Governance, Risk and Best Value Committee

2pm, Monday, 24 October 2016

The Edinburgh Partnership – Governance, Risk and Best Value Arrangements

Item number	7.1
Report number	
Executive/routine	
Wards	

Executive Summary

This report updates members on the arrangements the Edinburgh Partnership Board has put in place to manage key governance, risk and best value matters.

Links

Coalition Pledges	All
Council Priorities	All
Single Outcome Agreement	All

Report

The Edinburgh Partnership – Governance, Risk and Best Value Arrangements

1.   Recommendations

1.1   It is recommended that the Governance, Risk and Best Value Committee notes the arrangements put in place by the Edinburgh Partnership Board to manage governance, risk and best value matters.

2.   Background

2.1   The Edinburgh Partnership was established in 2005, as a result of the Local Government (Scotland) Act 2003. The 'Act' placed a duty on local authorities to delivery community planning (defined as: 'engaging citizens and communities to inform public service planning, improving public service coordination and integration, and aligning community planning to the national performance framework).

2.2   Statutory guidance at this time required an 'accountable body' to be established to deliver community planning in each local authority area, and to develop, agree, deliver and report performance on a community plan (single outcome agreement). In response to this duty, the Edinburgh Partnership Board was established, to become the 'accountable body'. In order to develop, agree and deliver a community plan, the Board 'adopted' a number of strategic partnerships, advisory groups and all neighbourhood partnerships (which also act as advisory groups to the Council).

2.3   Since 2005, there have been numerous changes in board membership, strategic partnership arrangements and advisory groups that make up the Edinburgh Partnership, and, there have been four iterations of the community plan. The most current community plan runs from April 2015 to March 2018.

2.4   These changes have happened in response to the findings of the Christie Commission, changes in public sector legislation and associated statutory guidance, national policy and performance framework changes, public service reform, the COSLA and Scottish Government 'Joint Statement of Ambition for Community Planning', and Audit Scotland best value audit reports on community planning.

2.5   The Community Empowerment (Scotland) Act 2015 passed into law on 24 July 2015. The Act covers eleven topics, each of which come into force at different times subject to the passing of secondary legislation and the development of guidance. The Act aims to "empower community bodies through the ownership of

land and buildings and by strengthening their voices in decisions about public services".

2.6   The [Council response to the Scottish Government consultation](#) on the draft regulations (between March and June 2016), and agreed by Corporate Policy and Strategy on 14 June 2016, supported the aims of the Act whilst identifying a number of areas where further detail and potential revision would be welcomed. The findings from this consultation are currently being used by the Scottish Government to inform the production of the final regulations, due to be set before Parliament in early November 2016, and preparation of the statutory guidance, with the new duties proposed to come into force in early January 2017.

2.7   The Community Empowerment (Scotland) Act 2015, City Vision 2050, and the City's move to locality working will all require the Edinburgh Partnership to adapt again, and to reflect this in the new Community Plan 2018/2023 (Locality Outcome Improvement Plan) for October 2017. Progress is being made with developing Locality Improvement Plans for the Localities.

2.8   Throughout all of this significant change, the Board has continued to improve governance and risk management arrangements. This report provides details on these arrangements.

3.   Main report

The Edinburgh Partnership Board and Community Plan 2015/18

3.1   The Edinburgh Partnership Board approved a new Community Plan in March 2015. This plan is based on the following strategic outcomes and community planning vision. It is important to note the emphasis on tackling deprivation and inequality, which is a central ambition of this plan:
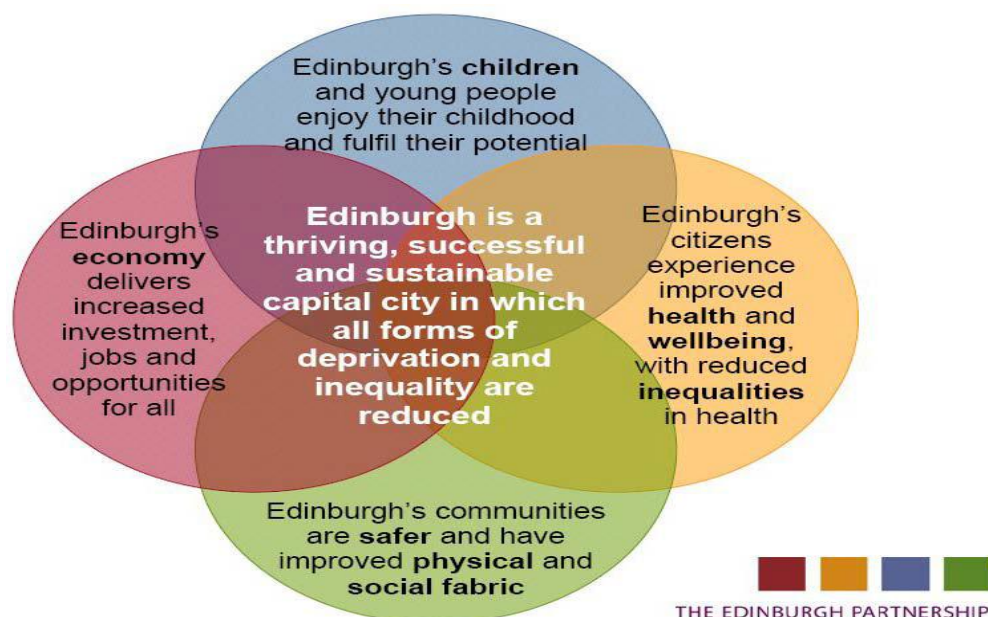
3.2 All public performance reports, and a full copy of the community plan, can be found at: www.edinburgh.gov.uk/communityplanning. A summary version is attached at Appendix 1.

3.3 A new community plan will be developed by April 2018, informed by City Vision 2050 work, Locality Improvement Plans and other strategic plans in the City. The Board has already agreed that the current four community plan strategic outcomes (described in the diagram above), will be replaced by social sustainability, economic sustainability and environmental sustainability, which will ensure better alignment with the Council's Business Plan strategic themes, namely, quality of life, economic vitality and excellent places.

Audit Scotland Best Value Report on Community Planning

3.4 Successive Audit Scotland Best Value Reports on community planning have indicated that the Edinburgh Partnership exhibits many good practice elements of an effective community planning partnership. Specifically, elements relating to governance arrangements, partnership culture, community planning projects, community and citizen engagement and empowerment, third sector engagement, public service reform and coordination, neighbourhood partnership and locality working, and public performance reporting, were all assessed as continuously improving.

3.5 The most recent audit report of March 2016 can be found at: http://www.audit-scotland.gov.uk/uploads/docs/report/2016/nr_160303_community_planning.pdfisRe commendations from this report are described below. The three recommendations that relate directly to the Edinburgh Partnership have been discussed at the Board, and these are informing current partnership priorities:

The Scottish Government and COSLA should:

- Set out a clear route map for improving community planning with short, medium, and long-term steps that will be taken locally and nationally to implement the Statement of Ambition and the Community Empowerment (Scotland) Act 2015 including how the impact of these changes will be assessed.
- Work with the Improvement Service and others to establish a locally tailored national programme of improvement support for CPPs.
- Establish arrangements through which good practice within individual CPPs can be identified and shared.
- Establish a national forum which has the credibility and authority to address any national and local barriers to effective community planning.
- Put in place a 'test of change' within a CPP to assess the impact of greater local autonomy on improving outcomes and identify any barriers to effective locally focused partnership working.
- Evaluate the 'test of change' and implement the lessons learnt.

The Scottish Government should:

- Clarify its specific performance expectations for CPPs and partners through its statutory guidance on the Community Empowerment (Scotland) Act 2015.
- Streamline national performance management frameworks and create a better balance between short-term measures of individual service performance and the delivery of longer-term local outcomes through effective partnership working.
- Place the views of local communities at the heart of measuring success in public service delivery.
- Work with others to create a climate and culture where local public service leaders feel confident that they have autonomy and authorisation to decide how to respond to the specific needs of their communities.

Community Planning should:

- Target their resources on a larger scale towards their priorities and shift them towards preventative activity.
- Ensure local communities have a strong voice in planning, delivering and assessing local public services.
- Promote and lead local public service reform.

Edinburgh Partnership Board – Governance Protocols

3.6 Critical to the Edinburgh Partnership Board's approach to the above has been the need to maintain and review Board governance protocols. The most recent version of Board's governance protocols are attached at Appendix 2. These are currently under review in light of the Community Empowerment Act, and with recognition of the strategic Edinburgh roles of the Chair of the Integration Joint Board Health and Social Care and the Chief Officer of the Integration Joint Board Health and Social Care are recognised by the Edinburgh Partnership in the positions of Board member and adviser to the Board respectively and Skills Development Scotland as a Board member. To assist succession exit interviews are held with outgoing members. Induction meetings are offered to incoming members who also receive a Board briefing pack. The Partnership and Localities Manager meets Board members during the year to progress Board matters and offer support.

3.7 Given the likely changes in Council elected member representation on the Board, a revised version of these protocols will be presented to the Council and the Board in June 2017. It should be noted that the Edinburgh Partnership is not a political Board; its members all have equal standing as partners.

Edinburgh Partnership Board – Risk Management Framework

3.8 Attached at Appendix 3 is a detailed risk management report published by PWC, which was discussed and endorsed at the Board in March 2016. A six monthly risk management forum has been established by the Board to manage risks identified in this report. In addition, individual strategic partnerships, advisory groups and neighbourhood partnerships have developed their own bespoke risk management arrangements. Issues described in the Framework as 'wicked' are those that

partners consider to be entrenched, such as alcohol misuse, and those impact as wide ranging across partners' services and needs decisive collaborative action to address them.

4.   Measures of success

4.1   The Edinburgh Partnership publishes annual community plan performance reports on its website (see above), which contain detailed information about the delivery of strategic priorities.

4.2   Each Locality Improvement Plan will have an outcome based performance framework. Public performance reporting will take place annually, and will be led by Locality Leadership Teams.

5.   Financial impact

5.1   The delivery of community planning strategic priorities requires significant joint resourcing and financial investment, much of which is contained in community planning partner mainstream budgets, or is available through specific funding streams recognise the Edinburgh Partnership as the community planning partnership for the city. These partnership monies are administered by the appropriate strategic partnership or cross agency group on behalf of the Partnership. Reports are provided to the Edinburgh Partnership and ultimately the funding provider with whom the Partnership has a contract. An overview of funding allocated to the EP for the period 2008/9 to 2015/16 is given below:

Funds Allocated to the Edinburgh Partnership 2008/09 - 2015/16

Fund	Funder	Totals
EP Enabling fund	Edinburgh Partnership	130,800
English for Speakers of Other Languages (ESOL) Funding	Scottish Funding Council	498,550
Electric Vehicle & Charging Point Funding	Transport Scotland	666,561
European Union Funding - Competitive Communities	European Union via ESEP	5,401,315
Fairer Scotland Fund	Scottish Government	5,142,644
European Union Funding - Strategic Skills Pipeline	European Union via ESEP	4,731,000
		16,570,870

The third sector plays a key role in 'leveraging in' external funding, through the National Lottery and other sources, into the City to deliver community plan priorities.

5.2   A key financial challenge for the Edinburgh Partnership is to create the partnership conditions for a shift in financial resources, from crisis intervention into prevention and early support (e.g. to the delivery of the strategic outcome to 'ensure our children have the best start in life', a shift in resources is required into pre birth support, 0-5 child health checks, early year's service and child care expansion and flexibility, school readiness etc).

6.   Risk, policy, compliance and governance impact

6.1   All strategic community planning risk, policy, compliance and governance arrangements are managed by the Edinburgh Partnership Board. Individual strategic partnerships also have embedded risk, policy, compliance and governance arrangements. For example, the Key risks will feature as part of the Council's corporate risk register, and the Edinburgh Partnership Board's risk register.

7.   Equalities impact

7.1   Effective community planning enables the Council and community planning partners to better meet its public sector equality duty under the Equality Act 2010, by commitments to engage and empower communities of interest and place, and placing a focus on tackling poverty and inequality.

8.   Sustainability impact

8.1   Delivery of the community plan contributes to the delivery of Sustainable Edinburgh 2020 social, environmental and economic objectives by including action and outcomes relating to environmental sustainability work (e.g. reducing GHG emissions, improving place making, promoting use of sustainable food, implementing local climate change adaptation projects, delivering community and renewable energy projects, and promoting active travel, plus other actions defined by citizens and communities).

9.   Consultation and engagement

9.1   Consultation and engagement activity is central to the work of the Edinburgh Partnership, specifically the development and delivery of the Community plan and locality Improvement plans.

10. Background reading/external references

10.1 None

Andrew Kerr

Chief Executive

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11. Links

Coalition Pledges	All
Council Priorities	All
Single Outcome Agreement	All
Appendices	Appendix 1 - Summary Version – Edinburgh Partnership Community Plan 2015/18
	Appendix 2 - Edinburgh Partnership Board – Protocols
	Appendix 3 - Edinburgh Partnership Board – Risk Management report

EASY READ OF THE EDINBURGH PARNERSHIP'S COMMUNITY PLAN 2015-18

THE EDINBURGH PARTNERSHIP

The **Edinburgh Partnership**	Is the citywide strategic community planning partnership for Edinburgh and involves the public, private, community and third sector sectors
Our **partners** work together to plan and deliver better services and improve the lives of local people:	• Armed Forces based in Edinburgh • Edinburgh Chamber of Commerce • Edinburgh College and universities in the city • Edinburgh Voluntary Organisations' Council • NHS Lothian • Neighbourhood Partnerships • Police Scotland • Scottish Enterprise • Scottish Fire and Rescue Service • Skills Development Scotland • South East of Scotland Transport Partnership • The City of Edinburgh Council
The Edinburgh Partnership **Community Plan** 2015-18	Community planning partnerships have to produce a three year community plan for the Scottish Government showing how they will tackle some of the big social, economic and environmental issues in their area. The Edinburgh Partnership has looked at local information and listened to what communities and partnerships say about services to arrive at our new plan.
Central to the plan is the EP's **Vision**	*"Edinburgh is a thriving, successful and sustainable capital city in which all forms of deprivation and inequality are reduced".*

There are four community planning **outcomes** - the changes we want to achieve, and **twelve priorities** - where we will focus our collective attention.

COMMUNITY PLANNING OUTCOMES

PRIORITIES

1. Edinburgh's economy delivers increased investment, jobs, and opportunities for all

i   Reducing unemployment and tackling low pay

Job opportunities, training, skills, apprenticeships, businesses helping communities and schools, social enterprises, the living wage, literacy and numeracy

2. Edinburgh's citizens experience improved health and wellbeing with reduced inequalities in health

ii   Shifting the balance of care
iii Reducing alcohol and drug misuse
iv   Reducing health inequalities

Alcohol – reduce: availability, impact on individuals, families and communities, related violence and anti social behaviour, domestic violence

Balance of care, prevention, people have control of their lives, healthy and sustainable places, healthy standard of living, good mental and physical health

3. Edinburgh's children and young people enjoy their childhood and fulfil their potential

v   Improving early support
vi   Improving outcomes for children in need
vii Improving positive destinations

Building family capacity and confidence, family engagement and support, family learning, accessible , affordable, quality childcare, kinship care, prevention, caring, inclusive

Informed career choices, youth literacy

4. Edinburgh's communities are safer and have improved physical and social fabric

- viii Reducing antisocial behaviour, violence, harm
- ix Reducing re-offending
- x Improving community cohesion, participation and infrastructure
- xi Increasing availability of affordable housing
- xii Reducing greenhouse gas emissions

Reduce: harm, violence and violent crime, dwelling fires, homelessness.
Safer communities and premises, active travel, road safety, fire safety, 20mph speed limit.
Co-produce services, co-operate, collaborate, volunteer,
improve community cohesion, participation and infrastructure
Increase housing supply, affordable homes, sustainable building and design, reduced heating bills, improved energy efficiency

All priorities have associated:	• **actions** – what we will do • **indicators** – measures that will show we are making progress • **targets** – that we will achieve
Every six months in June and December	• we will report on the **progress** being made to deliver agreed actions and meet our indicator targets • we will consider how poverty, inequality and prevention is being tackled
To improve service delivery, resource usage and engagement with communities, partners are developing a new **'four localities'** approach across Edinburgh	This will assist partners to: • act early on customer and community needs • plan and manage local services with communities • put clients and communities at the centre of deciding what to spend money on and who to involve • focus on prevention, tackling poverty and inequality
These **partnerships** work with the Edinburgh Partnership to deliver the outcomes	• Compact Partnership • Economic Development Strategic Partnership • Edinburgh Alcohol and Drug Partnership • Edinburgh Children's Partnership • Edinburgh Community Learning and Development Partnership • Edinburgh Community Safety Partnership • Edinburgh Sustainable Development Partnership • Integration Joint Board for Health and Social Care • Reducing Reoffending Strategic Group • Neighbourhood Partnerships
They are **helped** by	• Chief Officer's Public Protection Group • Edinburgh Collaborative Asset Management Group • Edinburgh Partnership Lead Officer Group • Edinburgh Transport Forum • Poverty and Inequality Partnership • Prevention Strategy Steering Group • Total Craigroyston • Total Neighbourhood East

THE EDINBURGH PARTNERSHIP

THE EDINBURGH PARTNERSHIP

EDINBURGH PARTNERSHIP BOARD PROTOCOLS

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7. In Attendance at the Board
8. Business Arrangements
9. Guiding Principles

1. **The Edinburgh Partnership Board**

   1.1 The Board is the governing body for community planning in Edinburgh, **members** are:

   Post Holders

   - Leader of the Council (Chair) *
   - Opposition Leader
   - Commander Edinburgh Garrison (Armed Forces representative)
   - Convener of the Communities and Neighbourhoods Committee (Neighbourhood Partnership representative)
   - Convener of the Police and Fire Scrutiny Committee *
   - Chair of Lothian NHS Board *
   - Principal of Edinburgh College (Further Education representative)

   Representatives

   - Edinburgh Chamber of Commerce
   - Scottish Enterprise *
   - EACC (Community of Place representative) ^
   - HE representative ^
   - Third Sector Interface representative ^

   Appointees

   - Equality and Rights Member

     key
     ^   denotes elected representatives
     *   denotes statutory partners

1.2 The membership of the Board shall reflect the concept of **equal partnership** and will comprise elected representatives from the major public agencies, and lead representatives of business, community, education and voluntary sectors.

1.3 Each Board **member is an equal partner**.

1.4 From time to time, and dependent upon agenda items, other organisations and individuals may be invited to address the Board on specific matters under discussion by the Board. They shall have no voting rights.

1.5 New members to existing Board positions should be notified in writing to the Chair.

1.6 New requests to join the Board, as an **additional member**, should be made in writing to the Chair and will be considered at a Board meeting. Applicants should demonstrate that they:
- represent the strategic views of their stakeholder group / Board / community representation forum
- support the mission and vision of the EP and
- contribute to the delivery of the Community Plan.

1.7 The Board may agree to establish a new Board position or recommend that the applicant join an appropriate Strategic or Cross Cutting Partnership or Neighbourhood Partnership.

1.8 Any member may step down from the Board at any time by giving in writing to the Chair. Recruitment of fixed tenure positions should be commenced to allow for handover where possible.

1.9 The Board will monitor members' attendance.

2   Vision

The Edinburgh Partnership's vision, as agreed in 2012, is that:

> *"Edinburgh is a thriving, successful and sustainable capital city in which all forms of deprivation and inequality are reduced."*

3   Mission Statement

"The Edinburgh Partnership Board will provide the strategic direction, prioritisation and accountability for community planning in Edinburgh."

4   Remit of the EP Board

4.1 The Board is accountable to the National Community Planning Group for the delivery of the Edinburgh Partnership Community Plan (Single Outcome Agreement) through partnership working. The remit of the Board is to:

- set the tone and culture of the partnership
- set community plan priorities against resource forecasts
- determine and prioritise the work of the EP family (see Appendix 1) in relation to community planning matters
- consider and call for reports, monitoring, evaluation and updates from the EP family and other relevant parties
- support the work of the EP by communicating with partner organisations and the EP family to ensure cooperation and collaboration
- develop further ideas for partnership working
- approve on behalf of the Partnership the EP's Community Plan and Community Plan Annual Reports before sending to the Scottish Government for final agreement and
- guarantee commitment from partner organisations represented on the Board to the aims and objectives of the Edinburgh Partnership and to the effective functioning of the Board

4.2 To fulfil this remit the Board will work collectively to:

- determine the strategic direction of the EP family, and maintain the focus of the family on priority policy issues
- take joint action to meet jointly agreed aims and objectives
- have specific responsibility for all joint commitments for major service and infrastructure projects
- maintain a strategic oversight of the funding streams attributed to community planning in Edinburgh
- delegate management of said funds, where appropriate, to a nominated partner/partnership
- ask partnerships to undertake work on behalf of the EP, or establish working groups for specific tasks.
- monitor city level progress on EP plans and agreements
- meet jointly agreed aims and objectives
- respond to items of consultation as the Community Planning Partnership for Edinburgh. Such items will be signed by the Chair of the Edinburgh Partnership and
- undertake tasks as directed by the National Community Planning Group

5   Role of Partners on the EP Board

5.1 Board members should attend and **represent the strategic views** of their stakeholder group / Board / community representative forum, at the Board and other EP meetings.

5.2 All Board members are required to provide **feedback** to their relevant stakeholder group / Board / community representative forum, etc on Partnership business. Thus enabling and facilitating dialogue.

September 2014

5.3 To uphold and promote the aims and objectives of the Edinburgh Partnership and to act in the interests of the public at all times.

5.4 To champion more effective partnership working, where required.

5.5 To be 'critical friends' for each other and constructively challenge each other's' thinking.

5.6 To consider the effect and/or impact of their decisions on the city and other partners/citizens.

6   In attendance at the Board

6.1 The Board is **advised** in a supporting role by the:

- Chair of the Compact Partnership
- Chief Executive of NHS Lothian
- Chief Executive of the City of Edinburgh Council
- Director Health and Social Care
- Edinburgh Police Scotland Commander
- Scottish Government Location Director
- Senior Officer Edinburgh Fire and Rescue Service

6.2 Practical support is provided to the Board by the:

- Lead Officer Edinburgh Partnership
- Lead Officer Neighbourhood Partnerships

6.3 Board meetings may be attended by:

- Agenda Item Owners and Advisers who have no representational rights
- Members of the public may attend as observers. Advance notice of attendance is required.

7   Business Arrangements for Board Meetings

7.1 The Board will work towards **consensus** (all members of the Board contribute to a shared proposal and shape it into a decision that meets all the concerns of the Board members as much as possible[1]) in its decision making but members shall agree to respect the right of individual members to disagree. In general, business will be conducted to ensure clarity and responsibility for completion

7.2 Where consensus cannot be reached on an agenda item, members may ask the item owner for further information or clarification. This may be provided at the meeting, or in a report back to the next Board meeting. If a consensus can

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Definition http://www.scotland.gov.uk/Topics/Government/PublicServiceReform/CP
[1]

still not be reached, a vote of members in attendance will be taken. If there is a split result the Chair will have the casting vote.

7.3 Quorum

Meetings of the Board will take place where a minimum of 2/3rds of the members are present including;

- at least one community representative and
- two partner bodies, plus
- the Chair or Vice Chair

As at June 2014 there are 13 members; therefore the current quorum is **9**.

7.4 Meeting Arrangements

7.4.1 A programme of Board meetings will be agreed in the spring of the preceding year. Board meetings will normally be held every three months

7.4.2 To allow for proper consideration and scrutiny of agenda items meetings will be scheduled for three hours duration (1400 -1700)

7.4.3 Additional meetings will be arranged as necessary

7.4.4 Board meetings will be fully accessible

7.4.5 Meetings will adopt a "round table" layout and style of engagement

7.5 Chairing

7.5.1 The current Leader of the Council chairs the Edinburgh Partnership, recognising the duty for local authorities to initiate, facilitate and maintain Community Planning.

7.5.2 The Chair presides over the Edinburgh Partnership and the Edinburgh Partnership Board. The role of the Chair will be to ensure the efficient conduct of each EP and EPB meeting and Edinburgh Partnership in Conference.

7.5.3 A Vice Chair may be drawn from any partner body, other than the Council and will serve for a term of 24 months but shall then be eligible for re-election.

7.6 Declarations of Interest

Board members will declare an interest in items of business where appropriate and take no further part in deliberation of the item. Declarations will be noted in the minutes of meetings.

7.7 Papers and Minutes

The arrangements for meeting papers are as follows:

- Board papers will usually be made available one week prior to the meeting date and will be posted on the EP's webpage
- a record of each meeting will be made and a draft minute distributed to Board members, usually within three weeks of the meeting
- a list of action points arising from each Board meeting will be circulated to Board members within 10 working days of the meeting. Contributors will be advised of decisions made on their items and
- once minutes are agreed at the subsequent Board meeting, they will be placed on the Edinburgh Partnership's webpage.

7.8 Agenda setting

7.8.1 The EP **Lead Officer Group** will assist with agenda planning.

7.8.2 A **draft agenda** will be forwarded to the Board (after agreement from the Chair) 6 weeks in advance of the next scheduled meeting.

7.8.3 To ensure appropriate consideration and weight is given to business items, the Board has introduced a system of categorising agenda items as being either:

- Consent items – ie items that do not require Board discussion, eg minutes, items to note, those asking for straightforward agreement and those for information only: or
- Decision items – ie items that require the Board to discuss its response to the item, or decide upon a course of action.

7.8.4 Report authors should suggest which category they consider their items to be and agree a final categorisation with the Community Planning Team.

7.8.5 Papers for the Board should be submitted at least **7 days before the papers are due to be issued** (ie 14 days before the meeting).

7.8.6 The **final agenda** and supporting papers will be sent to members 1 week in advance of the meeting, to allow for full/proper consideration.

7.8.7 Consent items will be taken first on the Board agenda. If a Board member requests to discuss such an item the Chair will consider moving it to the relevant part of the main agenda.

7.8.8 Exceptionally papers not available by the 1 week deadline will be forwarded no later than 3 days prior to the meeting date.

7.8.9 Only papers '**for information**' will be tabled at the meeting itself.

7.8.10 At the discretion of the Chair, papers may be issued outside the normal timescale, but Board members may decide not to consider them if they feel they have had insufficient time to do so.

7.8.11 **Additional business items** of immediate concern may arise, for example, the need to respond to a consultation generated by the Scottish Government. Where possible the Partnership will allow consideration of such items by general agreement, following advance notification.

7.8.12 If such a business item requires attention before the next scheduled meeting, the item together with a briefing note will be emailed around Board members asking for a response. Such 'remote' responses will have the same effect as they would have done had they been made at a Partnership Board meeting.

7.8.13 It may be felt necessary to convene a **special Board meeting**, which will take account of any comments received from Board members unable to attend. The **quorum** and other **business matters** will apply.

7.8.14 **Themed Lunch Presentations and EP Board Meetings** - In the main **presentations** will be held over lunch prior to Board meetings in a 50 minute slot. The Edinburgh Partnership Board, Strategic Partnership Cross Cutting Partnership and Neighbourhood Partnership Chairs and lead officers will be invited to attend.

7.8.15 Otherwise, as ordinary Board agenda items presentations should last for no longer than 10 minutes and allow for 10 minutes of questions afterwards. PowerPoint presentations should be supplied electronically to the CP Team the day prior to meetings.

7.9 EP Annual Meeting

The Board will hold an annual meeting of the Edinburgh Partnership family usually in the third financial quarter of each year. It will consider progress against the Community Plan outcomes and evidence for future partnership priorities. Members must be given at least twenty one days notice of the annual meeting.

8   Guiding Principles

8.1 Legislative dimension - Community planning was given a statutory basis by the **Local Government in Scotland Act 2003** which established community planning as the key means of leading and coordinating partnership working and initiatives at the regional, local and neighbourhood level.

8.2 All groups of the Edinburgh Partnership and in particular the Board will:

♦ comply with the Seven Principles of Public Life and the Good Governance Standard for Public Services

- and engage appropriately in all matters and consider the impact of their operation on:
  - sustainability issues
  - equalities issues
  - promoting prevention

8.3 A successful partnership depends upon the sharing of information and the EP will operate on that basis. Generally EP Board proceedings and paperwork (once ratified) **are open to the public**.

8.4 The Partnership will maintain a **Register of Interests** for its Board members, which will be updated annually. **Declarations of Interest** will be noted in the minutes of meetings (see Appendix 5).

8.5 The Edinburgh Partnership is subject to the requirements of the **Freedom of Information** (Scotland) Act 2002 ('FOIA'). Access to information will only be restricted in cases of commercial confidentiality or where exceptional circumstances apply. Where discussions, documents and other information should be treated in a confidential manner it is necessary for Partners to observe the requirements for **confidentiality**. The Edinburgh Partnership Community Planning Team will co-ordinate Partnership responses.
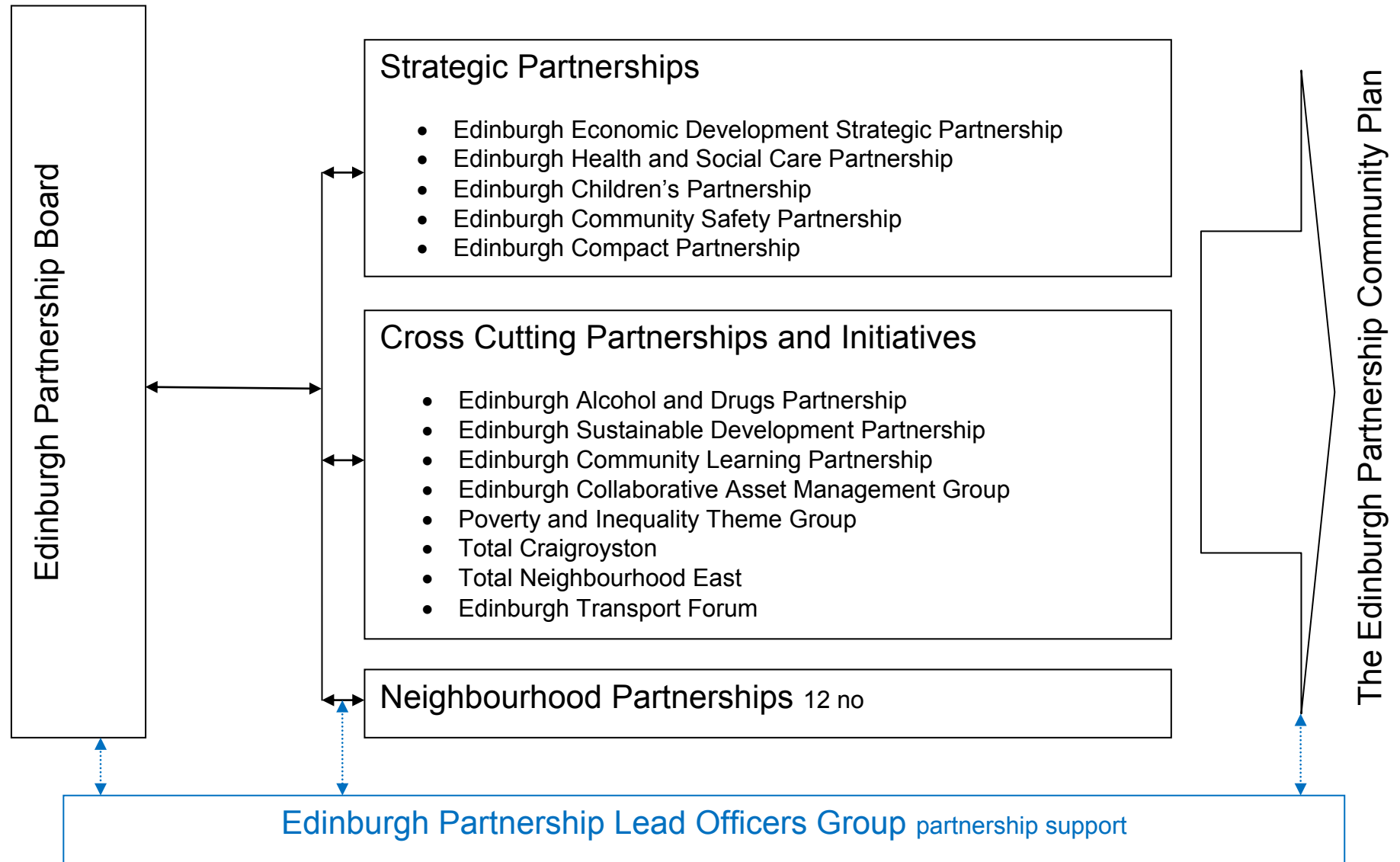
8.6 Members will recognise the importance of and take an active role in **effective consultation** and **dissemination of information** and the need to consult as widely as possible with all relevant public sector bodies and wider participants in the Edinburgh Partnership.

Agreed by EP Board on   11 September 2014   ....

Signed by EP Chair   ....

Appendices

    1   The Edinburgh Partnership Family
    2   The Seven Principles of Public Life
    3   The Good Governance Standard for Public Services
    4   Outline Edinburgh Partnership Board Agenda
    5   Declaration of Interest

Edinburgh Partnership Board

Strategic Partnerships

- Edinburgh Economic Development Strategic Partnership
- Edinburgh Health and Social Care Partnership
- Edinburgh Children's Partnership
- Edinburgh Community Safety Partnership
- Edinburgh Compact Partnership

Cross Cutting Partnerships and Initiatives

- Edinburgh Alcohol and Drugs Partnership
- Edinburgh Sustainable Development Partnership
- Edinburgh Community Learning Partnership
- Edinburgh Collaborative Asset Management Group
- Poverty and Inequality Theme Group
- Total Craigroyston
- Total Neighbourhood East
- Edinburgh Transport Forum

Neighbourhood Partnerships 12 no

The Edinburgh Partnership Community Plan

Edinburgh Partnership Lead Officers Group partnership support

The Seven Principles of Public Life

Selflessness

Holders of public office should act solely in terms of the public interest. They should not do so in order to gain financial or other benefits for themselves, their family or their friends.

Integrity

Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might seek to influence them in the performance of their official duties.

Objectivity

In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

Accountability

Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

Openness

Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

Honesty

Holders of public office have a duty to declare any private interests relating to their public duties and to take steps to resolve any conflicts arising in a way that protects the public interest.

Leadership

Holders of public office should promote and support these principles by leadership and example.

Committee on Standards in Public Life

September 2014

The Good Governance Standard for Public Services

The Good Governance Standard for Public Services is intended for use by all organisations and partnerships that work for the public, using public money. It sets out six core principles of good governance for public service organisations.

1   Good governance means focusing on the organisation's purpose and on outcomes for citizens and service users

    1.1 Being clear about the organisation's purpose and its intended outcomes for citizens and service users

    1.2 Making sure that users receive a high quality service

    1.3 Making sure that taxpayers receive value for money

2   Good governance means performing effectively in clearly defined functions and roles

    2.1 Being clear about the functions of the governing body

    2.2 Being clear about the responsibilities of non-executives and the executive, and making sure that those responsibilities are carried out

    2.3 Being clear about relationships between governors and the public

3   Good governance means promoting values for the whole organisation and demonstrating the values of good governance through behaviour

    3.1 Putting organisational values into practice

    3.2 Individual governors behaving in ways that uphold and exemplify effective governance

4   Good governance means taking informed, transparent decisions and managing risk

    4.1 Being rigorous and transparent about how decisions are taken

    4.2 Having and using good quality information, advice and support

    4.3 Making sure that an effective risk management system is in operation

5   Good governance means developing the capacity and capability of the governing body to be effective

    5.1 Making sure that appointed and elected governors have the skills,

knowledge and experience they need to perform well

5.2 Developing the capability of people with governance responsibilities and evaluating their performance, as individuals and as a group

5.3 Striking a balance, in the membership of the governing body, between continuity and renewal

6 Good governance means engaging stakeholders and making accountability real

6.1 Understanding formal and informal accountability relationships

6.2 Taking an active and planned approach to dialogue with and accountability to the public

6.3 Taking an active and planned approach to responsibility to staff

6.4 Engaging effectively with institutional stakeholders

The Independent Commission on Good Governance in Public Services

EDINBURGH PARTNERSHIP BOARD

THE EDINBURGH PARTNERSHIP

Meeting: Date
Time: 14.00 – 17.00
Venue: Details

AGENDA

Apologies and Introductions

Item		**Owner**
1	**Minutes** of XX for approval	Chair
1.1	Matters Arising:	

2   EP Strategic Outcomes

2.1   Edinburgh's economy delivers increased investment, jobs, and opportunities for all

2.2   Edinburgh's citizens experience improved health and wellbeing, with reduced inequalities in health

2.3   Edinburgh's children and young people enjoy their childhood and fulfil their potential.

2.4   Edinburgh's communities are safer and have improved physical and social fabric

3   Cross Cutting Partnerships and Initiatives

4   Neighbourhood Partnerships

5   Joint Planning and Resourcing

6   EP Improvement Plan

7   National Updates

8   Any Other Business

9   Date of Next Meeting – Thursday

September 2014

THE EDINBURGH PARTNERSHIP

DECLARATION OF INTEREST

1. Your interests

1.1 Interests which should be declared may be <u>financial</u> or <u>non financial</u>. They may or may not be interests covered under the categories of a Register of Interests.

1.2 Interests which are registered should be declared.

1.3 Where a <u>private or personal</u> interest might be seen by a member of the public to be in a different light to that of an ordinary member of the public because of your standing in the Edinburgh Partnership the interest should be declared.

2. Interests of other persons

2.1 Where financial interests and non financial interests are known to you of your spouse or your cohabiter, you will need to consider if these should be declared, where a member of the public might reasonably regard the interests as effectively your interests.

2.2 The interests, both financial and non financial, known to you of relatives and close friends may have to be declared under the principle of transparency, where the interest might objectively be regarded by a member of the public acting reasonably, to be affecting your responsibilities in the EP.

3. Making a Declaration

3.1 Your declaration of interest must be made as soon as practicable, when a particular item is being discussed you must declare the interest as soon as you realise it is necessary.

3.2 an oral declaration should identify the item or items of business to which it relates and give sufficient information to enable those at the meeting to understand the nature of your interest. You do not need to give a detailed description.

4. Effect of Declaration

4.1 Declaring a financial or non financial interest will have the effect of prohibiting participation in discussion or voting on the item. You may be asked by the Chair to leave the room until the business item is concluded.

4.2 A conclusive test of whether you should declare an interest is whether knowing all the relevant facts, a member of the public would reasonably regard your interest as so significant that it is likely to prejudice your discussion or decision making in your role in the Edinburgh Partnership.

4.3 If in doubt you should take no part in the discussion of the business item, and leave the room until the item is concluded.

The Edinburgh Partnership
Risk Management Initiative

February 2016

pwc

Contents

1. Introduction

We were invited to work with the Board of the Edinburgh Partnership (EP) to identify and assess the key risks it faces through individual stakeholder meetings and a facilitated workshop session with the Board. The scope of work was agreed through our engagement letter dated 28 August 2015 and this report presents the findings of the workshop for consideration. The workshop utilised ThinkTank a web enabled tool, within which the Board successfully captured key strategic risks currently facing the business. Mitigating control activities were then articulated for all risks identified with residual scoring completed for the top 10 inherent risks, the results of which are provided in this report.

1.1 Objectives

The ultimate goals of the risk identification exercise are:

* The identification and rating of key risks that have the highest potential to impact achievability of the Edinburgh Partnership Community Plan 2015-18;

* A valuable tool and reference source for the Board to manage risks; and

* To formalise an initial risk profile, which will form the basis of an ongoing assessment of key risks for the Edinburgh Partnership.

Participants to the workshop comprised members of the Edinburgh Partnership Board, plus Richard Bailes, Paul Brewer and Robert Barr from PwC.

The business categories or risk categories, used as focus areas during the risk assessment workshop were determined by management prior to commencement of the workshop and confirmed as appropriate by the attendees to the workshop.

1.2 Use of this report

In line with our engagement letter this report has been prepared solely for the Board of the Edinburgh Partnership and should not be quoted in whole or in part without our prior written consent. No responsibility to any third party is accepted as the report has not been prepared for, and is not intended for, any other purpose.

2. *Executive Summary*

The population of risks identified by category are as follows:

	Risk Population (pre workshop)	Risk Population (workshop)	Top 10 Inherent Risks	Top 10 Residual Risks
Strategic Risks	5	3	2	2
Board Structure	6	5	1	2
Legal & Regulatory	1	1	1	1
Operations – General	12	10	5	4
Operations – Formal Meetings	7	4	1	1
TOTAL	**31**	**23**	**10**	**10**

Key themes noted are:

o There was ***good engagement*** throughout the process to identify and assess the risks facing the Edinburgh Partnership and there was unanimous feedback that the debate/dialogue through the ***individual stakeholder meetings and workshop was helpful*** to develop the overall risk profile of the Partnership;

o The Board recognises the benefits and overall discipline that a robust risk management brings. ***Continued momentum is important*** and the Board should ensure that ***risk management is built into the Board's annual agenda*** to ensure the work of the Board is aligned to risk. The adoption of risk-based management information in line with the Board's overall dashboard may help to provide focus on performance against the Community Plan. There was also an appetite to have ***more focus on less issues*** at the quarterly board meetings;

o ***Individual ownership was assigned to each risk***, enhancing the specific level of accountability to priority areas;

o A ***risk 'lens' may be helpful*** to re-engage the Community Plan with respect to areas where the Partnership may assume ***'primary' responsibility versus delegation to the family members***;

o The ***most prioritised risks are strategic and operational in nature*** with the top inherent risk relating to the ***lack of clear authority and accountability*** of the Edinburgh Partnership Board, meaning it is difficult to deliver change on wicked issues impacting the services provided by partners that would benefit from a collaborative approach; and

o The full risk register is included in appendix 1 and details the ***further actions and resources identified to support the risk owners*** to manage the current mitigating controls and to drive the future actions to help further mitigate the risk.

Further details on our key findings with proposed actions for the Board to consider are noted in section 3 of this report.

3. Findings

3.1 Risk Framework – conceptual overview

Structure – Board or Senior Steering Committee

The Edinburgh Partnership Board is the governing body for community planning in Edinburgh. It is accountable to the National Community Planning Group for the delivery of the Edinburgh Partnership Community Plan (Single Outcome Agreement) through partnership working. More specifically, the remit of the Board is to:

- set the tone and culture of the partnership;
- set community plan priorities against resource forecasts;
- determine and prioritise the work of the EP family in relation to community planning matters;
- consider and call for reports, monitoring, evaluation and updates from the EP family and other relevant parties;
- support the work of the EP by communicating with partner organisations and the EP family to ensure cooperation and collaboration;
- develop further ideas for partnership working;
- approve on behalf of the Partnership the EP's Community Plan and Community Plan Annual Reports before sending to the Scottish Government for final agreement; and
- guarantee commitment from partner organisations represented on the Board to the aims and objectives of the Edinburgh Partnership and to the effective functioning of the Board.

Action 1: The question of whether the EP Board is a formal Board or senior Steering Group was raised consistently through the individual meetings and in group sessions. In light of this and the key risks identified, the Board should consider reassessing its' remit to ensure the productivity and effectiveness of the Board in the future.

Risk scoring

The risk register (see appendix 1) includes key mitigating controls currently in place and future actions to enhance or add to the controls in place to address the risk. 11 of the 23 risks have future actions to mitigate the risks but no current controls in place to address the risk now. 4 of the risks with no current mitigating controls are in the top 10 inherent list so there is an exposure that the Board should prioritise. The movement from the inherent to residual score for these risks suggests there are mitigating controls that may exist.

What is a Board?

A board is typically a group of people constituted with the owner to make specific decisions on the future direction of an organisation. The Board is the strategic decision making body for the Edinburgh Partnership but as the Board has limited resources and is a represented by a family of member organisations there are limitations over the Board's ability to directly make decisions that impact member organisations.

What is a Steering Committee/Group?

A steering committee decides on the priorities of an organisation and manages the general course of its operations. Normally, the members of a steering committee are individuals in positions with the ability and authority to make strategic decisions. However, it must also be recognised that regardless of the make-up of the Steering Committee it is not intended to be a voting democracy. In reality a steering committee often exists as a group of individuals who should share a common purpose but whose opinions and agendas may not always be aligned.

Action 2: The Board should assess the mitigating controls and future actions listed in the risk register to ensure accuracy. Where there are no current controls in place, consideration should be given to the risks scores particularly where the residual score is significantly lower than the inherent risk score.

A swing risk is one whereby the mitigating activities significantly reduce the inherent level of risk. Formal identification of inherent and residual risk is commonly used to determine the significance and value of the controls in place, allowing assessment of whether further investment in control is advisable. By identifying, say, the top five swing risks across the whole risk population, the Board can create a prioritised focus on where the greatest control investment is and assess more prescriptively how to gain sufficient assurance. A static risk on the other hand displays little movement from inherent to residual score and indicates where action may be required to further reduce the risk or where the controls as articulated are not creating valuable return (note the residual position may also indicate where management have accepted or agreed to 'tolerate' the risk).

Action 3: The Board should ensure that risk is built into its annual agenda of the Edinburgh Partnership Board meetings so that the full risk population remains current and scoring (inherent and residual) is completed by all Board members for all risks. All risks should be allocated owners.

Action 4: Consider the concept of risk profile as a simple method of assessing the 'direction' of the risk (increasing, decreasing or steady state and an associated traffic light system are helpful data points for the reader).

3.2 Risk Register - key observations

The top inherent risk concerns the lack of clear authority and accountability of the Edinburgh Partnership Board meaning it is difficult to deliver change on wicked issues impacting the services provided by partners that would benefit from a collaborative approach. Further, there are a number of risks relating to the structure and operations of the EP Board (for example inherent risks 1, 2, 3, 6 and 8 per page 13) which all arise from the uncertainty over the role and authority of the Partnership Board. There are individual controls and actions noted in the risk register which address multiple risks and therefore by completing individual key actions many of the risks can be mitigated.

There are two risks with a probability of occurrence between 4 and 5 at inherent level. Mitigation of these risks relies heavily on personal responsibility by Board members – the need to 'do the right thing'. When linked in with the 11th ranked risk around succession planning this puts added focus on the need to develop formal continuity arrangements in advance of the 2017 electoral cycle.

It appears that there is an appetite to have more focus on less issues within the quarterly board sessions. This was acknowledged by all in individual discussions and the group workshop. Related to this point there was a constructive debate around the opportunity to review the Community Plan 2015-18 and determine selective/wicked issues towards which the EP could create a directly positive impact (e.g. demographic change assumptions for long term planning by all family members).

The issue of strategic focus (inherent risk 4 on page 13) becomes more compelling in light of an inevitable reduction in resources by family members due to budgetary pressures.

Action 5: Consider the forward agenda for the Edinburgh Partnership Board to ensure there is appropriate focus on the priority issues.

Action 6: Re-engage the Community Plan and determine where primary focus might lie (versus delegation to the family members and monitoring oversight)

Action 7: Implement future mitigation activities to 'tighten' the collective benefit of the EP, an example being the proposal to ask family members to sign off an annual certification acknowledging the Community Plan 2015-18 and congruence with its specific objectives.

Action 8: Consider the information 'community' in the form of, for example, a newsletter to keep the Board members informed and engaged.

3.3 Maintaining Risk Management

Having invested in the effort to generate the initial risk register for the Board, you may wish to consider how the risk management process might be developed further and used as a tool for management decisions. We would gladly help you explore the options. In the meantime please consider the following:

Risk management is the responsibility of the Board collectively so it will be important that the Board ensures there are sufficient resources to manage and drive the framework for risk and governance. The primary objective is to embed risk logic in the discussions and decisions of the Board and to prioritise actions in response to current and potential future exposures (mitigation and assurance).

Action 9: The Board should consider the merits of establishing an annual plan and structure to discuss and monitor risk through the year by developing appropriate risk management information to present at the quarterly Board meetings.

Action 10: Consider allocating the responsibility of risk to an individual. Based on our experience, the benefit of a dedicated person chairing the risk forum lies in that individual's ability to provide objective challenge to the Board and the Partnerships family members. In addition, the Board might consider utilising external assistance on a short to midterm basis, in order to take advantage of tools, frameworks and industry good practice.

3.4 Enhancing overall resilience

Developing an assurance map would provide a clear blueprint of how assurance resources are being deployed across the Partnership Family. Please refer to Appendix 3 for the Lines of Defence Model which summarises how governance, risk and control can be presented for an organisation.

Action 11: The Board should also consider key process risks ('What Could Go Wrong' analysis) and critical control identification to improve the consistency of design and operating effectiveness of controls of the Partnership.

Mitigating Controls

Whilst management's understanding of the design and intention of existing control activities was generally high, it is important that the articulation of risks and controls in the register are relevant and appropriate.

Action 12: It is recommended that the Board assess each control activity within the priority risks where the evidence is inadequate and look to establish a more robust and formal audit trail.

Refresher training in relation to risk and controls is often a successful way of refreshing the Boards understanding of risk and control. Are the Board members consistent in their understanding of what the key risks and controls facing the EP are?

Management Information

Quality of management information is important so that risk data is collected, reported, monitored and escalated appropriately. Dashboard reporting may help with this however there should be consideration of the reliability of underlying data.

Action 13: The Board should consider options to integrate risk management information into the performance monitoring report presented in December to allow the Board to perform its role effectively.

4. Scope and approach

We were engaged to assist The Edinburgh Partnership Board in:

- Raising the understanding and awareness of risk and its management in support of embedding risk thinking in day to day activities;
- Identifying and prioritising the key risks facing the Edinburgh Partnership Board;
- Establishing a risk register and risk action plan.

Approach

The following process was followed ahead of and during the workshop and is summarised in the diagram shown here:
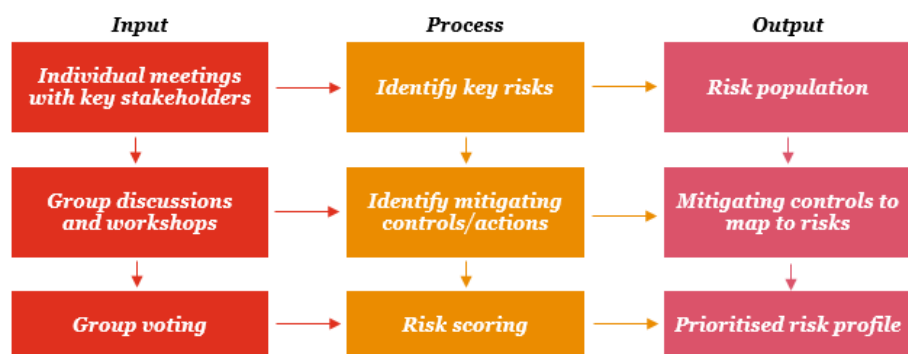
In advance of the workshop all participants had a planning discussion with Richard Bailes and/or Robert Barr explaining the objectives of the workshop session and to identify key risks. The participants were asked to carefully consider their input to the workshop ahead of 6 November 2015.

Top down risks

The individual stakeholder interviews generated 191 separate risks which were analysed and consolidated into 31 key risks of the EP Board. During the workshop the group was asked to review the 31 risks to consider further consolidation and wording of the final key risks facing the Board that may impact the Edinburgh Partnership in achieving its strategic outcomes and priorities (as included in the Community Plan). This resulted in 23 key risks for the EP Board to consider.

The 4 strategic outcomes underpinned by 12 strategic priorities that are articulated throughout the Community Plan are:

Strategic Outcomes	Strategic Priorities

Strategic Outcomes	Strategic Priorities
Edinburgh's economy delivers increased investment, jobs, and opportunities for all	• Reducing unemployment and tackling low pay
Edinburgh's citizens experience improved health and wellbeing with reduced inequalities in health	• Shifting the balance of care • Reducing alcohol and drug misuse • Reducing health inequalities
Edinburgh's children and young people enjoy their childhood and fulfil their potential	• Improving early support • Improving outcomes for children in need • Improving positive destinations
Edinburgh's communities are safer and have improved physical and social fabric	• Reducing antisocial behaviour, violence, harm • Reducing re-offending • Improving community cohesion, participation and infrastructure • Increasing availability of affordable housing • Reducing greenhouse gas emissions

Risk categories

Risk was defined as: 'possibility of any event, either internally or externally generated (where the impact may be internal or external), which may critically impact on the achievement of the strategic outcomes of the EP Board'. Risks were considered in the following categories:

Strategic Risks	(e.g. Strategic outlook, partner alignment, succession planning)
Board Structure	(e.g. Roles and responsibilities, representation)
Legal & Regulatory	(e.g. Compliance, Community Empowerment Act)
Operations – General	(e.g. Resources, Community Plans, processes, decision making)
Operations – Formal Meetings	(e.g. management information, KPI's, agenda, papers)

During this process attendees were asked to focus primarily on risks that impact on the achievement of the strategic outcomes and attendees were specifically asked to ignore controls in place to mitigate the risks.

The group then reviewed and discussed the identified risks in order to merge and clarify risks. This process ensured that attendees were in a position to vote on identified risks and that risks were clearly and concisely presented.

Rating of risks

In order to rank the identified risks, the group was asked to vote on each risk with respect to:

- probability (the probability of the occurrence of the risk event); and
- impact (the potential effect on the partnership of the risk event).

The following scoring guidance was provided in order to allow consistency of discussion. Participants were encouraged to avoid an evenly prescriptive approach to assessment as many strategic risks are vastly subjective.

Description	Statistical likelihood	Narrative likelihood	Likelihood Score					
Likely within 1 year	>80%	Almost certain	5					
Likely in a 3 year period	60-80%	Likely	4					
Likely in a 5 year period	35-60%	Possible	3					
Likely in a 10 year period	15-35%	Unlikely	2					
Not likely in 10 years	<15%	Rare	1					

Key:

Critical	
High	
Moderate	
Minor	

	1	2	3	4	5	
	Negligible	Minor	Moderate	Major	Catastrophic	Impact narrative
	Minimal effect	Minor short term effect	Part failure to achieve outcomes	Significant failure to achieve obligations	Unable to fulfil obligations	Effect on Outcomes
	None	Minor	Moderate loss of confidence and embarrassment	Major loss of confidence and adverse publicity	Severe loss of confidence and public outcry	Reputational Damage

Participants and quality of findings

The results of this process represent the participants' interpretation and perception of the nature and quantum of the risks impacting the organisation. The wording of risks was agreed to by the workshop participants. The quality of the results therefore depends on the knowledge, experience and quality of input of the participants.

The following people from the Edinburgh Partnership and PwC respectively participated in the workshop and risk identification process:

Edinburgh Partnership	PwC
Andrew Burns (*Leader of The City of Edinburgh Council*)	Richard Bailes (*Director*)
Brian Houston (*Chair of Lothian NHS Board*)	Paul Brewer (*Partner*)
Cameron Rose (*Leader of the Opposition The City of Edinburgh Council*)	Robert Barr (*Manager*)
Charlie Jeffery (*Higher Education Sector Representative*)	
Craig Wilson (*Further Education Sector Representative*)	
Danny Logue (*Skills Development Scotland*)	
David Birrell (*Business Sector Representative - Chamber of Commerce*)	
David Griffiths (*Board Member for Equality and Rights*)	
Douglas Mackay (*Armed Forces representative - Commander Edinburgh Garrison*)	
Ella Simpson (*Voluntary Sector Interface Representative - Edinburgh Voluntary Organisations' Council*)	
Gary Todd (*Strategic Community Planning*)	
Lesley Fraser (*Scottish Government Location Director*)	
Maureen Child (*Neighbourhood Partnerships*)	
Patricia Eason (*Community of Place Representative - Edinburgh Association of Community Councils*)	
Rhona Allison (*Scottish Enterprise*)	

5. Risks identified during the workshop

The nature of the risks and resultant management action can also be depicted as follows:
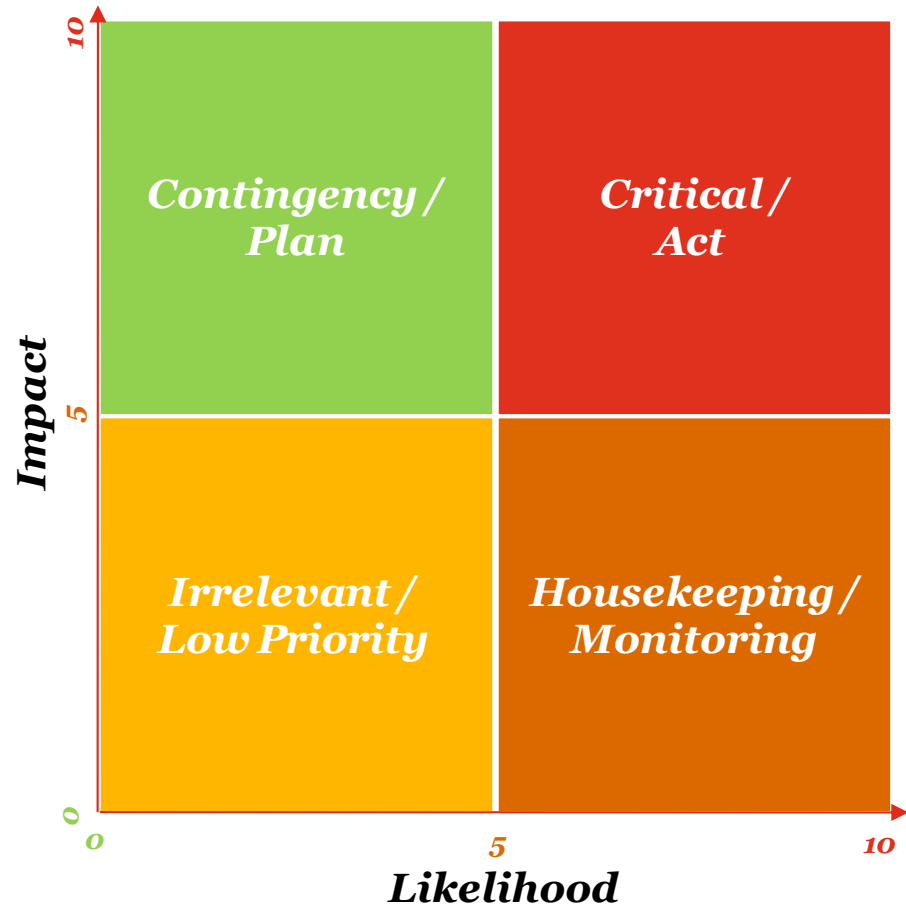
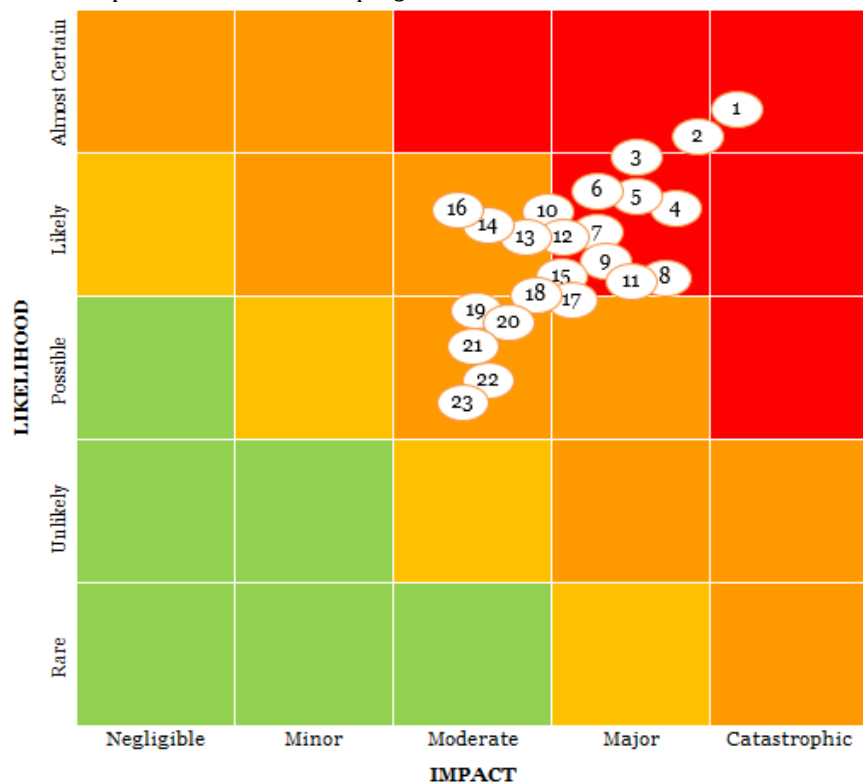## 5.1 Top 10 inherent risks

Below are the top 10 inherent risks as identified and voted on during the workshop:

	Category	Risk	Inherent Impact	Inherent Probability	Score
1	Operations – General	There is a risk that the EP Board **does not have clear authority and accountability** meaning it is difficult to deliver change on wicked issues (e.g. alcohol) which impacts the services provided by partners that would benefit from a collaborative approach.	4.09	4.36	17.85
2	Operations – General	There is a risk of **conflicts between the EP and the respective members' plans** which cannot be resolved as the EP Board does not have the authority to intervene which reduces the ability of the Board to have ownership and oversight over all its' objectives.	3.91	4.09	15.99
3	Operations – General	There is a risk that the **EP Board decisions are secondary to those of the individual partners** meaning the EP Board has limited authority to influence its' collective outcomes.	3.36	3.91	13.15
4	Strategic	There is a risk that the EP Board is **overly focussed on tactical issues** and does not prioritise strategic issues resulting in uninformed decisions over the strategic direction of the EP Board to meet its objectives over the short and longer term	3.73	3.36	12.54
5	Operations – Formal Meetings	There is a risk that the EP Board **outcomes are qualitative mission statements** which are not easily measurable meaning it will be difficult to monitor the specific progress and effectiveness of the EP Board against all of its' objectives and outcomes.	3.36	3.73	12.54
6	Operations – General	There is **lack of clarity around the relationship between the IJB and the EP** in particular the IJB's accountability to the EP Board and also EP's responsibility with respect to allocation of resources over the IJB arrangements;	3.27	3.82	12.50
7	Board Structure	Risk of **not harnessing the power of joint resourcing between all community planning partners** leads to the EP Board not acting in silos undermines the achievement of community planning outcomes	3.18	3.45	10.99
8	Legal and Regulatory	There is a risk that the **EP Board does not collectively and individually fully understand and formalise its legal duties as set out in the Community Empowerment Act**, meaning the Board is not able to fulfil its responsibilities	3.64	3.00	10.91
9	Board Structure	There is a risk that the **EP Board does not use the significant resources available** through its members and associated relationships across all sectors to understand issues and obtain credible management information meaning the full potential of the Board is not leveraged and decisions are not fully informed.	3.28	3.29	10.80
10	Operations – General	There is a risk that the **outcomes and objectives of the EP Community Plan are not sufficiently aligned** to the outcomes of all the respective EP family members' plans meaning there could be conflicts in the discussions and decisions at the EP Board meetings;	2.85	3.72	10.62

5.2 Top 23 inherent risks heat map

The heat map below shows the top 23 inherent risks:

#	Risk
6	There is lack of clarity around the relationship between the IJB and the EP in particular the IJB's accountability to the EP Board and also EP's responsibility with respect to allocation of resources over the IJB arrangements;
7	Risk of not harnessing the power of joint resourcing between all community planning partners leads to the EP Board not acting in silos undermines the achievement of community planning outcomes
8	There is a risk that the EP Board does not collectively and individually fully understand and formalise its legal duties as set out in the Community Empowerment Act, meaning the Board is not able to fulfil its responsibilities
9	There is a risk that the EP Board does not use the significant resources available through its members and associated relationships across all sectors to understand issues and obtain credible management information meaning the full potential of the Board is not leveraged and decisions are not fully informed
10	There is a risk that the outcomes and objectives of the EP Community Plan are not sufficiently aligned to the outcomes of all the respective EP family members' plans meaning there could be conflicts in the discussions and decisions at the EP Board meetings;
11	A lack of succession planning arrangements to deal with changes to the EP Board's membership could result in gaps in the membership leading to discontinuity in the actions and work of the EP Board
12	There is a risk that restructuring or changes in family partners leads to the EP support resources being reduced or removed as part of a much wider service review programmes resulting in a significant gap in the governance of the Board. The Board does not currently have any opportunity to be consulted or involved in this review process and would then be expected to react to any proposed or actual resource change.
13	There is a risk that the EP Board cannot obtain accurate or sufficient management information on a timely basis to allow the EP Board to accurately monitor the progress against the outcomes in the Community Plan.
14	There is a risk that similar issues are addressed in isolation by respective partners resulting in duplication of efforts and potentially conflicting data arising from different organisations across the city
15	There is a perceived risk that the roles and responsibilities of the Board collectively and as individual members is unclear meaning the Board does not operate as effectively as expected
16	There is a risk that the EP Board relies on the EP family members to provide resource to drive the work and absorb new initiatives to help deliver the outcomes of the EP Community Plan
17	The management information used by the EP Board is reliant on the systems and processes embedded in the various family members. There is a risk that the data points are treated inconsistently between family members and an overarching trust that information has enough integrity to allow informed decisions to be made and outcomes to be monitored;
18	There is a risk that the role of the EP Board does not continue to evolve in a dynamic way to ensure it is best placed to meet the outcomes of the EP Community Plan and the requirements set out in the Community Empowerment Act
19	The agenda and time at EP Board sessions is driven by personal rather than collective interest and represents a summary of work completed by respective partners resulting in a fragmented discussion between some members and not a collective discussion on key strategic issues
20	Inappropriate deputation and authority with representation across all sectors on the Board results in the Board not being aware of key issues facing the city, disjointed conversations, disruption to the flow of work and actions limiting the effectiveness of collaboration
21	There is a risk that the EP Board does not have sufficient financial resource contributions to enable it to continue with its business meetings and community planning activities, in its current format and scale. The budget of the EP Board represents legacy funding which may not be renewed.
22	The broad representation and number of Board members, as well as the open forum of a Board meeting may result in constituent members feeling unconfident or unwilling to speak up on specific issues
23	Informal processes / authority levels over expenditure of the Board's reserves leads to significant gaps in the audit trail and unnecessary speculation.

#	Risk
1	There is a risk that the EP Board does not have clear authority and accountability meaning it is difficult to deliver change on wicked issues (e.g. alcohol) which impacts the services provided by partners that would benefit from a collaborative approach
2	There is a risk of conflicts between the EP and the respective members' plans which cannot be resolved as the EP Board does not have the authority to intervene which reduces the ability of the Board to have ownership and oversight over all its' objectives;
3	There is a risk that the EP Board decisions are secondary to those of the individual partners meaning the EP Board has limited authority to influence its' collective outcomes;
4	There is a risk that the EP Board is overly focussed on tactical issues and does not prioritise strategic issues resulting in uninformed decisions over the strategic direction of the EP Board to meet its objectives over the short and longer term
5	There is a risk that the EP Board outcomes are qualitative mission statements which are not easily measurable meaning it will be difficult to monitor the specific progress and effectiveness of the EP Board against all of its' objectives and outcomes.

5.3 Key mitigating controls

The EP Board went on to document their response and action plans to mitigate and manage the top 10 risks. They described the existing mitigating activities and/or specific controls in place for either:

- Avoiding/Reducing the probability of the risk occurring, and/or
- Minimising the impact to the business if an event should occur.

Board members are encouraged to consider whether a mitigating control is:

- manual or automated, preventative or detective, clearly owned, understood re KPIs, and historically effective.

5.4 Top 10 residual risks and mitigating controls

Below are the top 10 residual risks with identified mitigating actions and controls:

| Residual Rank	Inherent Rank	Category	Risk	Risk Owner	Inherent Score	Mitigating Controls (future actions in italics)	Residual Score	Type
1	16	Operations – General	There is a risk that the **EP Board relies on the EP family members to provide resource to drive the work** and absorb new initiatives to help deliver the outcomes of the EP Community Plan	Charlie Jefferies	9.37	• No current mitigating controls identified • *Board needs early discussion with Executive Officers to raise awareness of resourcing the Board itself and understanding of potential impacts on CP partnerships and supporting structures in the City.* • *Partners need to share information on their plans to allow colleagues in other partner organisations to comment on the consequences to them of proposed actions. This may need to happen in a confidential way that leads to changes in EP protocols.* • *Sharing of individual organisations' plans and budget plans in the way envisaged in the National Community Planning Group's agreement of September 2013.*	9.00	External Long Term
2	3	Operations – General	There is a risk that the **EP Board decisions are secondary to those of the individual partners** meaning the EP Board has limited authority to influence its' collective outcomes;	Ella Simpson	13.15	• Utilise Board's communications strategy, key messages to raise awareness of importance of CP, coproduction & partnership working	7.76	Internal Short Term
3	1	Operations – General	There is a risk that the **EP Board does not have clear authority and accountability** meaning it is difficult to deliver change on wicked issues (e.g. alcohol) which impacts the services provided by partners that would benefit from a collaborative approach	Andrew Burns	17.85	• Utilise Board's communications strategy, key messages to raise awareness of importance of Community Planning, coproduction & partnership working. • *Use Scottish Government Guidance to inform a refresh the Board's Terms of Reference governance document to reflect Board's new legal duties.*	7.73	Internal Short Term

Residual Rank	Inherent Rank	Category	Risk	Risk Owner	Inherent Score	Mitigating Controls (future actions in italics)	Residual Score	Type
4	7	Board Structure	Risk of **not harnessing the power of joint resourcing between all community planning partners** leads to the EP Board not acting in silos undermines the achievement of community planning outcomes	David Griffiths	10.99	• Coterminous boundaries of localities will assist but we need to identify how to engage voluntary, private and HE/FE sectors and the Armed Forces in localities as their resources are also important • Staff at all levels in partners to have better understanding of community plan aims & actions, to allow them to alert partners and senior staff when actions may impinge on community plan outcomes. • Reducing the number of areas of work/targets could make the previous bullets easier to achieve • Strong sense of personal responsibility and passion to deliver the outcomes of the Partnership Plan • *Identifying ways that previous bullet can be achieved in multi-organisation partners (e.g. third and private sectors)* • *There is also a need at strategic level to engage more fully with voluntary, private and HE/FE sectors and the Armed Forces whose resources need to be included in community planning* • *National insight*	7.32	Internal Short Term
5	2	Operations – General	There is a risk of **conflicts between the EP and the respective members' plans** which cannot be resolved as the EP Board does not have the authority to intervene which reduces the ability of the Board to have ownership and oversight over all its' objectives.	Brian Houston	15.99	• Formal Edinburgh Partnership Board protocols exist • Formal communication of the protocols to partners • Plan derived with input from family members • Monitoring the environment of family members against the outcomes of the plan • *Sign off of EP Plan within family* • *Ongoing engagement with partners on development of Locality planning model.* • *Establish MoUs with key strategic partnerships e.g. Reducing Reoffending, IJB, Children's, to clarify relationship on CP matters.*	7.17	Internal Short Term
6	11	Strategic	A lack of **succession planning arrangements to deal with changes to the EP Board's membership** could result in gaps in the membership leading to discontinuity in the actions and work of the EP Board	Andrew Burns	10.45	• No current mitigating controls identified • *Clear succession plan, and common understanding thereof, to be developed prior to the May 2017 Local Government electoral cycle*	7.00	Internal Long Term
7	15	Board Structure	There is **a perceived risk that the roles and responsibilities of the Board collectively and as individual members is unclear** meaning the Board does not operate as effectively as expected	Maureen Child	9.55	• Utilise Board's communications strategy, key messages to raise awareness of importance of CP, coproduction & partnership working • *Refresh to Board's Terms of Reference document to reflect new Statutory Duties requirements*	6.86	Internal Short Term

Residual Rank	Inherent Rank	Category	Risk	Risk Owner	Inherent Score	Mitigating Controls *(future actions in italics)*	Residual Score	Type
8	8	Legal and Regulatory	There is a risk that the EP Board **does not collectively and individually fully understand and formalise its legal duties** as set out in the Community Empowerment Act, meaning the Board is not able to fulfil its responsibilities	Maureen Child	10.91	• *Use Scottish Government Guidance to inform a refresh the Board's Terms of Reference governance document to reflect Board's new legal duties.*	6.77	Internal Short Term
9	4	Strategic	There is a risk that the EP Board is **overly focussed on tactical issues** and does not prioritise strategic issues resulting in uninformed decisions over the strategic direction of the EP Board to meet its objectives over the short and longer term	Lesley Fraser	12.54	• Enhanced formality to promote discussion topics • Annual review of strategic risks and opportunity and performance by Board. • *Partner involvement to drive the agenda* • *Ability to have an equitable balance of resource v scale of operation* • *Structure of papers and agenda to focus on key items* • *Align the agenda to the priorities of the plan*	6.61	Internal Short Term
10	5	Operations – Formal Meetings	There is a risk that the EP Board **outcomes are qualitative mission statements** which are not easily measurable meaning it will be difficult to monitor the specific progress and effectiveness of the EP Board against all of its' objectives and outcomes.	Gary Todd	12.54	• Establish single community planning performance framework that integrates city wide, Locality and Neighbourhood community planning performance monitoring and reporting. • Use performance results from 'Highlight' and Annual Performance reporting to identify Strategic Priorities for closer scrutiny. • Use case study model to illustrate impact of 'commitments to action' at city wide, Locality & Neighbourhood levels. • Actively distribute and promote the CP Performance Reports with communities, agency partners and broader CP family. • *Establish clear scrutiny/challenge function across the Board*	6.43	Internal Short Term

5.5 Top 10 residual risks heat map

The heat map below shows the top 10 residual risks:
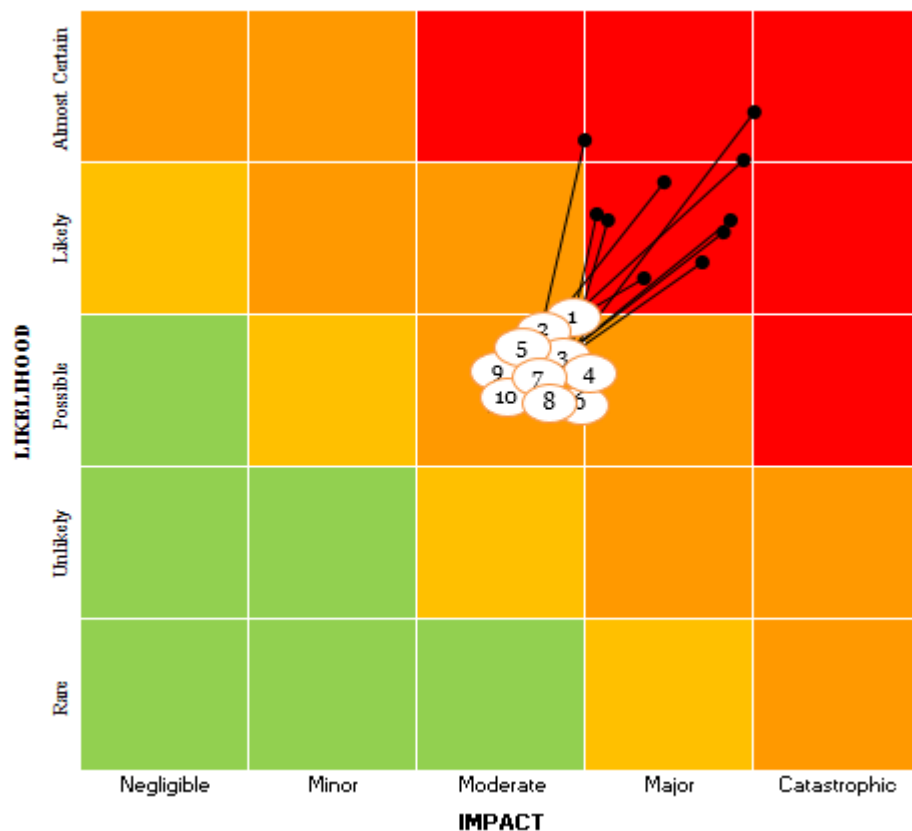
1	There is a risk that the **EP Board relies on the EP family members to provide resource to drive the work** and absorb new initiatives to help deliver the outcomes of the EP Community Plan;
2	There is a risk that the **EP Board decisions are secondary to those of the individual partners** meaning the EP Board has limited authority to influence its' collective outcomes;
3	There is a risk that the **EP Board does not have clear authority and accountability** meaning it is difficult to deliver change on wicked issues (e.g. alcohol) which impacts the services provided by partners that would benefit from a collaborative approach
4	Risk of **not harnessing the power of joint resourcing between all community planning partners** leads to the EP Board not acting in silos undermines the achievement of community planning outcomes
5	There is a risk of **conflicts between the EP and the respective members' plans** which cannot be resolved as the EP Board does not have the authority to intervene which reduces the ability of the Board to have ownership and oversight over all its' objectives.
6	**A lack of succession planning arrangements to deal with changes** to the EP Board's membership could result in gaps in the membership leading to discontinuity in the actions and work of the EP Board
7	There is a perceived risk that **the roles and responsibilities of the Board collectively and as individual members is unclear** meaning the Board does not operate as effectively as expected
8	There is a risk that the EP Board **does not collectively and individually fully understand and formalise its legal duties** as set out in the Community Empowerment Act, meaning the Board is not able to fulfil its responsibilities
9	There is a risk that the EP Board is **overly focussed on tactical issues** and does not prioritise strategic issues resulting in uninformed decisions over the strategic direction of the EP Board to meet its objectives over the short and longer term
10	There is a risk that the EP Board **outcomes are qualitative mission statements** which are not easily measurable meaning it will be difficult to monitor the specific progress and effectiveness of the EP Board against all of its' objectives and outcomes.

5.6 Swing to static risks

The tables below shows the top 5 swing and top 5 static risks from the population of 23 key risks identified. The risks with the largest movement from inherent to residual scores (swing risks) are where the mitigating controls are assumed to be stronger and assurance/comfort could be gained by testing the controls are operating as expected. The risks with smaller movements (static risks) are where controls are less effective and further actions might be appropriate to further mitigate the risk.

Top 5 static risks	Inherent Score	Residual Score	Movement
There is a risk that the **EP Board relies on the EP family members to provide resource to drive the work** and absorb new initiatives to help deliver the outcomes of the EP Community Plan	9.37	9.00	0.37
There is a risk that the **EP Board does not have sufficient financial resource contributions** to enable it to continue with its business meetings and community planning activities, in its current format and scale. The budget of the EP Board represents legacy funding which may not be renewed.	6.69	6.16	0.53
Informal processes / authority levels over expenditure of the Board's reserves leads to significant gaps in the audit trail and unnecessary speculation.	5.79	4.53	1.26
The **agenda and time at EP Board sessions is driven by personal rather than collective interes**t and represents a summary of work completed by respective partners resulting in a fragmented discussion between some members and not a collective discussion on key strategic issues	7.4	5.47	1.93
Inappropriate deputation and authority with representation across all sectors on the Board results in the Board not being aware of key issues facing the city, disjointed conversations, disruption to the flow of work and actions limiting the effectiveness of collaboration	7.14	4.5	2.64
Top 5 static risks	**Inherent Score**	**Residual Score**	**Movement**
There is a risk that **the EP Board does not have clear authority and accountability** meaning it is difficult to deliver change on wicked issues (e.g. alcohol) which impacts the services provided by partners that would benefit from a collaborative approach	17.85	7.37	10.48
There is a risk of **conflicts between the EP and the respective members' plans** which cannot be resolved as the EP Board does not have the authority to intervene which reduces the ability of the Board to have ownership and oversight over all its' objectives;	15.99	7.17	8.82
There is **lack of clarity around the relationship between the IJB** and the EP in particular the IJB's accountability to the EP Board and also EP's responsibility with respect to allocation of resources over the IJB arrangements;	12.5	6.25	6.25
There is a risk that the **EP Board outcomes are qualitative mission statements which are not easily measurable** meaning it will be difficult to monitor the specific progress and effectiveness of the EP Board against all of its' objectives and outcomes.	12.54	6.43	6.11
There is a risk that the **EP Board is overly focussed on tactical issues** and does not prioritise strategic issues resulting in uninformed decisions over the strategic direction of the EP Board to meet its objectives over the short and longer term	12.54	6.61	5.93

Appendix 1: Risk register and action plan

Inherent rank (residual)	Category	Risk	Risk owner	Inherent impact	Inherent probability	Inherent product	Current Mitigating Controls	Residual impact	Residual probability	Residual product	Future actions to be completed	Resource support
1 (2)	Operations – General	There is a risk that **the EP Board does not have clear authority and accountability** meaning it is difficult to deliver change on wicked issues (e.g. alcohol) which impacts the services provided by partners that would benefit from a collaborative approach	Andrew Burns	4.09	4.36	17.85	• Utilise Board's communications strategy, key messages to raise awareness of importance of Community Planning, coproduction & partnership working.	2.71	2.71	7.37	• Use Scottish Government Guidance to inform a refresh the Board's Terms of Reference governance document to reflect Board's new legal duties.	Gary Todd
2 (4)	Operations – General	There is a risk of **conflicts between the EP and the respective members' plans** which cannot be resolved as the EP Board does not have the authority to intervene which reduces the ability of the Board to have ownership and oversight over all its' objectives;	Brian Houston	3.91	4.09	15.99	• Formal Edinburgh Partnership Board protocols exist • Formal communication of the protocols to partners • Plan derived with input from family members • Monitoring the environment of family members against the outcomes of the plan	2.71	2.64	7.17	• Sign off of EP Plan within family • Ongoing engagement with partners on development of Locality planning model. • Establish MoUs with key strategic partnerships e.g. Reducing Reoffending, IJB, Children's, to clarify relationship on CP matters.	Gary Todd - support EPLOG
3 (1)	Operations – General	There is a risk that the **EP Board decisions are secondary to those of the individual partners** meaning the EP Board has limited authority to influence its' collective outcomes;	Ella Simpson	3.36	3.91	13.15	• No current mitigating controls identified	2.79	2.79	7.76	• Utilise Board's communications strategy, key messages to raise awareness of importance of CP, coproduction & partnership working	Nicola Elliott

Inherent rank (residual)	Category	Risk	Risk owner	Inherent impact	Inherent probability	Inherent product	Current Mitigating Controls	Residual impact	Residual probability	Residual product	Future actions to be completed	Resource support
4 (6)	Strategic	There is a risk that the **EP Board is overly focussed on tactical issues** and does not prioritise strategic issues resulting in uninformed decisions over the strategic direction of the EP Board to meet its objectives over the short and longer term	Lesley Fraser	3.73	3.36	12.54	• Enhanced formality to promote discussion topics • Annual review of strategic risks and opportunity and performance by Board.	2.57	2.57	6.61	• Align the agenda to the priorities of the plan • Structure of papers and agenda to focus on key items • Partner involvement to drive the agenda • Ability to have an equitable balance of resource v scale of operation	Gary Todd Support - Rebecca Tatar
5 (7)	Operations – Formal Meetings	There is a risk that the **EP Board outcomes are qualitative mission statements which are not easily measurable** meaning it will be difficult to monitor the specific progress and effectiveness of the EP Board against all of its' objectives and outcomes.	Gary Todd	3.36	3.73	12.54	• Single community planning performance framework that integrates city wide, Locality and Neighbourhood community planning performance monitoring and reporting. • Use performance results from 'Highlight' and Annual Performance reporting to identify Strategic Priorities for closer scrutiny. • Use case study model to illustrate impact of 'commitments to action' at city wide, Locality & Neighbourhood levels. • Actively distribute and promote the CP Performance Reports with communities, agency partners and broader CP family.	2.50	2.57	6.43	• Establish clear scrutiny/challenge function across the Board	Gary Todd – support Gavin King
6 (9)	Operations – General	There is **lack of clarity around the relationship between the IJB** and the EP in particular the IJB's accountability to the EP Board and also EP's responsibility with respect to allocation of resources over the IJB arrangements;	Brian Houston	3.27	3.82	12.50	• No current mitigating controls identified	2.50	2.50	6.25	• Prepare an MoU to clarify the interface relationship between the EPB & IJB.	Gary Todd/ Rob McCulloch-Graham/ Wendy Dale

Inherent rank (residual)	Category	Risk	Risk owner	Inherent impact	Inherent probability	Inherent product	Current Mitigating Controls	Residual impact	Residual probability	Residual product	Future actions to be completed	Resource support
7 (3)	Board Structure	Risk of **not harnessing the power of joint resourcing between all community planning partners** leads to the EP Board not acting in silos undermines the achievement of community planning outcomes	David Griffiths	3.18	3.45	10.99	• Coterminous boundaries of localities will assist but we need to identify how to engage voluntary, private and HE/FE sectors and the Armed Forces in localities as their resources are also important • Staff at all levels in partners to have better understanding of community plan aims & actions, to allow them to alert partners and senior staff when actions may impinge on community plan outcomes. • Reducing the number of areas of work/targets could make the previous bullets easier to achieve • Strong sense of personal responsibility and passion to deliver the outcomes of the Partnership Plan	2.93	2.5	7.32	• There is also a need at strategic level to engage more fully with voluntary, private and HE/FE sectors and the Armed Forces whose resources need to be included in community planning • Identifying ways that previous bullet can be achieved in multi-organisation partners (e.g. third and private sectors) • National insight	Nick Croft/ Lesley Fraser
8 (5)	Legal and Regulatory	There is a risk that the **EP Board does not collectively and individually fully understand and formalise its legal duties as set out in the Community Empowerment Act**, meaning the Board is not able to fulfil its responsibilities	Maureen Child	3.64	3.00	10.91	• No current mitigating controls identified	2.79	2.43	6.77	• Use Scottish Government Guidance to inform a refresh the Board's Terms of Reference governance document to reflect Board's new legal duties.	Gary Todd – support Ian Murray (SG)

Inherent rank (residual)	Category	Risk	Risk owner	Inherent impact	Inherent probability	Inherent product	Current Mitigating Controls	Residual impact	Residual probability	Residual product	Future actions to be completed	Resource support
9 (10)	Board Structure	There is a risk that the **EP Board does not use the significant resources available** through its members and associated relationships across all sectors to understand issues and obtain credible management information meaning the full potential of the Board is not leveraged and decisions are not fully informed	David Birrell	3.28	3.29	10.80	• No current mitigating controls identified	2.21	2.43	5.38	• Use performance results from 'Highlight' and Annual Performance reporting to identify Strategic Priorities for closer scrutiny. • Establish programme of Board member visits to Strategic Partnerships/ Advisory Groups/ Agency partners to promote improved interface and dialogue on community planning priorities	Gary Todd/ EP Performance Sub Group
10 (8)	Operations – General	There is a risk that the **outcomes and objectives of the EP Community Plan are not sufficiently aligned** to the outcomes of all the respective EP family members' plans meaning there could be conflicts in the discussions and decisions at the EP Board meetings;	Doug Mackay	2.85	3.72	10.62	• Utilise Board's communications strategy, key messages to raise awareness of importance of CP, coproduction & partnership working	2.50	2.57	6.43	• Use performance results from 'Highlight' and Annual Performance reporting to identify Strategic Priorities for closer scrutiny.	Gary Todd - EP Performance Sub Group / Support BIS
11	Strategic	**A lack of succession planning arrangements to deal with changes to the EP Board's membership** could result in gaps in the membership leading to discontinuity in the actions and work of the EP Board	Andrew Burns	3.36	3.11	10.45	• No current mitigating controls identified	3.00	2.33	7.00	• Clear succession plan, and common understanding thereof, to be developed prior to the May 2017 Local Government electoral cycle	Gary Todd

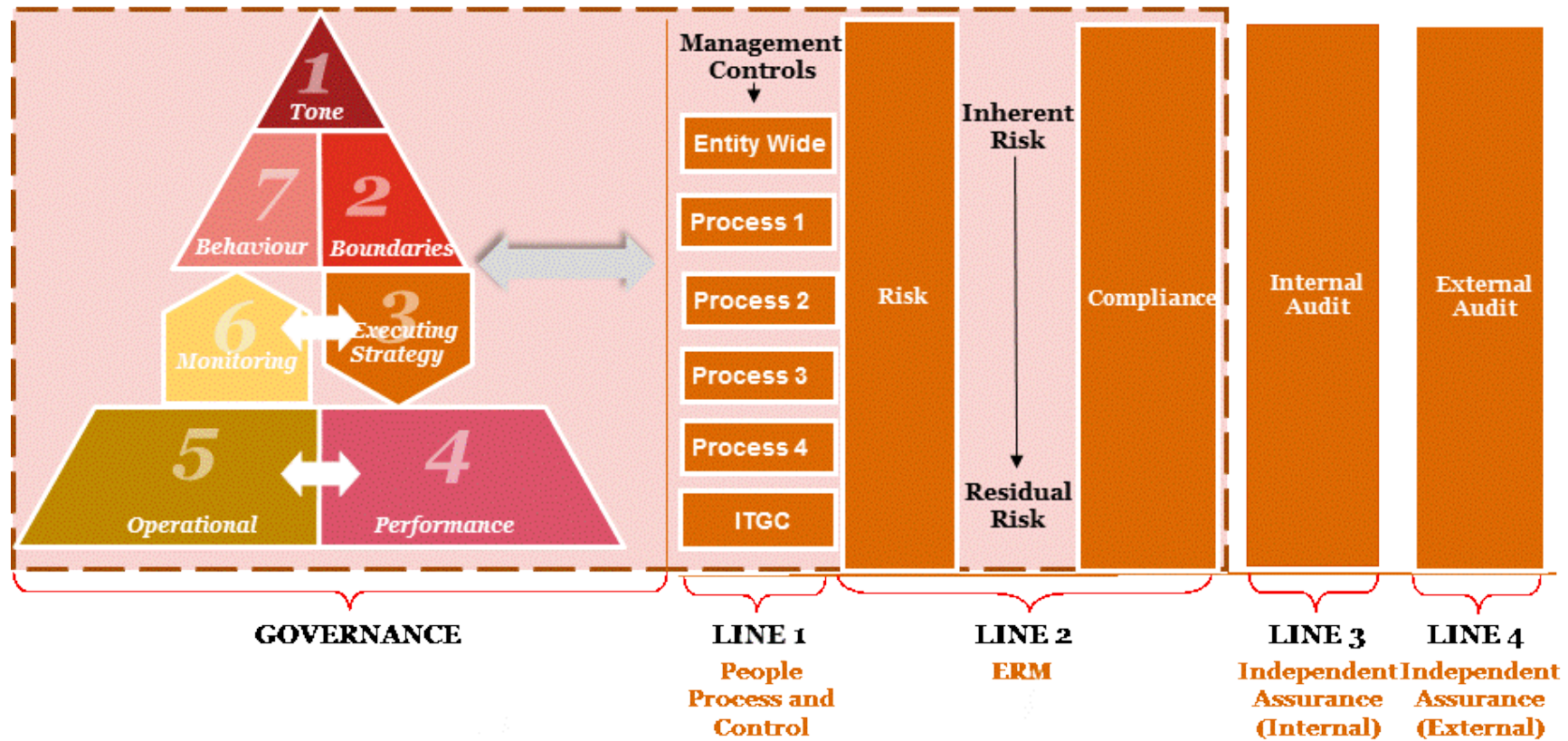| Inherent rank (residual)	Category	Risk	Risk owner	Inherent impact	Inherent probability	Inherent product	Current Mitigating Controls	Residual impact	Residual probability	Residual product	Future actions to be completed	Resource support
12	Operations – General	There is a risk that **restructuring or changes in family partners leads to the EP support resources being reduced or removed** as part of a much wider service review programmes resulting in a significant gap in the governance of the Board. The Board does not currently have any opportunity to be consulted or involved in this review process and would then be expected to react to any proposed or actual resource change.	David Griffiths (Gary Todd)	2.95	3.50	10.33	• No current mitigating controls identified	2.67	2.33	6.22	• Board needs early discussion with Executive Officers to raise awareness of resourcing the Board itself and understanding of potential impacts on CP partnerships and supporting structures in the City. • Partners need to share information on their plans to allow colleagues in other partner organisations to comment on the consequences to them of proposed actions. This may need to happen in a confidential way that leads to changes in EP protocols. • Sharing of individual organisations' plans and budget plans in the way envisaged in the National Community Planning Group's agreement of September 2013.	Andrew Kerr (Hugh Dunn) Tim Davison (Susan Goldsmith) Kenny Rogers CS Kenneth MacDonald Michelle Miller (Rhona Allison, Craig Wilson, Danny Logue, Ella Simpson, Charlie Jeffries) – Lead Officer Support -Gary Todd
13	Operations – Formal Meetings	There is a risk that the **EP Board cannot obtain accurate or sufficient management information** on a timely basis to allow the EP Board to accurately monitor the progress against the outcomes in the Community Plan.	Gary Todd	2.82	3.54	9.98	• Establish single community planning performance framework that integrates city wide, Locality and Neighbourhood community planning performance monitoring and reporting. • Use case study model to illustrate impact of 'commitments to action' at city wide, Locality & Neighbourhood levels.	2.56	2.38	6.09	• Use performance results from 'Highlight' and Annual Performance reporting to identify Strategic Priorities for closer scrutiny. • Establish clear scrutiny/challenge function across the Board • Actively distribute and promote the CP Performance Reports with communities, agency partners and broader CP family.	Gary Todd/ Maureen Child

Inherent rank (residual)	Category	Risk	Risk owner	Inherent impact	Inherent probability	Inherent product	Current Mitigating Controls	Residual impact	Residual probability	Residual product	Future actions to be completed	Resource support
14	Operations – General	There is a risk that **similar issues are addressed in isolation by respective partners** resulting in duplication of efforts and potentially conflicting data arising from different organisations across the city	Craig Wilson	2.73	3.64	9.92	• Utilise Board's communications strategy, key messages to raise awareness of importance of CP, coproduction & partnership working	2.31	2.56	5.93	• Use performance results from 'Highlight' and Annual Performance reporting to identify Strategic Priorities for closer scrutiny. • Use case study model to illustrate impact of 'commitments to action' at city wide, Locality & Neighbourhood levels. • Establish clear scrutiny/challenge function across the Board	Gary Todd – support EP Performance Sub group Gary Todd/ Gavin King
15	Board Structure	There is a perceived risk that **the roles and responsibilities of the Board collectively and as individual members is unclear** meaning the Board does not operate as effectively as expected	Maureen Child	3.09	3.09	9.55	• Utilise Board's communications strategy, key messages to raise awareness of importance of CP, coproduction & partnership working	2.81	2.44	6.86	• Refresh to Board's Terms of Reference document to reflect new Statutory Duties requirements	Gary Todd
16	Operations – General	There is a risk that the **EP Board relies on the EP family members to provide resource to drive the work** and absorb new initiatives to help deliver the outcomes of the EP Community Plan	Charlie Jeffries	2.45	3.82	9.37	• No current mitigating controls identified	3.00	3.00	9.00	• Board needs early discussion with Executive Officers to raise awareness of resourcing the Board itself and understanding of potential impacts on CP partnerships and supporting structures in the City. • Partners need to share information on their plans to allow colleagues in other partner organisations to comment on the consequences to them of proposed actions. This may need to happen in a confidential way that leads to changes in EP protocols. • Sharing of individual organisations' plans and budget plans in the way envisaged in the National Community Planning Group's agreement of September 2013.	Andrew Kerr (Hugh Dunn) Tim Davison (Susan Goldsmith) Kenny Rogers Mark Williams Michelle Miller (Rhona Allison, Craig Wilson, Danny Logue, Ella Simpson, Charlie Jeffries) Lead Officer Support -Gary Todd

Inherent rank (residual)	Category	Risk	Risk owner	Inherent impact	Inherent probability	Inherent product	Current Mitigating Controls	Residual impact	Residual probability	Residual product	Future actions to be completed	Resource support
17	Operations – Formal Meetings	The **management information used by the EP Board is reliant on the systems and processes embedded in the various family members**. There is a risk that the data points are treated inconsistently between family members and an overarching trust that information has enough integrity to allow informed decisions to be made and outcomes to be monitored;	Gary Todd	3.00	3.09	9.27	• No current mitigating controls identified	2.50	2.50	6.25	• Establish single community planning performance framework that integrates city wide, Locality and Neighbourhood community planning performance monitoring and reporting. • Use performance results from 'Highlight' and Annual Performance reporting to identify Strategic Priorities for closer scrutiny. • Establish clear scrutiny/challenge function across the Board • Use case study model to illustrate impact of 'commitments to action' at city wide, Locality & Neighbourhood levels. • Actively distribute and promote the CP Performance Reports with communities, agency partners and broader CP family.	Gary Todd/ Maureen Child/ Nick Croft (Localities dimension)
18	Strategic	There is a risk that **the role of the EP Board does not continue to evolve in a dynamic way** to ensure it is best placed to meet the outcomes of the EP Community Plan and the requirements set out in the Community Empowerment Act	Maureen Child (Andrew Burns)	3.09	3.00	9.27	• No current mitigating controls identified	2.50	2.50	6.25	• Establish single community planning performance framework that integrates city wide, Locality and Neighbourhood community planning performance monitoring and reporting. • Utilise above in the context of the requirements as set out in the Community Empowerment Act.	Gary Todd Nick Croft (Localities Dimension)

Inherent rank (residual)	Category	Risk	Risk owner	Inherent impact	Inherent probability	Inherent product	Current Mitigating Controls	Residual impact	Residual probability	Residual product	Future actions to be completed	Resource support
19	Operations – Formal Meetings	The **agenda and time at EP Board sessions is driven by personal rather than collective interes**t and represents a summary of work completed by respective partners resulting in a fragmented discussion between some members and not a collective discussion on key strategic issues	Danny Logue	2.55	2.91	7.40	• Board member induction clarifies roles of members emphasising collective ownership and responsibility of the Partnership; • Encouraging members to contribute to Partnership agendas, discussions and ownership of collective actions; • Community Plan objectives and documentation clearly highlight roles and responsibilities of members as a collective ownership, with examples of members leading on key aspects of the Plan	2.50	2.19	5.47	• Out with Partnership meetings, members contribute to communication of key messages and responsibilities of objectives and actions;	Gary Todd / Nicola Elliott
20	Board Structure	**Inappropriate deputation and authority with representation across all sectors on the Board** results in the Board not being aware of key issues facing the city, disjointed conversations, disruption to the flow of work and actions limiting the effectiveness of collaboration	Ella Simpson	2.91	2.45	7.14	• No current mitigating controls identified	3.00	1.50	4.50	• Publish Board attendance at meetings protocol • Monitor Board member attendance	Gary Todd/ Gavin King

Inherent rank (residual)	Category	Risk	Risk owner	Inherent impact	Inherent probability	Inherent product	Current Mitigating Controls	Residual impact	Residual probability	Residual product	Future actions to be completed	Resource support
21	Operations – General	There is a risk that the **EP Board does not have sufficient financial resource contributions** to enable it to continue with its business meetings and community planning activities, in its current format and scale. The budget of the EP Board represents legacy funding which may not be renewed.	Rhona Allison	2.45	2.73	6.69	• No current mitigating controls identified	2.80	2.20	6.16	• Board needs early discussion with Executive Officers to raise awareness of resourcing the Board itself and understanding of potential impacts on CP partnerships and supporting structures in the City.	Andrew Kerr (Hugh Dunn) Tim Davison (Susan Goldsmith) Kenny Rogers Mark Williams Michelle Miller (Rhona Allison, Craig Wilson, Danny Logue, Ella Simpson, Charlie Jeffries) Lead Officer Support -Gary Todd
22	Board Structure	The **broad representation and number of Board members, as well as the open forum of a Board meeting may result in constituent members feeling unconfident** or unwilling to speak up on specific issues	Andrew Burns	2.64	2.36	6.23	• Active promotion of existing, formal Edinburgh Partnership Board protocols. • Active promotion of an atmosphere of openness, transparency and collegiality.	2.00	1.75	3.50	• No future actions identified	Gary Todd
23	Operations – General	**Informal processes / authority levels over expenditure** of the Board's reserves leads to significant gaps in the audit trail and unnecessary speculation.	Cameron Rose	2.55	2.27	5.79	• Board to receive regular financial management reports	2.44	1.86	4.53	• Clarify the revenue and budget resources available to the Board and the governance and approval mechanisms for managing resources	Gary Todd/ EP Funding Officers Group

Appendix 2: Lines of defence

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