005 in Edinburgh under the Public Private Partnership programme ("PPP1"). This led to the temporary closure of affected schools and required alternative arrangements to be urgently put in place for all affected children.

As detailed in the reports to Corporate Policy and Strategy Committee in May and June 2016, an independent inquiry ("Inquiry") was instructed in the matter. Professor John Cole CBE, was subsequently appointed as the independent chair of the Inquiry with an agreed remit. The Council was asked to consider the findings and recommendations of Professor Cole's Inquiry Report when it was presented to Council in February 2017.

The Council noted the content of Professor Cole's Inquiry report and further noted that the Chief Executive would set up an officer working group ("Working Group") to consider the implications of the Inquiry Report. Council requested an update prior to the summer recess confirming the actions that the Council has already taken, and will be taking, with regard to the matters set out in the Inquiry Report. That update took place in June 2017 and it was agreed that a further report would be submitted to Corporate Policy & Strategy Committee.

Links

Coalition Pledges
Council Priorities
Single Outcome Agreement

Report

Edinburgh Schools Inquiry

1.   Recommendations

1.1   It is recommended that the Committee note the content of this report and the continued positive progress being made by the Working Group.

2.   Background

2.1.   As a result of investigations following a wall collapse at Oxgangs Primary in January 2016, structural issues were identified at schools built between 2002 and 2005 in Edinburgh through PPP1. This led to the temporary closure of affected schools and required alternative arrangements to be urgently put in place for all the affected children.

2.2.   As detailed in the reports to Corporate Policy and Strategy Committee in May and June 2016, an independent Inquiry was instructed into the matter. Professor John Cole, CBE, was subsequently appointed as the Independent Chair of the Inquiry with an agreed remit.

2.3   Professor Cole was appointed as the Independent Chair of the Inquiry into the matter and reported his findings to Council in February 2017.

2.4   The Chief Executive instructed that a Working Group be set up to consider the implications of the Inquiry Report and submit the relevant findings and actions prior to the summer recess. The initial report in June 2017 showed the current position then and this report now updates the progress made.

2.5   Following publication of the Cole report, Council officers have been actively assisting other authorities and the Scottish Government with regard to providing advice in relation to the matters identified in the report.

3.   Main report

3.1   The Cole Report made 40 separate recommendations. The Working Group was established in order to allocate the various recommendations to the relevant divisions of the Council.

3.2   Details with regard to progress to date against each action are set out in Appendix 1 to this Report. As many of the recommendations have an impact on projects

procured through SE Hub, the Council is working positively with SE Hub in response to these recommendations. It is acknowledged that:

- the systems and processes have been developed significantly by the Council during the intervening years since the Inquiry schools were built; and

- a number of recommendations will require wider stakeholder engagement, or in some cases a national response.

3.3 Key Specific issues

3.3.1 Fire Safety

3.3.1.1   The Council is acutely aware that fire safety is a top priority and has been actively working to ensure that the buildings are fully compliant in all respects from this perspective.

3.3.1.2   A team has been established to review the fire-stopping and fire-proofing processes throughout both the PPP and wider council estate. The team are working collaboratively with the relevant service providers to ensure that the estate remains safe. An independent Fire and Risk contractor has been employed by the Council to ensure that this matter is appropriately scrutinised and demonstrate that the remedial works being carried out achieve compliance with the appropriate fire regulations.

3.3.1.3   With regard to PPP1, ESP's fire risk consultants have completed their inspections. No serious issues were identified and all other deficiencies have either been remediated or will be remediated throughout the maintenance cycle. Confirmation has been obtained from ESP that there remains no immediate risk in respect of any deficiencies outstanding, such that no school is unsafe to occupy. The Council's own independent fire safety expert agrees with this assessment.   Any appropriate changes to fire risk procedures have been implemented pending full remediation.

3.3.1.4   With regard to PPP2, appropriate checks are ongoing, with each building having been surveyed and again no immediate risks being identified. Again, the Council's own independent fire safety expert agrees with this assessment. Work to address any outstanding deficiencies at these schools has now commenced. Processes are also in place with regard to checking fire safety in the wider estate.

3.3.2 Building Completion Certificates

3.3.2.1   Two schools unfortunately remain without Building Completion Certificates (Royal High School and Craigmount High School).   These buildings were given Temporary Occupancy Certificates on 6 November 2003 and 25 July 2003 respectively, which would both have expired after three years.

3.3.2.2   The Council has required ESP to make the relevant applications for these certificates ESP have made arrangements to ensure that they are able to make the relevant applications as soon as the fire-stopping works are completed in order to expedite the Council being able to grant the Completion Certificates (or equivalent).

3.3.2.3   It is currently anticipated by ESP that they will be in a position to make the relevant applications imminently and the certificates issued as soon as possible thereafter.

3.3.3   **Commercial position**

3.3.3.1   The Council continues to pursue ESP for appropriate redress with regard to both service failures and costs incurred and the Council will take appropriate action to safeguard the Council's position in this regard. It is hoped that this can be avoided through an amicable settlement with ESP which is still actively being pursued.

3.3.4   **Ongoing Inspections**

3.3.4.1   As outlined in the Inquiry report, CEC have commenced a proportionate and structured risk based approach to investigating the wider CEC Estate. This approach was shared with the Inquiry for information purposes and has also been shared with Scottish Futures Trust. Estates wide structural investigation progress to date is captured in Appendix 1, Section 10.1

4.   Measures of success

4.1   The progress of the Working Group, following upon the Inquiry's findings, provides the Council with assurance as to the reasons for the unfortunate incident and identifies the lessons which can be learned and appropriate changes implemented.

5.   Financial impact

5.1   It is anticipated that the majority of the costs associated with addressing the findings and recommendations of the Inquiry Report with regard to new project quality and inspection can be contained within project capital budgets.

5.2   The Council incurred significant additional costs as a result of the unavailability of seventeen schools and two other facilities between April and August 2016. Subject to finalisation of the terms of settlement with ESP, it is not anticipated that there will be any overall direct cost to the Council arising from this incident.

5.3   At the meeting of the Finance and Resources Committee on 23 January 2017, members approved that any excess of contractual deductions due to CEC, over costs incurred, be earmarked to take forward any necessary remedial work identified through the programme of Estate Wide Structural Investigations (Refer to Recommendation 10.1 in the Cole Inquiry report). The unpredictable nature of the

findings associated with the Estate wide structural investigations limit the accuracy with which costs can be predicted, however the indications are that Tranche 1 of this exercise which will be completed by March 2018 should be delivered within a budget of £1.2m. This is being kept under constant review as the investigations continue.

6.   Risk, policy, compliance and governance impact

6.1   There is a risk that the issues of concern identified within the Inquiry Report could exist within other areas of the public sector, including within the Council's wider estate. A programme of inspection works is already in place to assess whether or not this is the case.

6.2   Although the exact impacts are yet to be fully considered, the Inquiry Report could potentially have wide-ranging effects upon Council governance processes with regard to implementing similar large projects in the future.

7.   Equalities impact

7.1   There are no direct equalities impacts arising from this report.

8.   Sustainability impact

8.1   There are no direct sustainability impacts arising from this report.

9.   Consultation and engagement

9.1   The Council has engaged with other authorities and the Scottish Government in relation to this matter.

10.   Background reading/external references

Report of the Independent Inquiry into the Construction of Edinburgh Schools: Professor John Cole Report

Edinburgh Schools Report: Report to City of Edinburgh Council, 9 February, 2017

Andrew Kerr

Chief Executive

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11. Links

Coalition Pledges	
Council Priorities	
Single Outcome Agreement	
Appendices	Appendix 1 - Response to: Report of the Independent Inquiry into the Construction of Edinburgh Schools (Professor John Cole CBE)

Appendix 1

Response to: Report of the Independent Inquiry into the Construction of Edinburgh Schools (Professor John Cole CBE)

This is an update capturing progress by CEC in responding to the Recommendations of the Schools Inquiry.

Abbreviations:

BS	Building Standards
CAFM	Computer Aided Facilities Management system
CEC	City of Edinburgh Council
CLT	CEC Council Leadership Team
ESP	Edinburgh Schools Partnership (PPP1 Special Purpose Vehicle)
GT	Galliford Try (Contractor)
Hub	Institutional Public Private Partnership (delivering asset and new build service to public sector partners)
IC	Independent Certifier
IT	Independent Tester (earlier PPP title for IC role above, referred to in Cole Report)
P&FM	Property and Facilities Management (Resources) delivering projects across Operational Estate
SFT	Scottish Futures Trust
SG	Scottish Government
SPV	Special Purpose Vehicle, term for entity formed to deliver PPP contracts
SRO	Senior Responsible Officer appointed on each capital project and works programme
TWG	Technical Working Group (managed by CEC delivering the estate wide structural investigations)

	Recommendation	Response
1.1	**Expertise and Resources** Ensure access to a level of expertise and resources to allow body to act as Intelligent Customer and appropriate resource in terms of governance arrangements, types of expertise and funding	CEC are moving towards a Corporate Landlord model (where P&FM are the Landlord) which will facilitate better engagement across projects in an intelligent client capacity. This will also ensure greater consistency of approach. Part of the project initiation process by the SRO includes ensuring that the necessary resources are considered. This includes both client/user resources and project delivery resources. Capital Projects are delivered through recognised governance arrangements.
1.2	**Ensuring compliance with specification** Ensure contract is delivered in terms of the contract. Level of diligence determined through informed assessment of risk of the likelihood or implications of non-compliance	There is recognition of the limitations of true risk transfer on PPP/DBFM type project, notably in relation to reputational risk and disruption to services. P&FM delivered capital projects benefit from risk management processes through the construction and delivery phase. The operational risks for new DBFM projects are being recognised on DBFM Risk Registers going forward. Since the end of 2016, P&FM have had in place arrangements for all external designs to be reviewed by in-house design professionals. This has traditionally been viewed by client departments as unnecessary, but recent moves to a Corporate Landlord role have facilitated this change in practice. The role of the IC/IT on DBFM projects is under detailed review with SE Hub. Arrangements are in place to reinforce existing levels of CoW cover on projects. While all projects will be assessed to determine the appropriate level of CoW cover (and/or other disciplines, full time or part time), projects valued over £2m are now benefiting from full time CoW. The table at the end of this paper gives an overview of the resourcing approach in place. Design Team appointments now make specific reference to site inspection duties and regular reporting to the Contract Administrator and /or Project Manager.

		This is currently being addressed on a project by project basis. Next step is to capture this scope change across all the Framework providers.
1.3	**Public bodies cannot delegate duties** There should always be appropriate levels of independent scrutiny in relation to all aspects of design and construction that are in effect largely or partly self-certified by those producing them.	P&FM are ensuring relevant professionals are in place to provide an appropriate level of independent scrutiny. As a guide, CoW cover is being provided on all projects with full time provision on projects over £2m. External designs are being reviewed by in-house designers at key stages. Arrangements between the CoW and the Technical Advisor (where appointed) on D&B type projects will be clarified in the appointment documents. Discussions have progressed with SE Hub around suitable arrangements for independent scrutiny for Hub D&B and also Hub DBFM projects. A CoW will be in place for these projects as well as design team reporting. The P&FM PPP Management team will review arrangements for independent checking of works delivered by the PPP contractors.
1.4	**Building it right first time** '…. public bodies should include appropriate investment in the provision of informed independent scrutiny of projects when they are being designed and constructed……rather than clients subsequently seeking to rely on their ability to seek remediation of compensation …. It is the view of the inquiry that seeking savings through cutting investment in quality assurance is inevitably a false economy'	This recommendation has a focus on D&M and DBFM where there is emphasis on single point of responsibility. As detailed in 1.2 above, arrangements for design review on P&FM delivered projects are already in place. There has been a change of emphasis from minimising internal resources associated with the delivery of projects, with greater emphasis now being applied to ensure that externally procured design and construction services are quality checked. On Hub delivered D&B and DBFM projects, discussions have progressed to address design team engagement and visibility post novation. There has been greater consideration given to evaluating the potential risks/benefits of D&B in comparison with traditional procurement models. D&B has arguably brought benefits around price and programme and has been attractive as there is a single point of responsibility (something challenged by the Inquiry). However, the findings of the report raise a

		Quality challenge to the D&B and DBFM procurement route. This has been positively addressed through discussion with SE Hub and refinement continues.
1.5	**Quality of design and construction** There should be a more informed approach by public bodies as to how best practice methodologies can be incorporated into current models of procurement whilst maintaining other benefits of these processes. A key element is a clear articulation in a comprehensive brief by the client of the quality objectives for the project and of the methodology to be used for ensuring the achievement of that quality in both the design and construction phases. Appropriate time and resources should be allocated by clients during the initial stages of a project and during the development of the brief in order to establish and clearly define these quality objectives and approaches to ensuring quality	The majority of D&B and all DBFM project are delivered though SE Hub. Arrangements to address quality for these procurement models are in place. SE Hub are taking action with regard to key 'weaknesses' of the D&B and DBFM routes in response to the Inquiry recommendations with processes and procedures now in place. The recommendation to ensure time and resources are allowed is being addressed at Project Initiation by Client Departments and P&FM as part of the early project planning. The need for Clients to develop an adequate brief which also addresses quality objectives and the methodology for delivering those objectives will be an area of focus going forward. The provisions for ensuring best practice is delivered based on the selected procurement route will be reviewed on a regular basis. This will also be informed by the lessons learned workshops which are already a feature of major projects and programmes.
2.1	**Nature of Inspection** Inquiry view that one possible option would be to extend the range of services in the appointment of the IC to include the provision and management of CoW services	**(Note the IC/IT role relates to DBFM type projects, these are typically delivered through Hub)** The approach to include the CoW within the IC/IT appointment was incorporated into the procurement and appointment for the IC for the new Queensferry HS DBFM. The IC/IT scope of service has been aligned to the SfT scope with additional items included. This will be the approach to DBFM projects with IC/IT appointments going forward
2.2	**PI insurance and liability Period** Level of PI insurance and liability period for IC should be assessed to properly and appropriately reflect the significance of their Certification	**(Note the IC/IT role relates to DBFM type projects, these are typically delivered through Hub)**

		processes and the degree of reliance that is to be placed on it.	This has been included in the DBFM IC/IT appointments (which picked up scope of service and fees of IC service). Hub IC and Design Team PI provide for £10m on each and every claim.
2.3		**Method of appointment of IC** Appointment of IC should be made following properly advertised and conducted public procurement process and not through nomination or recommendation by private sector party	**(Note the IC/IT role relates to DBFM type projects, these are typically delivered through Hub)** IC/IT appointments follow SG/SFT guidance through the Hub process. The appointment for the IC (including CoW) for QHS DBFM has been subject to market tendering through HubSE and not on an 'informal recommendation' by the contractor as appears to have been the case on PPP1. This reflects CEC practice on DBFM.
2.4		**Fees of IC** 'fees should reflect the level of service required rather than the service being restricted to fit a predetermined budget'	**(Note the IC/IT role relates to DBFM type projects, these are typically delivered through Hub)** The level of service of the IC based on the SfT scope of works documentation which has been tendered and priced through competitive market tendering by HubSE.
2.5		**Independent Inspection of works** Public sector clients should engage appropriately qualified individuals or organisations with necessary construction expertise to undertake appropriate ongoing inspection of construction. Depending on the nature of the project, this inspection role, at the level at which the defects in the Edinburgh PPP1 schools occurred, is traditionally undertaken by a combination of resident architects, resident engineers and CoW, the use of whom has dramatically reduced over recent years, yet the essential role they played does not appear to have been effectively provided for by alternative arrangements within	As project team resources and associated fees are being assessed consideration is given to necessary assurance checks (potential examples being resident engineer, CoW, fire engineer etc.) See table at end of this document for outline of approach taken by P&FM for projects within their remit

	the forms of procurement currently in vogue. Clients need to reappraise this gap in the assurance processes which has been allowed to develop.	
3.1	**Scope of service of design team** 'Under current models of procurement…. (D&B, DBFM for example) …. the relationship between the client and key members of the design team has tended to become at least one or more steps removed……. the extent of their appointment and levels of involvement of design team members (either with clients or on site) is now frequently delegated to contractors to determine' 'Pubic bodies should review current procurement arrangements to ensure they are providing the optimum level of communication between clients and key members of the design team…. they may wish to consider how more direct communication could be incorporated into current forms of contract…'	This is not an issue on traditional procurement where the design team remain directly employed by the client. This recommendation relates to D&B an DBFM Design team engagement with the client on larger CEC D&B and DBFM projects has previously been facilitated by leaving any contractor appointment and associated design team novation until Stage 3 (Developed Design, which includes proposals for structural design, building services systems and outline specifications). This approach ensured direct client control over the design until this stage. D&B and DBFM do experience the issues identified post novation of the design team. There is arguably a stronger case to consider Traditional Procurement models more positively than may have been the case recently. P&FM have challenged hub (a route for the majority of D&B and DBFM projects) around designer engagement. While some issues still need to be finalised, SE Hub are responding to the issue and ensuring the designers are directly available with client engagement and meeting attendance.
3.2	**Role of design team in inspecting works on site** **I**f clients do not wish to prescribe in their tender documentation the minimum level of services which they require to be provided by the design team when employed by the contractor …. They should at least require that submitted tenders include full description of the scope of the design team services, including any proposed role on the inspection of the works on site…'	See above 3.1. On SE Hub delivered projects, arrangements are in place for the project team to be appraised of the scope of service of the design team and project roles which should be provided by the D&B contractor. P&FM have requested that on Hub projects going forward there is proper provision for ensuring design team involvement in works inspection (along with submissions of site inspection reports) which is in place for D&B and DBFM projects. Hub procurement captures all DBFM and a majority of D&B projects. On non-Hub D&B projects the framework designer's scope of work is known and will be expected to be transferred in full post novation to the D&B Contractor and this will be reflected in the contract terms.

		There is now a requirement for sight of design team site inspection reports at project meetings.
3.3	**Notification of issues to public sector client** 'where possible, there should be a mandatory provision built into such contracts (D&B and DBFM) that where …. a contractor has failed to take appropriate action as advised by a member of the professional design team on issues that could impact on subsequent safety...of functionality...the consultant in question should be required to inform the public-sector client of the advice provided tot eh contractor	This is an issue around designers being employed by the contractor on D&B and DBFM and their associated terms of appointment. This could also be a question for the various design discipline's professional bodies to address. However, it should be expected that issues of a safety nature would be escalated by a professional designer (H&S being everyone's responsibility). Hub are responding positively but P&FM will be monitoring the effectiveness of their approach. This is not an issue on Traditional Procurement route.
4.1	**Production, retention and updating of information** mandatory protocols for receipt and processing of all such information within own organisations.	All projects delivered by P&FM have a requirement to distribute Building Manuals on the following basis: *Paper and electronic copy to site, electronic copy to each of following, Facilities Management Technical Support Team, Strategic Asset Management and copy retained by Capital Programme Team.* Regarding design and project documentation, arrangements for retention of electronic documents are in place but require to be standardised. Discussions are underway with ICT/CGI to identify solutions. On PPP1 Estate the issue would seem to have been due to the failure of the PPP FM contractor to retain the required Building Manuals in a fit state on site and no other parties had copies.
4.2	**Provision of as-built drawings** Design teams on D&B frequently unaware of changes so difficult for them to produce as-built drawings. Contractors should be required to put in place appropriate arrangements for the recording of all subsequent changes to final' construction issue' drawings and arrange for the production of a final as-built set of documents	Contractor's quality processes have provision for updating records. There is now specific challenge to ensure that contractor quality processes properly address the development of As Built Drawings during the construction period. This will form part of Design team site inspections. It should be noted that the Principal Designer under CDM 2015 should hand over the H&S file to the Principal contractor and make them aware of any issues

	Contractors should also be required to certify that the 'as-built' documentation as provided is an accurate record.'	to be considered when reviewing, updating and completing it The Principal Contractor is responsible for passing relevant information for inclusion in the file. This is based on guidance on the legal requirements of CDM 2015.
4.3	**Provision of as-built drawings to Building control** recommendation to provide Building Standards with As Builts as part of completion certificate.	Currently no arrangements in place for Building Standards to receive As Built drawings. In the event that the legislation is altered, this requirement would be adopted by Building Standards at CEC.
4.4	**On-site accessibility of design information** A comprehensive set of all information in regard to the construction of external cavity walls should be provided on a document produced by the structural engineering consultants	This relates to the availability of information in a suitable form to allow construction. This can be addressed on CEC delivered projects as part of the project briefing process to designers. This will ensure the requirement for the Structural Engineer to incorporate all necessary information around the construction of masonry panels on relevant drawing. A protocol for this will be developed by the TWG.
4.5	**Communication of design intent** Structural engineers should be required to describe in their documentation and drawings the approach and design philosophy adopted in their designs in terms of the reliance on the inclusion of bed joint reinforcement, wall head and lateral restraints or windposts in the required locations and in accordance with the specification....	This is being addressed as part of 4.4 above with TWG drawing up guidelines for Property and Facilities Management to implement
4.6	**Structural amendments to be approved** Contractors should ensure that any changes to structural design are only implemented after checked by Structural Engineer and that these are documented and processed in accordance with statutory obligations imposed by Building Standards	Amendment to warrant process is in place as it is a statutory obligation. Contractor Quality processes should address this but there is a need to audit compliance with the process. Audit of quality processes is in place (ref 5.5 below).

4.7	**Access to original construction information** CEC was not automatically provided with all relevant design, construction and survey information relating to the original construction, the subsequent investigations and implementation of remedial works on PPP1 schools. In response to requests for elements of information the Council was advised by various members of the (PPP) supply chain that it did not have direct contractual right to this information and would have to seek it through ESP. PPP contract arrangements should incorporate the right for public sector clients to be provided with copies of all design and technical information, surveys, proposed amendments and as built documentation in relation to their projects.	The events around PPP1 Stage 2 schools reflect the usual contract arrangements. Direct access to the SPV supply chain is not the norm but may be something for the CEC PPP Management Team to address on existing PPP and DBFM contracts (operational phase). On new DBFM, the indications are that Hub are keen to have an open and supportive working relationship with Participants (Clients). It is anticipated that this should be deliverable in some form for the next Hub DBFM. There is a need to agree a suitable level of information released and provisions for access to greater levels of detailed information as required.
5.1	**Building of leaves of cavity walls separately** Implications of building inner and outer leaves separately. Recommendation that alternative construction adopted to avoid the issue.	CEC proposal in response to this recommendation is to clearly specify that both leaves are constructed together. Should there be a strong and fully justifiable reason to construct separately this would have to be with specific Authority approval. In such cases the contractor would be required to provide a detailed method statement signed off by the structural engineer, architect and parties monitoring quality (e.g. CoW). Specific site supervision and quality checking would be a key requirement of any such agreement.
5.2	**Design of wall ties** suggestion to calibrate wall ties	Industry/supplier issue.
5.3	**Design of head restraints** simplification of type for specification purposes and also consideration of provision of visible indicators to confirm presence	Industry issue.
5.4	**Payment of Bricklayers**	Industry Issue.

			Possibly scope for SFT to influence on Hub framework.
5.5	**Contractor quality assurance processes** The repeated failures across many different (PPP1) projects would suggest that either the quality processes themselves or the manner in which these processes were implemented have frequently proved inadequate Construction industry should seek to introduce, develop and promulgate standardised best practice. The design of such processes should consider the potential of greater use of modern technology in relation to digital recording of such areas of work'		This relates to Contractor processes. Contractor quality processes have advanced and been refined since the PPP1 Schools contract. It is clear that any process should be reinforced by independent checking. On CEC D&B projects, the Technical Advisor (TA) has a specific responsibility in checking and auditing the Contractors Quality Processes with the provision of CoW addressing site inspection. DBFM have additional provisions for Independent Certifiers to which arrangements are being made for deployment of CoW. On Traditional Procurement, the design team will be obligated to inspect contractor quality processes and report findings as part of their monthly site inspection reports. The scope of the various parties with regard to site quality will be assessed on a project by project basis. (i.e. the roles of the PM, Designer, IC (where applicable), TA (where applicable) and CoW
5.6	**Inspections and sign off of cavity walls** …. recommended that QA processes on site are such that they prevent the closure of walls before proper inspection and sign-off has been facilitated to confirm the quality and completeness of the work		This is being addressed as part of the CoW deployment. Project documentation is being altered to reflect this. Contractor quality process should already have specific provisions around inspections of works prior to 'closing up'. This will be reinforced during procurement process. The Council's Building Standards Service is examining the potential to change its construction compliance notification plan to include inspection of cavity walls in certain circumstances, using a risk based approach to decision making.
5.7	**Bricklaying profession** construction industry to re-examine approach to recruitment, training, selection and appointment of brick laying subcontractors…'		While this is essentially a matter for the wider industry, CEC can probe this issue at PQQ tender interview stage. There may be scope for SFT to influence this.
5.8	**Fire stopping and fire proofing** recommendation to have independent in-depth inspection and certification by a suitably qualified		This is a Building Standards (statutory requirement) recommendation. The Scottish Government is changing the requirements for verification of fire engineering

	person of company and that this certification be provided to Building Standards as evidence of fully compliant installation prior to approval of Completion Certificate by Building Standards	aspects of building warrant applications. This will result in additional independent verification.

Pending the adoption of the above warrant requirements, this will be specifically addressed as part of the usual inspection process by members of the project team.

Proposed Multivista type records can address specific record of fire stopping condition on completion. |
| 6.1 | **Provision of training and recruitment**
appropriate authorities to review the current level of provision of training in following areas: bricklaying, CoW, Building Stds Inspectors | National issue.

There is scope on frameworks, hub etc. to have KPI provisions for training and apprenticeships.

A challenge for the industry would seem to be its ability to respond to the swings in demand impacting on the retention of trained staff during downturns. |
| 6.2 | **Apprenticeships**
CITB issue around effectiveness of current bricklayer apprenticeships | While there is scope to influence the industry through KPI's etc. this is fundamentally an Industry Issue. |
| 7.1 | **Scope of Building Standards inspections and certification**
'need for Government and …industry to consider the introduction of methods that would provide Buildings Standards with the required level of assurance in risk areas……. consider extending the concept of mandatory inspection and certification .by approved certifiers.... | National Building Standards/Industry issue.

Once any statutory, certified, mandatory inspection provisions are in place this will be readily adopted. |
| 7.2 | **Sanctions for non-compliance with building standards**   'systematic and appropriate administrative arrangements should be developed and implemented by verifiers to identify pursue and sanction those who fail to comply with its statutory requirements'. | National Buildings Standards issue |
| 7.3 | **Temporary Occupation certificates**
issue around IC issue of Availability Certificate on back of confirming provision of a Temporary Occupation Certificate (formally advising the Client of this position)

Additionally, there should be a requirement that a date should be | This relates to PPP type projects around the IC requirement to ensure Temporary Occupation Certification is in place before issue of Certificate of Availability.

A provision can be made in the contract that where a date would be set by which the Project Company (on PPP type contract) should be have achieved an accepted Certificate of Completion or be in default. |

| | | set by which the Project Company achieve the Certificate of Completion (post occupancy) of be in default | SE Hub ensure there is a programme towards securing the final certificate at time of issue of Certificate of Availability under a Temporary Occupation Certificate

On wider project delivery arrangements are in place for Contract Administrators follow up and delivery the Completion Certificate prior to expiry of the Temporary Occupation Certificate. |
|---|---|---|---|
| 7.4 | **Prioritisation of risk factors** this relates to Building Standards inspector site inspection arrangements | Building Standards issue to consider in line with the potential for national standardisation? |
| 7.5 | **Building standards Department of the City of Edinburgh Council** review of staffing in CEC Building Standards | The Building Standards service of CEC is being be reviewed to ensure it is appropriately staffed to deal with ongoing matters and any issues arising from the Inquiry. |
| 8.1 | **Sharing of information on matters of structural concern** collation and dissemination of information of structural concerns | This would be a national initiative.

Following the events around Oxgangs, CEC did respond positively and fully supported every request from SFT to and other local authorities share information. |
| 9.1 | **Minor changes within PPP1 schools** Frustration from members of staff and public around changes on PPP estate | This relates to the provision of minor changes within the schools.

There is a process for both PPP and DBFM contracts regarding such changes.

Whilst the School Business Managers (school contact for PPP team) are given an induction to PPP processes and are aware of the roles and responsibilities regarding contract variations, there appears to be a need to provide more information to the wider school staff and public. This is being followed up by the PPP Management Team. |
| 9.2 | **Parents' and schools' review of management of closure** Joint meeting with Parent Councils | Meeting held 6 June 2017. |
| 9.3 | **Fire stopping** It is recommended that CEC should, in addition to the ongoing checking of fire safety measures and components across its wider estate, require that appropriately frequent on-going inspections are undertaken | Fire Compliance Surveys' are carried out on the non PPP Estate specifically to inform spend on the Asset Management Works annual Fire Upgrade Block Allocation. This is not a cyclic inspection but is focussed on facilities which are assessed to be higher risk. CEC also have separate ongoing engineering inspections through their Framework Contractors which address |

	by those responsible for the management of these buildings.	the identified Fire Damper issue. This route has been taken as it requires testing and inspection by an engineer. In addition, CEC are carrying out statutory inspections of fire alarms, emergency lighting, sprinklers, etc. through framework contractors. The Council will address the wider estate along the principles established by PPP by undertaking find and fix surveys undertaken by fire accredited organisations. Arrangements for the recommended frequent/cyclic on-going fire stopping condition inspections are to be reviewed.
10.1	**Further Investigations (Other Clients of recently constructed buildings)** In relation to the potential presence of further defective construction in the external walls of other of their buildings, the CEC in undertaking a proportionate and structured risk - based approach to investigating their wider estate specifically the issue identified in PPP1 Estate, i.e. wall tie embedment and the provisions of appropriate restraints to masonry panels. 'other clients of recently constructed buildings of a similar scale and form of the constructions to the PPP1 schools, if concerned that their buildings may contain similar defects, may wish to adopt a similar risk-based approach to any investigation process as they may feel necessary'	CEC initiated a review of the wider estate prior to the publication of the Cole Inquiry Report. The Cole Inquiry Report refers to the 'proportionate and structured risk based approach' to investigating the wider CEC Estate (ref CLT Report of August 2016 for Mandate). This approach has been widely shared with other interested parties, SFT and Scottish Government. Buildings and extensions in Tranche 1 (constructed post 1995) are on target for completion by February 2018. There will then be a review and analysis of the Tranche 1 findings to inform the need (or approach) to deliver Tranche 2 (buildings and extensions constructed between 1980 and 1995). To date (end October 2017) remediation work has been identified as a requirement on 11 buildings or extensions in Tranche 1.

The table below gives an overview of the approach to the provision of technical resources on capital projects delivered across the Operational Estate in line with the Inquiry recommendations. The actual provisions will be considered on a project by project basis.

Notes

- The above contract categories are not a representation of all available contract and procurement routes but indicate the predominate approach taken on CEC projects.

- A number of the above arrangements have been in place on CEC projects but this proposal reinforces arrangements around design and construction quality.

- These services will be capital funded.

- The majority of the above roles are not full time on any project. This will vary according to scale and complexity of any project

- The potential to make joint appointments and to align the scope of each service is being examined. For example, joint COW/TA appointment and also joint COW/IC appointments. On DBFM the IC will be delivering the TA role as part of their scope.

		Part Time CoW	Full Time CoW	Independent Certifier (DBFM only)	Technical Advisor (considered where deemed appropriate)	Fire Engineer (inspection role) (considered where deemed appropriate)	Design Team (site inspection)	Design Team (independent Design Review)	Multivista or similar (considered where deemed appropriate)
Traditional	<£2m	✓					✓		
	>£2m		✓		✓	✓	✓	✓	✓
D&B	<£2m	✓					✓		
	>£2m		✓		✓	✓	✓	✓	✓
DBFM	all		✓	✓		✓	✓	✓	

- Multivista trial underway.