

# Notice of meeting and agenda

## Governance, Risk and Best Value Committee

10:00am, Tuesday, 31 October 2017

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

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

### Contact –

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## **1. Order of Business**

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

## **2. Declarations of Interest**

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

## **3. Deputations**

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- 3.1 If any

## **4. Minutes**

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- 4.1 Minute of the Governance, Risk and Best Value Committee of 26 September 2017 – submitted for approval as a correct record (circulated)

## **5. Outstanding Actions**

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- 5.1 Outstanding Actions – 31 October 2017 (circulated)

## **6. Work Programme**

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- 6.1 Governance, Risk and Best Value Work Programme – 31 October 2017 (circulated)

## **7. Reports**

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- 7.1 Complaints Management – report by the Chief Executive (circulated)
- 7.2 Spot-checking on the Dissemination of Council Policies – report by the Chief Executive (circulated)
- 7.3 Welfare Reform Update – report by the Executive Director of Resources (circulated)
- 7.4 Edinburgh Catering Services – report by the Executive Director of Resources (circulated)
- 7.5 ICT in Schools - Update – report by the Executive Director for Communities and Families (circulated)
- 7.6 Edinburgh Partnership – Verbal Presentation by the Chief Executive

## **8. Motions**

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- 8.1 None.

## **Laurence Rockey**

Head of Strategy and Insight

### **Committee Members**

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Councillors Mowat (Convener), Main (Vice-Convener), Jim Campbell, Dickie, Gordon, Lang, Munro, Rae, Ritchie, Watt and Webber.

### **Information about the Governance, Risk and Best Value Committee**

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The Governance, Risk and Best Value Committee consists of 11 Councillors appointed by the City of Edinburgh Council. The Governance, Risk and Best Value Committee usually meet every four weeks in the City Chambers, High Street in Edinburgh. There is a seated public gallery and the meeting is open to all members of the public.

### **Further information**

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If you have any questions about the agenda or meeting arrangements, please contact Gavin King, Committee Services, City of Edinburgh Council, Waverley Court, Business Centre 2.1, Edinburgh EH8 8BG, Tel 0131 529 4239, e-mail [gavin.king@edinburgh.gov.uk](mailto:gavin.king@edinburgh.gov.uk)

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

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

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

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# Item 4.1 - Minutes

## Governance, Risk and Best Value Committee

10.00am, Tuesday, 26 September 2017

### Present

Councillors Mowat (Convener), Main (Vice-Convener), Jim Campbell, Dickie, Gordon, Lang, Munro, Rae, Ritchie, Watt and Webber

### 1. Minute

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#### Decision

To approve the minute of the Governance, Risk and Best Value Committee of 29 August 2017 as a correct record.

### 2. Outstanding Actions

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

#### Decision

- 1) To agree to close item 9.
- 2) To note the update from the Interim Chief Officer on Item 4.
- 3) To request a timeline for the development of governance arrangements for the Edinburgh Partnership referred to in Item 6.
- 4) To merge Items 7 and 14.
- 5) To note the remaining outstanding actions.

(Reference – Outstanding Actions – 26 September 2017, submitted.)

### 3. Work Programme

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#### Decision

To note the work programme.

(Reference – Governance, Risk and Best Value Committee Work Programme – 26 September 2017, submitted.)

## 4. Internal Audit Quarterly Update Report: 1 January 2017 – 30 June 2017

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Details of the Internal Audit activity from 1 January – 30 June 2017 were considered.

### Decision

- 1) To note the progress of Internal Audit in issuing 11 Internal Audit reports during Quarter 4 of the 2016/17 plan year and 2 Internal Audit reports during Quarter 1 of the 2017/18 plan year.
- 2) To note the areas of higher priority findings for reviews issued during this six month period.
- 3) To refer the 6 reports noted in Appendix 1 as potentially being of interest to the Audit and Risk Committee of the Edinburgh Integration Joint Board (IJB) to that Committee.
- 4) To note the 6 audits in progress during Quarter 1 of the 2017/18 plan year as detailed in Appendix 1 of the report.
- 5) To request information on
  - the total spend on homelessness provision
  - the checks in place for recovering money from the Government.
  - the governance of the Homelessness Taskforce.
- 6) To request a report on the operation of homelessness services which included costs and a map of facilitates in the city to the Housing and Economy Committee and Homelessness Taskforce.
- 7) To refer high risk findings to the appropriate parent committee for scrutiny.

### Declarations of Interest

Councillors Main and Webber declared a non-financial interest in the above item as members of the Edinburgh Integrated Joint Board.

(Reference – report by the Chief Internal Auditor, submitted.)

## 5. Internal Audit: Overdue Recommendations and Late Management Responses

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The current overdue Internal Audit recommendations were considered alongside details for the revised approach to monitoring and reporting as agreed by the Corporate Leadership Team.

### Decision

- 1) To note the current status of overdue Internal Audit recommendations as at 25 August 2017.
- 2) To note the revised approach proposed in relation to the 3 recommendations noted at section 3.12 of the report that was approved by the Corporate Leadership Team (CLT) at their meeting on 30 August 2017.
- 3) To note the revised Internal Audit (IA) monthly reporting timetable for updates on open and overdue recommendations detailed at section 3.13 of the report.

- 4) To note that there are currently no reports issued in draft where management the responses have not been received within our two-week service standard.
- 5) To request an update on:
  - the progress of actions due to close in September.
  - Mortuary Services
- 6) To request a scoping report with proposals to address the outstanding actions for Health and Social Care back to the Governance, Risk and Best Value Committee with an appendix highlighting who was responsible for each area.

### **Declarations of Interest**

Councillors Main and Webber declared a non-financial interest in the above item as members of the Edinburgh Integrated Joint Board.

(Reference – report by the Chief Internal Auditor, submitted.)

## **6. Internal Audit Opinion Benchmarking Exercise**

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The benchmarking exercise to assess the consistency of Internal Audit opinions across local authorities in Scotland was presented. A significant range of opinion types were noted which caused difficulties making any meaningful comparison.

### **Decision**

To note the outcomes of the Internal Audit annual opinion benchmarking exercise.

(Reference – report by the Chief Internal Auditor, submitted.)

## **7. Principles to govern the working relationship between the City of Edinburgh Council Governance, Risk and Best Value Committee and the Edinburgh Integrated Joint Board Audit and Risk Committee**

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The five proposed principles to govern the relationship between the Governance, Risk and Best Value Committee and the Edinburgh Integration Joint Board Audit and Risk Committee were considered.

### **Decision**

To accept the high-level principles subject to further information on how elected members could best engage with the process

### **Declarations of Interest**

Councillors Main and Webber declared a non-financial interest in the above item as members of the Edinburgh Integrated Joint Board.

(References – Finance and Resources Committee of 23 March 2017 (item 11); report by the Chief Internal Auditor, submitted.)

## 8. City of Edinburgh Council – 2016/17 Annual Audit Report to the Council and the Controller of Audit

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The Committee considered a summary report of the principal findings of the Council's 2016/17 external audit. This focused on the review of financial management, stability, governance, transparency and arrangements to assure value for money.

### Decision

- 1) To note that, following the audit process, it was anticipated that an unqualified audit opinion would be issued on the Council's Annual Accounts for 2016/17.
- 2) To refer the audited Annual Accounts for 2016/17 to the Finance and Resources Committee for approval and thereafter to Council for noting.
- 3) To note that, following approval by the Finance and Resources Committee, the audited Annual Accounts would be signed and submitted to the external auditor.
- 4) To note the areas of strength identified within the wider scope audit work and that progress in the delivery of the remaining improvement actions set out in the action plan in Appendix 2 of the auditor's report would be reported to the Committee during the year.
- 5) To request an update report in January 2018 on the progress of the improvements recommended in the action plan.
- 6) To request a briefing to members on Edinburgh Catering Services including the current situation and a breakdown of what had caused the deficit.

### Declarations of Interest

Councillors Main and Webber declared a non-financial interest in the above item as members of the Edinburgh Integrated Joint Board.

(References – Act of Council No 16 of 29 June 2017; joint report by the Chief Executive and Executive Director of Resources, submitted)

## 9. External Audit Review of Internal Financial Controls 2016/17

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The main findings of the 2016/17 review of the effectiveness of the Council's internal control framework in preventing material misstatement within its financial statements was considered.

It was identified that while opportunities for further improvement existed, the current controls in place were well designed and effective.

### Decision

- 1) To note the findings of the 2016/17 external review of the effectiveness of the Council's internal controls.
- 2) To note that a further update on progress in implementation of the improvement actions would be provided to the Committee in January 2018.

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

## **10. Corporate Leadership Team Risk Update**

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The current highest priority risks and mitigating actions in place from the Corporate Leadership Team were considered.

### **Decision**

To note the risk update and the risk management framework, controls and mitigations in operation

### **Declarations of Interest**

Councillors Main and Webber declared a non-financial interest in the above item as members of the Edinburgh Integrated Joint Board.

(References – Governance, Risk and Best Value Committee of 1 August 2017 (item 8); report by the Executive Director of Resources, submitted.)

## **11. Assurance of Council Human Resources Policies - 2017**

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The proposal to streamline the Council's Human Resources policies assurance process was presented.

### **Decision**

- 1) To accept the proposed process for the assurance of Council Human Resources policies as detailed in the report.
- 2) To refer the report to the Corporate Policy and Strategy Committee for decision.
- 3) To include reference to Committee decisions in relation to the policy in the proposed approach.

(References – Corporate Policy and Strategy Committee of 3 September 2013 (item 4); report by the Executive Director of Resources, submitted.)

## **12. Revenue Monitoring 2016/17 – Outturn Report – referral report from the Finance and Resources Committee**

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The Finance and Resources Committee had referred a report on the provisional 2016/17 revenue outturn position for the Council based on the unaudited financial statements. The Governance, Risk and Best Value Committee was asked to consider this as part of the work-plan.

### **Decision**

To note the report.

(References – Finance and Resources Committee, 5 September 2017 (item 6); referral from the Finance and Resources Committee, submitted)

## **13. Capital Monitoring 2016/17 – Outturn and Receipts – referral report for the Finance and Resources Committee**

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The Finance and Resources Committee had referred a report on the final outturn on the Council's Capital Programme for 2016/17 which included details of projects within



the Capital Investment Programme. The Governance, Risk and Best Value Committee was asked to consider this as part of the work-plan.

### **Decision**

To note the report.

(References – Finance and Resources Committee, 5 September 2017 (item 7); referral from the Finance and Resources Committee, submitted)

## **14. Treasury Management – Annual Report 2016/17 – referral from the City of Edinburgh Council**

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The City of Edinburgh Council had referred a report on the treasury management activity in 2016/17 to the Governance, Risk and Best Value Committee for consideration as part of the work-plan.

### **Decision**

To note the report.

(References – Act of Council No 11 of 21 September 2017; referral report from the City of Edinburgh Council, submitted)

## **15. Revenue Monitoring 2017/18 – Month Three Position – referral from the Finance and Resources Committee**

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The Finance and Resources Committee had referred a report on the projected overall position of the Council's revenue expenditure budget for 2017/18 based on analysis of period three data. The Governance, Risk and Best Value Committee was asked to consider this as part of the work-plan.

### **Decision**

To note the report.

(References – Finance and Resources Committee, 5 September 2017 (item 8); referral from the Finance and Resources Committee, submitted)

## **16. Capital Monitoring 2017/18 – Three Month Position – referral from the Finance and Resources Committee**

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The Finance and Resources Committee had referred a report that set out the overall position of the Council's capital budget at the three month stage and the projected outturn for the year. The Governance, Risk and Best Value Committee was asked to consider this as part of the work-plan.

### **Decision**

To note the report.

(References – Finance and Resources Committee, 5 September 2017 (item 11); referral from the Finance and Resources Committee, submitted)

# Item 5.1 Outstanding Actions

## Governance, Risk and Best Value Committee

31 October 2017

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
1	19/10/2015	<a href="#">Committee Report Process</a>	To investigate technology offered by the new IT provider with a view to improving report format and reducing officer workload. To request a progress report back to Committee in one year.	Chief Executive	January 2018		The project has been delayed due to other connected ICT projects being re-planned. A meeting has been scheduled with ICT and CGI to agree an expected completion date and discuss the practicalities of e-voting with the current technology.
2	21/04/2016	<a href="#">Internal Audit –</a>	To ask that an update	Executive	April 2018		A verbal update

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
		<a href="#">Audit and Risk Service: Delivery Model Update</a>	report on the internal audit function be provided to the Governance, Risk and Best Value Committee a year after implementation.	Director of Resources			<p>on appointments was provided in February 2017. An update on new service model will be provided after one year.</p> <p>Assurance of progress was provided within the Internal Audit Opinion Report considered on 1 August 2017.</p>
3	26/09/16	<a href="#">Corporate Leadership Team Risk Update</a>	To request that progress reports on the additional precautionary surveys currently being undertaken in buildings sharing similar design features to those of the PPP1 schools, would be referred to the Governance, Risk and Best Value Committee for scrutiny.	Executive Director of Resources	May 2018		An update will be included in the Progress Report on the Wide Structural Investigations. This will be referred to GRBV following consideration at the Finance and

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
							Resources Committee in March 2018.  The expected completion date for phase one is 31 January 2018.
4	24/10/16  29/09/17	<a href="#">Home Care and Re-ablement Service Contact Time</a>	To request an update report 6 months after the implementation of the new ICT system for shift allocation.  To ask the Chief Officer, Edinburgh Health and Social Care Partnership to provide an update on why the new ICT system for shift allocation was not implemented earlier in the year	Chief Officer, Edinburgh Health and Social Care Partnership	Date TBC		The Interim Chief Officer provided an update to Committee in Sept 2017. The Shift Allocation System was included in a wider review, the results of which would be reported as soon as possible.
5.	22/12/2016	<a href="#">Internal Audit Quarterly Update Report: 1 July</a>	To request an update report on the recommendation for	Executive Director of Place	November 2017		

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
		<a href="#">2016 – 30 September 2016</a>	Edinburgh Buildings Services by November 2017.				
6	09/03/2017  26/09/17	<a href="#">Outstanding Actions</a>  <a href="#">Outstanding Actions – 26 September 2017</a>	To request that the report on the Governance of the Edinburgh Partnership would be referred from the Communities and Neighbourhoods Committee to the Governance, Risk and Best Value Committee.  To request a timeline for the development of governance arrangements for the Edinburgh Partnership	Chief Executive  Chief Executive	January 2018		The Edinburgh Partnership Board (EP) will agree on the refreshed governance arrangements in March 2018. This is linked with locality committee developments which will also come early 2018.  A report will be provided to members on potential proposals in January 2018.  Members will

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
							receive a presentation on the proposed EP protocols in October 2017 and a report containing context, process, next steps and engagement of elected members in November 2017.
7	20/04/2017	<a href="#">Governance of Major Projects: progress report</a>	1) To note the review underway for how change was reported and managed across the Council which will also include strengthening of governance arrangements around project and programme delivery. This would be reported to the Governance, Risk and	Chief Executive	March 2018		<i>Action 1</i> - The report on Portfolio of Change, key themes, schedule of delivery and the refreshed governance arrangements is due in January 2018 following consideration at CP&S.

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
			<p>Best Value Committee with developed proposals in the next reporting period.</p> <p>2) To request that members of Governance, Risk and Best Value Committee have input into the scope of the lessons learned report to be drafted on the New Boroughmuir High School and that this report was referred to the Governance, Risk and Best Value Committee following consideration at the Education, Children and Families Committee.</p> <p>3) To request communication with teachers, parents and</p>				<p><i>Action 2</i> - The lessons learned exercise will be carried out as part of the normal project activity at the end of the project. The scope will be shared with elected members for comment.</p> <p><i>Action 3</i> – The Chief Information Officer has met with the Parent Council of JGHS to update them on the progress of WiFi in the school</p>

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
8	29/08/2017	<a href="#">Status of the ICT Programme</a>	<p>parent councils on the progress with WiFi provision in schools</p> <p>To ask the Executive Director for Communities and Families for a report on:</p> <ol style="list-style-type: none"> <li>1) How the decision was taken to enable pupils attending James Gillespie's High School to bring their own IT devices rather than Council devices.</li> <li>2) What advice James Gillespie's High School were given by the directorate on the implications of their decision.</li> <li>3) Further information</li> </ol>	Executive Director for Communities and Families	January 2018		An update report on this item is on the October 2017 agenda.



No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
			<p>of other schools within the City who are in the same situation and their experiences.</p> <p>4) Possible solutions to the issue raised by the deputation on the lack of wi-fi at the High School and related timescales.</p>				
9	01/08/2017	<a href="#">Governance, Risk and Best Value Work Programme – 1 August 2017</a>	To note an investigation report on retention of case records would be reported to the appropriate committee and a timescale for this would be provided as soon as possible.	Executive Director for Communities and Families	March 2018		<p>The Executive Director for Communities and Families will provide an update in November 2017.</p> <p>The final audit report would be referred from the Corporate Policy and Strategy Committee to</p>

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
							GRBV in March 2018.
10	01/08/2017	<a href="#">Property Conservation Project Closure Review</a>	<p>1) To request a report on forecasting for potential problems with major projects and plans from the Resilience team to prevent these.</p> <p>2) To provide members with information on the progress of appointing a single point of contact for all major projects.</p>	Chief Executive	January 2018		The report on Portfolio of Change, key themes, schedule of delivery and the refreshed governance arrangements to ensure required management and scrutiny of project/programme delivery will be referred to GRBV following consideration at Corporate Policy and Strategy in December 2017
11	01/08/2017	<a href="#">Employee Engagement Update 2017</a>	To request the action plan drafted following the 2017 employee survey was reported to GRBV for	Executive Director of Resources	January 2018		The report will be provided following completion of the employee survey

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
			scrutiny and approval prior to implementation				and the development of an action plan to address the results.
12	01/08/2017	<a href="#">Monitoring Officer Investigation</a>	To request a review report on Project Management within the Council.	Chief Executive	January 2018		
13	29/08/2017	<a href="#">Roads Services Improvement Plan</a>	To ask for a report back in 6 months time	Executive Director of Place	February 2018		
14	26/09/2017	<a href="#">Internal Audit Quarterly Update Report: 1 January 2017 – 30 June 2017</a>	To request information on: <ul style="list-style-type: none"> <li>the total spend on homelessness provision</li> <li>the checks in place for recovering money from the Government.</li> <li>the governance of the Homelessness Taskforce</li> </ul>	Chief Internal Auditor	January 2018		A report on the total spend on homelessness provision, recovery of money from the government and governance of the Homelessness Taskforce will be referred to GRBV following consideration by the Housing and

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
							Economy Committee.
15	26/09/2017	<a href="#">Internal Audit: Overdue Recommendations and Late Management Responses</a>	<p>1) To request an update on:</p> <ul style="list-style-type: none"> <li>the progress of actions due to close in September.</li> <li>Mortuary Services</li> </ul> <p>2) To request a scoping report with proposals to address the outstanding actions for Health and Social Care back to GRBV with an appendix highlighting who is responsible for each area.</p>	Chief Internal Auditor	November 2017		<p>The requested updates were circulated to members on 9 October 2017.</p> <p>An update will be provided to Committee in November 2017 on the scoping report for proposals to address outstanding H&amp;SC actions.</p>
16	26/09/2017	<a href="#">Principles to Govern the Working Relationships between the City of Edinburgh</a>	To accept the high-level principles subject to further information on how elected members could best engage with the process.	Chief Internal Auditor	November 2017		An update will be provided to Committee in November 2017 on how elected members can

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
		<a href="#">Council Governance, Risk and Best Value Committee and the Edinburgh Integrated Joint Board Audit and Risk Committee</a>					best engage with the process.
17	26/09/2017	<a href="#">City of Edinburgh Council – 2016/17 Annual Audit Report to the Council and the Controller of Audit</a>	<p>1) To request an update report in January 2018 on the progress of the improvements recommended in the action plan.</p> <p>2) To request a briefing to members on Edinburgh Catering Services including the current situation and a breakdown of what has caused the deficit</p>	Chief Executive	January 2018		The briefing on Edinburgh Catering Services was circulated to members on 9 October 2017. A report on this matter is on the October 2017 agenda.

# Item 6.1 - Work Programme

## Governance, Risk and Best Value Committee

	Title / description	Sub section	Purpose/Reason	Category or type	Lead officer	Stakeholders	Progress updates	Expected date
<b>Section A – Regular Audit Items</b>								
1	Internal Audit: Overdue Recommendations and Late Management Responses		Paper outlines previous issues with follow up of internal audit recommendations, and an overview of the revised process within internal audit to follow up recommendations, including the role of CLG and the Committee	Internal Audit	Chief Internal Auditor	Council Wide	Quarterly	16 January 2018 8 May 2018 September 2018
2	Internal Audit Quarterly Activity Report		Review of quarterly IA activity with focus on high and medium risk findings to allow committee to challenge and request to see further detail on findings or to question relevant officers about findings	Internal Audit	Chief Internal Auditor	Council Wide	Quarterly	16 January 2018 8 May 2018 September 2018

3	IA Annual Report for the Year		Review of annual IA activity with overall IA opinion on governance framework of the Council for consideration and challenge by Committee	Internal Audit	Chief Internal Auditor	Council Wide	Annually	5 June 2018
4	IA Audit Plan for the year		Presentation of Risk Based Internal Audit Plan for approval by Committee	Internal Audit	Chief Internal Auditor	Council Wide	Annually	20 March 2018
5	Accounts Commission	Annual report	Local Government in Scotland: Financial Overview	External Audit	Executive Director of Resources	Council Wide	Annually	16 January 2018
6	Accounts Commission	Annual report	Local Government in Scotland: Performance and Challenges	External Audit	Executive Director of Resources	Council Wide	Annually	Autumn/Winter 2017
7	Annual Audit Plan	Scott Moncrieff	Annual audit plan	External Audit	Executive Director of Resources	Council Wide	Annually	Spring 2018
8	Annual ISA 260 Audit Report	Scott Moncrieff	Annual Audit Report	External Audit	Executive Director of Resources	Council Wide	Annually	September 2018
9	Interim Audit Report	Scott Moncrieff	Interim audit report on Council wide internal financial control framework	External Audit	Executive Director of Resources	Council Wide	Annually	September 2018

10	IT Audit Report	Scott Moncrieff	Scope agreed during annual external audit planning cycle	External Audit	Executive Director of Resources	Council Wide	Annually	31 October 2017
<b>Section B – Scrutiny Items</b>								
11	Governance of Major Projects	6 monthly updates	To ensure major projects undertaken by the Council were being adequately project managed	Major Project	TBC	All	Every 6 months	16 January 2018
12	Welfare Reform	Review	Regular update reports	Scrutiny	Executive Director of Resources	Council Wide	Quarterly	31 October 2017
13	Review of CLT Risk Scrutiny	Risk	Quarterly review of CLT's scrutiny of risk	Risk Management	Chief Executive	Council Wide	Quarterly	16 January 2018 8 May 2018 September 2018
14	Whistleblowing Quarterly Report		Quarterly Report	Scrutiny	Chief Executive	Internal	Six-monthly	28 November 2017
15	Pride in our People	Staff	Annual report of progress	Scrutiny	Chief Executive	Council Wide	Annual	20 February 2018
16	Workforce Control	Staff	Annual report	Scrutiny	Executive Director of Resources	Council Wide	Annual	8 May 2018
17	Committee Decisions	Democracy	Annual report	Scrutiny	Chief Executive	Governance, Risk and Best Value Committee	Annual	Date TBC  Re-examine after improved information tracking.



18	Dissemination of Committee Decisions	Democracy	Bi-annual report	Scrutiny	Chief Executive	Council Wide	Six-monthly	31 October 2017
19	Edinburgh Shared Repairs Service and Legacy Closure Programme	Review	Progress reports	Scrutiny	Executive Director of Resources	All	Six-monthly	20 February 2018
20	Revenue Monitoring	Review	Progress reports	Scrutiny	Executive Director of Resources	Council Wide	January 2018 February 2018	16 January 2018
21	Capital Monitoring	Review	Progress reports	Scrutiny	Executive Director of Resources	Council Wide	January 2018 February 2018	16 January 2018
22	Revenue Outturn	Review	Progress reports	Scrutiny	Executive Director of Resources	Council Wide	Annual	September 2018
23	Capital Outturn and Receipts	Review	Progress reports	Scrutiny	Executive Director of Resources	Council Wide	Annual	September 2018
24	Treasury – Strategy report	Review	Progress reports	Scrutiny	Executive Director of Resources	Council Wide	Annual	8 May 2018

25	Treasury – Annual report	Review	Progress reports	Scrutiny	Executive Director of Resources	Council Wide	Annual	September 2018
26	Treasury – Mid-term report	Review	Progress reports	Scrutiny	Executive Director of Resources	Council Wide	Annual	16 January 2018

## GRBV Upcoming Reports

## Appendix 1

Report Title	Type	Flexible/Not Flexible
<b>31 October 2017</b>		
External Audit CGI IT Security Controls	External Audit	Flexible
Spot-Checking on the Dissemination of Council Policies	Scrutiny	Flexible
Complaints Management	Scrutiny	Flexible
Welfare Reform Update	Scrutiny	Flexible
Edinburgh Catering Services	Scrutiny	Flexible
ICT in Schools – Update	Scrutiny	Flexible
<b>28 November 2017</b>		
Whistleblowing Quarterly Report	Scrutiny	Flexible
Internal Audit – Edinburgh Buildings Services Update	Scrutiny	Flexible

Edinburgh Partnership – Context and Next Steps	Scrutiny	Flexible
<b>16 January 2018</b>		
Change Portfolio Progress	Scrutiny	Flexible
Internal Audit: Overdue Recommendations and Late Management Responses	Scrutiny	Flexible
Internal Audit Quarterly Activity Report	Scrutiny	Flexible
Accounts Commission	Scrutiny	Flexible
Governance of Major Projects	Scrutiny	Flexible
Review of CLT Risk Scrutiny	Scrutiny	Flexible
Revenue Monitoring	Scrutiny	Flexible
Capital Monitoring	Scrutiny	Flexible
Treasury – Mid-term report	Scrutiny	Flexible

# Governance, Risk and Best Value Committee

10.00am, Tuesday, 31 October 2017

## Complaints Management

Item number	7.1
Report number	
Executive/routine	
Wards	
Council commitment:	<a href="#">Delivering a Council that works for all</a>

### Executive Summary

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A strategic complaints function has been established as part of the Council's Information Governance Unit to provide a more coherent and strategic approach to the management of complaints throughout the Council.

The Unit has led a Council-wide review of complaint handling and the development of a Corporate Complaints Improvement Plan. This report sets out the background and approach to this process, as well as the key findings and improvement actions required to improve complaints management across the organisation.

## Complaints Management

### 1. Recommendations

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- 1.1 Committee is asked to note:
  - 1.1.1 the development of a Corporate Complaints Improvement Plan to strengthen the management of complaints across the Council; and
  - 1.1.2 that an up-date report will be presented to Committee in Spring 2018.

### 2. Background

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- 2.1 The Scottish Public Services Ombudsman (SPSO) is the external regulator for complaints management across the public sector. In 2012, it published a local authority model complaints handling procedure to establish a standard approach to handling complaints. The Council used the model procedure as the basis of its own complaints procedure which was launched in 2013.
- 2.2 The Council's complaints procedure is based on a service-led de-centralised approach to handling complaints. The Corporate Complaints Management Group, consisting of complaint practitioners from service areas, provides a degree of corporate visibility which is reinforced through regular performance reporting.
- 2.3 The Council's Transformation Programme recognised the need for a more coherent and strategic approach to complaints management. As part of the establishment of the Strategy and Insight Division, a strategic complaint function was created under the Information Governance Unit in 2016.
- 2.4 This arrangement acknowledged the existing role of the Information Governance Unit in managing complaints escalated to the SPSO, and the need for better oversight of complex complaints situations which can often be conflated with freedom of information processes. The Unit now provides a single point of reference for advice and support in these areas.
- 2.5 A Corporate Complaints Improvement Plan has been developed following a Council-wide review and consultation process. While the Plan is owned by the Information Governance Unit and Corporate Complaints Management Group, all Council services are responsible for the plan's implementation.
- 2.6 The Improvement Plan is based on SPSO's Complaints Improvement Framework which has been established to help organisations assess and demonstrate the effectiveness of their overall complaints handling arrangements through self-assessment criteria.

- 2.7 The Improvement Plan formed part of the evidence provided to the Scottish Public Services Ombudsman to demonstrate compliance with regulator recommendations concerning the Council's management of certain outdoor advertising contracts. This formed part of a Monitoring Officer Report which was reported to this Committee on 1 August 2017.
- 2.8 As part of the Scottish Public Services Ombudsman's procedures, public authorities are asked to evidence that regulator recommendations have been met. Since 2014, all decisions and recommendations are tracked through the Information Governance Unit's case management system, and provide a complete and comprehensive audit trail.
- 2.9 The remainder of this report provides further detail on the approach, key findings and future actions to improve complaints handling across the organisation.

### 3. Main report

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#### Key findings

- 3.1 The Complaints Management Review identified several areas of good practice; however, it noted a number of issues and areas for improvement which are set out below:
  - 3.1.1 Several systems are used to capture complaints information leading to a variety of classifications within the process. These inconsistencies in recording practices have reduced the Council's ability to conduct meaningful root-cause analysis across services. This also means that the same complaint can be recorded more than once.
  - 3.1.2 Complaint response timescales are not always met within the indicators set by the SPSO. The figures in Appendix 1 are based on complaints statistics which have been produced by the Scottish Local Authorities Complaint Handlers Network. Within this, local authorities have been grouped with others that have a similar dispersion of population, so meaningful comparisons can be drawn. The Network refers to these as 'family groups'. The Council's 'family group' includes Aberdeen, Dundee and Glasgow City Councils.
  - 3.1.3 UK-wide comparisons are not possible. English local authorities do not have a standardised complaints procedure, neither do they have a standardised set of key performance indicators. Therefore, it is only possible to benchmark within Scotland, where all local authorities follow the same complaints handling procedure and measure performance against the same indicators as set by the SPSO.
  - 3.1.4 Investigation responses issued under Stage 2 of the Complaints Procedure vary in terms of consistency and assurance from senior management.

- 3.1.5 There is no coherent process for dealing with complex complaint situations and any required escalation.
- 3.1.6 Corporate procedures and training have not been reviewed since 2013, with uncertainty around roles and responsibilities.
- 3.1.7 Lack of a clear process for complaints received by Elected Members.

### Improvement actions

- 3.2 In response to the Review's findings, several improvement actions have been identified. These will be progressed through continued engagement with service areas, Elected Members, the Regulator and Citizens, and include:
  - 3.2.1 The development of a Corporate Complaints Policy setting out agreed standards for recording, managing and reporting complaints, including the Council's commitment to using complaints as a learning tool to improve service delivery. The policy will define roles and responsibilities to ensure that all services and employees clearly understand their responsibilities in this area.
  - 3.2.2 A comprehensive review of the Council's current Complaints Procedure to support policy and ensure greater consistency, in line with Scottish Public Service Ombudsman best practice and the standards being developed by the Local Authority Complaint Handlers Network. Clarity around how to manage and highlight complex complaint situations which cross-over multiple service areas or disciplines will form a key part of the review and revised procedure.
  - 3.2.3 The development of mechanisms and criteria to measure customer satisfaction in relation to complaint handling.
  - 3.2.4 Streamlining, where possible, the systems currently used for recording complaints to reduce duplication and improve performance reporting.
  - 3.2.5 Defining agreed complaint categories, in line with national standards, to enable consistent recording and increase the Council's ability to analyse and learn from complaints.
  - 3.2.6 Developing a communications and outreach programme around complaints handling, including a review of information available on the ORB, and the development of web content where information around Council actions on complaints can be proactively published. This will be supported through revised training (e-learning and face to face) and the establishment of an internal complaint handlers network through which best practice and learning can be proactively shared across the Council.



- 3.2.7 The introduction of a quality assurance programme, specifically directed at Stage 2 complaints, to ensure opportunities to improve practice can be identified prior to any regulatory action being taken.
- 3.2.8 Improved performance reporting to senior management and Elected Members in line with the Council's performance framework.
- 3.2.9 Ensuring the complaint handling policy and procedure are aligned with Council customer strategies, and accepted customer behaviour through a review of the Managing Customer Contact in a Fair and Positive Way Policy.

#### **4. Measures of success**

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- 4.1 A complaints management framework that supports the efficient handling of complaints throughout the organisation through effective policy, procedure, and training, and aligns with SPSO best practice and standards.
- 4.2 A culture within the organisation that values complaints to improve services.
- 4.3 Meeting statutory indicators set by the SPSO, including timeous responses to any complaints raised.

#### **5. Financial impact**

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- 5.1 There are no financial aspects arising from this report. The focus of the Corporate Complaints Improvement Plan is to use existing resources in a more efficient and targeted way to drive Council-wide improvement and change.

#### **6. Risk, policy, compliance and governance impact**

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- 6.1 The Council must meet various indicators set by the SPSO and consider any recommendations made by them in relation to complaints escalated by members of the public. Failure to do so can lead to poor customer service for citizens, reputational damage for the Council, and potential service inefficiencies.

#### **7. Equalities impact**

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- 7.1 There are no direct equalities issues arising from this report, but equality rights will be a central consideration as the Complaints Improvement Plan is progressed.

#### **8. Sustainability impact**

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- 8.1 There are no sustainability issues arising from this report.

## 9. Consultation and engagement

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- 9.1 There has been an extensive consultation and engagement exercise with Council services in developing the Corporate Complaints Improvement Plan, including an emphasis on customer experience and expectations.
- 9.2 There will continue to be extensive consultation with Elected Members, services, citizens and the SPSO as the Plan's actions are taken forward and implemented.

## 10. Background reading/external references

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- 10.1 [City of Edinburgh Council Complaints Procedure](#)
- 10.2 [Monitoring Officer Report, Item 7.7 Governance, Risk and Best Value Committee, 1 August 2017](#)
- 10.3 [City of Edinburgh Council Corporate Complaints Improvement Plan](#)

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## 11. Appendix

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Edinburgh Complaints analysis provided by the Scottish Local Authorities Complaint Handlers Network for 2016/17

# Appendix: Edinburgh Complaints analysis provided by the Scottish Local Authorities Complaint Handlers Network for 2016/17

Note: The Scottish Local Authorities Complaint Handlers Network has grouped local authorities together with others that have a similar dispersion of population, so meaningful comparisons can be drawn. These are known as 'family groups'. The Council's 'family group' includes Aberdeen, Dundee and Glasgow City Councils.

Total Complaints received for Edinburgh	19,741
Family Group Average	2,850
Complaints received per 1,000 population - Edinburgh	40.1
National average received per 1,000 population	14.29

## Average time to close complaints

Stage 1 - Edinburgh	12.44 days
Stage 1 - Family Group Average	8.3 days
Stage 2 - Edinburgh	26.26 days
Stage 2 - Family Group Average	19.1 days

\* Stage 1 SPSO target 5 working days

\* Stage 2 SPSO target 20 working days

## Performance against timescales

Stage 1 - Edinburgh	8,047/14,902	53.9 %
Stage 1 - Family Group Average	1,660/2,517	66%
Stage 2 - Edinburgh	1,213/2,015	60.2%
Stage 2 - Family Group Average	170/266	64%

# Governance, Risk and Best Value Committee

10am, Tuesday, 31 October 2017

## Spot-checking on the Dissemination of Council Policies

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

### Executive summary

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The Governance, Risk and Best Value Committee on 19 June 2015, agreed to strengthen existing arrangements and provide greater assurance with regard to the dissemination of committee decisions. This report provides a spot-check that actions have been undertaken by directorates in order to ensure that policies are being effectively communicated to staff and that they are aware of where to find more information if required.

## Spot-checking on the Dissemination of Council Policies

### Recommendations

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- 1.1 To note the response to the staff surveys on the dissemination of Council policies and ongoing efforts to improve dissemination.
- 1.2 To note that a report exploring with directorates more effective ways to monitor the dissemination and understanding of Council policies by employees would be submitted in Spring 2018.

### Background

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- 2.1 The Governance, Risk and Best Value Committee had previously agreed a revised approach for the dissemination and implementation of committee decisions by directorates.
- 2.2 It was agreed to introduce a spot-check on the dissemination of Council policies with updates being provided to the Governance, Risk and Best Value. This is the fourth of these updates.

### Main report

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- 3.1 This report focuses on the dissemination of relevant policies to staff. The setting and agreeing of policies is one of the key functions of committees and focusing on this provides an effective way of gauging whether important decisions are being effectively disseminated to appropriate Council officers. An outline of the procedure for the dissemination of existing and new policies to staff is outlined below.

#### **Council Policies**

- 3.2 As part of the compliance, risk and governance workstream within the Efficient Effective Transformation Programme, a review of council policies was undertaken in September 2013 to rationalise existing council policy, publish agreed policies on the council's website and ensure an appropriate process of update and review going forward.
- 3.3 As the initial step in rationalising Council policies, a policy register was developed and is available on the [Council's website](#).

- 3.4 It is essential for good governance and the efficient and effective running of the Council that officers clearly understand the policies applicable to their role, and their responsibilities in relation to the implementation of Council policy.
- 3.5 Directorates are responsible for the dissemination of policies to their staff and the process adopted by each can vary.
- 3.6 All new policies agreed at Committee or Council level are captured and published in the public facing policy register.

**Spot-Check of Policies and Staff Survey Results:**

- 3.7 The most recent spot checking exercise in April 2017 focussed on dissemination to Council officers of two Council policies by way of a questionnaire to randomly selected officers from two service areas. This was emailed to officers by Senior Executive Officers using the Survey Monkey platform and utilised an expanded sample size. Questions were tailored to gain an understanding of officer's awareness of where to find policies.
- 3.8 The spot-checking exercise in this report has been undertaken using similar methods as outlined in paragraph 3.7 above, the expanded sample size of 240 for each survey was maintained, however, response rate was significantly lower than previously, with only 34 individuals responding to each survey. The selected policies were the Health and Safety Policy and the Managing Customer Contact in a Fair and Positive Way Policy. Results are listed in paragraph 3.11 and 3.12 below.
- 3.9 The Health and Safety Policy was most recently reviewed at Corporate Policy and Strategy Committee in March 2017. The policy applies to all employees and extends to third parties who interact with Council services but are not employees such as members of the public, contractors and service users. Separate policies exist regarding the safety of residents in receipt of care and public event safety. When the new policy was published in April 2017 this was accompanied by communication from the Chief Executive
- 3.10 The Managing Customer Contact in a Fair and Positive Way Policy was most recently reviewed on 29 September 2015 and provides guidance on how customers should be treated in a fair and positive way while managing demands that result in unreasonable demands on Council staff. The policy was previously known as the Unacceptable Actions Policy but was renamed to better reflect objectives and best practice guidance supporting it.

3.11 **Policy 1 – Health and Safety Policy (34 respondents)** (agreed at Corporate Policy and Strategy Committee on 28 March 2017)

	Yes	No
Are you aware of the policy	82.35%	17.65%
Do you know where you could find this policy if required	88.12%	12.00%
I understand the aims of the policy	Strongly agree – 26.67% Agree – 73.33% Neither – 0% Disagree – 0% Strongly disagree – 0%	
I understand how the policy will inform/change my day-to-day work.	Strongly agree – 13.33% Agree – 73.33% Neither – 13.33% Disagree – 0% Strongly disagree – 0%	
I understand the steps needed to implement the policy to ensure it is effective	Strongly agree – 13.33% Agree – 73.33% Neither – 13.33% Disagree – 0% Strongly disagree – 0%	

3.12 **Policy 2 – Managing Customer Contact in a Fair and Positive Way (34 respondents)** (agreed at Corporate Policy and Strategy Committee on 29 September 2015)

	Yes	No
Are you aware of the policy	32.35%	67.65%

Does the policy place any specific responsibilities or obligations on you in your role?	11.76%	88.24%
Do you know where you could find this policy if required?	85.19%	14.81%
I understand the aims of this policy	Strongly agree – 100% Agree – 0% Neither – 0% Disagree – 0% Strongly disagree – 0%	
I understand how the policy will inform/change my day-to-day work	Strongly agree – 0% Agree – 75.00% Neither – 25.00% Disagree – 0% Strongly disagree – 0	
I understand the steps needed to implement the policy to ensure it is effective	Strongly agree – 50.00% Agree – 25.00% Neither – 0% Disagree – 0% Strongly disagree – 25.00%	

### Survey Responses

- 3.13 Awareness and understanding of the Health and Safety Policy was very high, with only a small percentage stating that they did not know of the policy or where to find it.
- 3.14 Information on the policy would continue to be included in health and safety induction training for managers and supervisors. The content of the policy, in particular roles and responsibilities would also be discussed by the Corporate Health and Safety Team at upcoming marketplace sessions.
- 3.15 Awareness of the Managing Customer Contact in a Fair and Positive Way was less prevalent, however, almost all respondents directly impacted in their role by the policies indicated they were aware of where to find policy details if required. Those who completed the survey stated that they understood the aims of the policy and the majority understood how the policy informed their day to day work.



- 3.16 Analysis of individual responses shows that in the Managing Customer Contact in a Fair and Positive Way survey those responding tended not to complete the whole questionnaire with only 4 individuals completing the whole survey.
- 3.17 Complaint handing across the Council has recently been reviewed and as a result a Corporate Complaints Improvement Plan has been developed. As part of the improvements identified, a review would be undertaken on training available for appropriate staff on policies impacting their role. This would include sessions on the Managing Customer Contact in a Fair and Positive Way Policy. Information on the Council's internal intranet site (the Orb) regarding this policy will also be reviewed and updated accordingly.
- 3.18 Almost all respondents directly impacted in their role by the policies indicated that they knew where they could find more information if required. This high awareness correlated with the original key aims of creating a central policy register; to foster greater transparency, accountability and openness for officers and members of the public.
- 3.19 Respondents were invited to provide comments as to how policies or strategies should ideally be disseminated, answers tended not to vary from methods currently utilised by directorates. This included one-to-one briefings, emails, team meetings, mandatory training sessions and use of the orb intranet site. Suggestions from previous surveys to use notice boards for dissemination have been adopted and several respondents noted that they had become aware of policies in this way.
- 3.20 In considering the responses and uptake to the surveys, it is clear that the approach taken is now not as effective as previously evidenced. Responses were much reduced from similar surveys in 2016 and those responses were often unfinished or lacked full answers. It is proposed that ways to improve the approach to monitoring policies are explored further with directorates and further build on the work already being undertaken to improve employee awareness of policies. This will be reported back to Committee in February 2018.

## Measures of success

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- 4.1 Sufficient knowledge of Council policies by relevant officers.

## Financial impact

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

## **Risk, policy, compliance and governance impact**

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- 6.1 The improvements in business processes help ensure increased transparency and assurance across the Council's decision making processes.

## **Equalities impact**

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

## **Sustainability impact**

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

## **Consultation and engagement**

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- 9.1 Officers from across the Council were consulted by anonymous questionnaire.

## **Background reading/external references**

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[Compliance, risk and governance programme: review of Council policy \(CP&S Committee 3 September 2013\)](#)

[Minute of the Governance, Risk and Best Value Committee 19 June 2014](#)

[Minute of the Governance, Risk and Best Value Committee 12 November 2015](#)

[Minute of the Governance, Risk and Best Value Committee 26 May 2016](#)

[Minute of the Governance Risk and Best Value Committee 20 April 2017](#)

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## **Appendices**

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# Governance, Risk and Best Value Committee

10.00am, Tuesday, 31 October 2017

## Welfare Reform - Update

Item number	7.3
Report number	
Wards	All
Council Commitments	

### Executive summary

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The Corporate Policy and Strategy Committee on 3 October 2017 considered a report which provided an update on the ongoing work to support citizens towards Universal Credit, the benefit cap and funding arrangements for the Council Tax Reduction Scheme and Discretionary Housing Payment. The report is submitted to the Governance, Risk and Best Value Committee for scrutiny.

## Welfare Reform - Update

### Terms of referral

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- 1.1 On 3 October 2017, the Corporate Policy and Strategy Committee considered a report which detailed the transition support arrangements in place for citizens moving towards Universal Credit. Information was also provided on the benefit cap which has been applied appropriately in Edinburgh since November 2016. Confirmation was received for the continued funding arrangements for the existing Council Tax Reduction Scheme and the initial allocation for the Discretionary Housing Payment from the Scottish Government.
- 1.2 The Corporate Policy and Strategy Committee agreed:
  - 1.2.1 To note the ongoing work to support Universal Credit (UC) and Welfare Reform, in particular the extension of the benefit cap in Edinburgh.
  - 1.2.2 To note the current spend projections for DHP, Council Tax Reduction Scheme and the Scottish Welfare Fund.
  - 1.2.3 To note the Members Briefing produced as Appendix 4 of the report in response to Power to the People deputation at Council on 29 June 2017.
  - 1.2.4 To agree that officers would provide Power to the People with the Homelessness and Housing Council Policy.
  - 1.2.5 To note that the Homelessness and Housing Senior Support Manager would arrange to meet with people experiencing temporary accommodation issues.
  - 1.2.6 To agree that the Customer Manager would liaise with the Advice Services Team about the restructure of the service and the impact of a reduction on resources and the capacity of the service to give advice, and whether the 70% success rate of people appealing against the benefits decisions was being fed back to the Department of Works and Pensions (DWP).
  - 1.2.7 To provide Councillors with a projection of the number of Universal Credit (UC) claimants after it was rolled out to everyone.

## For Decision/Action

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- 2.1 The report is submitted to the Governance, Risk and Best Value Committee for scrutiny.

## Background reading / external references

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[Minute of the Corporate Policy and Strategy Committee - 3 October 2017](#)

[Webcast of the Corporate Policy and Strategy Committee - 3 October 2017](#)

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## Links

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**Appendices**      Appendix 1 - report by the Executive Director of Resources

# Corporate Policy and Strategy Committee

10.00am, Tuesday 3 October 2017

## Welfare Reform - Update

Item number

Report number

Executive/routine

Wards

Council Commitments

### Executive Summary

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This update details the Council's ongoing Welfare Reform activities. This includes support for citizens that are transitioning to Universal Credit (UC), as detailed in the Council's Delivery Partnership Agreement with the Department for Work and Pensions (DWP).

This report also addresses the benefit cap, and the limit on the amount of income from certain benefits a household can receive. UK Government's roll out of the benefit cap is complete and it has been applied to appropriate claimants within Edinburgh since November 2016.

The Council has received confirmation that the existing Council Tax Reduction Scheme funding arrangements will continue in 2017/18.

Discretionary Housing Payment (DHP) funding has now been devolved to the Scottish Government. The Council's initial allocation for 2017/18 is £4.8m with a further top up later in the year, which will be determined by demand.

## Welfare Reform - Update

### 1. Recommendations

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- 1.1 It is recommended that the Corporate Policy and Strategy Committee note:
- 1.1.1 the ongoing work to support Universal Credit (UC) and Welfare Reform, in particular the extension of the benefit cap in Edinburgh;
  - 1.1.2 the current spend projections for DHP, Council Tax Reduction Scheme and the Scottish Welfare Fund; and
  - 1.1.3 the Members Briefing produced as Appendix 4 in response to Power to the People deputation at Council on 29 June 2017.

### 2. Background

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- 2.1 The Welfare Reform update is reported to the Corporate Policy and Strategy Committee on a quarterly basis, to align with the Working Group meeting cycle. The last report was considered by Committee on 28 February 2017.

### 3. Main report

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#### Universal Credit (UC)

- 3.1 UC in Edinburgh is available to new single claimants who would previously have been eligible for Job Seekers Allowance. As part of the ongoing rollout programme, the DWP's digital service was extended to all working age categories, supported through Musselburgh Job Centre in March 2016 and Penicuik and Dalkeith Job Centres in March 2017. These extensions may potentially apply to Edinburgh claimants that are supported by Job Centres in East and Midlothian.
- 3.2 The Council continues to work with DWP and Job Centre Plus to support the transition to the UC system and a new Delivery Partnership Agreement has been agreed with the DWP for 2017/18. Officers are also engaging with COSLA and other local authorities to learn lessons and ensure as smooth a transition as possible for Edinburgh citizens claiming Universal Credit.
- 3.3 Universal Credit continues to be rolled out nationally and Edinburgh is scheduled for full service roll out in June 2018.

## UC Caseload in Edinburgh

3.4 In July 2017 the DWP reported the following UC caseload in Edinburgh:

UC Claimants in Edinburgh	2375
UC Claimants seeking work	1,644 (69%)
UC Claimants with element of employment	731 (31%)

## Scottish Welfare Fund (SWF) and UC Claims

3.5 To assess the impact of UC on alternative funding streams, information is collated on claimants citing UC as a reason for applying for a Crisis Grant from the Scottish Welfare Fund. From April 2017 to July 2017 there have been 243 Crisis Grant applications with a value of £20,044.53 where the reason was given as financial hardship related to UC. Following normal practice, citizens, in the first instance, are referred to DWP for a short-term benefit advance.

The breakdown of the 243 applications:

- Paid 161
- Refused 72
- Resolving 1
- Withdrawn 9

## Personal Budgeting Support Referrals and Assisted Digital Support and UC

3.6 The Delivery Partnership Agreement between DWP and the Council requires a personal budgeting support referral service and digital support for Universal Credit in localities. The requirement for personal budgeting support Referrals is met by co-locating the Council's Personal Budgeting Support Officer with the DWP. Both organisations continue to work together to increase take-up for this support and ensure citizens are supported throughout the UC process. Since January 2017 there have been a total of 87 referrals for PBS across Jobcentres with 45 Universal Credit claimants attending their appointment.

## Council Housing Services and UC

3.7 Currently UC still only applies to single person households making a new claim for assistance through welfare benefits. At the end of July 2017 there were 500 council tenants known to be receiving UC. The number of new cases each month currently continues to remain very low at around 10 new cases per month. The total value of rent due to be collected from tenants on UC is currently approximately £208k per month, £2.49m per annum.



- 3.8 Tenants moving onto UC in Edinburgh are generally doing so because of a change of circumstance and around 90% of tenants have a level of pre-existing arrears. The management of UC cases with housing rent arrears are progressed in accordance with the Council's standard arrears process. This includes the provision of detailed advice to help tenants understand their rent payment obligations, income maximisation advice and referrals for specialist debt advice where relevant.

### **Temporary and Supported Accommodations**

- 3.9 Households in temporary accommodation affected by the benefit cap and/or under occupation are provided with advice and assistance in applying for DHP. Where possible households are placed in temporary accommodation that reduces the likelihood of under occupancy, however, on occasion they may be placed in a larger property to meet an emergency housing need. Currently 15 out of 421 households who are under occupying are in temporary accommodation. These households are entitled to claim DHP relevant to any under occupancy.
- 3.10 A total of 502 occupants of temporary accommodation have had their benefit capped. Of these citizens, 382 have moved on from temporary accommodation.

### **Advice Services**

- 3.11 A range of Council funded debt, benefit and welfare advice continues to be provided across the city. This activity is detailed in the following tables:

#### ***Debt Advice***

Debt Advice	2017/18 Q1	2016/17	2015/16
Number of Enquiries by Funded Agencies	991	6,596	6,588
Level of Problematic Debt	£496,209	£2m	£2m
Number of People assisted by Advice Shop	334	842*	3,589
Level of Problematic Debt	£413,640	£2.66m	£11.4m

\*Restructuring of the service meant a redirection of debt advice to funded agencies.

### **Benefits Tribunals Advice**

Benefits Tribunals	2017/18 Q1	2016/17	2015/16
Number of tribunals that Advice Services have represented	241	995	738

*These figures are essentially dependent on decisions made by the DWP on benefit entitlement. The success rate for these tribunals varies depending on the benefit in dispute though overall, advice services are achieving a success rate of 70%.*

### **Welfare Rights Advice**

Welfare Rights Advice	2017/18 Q1	2016/17	2015/16
Number of enquiries dealt with by external funded agencies	2,917	12,896	15,228
Increased income gained for clients using funded agencies	£948,051	£4.8m	£5.7m
Increased income gained for clients using Advice Shop	£3.5m	£14.4m	£10.2m

- 3.12 There has been significant information, advice, and casework to resolve difficulties faced by households affected by the benefit cap, mostly around whether the Cap should be applied and how households can avoid accruing rent arrears. In some instances, agencies are reporting that homelessness is likely due to client's inability to make up the shortfall between their rent and housing benefit following the application of the benefit cap.
- 3.13 Benefit tribunals numbers have increased slightly and there is a national trend of delays in this process. It is anticipated that this increase will continue.
- 3.14 As far as possible all advice services are working to resolve benefit and debt related matters at the earliest stage as possible to prevent crises. Supporting claimants with benefit applications means that in most cases, the appropriate outcome is achieved, however, where disputes arise, casework is required to assist clients to navigate through the mandatory reconsideration and appeal stages.
- 3.15 Vulnerable people continue to be migrated from Disability Living Allowance (DLA) to Personal Independence Payment (PIP) and advice services are faced with many claimants seeking assistance due to financial loss in this process.

## Extension of Benefit Cap

- 3.16 The cap is a limit on the total amount of income from certain benefits a household can receive. If citizens receive more than the cap, then their Housing Benefit will be reduced until they are brought back within the income cap. From Autumn 2016 this was reduced to £384 for a couple or single person with children and £258 for a single person. Details of individuals facing the extension of the benefit cap were received in January 2017 and the cap was applied to these cases
- 3.17 The table below shows the number of benefit cap cases applied in each tenure type and the average weekly loss in Benefit for these citizens. The figures include benefit cap cases up to 31 July 2017.

Tenure	No of Households Affected	Average Weekly Loss in Benefit	% of all Benefit Cap Cases
Temporary Accommodation	131	£193.72	22%
Mainstream Council Tenancies	104	£49.34	17%
Private Rented Sector	155	£72.06	26%
Housing Association (RSL)	37	£44.73	6%
LINK PSL	172	£32.49	29%

- 3.18 The total number of claimants affected by the benefit cap has been less than anticipated, with a total of 599 households affected up to 31 July 2017. In advance of the extension of the benefit cap in Edinburgh, stakeholder agencies used the data provided to engage with citizens, ensuring their Benefits were appropriate and potentially moving individuals into groups protected from the cap. Citizens moving into employment of 16 hours for a single person and 24 hours for a couple are also not subject to the benefit cap provided they are also in receipt of Working Tax Credit.
- 3.19 At Council on Thursday 29 June 2017, the Power to the People group presented a deputation which focused on the impact of welfare benefit legislation changes, particularly the benefit cap. A response to the points raised by the deputation is detailed in Appendix 1.

## Council Tax Reduction Scheme (CTRS)

- 3.20 Existing CTRS funding arrangements continue in 2017/18. The national Settlement and Distribution Group continue to consider the distribution of CTRS funding and will advise local authorities when there are any significant changes in coming years.

- 3.21 CTRS is not part of the UC package of Benefits, with the fund being independently administered by each local authority. Every effort is being made to raise awareness of CTRS and to ensure customers make a separate CTRS claim at the point of any UC claim. Local arrangements with Job Centres across the city are in place to support this.
- 3.22 CTRS demand continues to be monitored and whilst uptake continues to fall, Council Tax collection is improving, indicating a reduced need for assistance of this nature. Appendix 2 outlines the Council's CTRS spend profile at 31 July 2017
- 3.23 The recent changes to Council Tax charges at band E and above may result in increased demand on the fund because of more individuals qualifying for the reduction. This will be monitored and trends reported to Committee.

### **Scottish Welfare Fund (SWF) – Crisis Grants and Community Care Grants**

- 3.24 Crisis Grants and Community Care Grant applications continue to be considered for medium and high priority cases. Appendix 3 outlines the Council's SWF spend profile at 31 July 2017. The table below details the 2017/18 budget allocation and total spend to 31<sup>st</sup> July 2017

<b>Grant</b>	<b>Budget £ 2017/18</b>	<b>Carry Over to 2017/18</b>	<b>Total Budget £</b>	<b>2017/18 Spend April to July £</b>
Crisis Grants	£655,051.80	£0.00	£655,051.80	£251,872.74
Community Care Grants	£1,528,454.20	£330,000	£1,858,454.20	£540,972.46
<b>Total</b>	<b>£2,183,506.00</b>	<b>£330,000</b>	<b>£2,513,506.00</b>	<b>£792,845.20</b>

- 3.25 The SWF 2<sup>nd</sup> Tier Reviews are heard by the Scottish Public Services Ombudsman (SPSO). There has been a total of 23 2<sup>nd</sup> Tier Reviews by the SPSO between April 2017 and July 2107. Eleven reviews were upheld in favour of the SWF and 12 reviews have been overturned in favour of the applicant.

### **Discretionary Housing Payments (DHP)**

- 3.26 From 1 April 2017, DHP funding was devolved from the DWP to the Scottish Government. The DHP budget from the Scottish Government has been allocated in two streams: Under Occupancy Mitigation and Other DHPs.
- 3.27 The allocation for Edinburgh for 2017/18 is as follows:

- Under Occupancy mitigation - The funding will be allocated in two tranches and is based on forecasted Under Occupancy charges. The first tranche of funding is £3.1m or 80% of the expected cost.
- Other DHPs - This includes assistance for those affected by the Benefit Cap and Local Housing Allowance reforms. The funding for Other DHPS is £1.7m. This is compared to £1.45m from the DWP for 2016/17.
- The initial total of the DHP fund for 2017/18 is £4.8m, however this does not include the remaining 20% funding to fully mitigate under occupancy, which would increase the fund to around £5.6m. However existing analysis suggests this is more likely to be £5.4m given levels of under occupation in Edinburgh.

3.28 As of 31 July 2017, the Council's DHP end of year financial position was:

Total Fund for 2017/18	£4,836, 647*
Net Paid to Date	£1,574,746.90
Committed pending related benefit process	£2,459,405.06

\*exclusive of additional 20% to be allocated in 2018.

- 3.29 There have been 5014 DHP applications up to 31 July 2017 of which 257 were refused. The overall refusal rate is 5%, the most common reasons for refusal is where a customer's income exceeds their expenditure. The national average for a refusal currently sits at 10%.
- 3.30 At 31 July 2017, the number of days to process a request for a DHP was 18 days.
- 3.31 Appendix 4 outlines the Council's DHP spend profile at July 2017. The additional Scottish Government funding is expected to fully mitigate under occupancy in 2017/18.

### **Scottish Social Security**

- 3.32 A new Scottish Security Agency will be established by the Scottish Government to administer devolved benefits from Central Government. This does not include the Scottish Welfare Fund and DHP which will remain with local authorities. The Agency will have a central location but with a local presence, utilising existing public sector locations across Scotland. The enabling Social Security Bill was introduced to the Scottish Parliament in June 2017. As work progresses further updates will be provided to Committee.
- 3.33 In August, Edinburgh was represented at an event jointly hosted by Scottish Government and COSLA regarding benefit uptake for the new suite of devolved benefits, as well as current national and local welfare benefits available to individuals. It was agreed by all parties that there was a need to ensure citizens

were maximising their income and claiming entitlements due to them. Further information will be available on the outcomes from this meeting, and Committee will be updated in due course.

### **The Welfare Reform Working Group**

3.34 The Welfare Reform Working Group met in January 2017. Items discussed included:

- Extension of the Benefit Cap;
- Advice Services review;
- Benefit Uptake Campaign;
- Financial Inclusion;
- UC Update;
- Welfare Reform Impacts on Temporary Accommodation; and
- DHP Policy.

3.35 The group reconvened on 4 September 2017 and met with representatives from Power to the People following their deputation to Council on 29 June 2017. The report in Appendix 1 formed the basis of discussion and highlights the Council's ongoing activities in this important area.

### **The Welfare Reform Core Group and Partners Forum**

3.36 The Welfare Reform Core Group met in May 2017 and items discussed included:

- Increasing Communications around Welfare Reform
- The Benefit Cap and Employability providers
- Staff Training for Universal Credit and the Benefit Cap
- Discretionary Housing Payments
- Advice Services Review
- Scottish Welfare Fund improvements to service delivery

3.37 The Welfare Reform Partners Forum includes a range of advice agencies where information is shared through a virtual forum.

## **4. Measures of success**

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4.1 The success of the programme will continue to be measured through:

- reductions in forecast loss of income; and
- customer satisfaction with advice and advocacy services relating to benefit changes and ensuring people get their full entitlement under the new arrangements.

## 5. Financial impact

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- 5.1 The increase in numbers of people experiencing hardship has led to increased demand for services across the Council and partner advice agencies. There is a risk to Council income, particularly in relation to rent arrears, changes to subsidy levels for temporary accommodation and service charges. Known risks include:
- loss of rental income to the Housing Revenue Account (HRA) arising from Housing Benefit reforms and Direct Payment under UC;
  - Scottish Welfare Fund and DHP budget will be insufficient to meet demand longer term;
  - the spend on Council Tax Reduction Scheme exceeds the available funding;
  - reduced DWP Administration Subsidy due to the abolition of Council Tax Benefit, the phasing out of Housing Benefit and Central Government budget savings;
  - increased demand on advice and advocacy both for the Council and Third Sector advice agencies; and
  - increase in homeless population where delays in payment of rent due to assessment periods for UC in the private sector.

## 6. Risk, policy, compliance, and governance impact

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- 6.1 The financial risk to the Council as well as the risk to the Council's reputation is being monitored regularly. Actions taken to assess and mitigate these risks and ensure effective governance include:
- updates provided to Corporate Policy and Strategy on a quarterly basis;
  - annual update to the Governance, Risk, and Best Value Committee;
  - dedicated teams introduced to provide support and assistance; and
  - quarterly meetings with Elected Members, Council Officers, and External Partners.

## 7. Equalities impact

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- 7.1 The UK Government has prepared Equalities and Human Rights assessments for the welfare reform proposals. The Council will undertake an EHRIA when necessary for any of its proposals.

## 8. Sustainability impact

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- 8.1 Welfare Reform is expected to have general implications for environmental and sustainability outcomes, for example in relation to fuel poverty and financial exclusion.

## 9. Consultation and engagement

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- 9.1 Council officials continue to engage with the UK and Scottish Governments, directly and through COSLA, with the DWP, the Third Sector, the NHS, and other partners. The Council is also engaging with citizens, both in and out of work, who rely on benefit income and tax credits.
- 9.2 The Council continues to participate in groups with the looking at the impacts of Welfare Reform, namely COSLA's Welfare Reform Local Authority Representative Group.
- 9.3 Community engagement has resulted in plans for joint working initiatives to provide Foodbank Plus models which will address immediate crisis as well as preventative action to reduce use of such services in the future.

## 10. Background reading/external references

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[Welfare Reform – Update: report to Corporate Policy and Strategy Committee 28 February 2017](#)

[Welfare Reform – Update: report to Corporate, Policy and Strategy Committee 8 November 2016](#)

[Welfare Reform – Update: report to Corporate, Policy and Strategy Committee, 9 August 2016](#)

[Welfare Reform – Update: report to Corporate, Policy and Strategy Committee, 17 May 2016](#)

[Welfare Reform – Update report to Corporate Policy and Strategy Committee 23 February 2016](#)

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## 11. Appendices

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- Appendix 1 – Members Briefing – Welfare Reform Working Group  
Response to Power to the People Deputation
- Appendix 2 – Council Tax Reduction Scheme Spend
- Appendix 3– Scottish Welfare Fund Spend
- Appendix 4 – Discretionary Housing Payment Spend



## Members Briefing – Welfare Reform Working Group – Response to Power to the People Deputation

**Details:** Briefing note for all members

**Service Area:** Homelessness and Housing Support, Transactions, and Place Development

**Directorate:** Safer and Stronger Communities, Resources and Place

### Introduction

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At Council on Thursday 29 June 2017, the Power to the People group presented a deputation which focused on the impact of welfare benefit legislation changes, particularly the benefit cap.

In addition to this, the group referred to several families in the north of the city who may be at risk of homelessness, due to these changes and to some families who are now homeless and have been offered temporary accommodation.

### Main report

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#### 1.0 Benefit Cap

- 1.1 The Benefit Cap is a limit on the total amount of certain benefits a working age citizen can receive.
- 1.2 Where a citizen receives more weekly income than the Benefit Cap permits then their housing benefit/universal credit housing costs will be reduced until they have been brought back within the income cap. The limit a citizen can receive in total benefits per week is £384.62 for a couple or single parent, and £257.69 for single people with no children. Details on exemptions to the Benefit Cap can be found at [http://www.edinburgh.gov.uk/info/20130/welfare\\_reform/519/housing\\_benefit\\_cap](http://www.edinburgh.gov.uk/info/20130/welfare_reform/519/housing_benefit_cap)
- 1.3 The Council is represented on welfare reform groups hosted by various bodies, including the Convention of Scottish Local Authorities (COSLA), the Department for Work and Pensions, the UK Government, and the Scottish Government. Whilst the Council contributes to welfare reform consultation, including the Benefit Cap, the decision to implement a national Benefit Cap is made by the UK Government.

#### 2.0 Local Considerations

- 2.1 The Council has been provided with a list of families at risk of homelessness in the north of the city and are actively working with them or attempting to make contact to provide advice and support. Prior to the introduction of the extended benefit cap, a number of events were held around the City, hosted by DWPs' Job Centre Plus service with multi-agency attendance from the Council and external partners. A similar offer has already been made to the identified families to hold additional events in a location of their choice and this offer remains open. In the meantime, citizens are being contacted on an individual basis to assess their specific benefits situation.
- 2.2 Members should be aware that not all of these families have completed a mandate which would allow information to be shared with some of the organisations raising concerns around their cases. Due to data protection Members and Officers are unable to share any

information they have with these groups unless a specific mandate is in place. Members and Officers are permitted to provide this information directly to the citizen concerned if contacted by them directly.

### **3.0 Discretionary Housing Payment and Scottish Welfare Fund**

- 3.1 Citizens affected can apply for Discretionary Housing Payment (DHP), which is a fund available for those facing financial hardship because of rent liabilities. Awards are based on the citizen's income and expenditure and the appropriate award is made to alleviate hardship and prevent homelessness. Each application for assistance is considered on a case by case basis. In August 2017, all individuals affected by benefit cap who had previously not applied for DHP were invited to apply.
- 3.2 Discretionary Housing Payments are made from a ring fenced, limited fund provided by Scottish Government. The fund is insufficient to fully mitigate benefit cap for all citizens. In certain circumstances the fund can also support citizens meet the cost of rent deposits and/or advance rent if this involves moving to cheaper alternative accommodation that reduces reliance on DHP.
- 3.3 It is not possible to award DHP for benefit cap automatically without an application to the fund. Payments cannot be made indefinitely as funding is set on a yearly basis and its value cannot be guaranteed. The Scottish Government has made a commitment to fully mitigate under occupancy, but no such commitment has been made in relation to the benefit cap.
- 3.4 The Scottish Welfare Fund can also, where citizens qualify, provide payments for removal costs and crisis support for those who have been left in financial hardship because of meeting rent liabilities. Details of the support offered can be found at [http://www.edinburgh.gov.uk/info/20239/scottish\\_welfare\\_fund](http://www.edinburgh.gov.uk/info/20239/scottish_welfare_fund).

### **4.0 Homelessness Services**

- 4.1 The Council and third sector partners have a range of services which can provide advice and support to any families who are at risk of homelessness and/or affected by welfare benefit changes. Early intervention and prevention of homelessness are the primary aims of the Council. Representatives of this group highlighted a small number of cases where they believed appropriate prevention activity has not been undertaken, when individuals have presented as homeless. These cases have been reviewed and where appropriate additional guidance has been provided to officers. All officers working in this area are committed to ensuring everything possible is being done to prevent homelessness, and avoid housing crisis.
- 4.2 Advice services commissioned by the Council can be accessed in all localities, further details can be provided on request. The services will provide immediate information in a range of areas, including those which are particularly relevant to the cases raised by Power to the People: validity of notice from private sector properties, welfare benefits advice and income maximisation. In the north of the city the initial point of referral should be Granton Information Centre on 0131 551 2459 or 0131 552 0458
- 4.3 In addition to the support provided by commissioned services, the Council will provide housing advice, homeless assessment, and temporary accommodation, if required through all locality offices and 1a Parliament Square. The focus of the officers' work will be to prevent homelessness wherever possible by linking with Council colleagues, support agencies, mediating with landlords and provision of housing options.
- 4.4 It is imperative that those individuals who have been threatened with eviction engage with services at the earliest point to allow for possible mitigation of the situation and alternative solutions which could be sought.

## **5.0 Temporary Accommodation**

- 5.1 If families are homeless and require temporary accommodation this will be provided. The Council always aims to provide families with suitable accommodation, a self-contained flat or house. At the initial point of presentation this is not always possible and sometimes families are placed into bed and breakfast until suitable accommodation is available. We will always seek to meet families housing need in providing appropriate accommodation, but cannot always meet preferences in terms of location or style of property.
- 5.2 The Council has Key Performance Indicators (KPIs) for all Bed & Breakfast/Shared Houses involved in the provision of temporary accommodation to meet minimum standards and protect vulnerable users. There are 3 monthly contract meetings with providers to ensure Council standards are met as well as to address any issues arising. The Council also undertakes planned and unplanned inspections, as well as weekly telephone appointments with providers to assess the wellbeing of all residents.

## **6.0 Social Housing Provision**

- 6.1 Edinburgh has a shortfall in housing of all tenures resulting in high private sector rents and house prices. In January 2016, Council approved an ambitious programme to increase the Council's housing building programme from 3,000 to 8,000 homes over the next 10 years. This target was matched by six housing associations, bringing the joint commitment up to 16,000 affordable homes. Since then, the new Council coalition has increased this commitment to 20,000 homes and further accelerated delivery by stating that half of these homes are to be delivered in the first five years.
- 6.2 Over the next two years combined the Affordable Housing Supply Programme is programmed to approve the delivery of 1,296 homes for social rent by the Council and housing association partners. This equates to 64% of the Affordable Housing Supply Programme and is a record number of planned social rent approvals. In the Pennywell/Muirhouse area over 1,000 new homes have been built or are in development with many homes being for social rent by the Council or housing associations.

## **7.0 Standard of Social Housing**

- 7.1 The Council is committed to providing safe and secure housing, which are wind, watertight and free of dampness. Where reports are made specifically surrounding dampness individual surveys are carried out, where required, by specialist contractors and any repairs carried out as soon as practicable.
- 7.2 Empty Homes are also inspected at the point of properties becoming vacant and repairs are carried out to the required standard.

## **8.0 Empty Homes**

- 8.1 The number of empty homes in Edinburgh across all tenures is in line with the Scottish average. Council homes that become vacant are repaired to the standard of let and are re-let as soon as possible thereafter. During 2015/16 Council homes were let within an average of 23 days, compared to the Scottish local authority average of 42 days. As at the end of July 2017 there were 144 homes that were being actively re-let.

## **9.0 Private Sector Rent Controls**

- 9.1 From December 2017, if a council has evidence of rents increasing disproportionately they can apply to Scottish Ministers to have that area designated as a 'rent pressure zone'.
- 9.2 This would mean that a cap (a maximum limit) is set on how much rents would be allowed to increase for existing tenants each year in that area. This would require a process of consultation and evidence to be submitted to Scottish Government before this could take place.
- 9.3 Full Council on 29 June 2017 agreed to call for a report on the steps that need to be taken to implement a city-wide Rent Pressure Zone to limit increases in high rents within the private rented sector in the City. There are no timescales confirmed for this yet.

## **10.0 Evictions because of Non-Payment of Rent**

- 10.1 There have been no tenants evicted from Council homes due to rent arrears arising from the Benefit Cap. The Councils approach to managing rent arrears is to seek engagement as soon as possible to avoid a build-up of debt. For tenants affected by the Benefit Cap, the Council provides detailed advice and information that may assist with any reduction in the housing benefit or housing element of Universal Credit that they may have received to assist with their housing costs. The decision to progress arrears cases to court and any subsequent eviction action will be dependent on the circumstances in each case and eviction remains a last resort.
- 10.2 All Landlords, including those in the private sector must adhere to the legislative process surrounding repossession of properties. The Council will work with citizens to ensure they are fully aware of their rights and provide support and advice where their tenancy is under threat with the aim of avoiding eviction.

## **11.0 Advocacy**

- 11.1 The Council will always respect the rights of individuals to be assisted by advocates, provided appropriate mandates to be represented are provided. There is no record of the incident referred to by Power to the People Group, but the Council welcomes representation and would expect all parties to demonstrate a mutual respect for each other's roles.

## **Next steps**

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The points raised by Power to the People and All About Me Groups will be the focus of the next meeting of the Welfare Reform Working Group planned for 4 September 2017. Any additional actions can be raised at this group for referral to appropriate Committee if required.

## **Contact Details**

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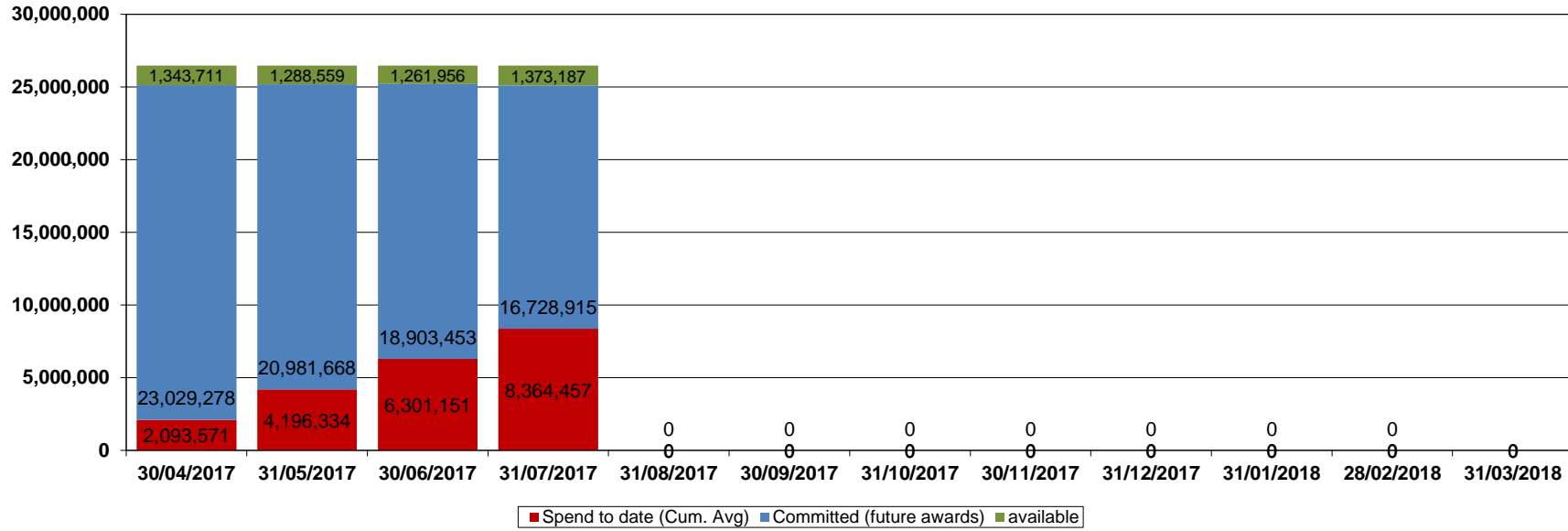
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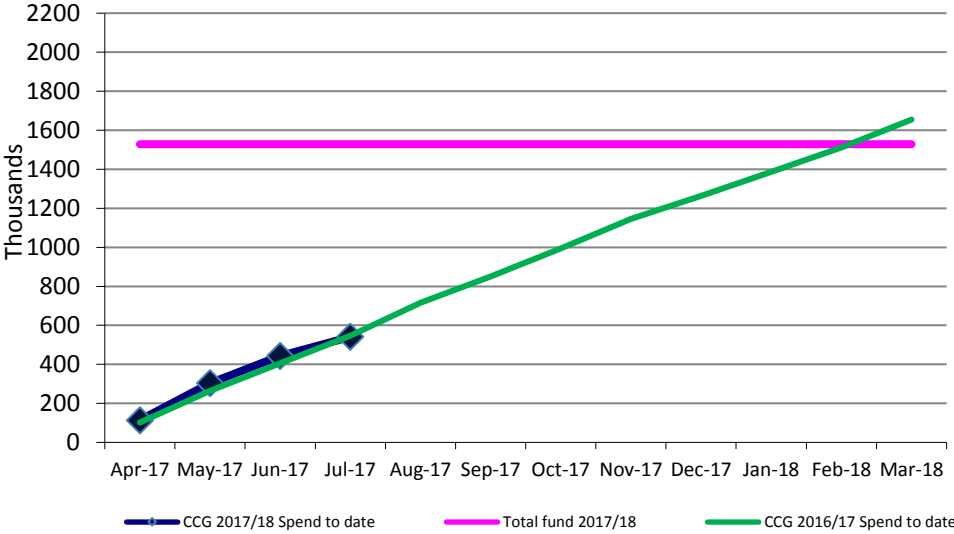
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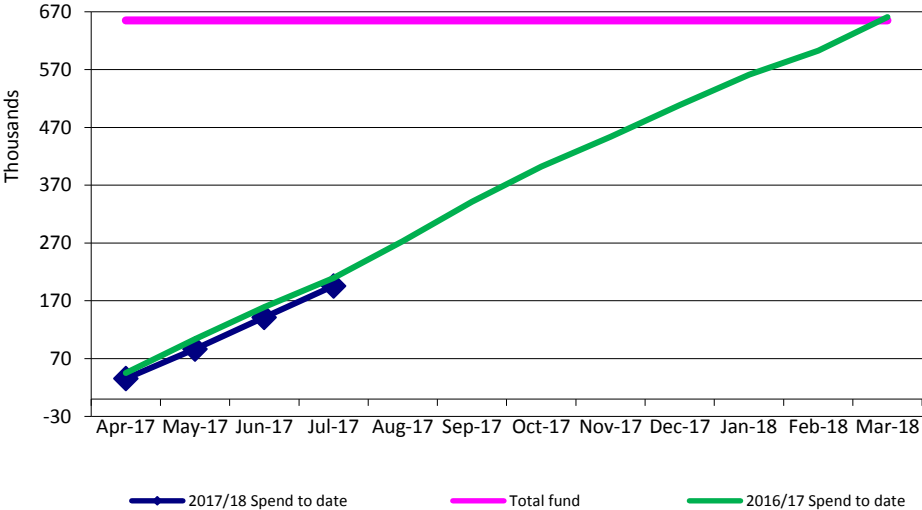
### CTRS Distribution 2017/18



**Community Care Grant Allocation 2017/18**

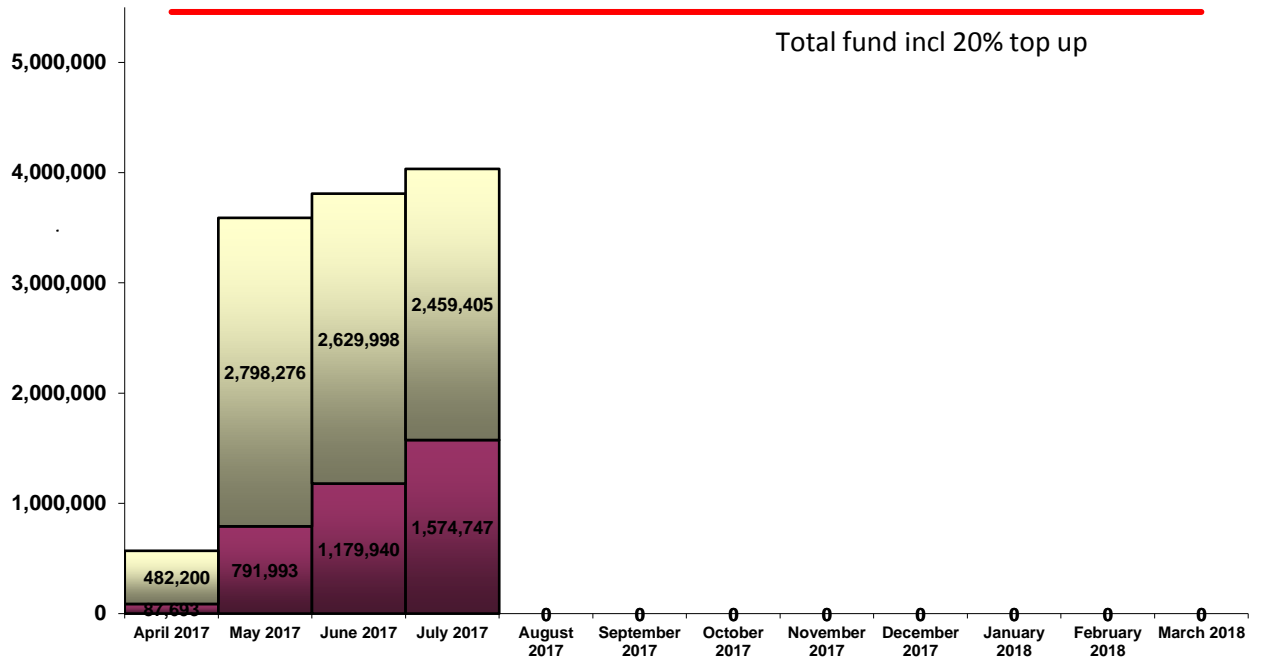


**Crisis Grant Allocation 2017/18**



# Appendix 4

## DHP Fund Allocation 2017/18



# Governance, Risk and Best Value Committee

10.00am, Tuesday 31 October 2017

## Edinburgh Catering Services

Item number	7.4
Report number	
Executive/routine	
Wards	
Council Commitments	

### Executive Summary

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The Edinburgh Catering Service is a significant trading organisation (STO) of the Council and has remained in a deficit position over the last 3 years, as reported in the Council's Annual Report and Accounts. The report outlines measures being taken to bring the service into a balanced and, in the longer-term, profitable position.



## Edinburgh Catering Services

### 1. Recommendations

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- 1.1 Members of the Governance, Risk and Best Value Committee are requested to note:
- 1.1.1 the identification of the reasons leading to the underlying deficit position delivered by the service.
  - 1.1.2 the actions proposed as part of a general turnaround and improvement plan for the service and to receive a further report outlining progress made in March 2018.

### 2. Background

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- 2.1 The Edinburgh Catering Service is a significant trading organisation (STO) of the Council and has remained in a deficit position over the last 3 years, as reported in the Council's Annual Report and Accounts.
- 2.2 The statutory obligation to achieve a breakeven position over the three-year period concerned has primarily arisen due to a continuing downturn in turnover being generated by internal catering, as well as an increase in underlying staffing and equipment costs. The summary financial performance of the service during the last 3 years is shown below:

#### Summary 3 Year Financial Performance

	2016-17	2015-16	2014-15	Cumulative
	£000	£000	£000	£000
<b>Turnover</b>	901	980	1,297	3,178
<b>Surplus</b>	0	0	0	0
<b>Deficit</b>	-191	-232	-66	-489

- 2.3 The Month five trading position for the 2017/18 financial year is showing an approximate £98k deficit against a £28k contribution, an adverse variance of approximately £127k. The current full year forecast, shows a significant trading improvement to a £28k deficit. However, further work is required to validate and reprofile the forecast income figures for the full year, to ensure greater accuracy and achievability.

### 3. Main report

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- 3.1 The Edinburgh Catering Service combines both the Council's corporate catering and school meals services under a single management structure within the Property and Facilities Management Service of the Resources Directorate. The service provides in the order of 18,000 meals per day as well as corporate catering support for the Council's main operational buildings and neighbourhood offices.
- 3.2 The service has continued to underperform financially during the last 3 years and there have been a number of factors contributing to this historic trading deficit as follows:
- 3.2.1 The reduction in income is partly attributable to significantly enhanced levels of choice and competition, resulting in reduced internal spend on catering. For example, there are now seven establishments within one minute of Waverley Court where people can purchase a coffee, the opening of Costa Coffee opposite these offices is proving to be a specific challenge. This has had an adverse effect on the Waverley Court staff restaurant and coffee bar income levels, resulting in a drop of income of approximately £45k, compared to 2015/16, and a drop in income of approximately £125k compared to 2014/15.
- 3.2.2 During the past 3 years there has been a significant reduction in Directorate/Service expenditure on teas, coffee and biscuits for meetings as part of the Council's efficiency arrangements, with such provisions now being deemed the exception, rather than as standard.
- 3.2.3 The former integrated Property and Facilities Management (FM) model led to difficulties with a lack of strategic, professional and operational management with catering expertise and experience, when the service was first integrated into the wider FM function. Effectively, Facilities Managers were, at that time, made responsible for properties with catering facilities without having the necessary knowledge to lead this effectively. Combined with the challenging and competitive trading conditions for both gross and net margins, this has resulted in a poorer trading performance over the past 3 years.
- 3.2.4 Income generating activities, such as hospitality and events services at the City Chambers have historically been run at a low profit margin with, in some

cases, internal events failing to cover total costs. Proposals are currently in development with the Place Directorate's Culture Service to enhance event revenues and implement more realistic and effective costing and cost recovery for the future.

- 3.3 At the same time as facing greater competition and reduced management capability, additional revenue pressures have had to be absorbed by Edinburgh Catering Services year on year. This has been due to the increase in the percentage of allocated central support costs and management team overhead costs that are included in the yearly trading figures. These costs increased from 8% in 2014/15, to 21% in 2015/16, despite the closure of a number of coffee shops.
- 3.4 The local government pay award in September 2017 has further increased operating costs by 1%. For example, the current staffing budget for Waverley Court is £259k per annum, which will transition to a new staffing model, subject to a full organisational review approach and will reduce these costs to £198k, to reflect the better management of agency worker costs and the falling revenue levels. Further resourcing reductions may need to be considered from Year 2 of the outline action plan being developed, which would further impact the speed of delivering a turn-around in operating costs and generating a break even, or surplus position.

#### **Outline Action Plan**

- 3.5 Through the current Facilities Management Transformation Review, the Edinburgh Catering Service has returned to a single line function, no longer aligned with building management or cleaning services. Consequently, this is receiving the required investment and dedicated management resource and capability to enable improvements, both in terms of the catering products and the financial trading performance. The new Edinburgh Catering Service management team is now fully in post and includes the Catering Manager, with commercial catering experience and the 4 Catering Locality Team Leaders. The short to medium term focus of the Catering Manager's role, with support from the Team Leaders, is to focus on corporate catering and to create a detailed priority plan to address the ongoing budget deficits.
- 3.6 It is envisaged that these service improvements will start to accrue financial benefits part year during 2017/18 and thereafter. The profiled financial improvement plan is being developed at present, with the relevant Finance support and challenge. The outline improvement action plan will include the following steps:
- Reducing costs and maximising income generation by way of increasing uptake of meals by staff, through the provision of better quality and choice of meals and a new pricing strategy;
  - Aligning the staffing profile to income generation, maintaining a robust focus on managing down levels of sickness absence and reducing backfill agency costs and reliance;
  - The renegotiation of Brakes (food supply) pricing for the corporate estate;

- Assessing the smaller catering outlets in the East and West Neighbourhood Offices to consider their long-term commercial viability;
- Considering extending opening hours at staff restaurants / coffee bar, and enhancing the current product offer;
- Realigning central support costs to actuals as opposed to estimates and seeking to reduce overhead allocations where appropriate;
- Renegotiating vending machine contracts to ensure value for money and increasing income opportunities for the Council;
- Considering the introduction of a trolley service across certain sites, with initial estimates indicating the potential for a £50,000 uplift in annual sales;
- Reviewing tariffs in line with inflation. Tariffs have not been altered since 2015 and have failed to keep up with the average inflation of 4-5% year on year. This tariff increase is proposed at 8% to align with previous years of missed increases, whilst not wishing to unduly reduce pricing competitiveness;
- Investment in new equipment which will enable further staffing savings and will reduce waste, e.g. the enhancement of the City Chambers kitchen facilities will now be able to accommodate large events, rather than relying upon products generated from Waverley Court; and,
- More detailed management information reporting at site level to include a suite of key performance indicators and management information reports to include gross and net profit reporting at site level, average spend per customer, stakeholder consultation, numbers of meals served, sickness absence etc.

#### **4. Measures of success**

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- 4.1 The production of a clear and time bound action plan for improvement, which sets out the financial, quality, performance, marketing and workforce improvements that are required to be achieved.
- 4.2 Moving the Edinburgh Catering Service into a balanced or profitable financial position within the period of the improvement plan.

#### **5. Financial impact**

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- 5.1 The financial impact arising from this report is the negative performance of the Edinburgh Catering Service, which requires to be addressed and the need to offset financial under performance relative to the contribution made.

## **6. Risk, policy, compliance and governance impact**

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- 6.1 The risk arising from this report remains that the service does not achieve an improved financial position and continues to present a negative position as part of the Council's annual report and accounts and external audit opinion.

## **7. Equalities impact**

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- 7.1 There are no specific equality impacts arising from the report.

## **8. Sustainability impact**

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- 8.1 There are no specific impacts arising from the report.

## **9. Consultation and engagement**

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- 9.1 Ongoing engagement with the staff within the Catering Service is being undertaken to ensure the improvement plan is well understood and owned by more staff than just the management team.
- 9.2 Customer engagement in respect of any proposed changes to the service for corporate catering purposes will be undertaken at appropriate points in the improvement plan being delivered.

## **10. Background reading/external references**

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- 10.1 None.

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# Governance, Risk and Best Value Committee

10.00, Tuesday, 31 October 2017

## ICT in schools - update

Item number 7.5

Report number

Executive/routine

Wards

Council Commitments

### Executive Summary

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This report provides Committee with an update to the questions raised at its meeting of the 29 August 2017 about ICT in schools.

## ICT in schools - update

### 1. Recommendations

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- 1.1. To note the contents of this report.
- 1.2. To note that a further report on ICT in schools will be brought to Committee in January 2018.

### 2. Background

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- 2.1. A report on the Status of the ICT programme was presented to Committee on the 29 August 2017 and provided details of the programme of works within ICT and the current service delivered by the Council's ICT partner, CGI, together with options available to the Council regarding contractual remedies.
- 2.2. Committee requested a report on:
  - a) How the decision was taken to enable pupils attending James Gillespie's High School to bring their own IT devices rather than Council devices.
  - b) What advice James Gillespie's High School were given by the directorate on the implications of their decision.
  - c) Further information of other schools within the City who were in the same situation and their experiences.
  - d) Possible solutions to the issue raised by the deputation on the lack of wi-fi at the High School and related timescales.

### 3. Main report

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#### **How the decision was taken to enable pupils attending James Gillespie's High School to bring their own IT devices rather than Council devices.**

- 3.1. While this is the aim of James Gillespie's High School (JGHS) senior management team, no such decision has actually been taken.

#### **What advice James Gillespie's High School were given by the directorate on the implications of their decision.**

- 3.2 Please see attached position paper (appendix 1) written in February 2015 containing points and recommendations which are still relevant today. In addition to the points raised it should be noted that the national and local stance on 'poverty-proofing the school day' by ensuring there are no on-costs for pupils is

heightened. [The Education Authority Improvement Plan](#) contains this as a specific target (Section 1: Reducing Inequalities: 1.3). The position posited by JGHS, however, is that as most of their young people could access a personal device it would have been a waste of the education budget to buy school devices. Further, they feel that the guidance at the time did not preclude them from investigating this option.

**Further information of other schools within the City who were in the same situation and their experiences.**

- 3.3 There are presently 20,500 school iPads in use across the City of Edinburgh Council Schools.
- 3.4 Of the twenty two other High Schools, sixteen have invested in at least one pupil year group of 1 to 1 iPads and a further two are actively considering this. Seven of the High Schools' have at least 3 year groups that adopted 1 to 1 devices. In common with many other schools, JGHS have invested in iPads for staff after full consultation with the Council Digital Strategy Team and to support Learning and Teaching.
- 3.5 An opportunity was made in 2013 where schools were offered 50% funding on any year group launching 1 to 1 supplied centrally. Further funding has subsequently come from schools' devolved budgets, which is at the discretion of the headteacher to manage. The decisions that headteachers take in regard to their budgets must cover many aspects, such as staffing and the development of learning and teaching. IT may or may not figure depending on other school priorities though there is an expectation that digital skills are used to support learning and teaching.

**Possible solutions to the issue raised by the deputation on the lack of wi-fi at the High School and related timescales.**

- 3.6 The lack of Wi-Fi at the School is not the issue. JGHS have access to Wi-Fi throughout the school, with similar access point numbers to some of the High Schools who have a 1 to 1 policy in place. Currently pupils cannot access Wi-Fi, however permitting Public Internet Wi-Fi is technically possible, and was recently made available to enable visitors and pupils to take part in a 'Model United Nation' event. To enable this to be in place permanently the Council position needs to be reconsidered. A Short Life Working Group has been convened and remitted to review the Council position. The group will report within three months (by January 2018).
- 3.7 ICT Solutions are assisting taking forward ICT Strategy for the school and will help shape this as well as inform the potential increase of bandwidth and segregation requirements this would require.
- 3.8 Please note that currently within schools there is a single infrastructure which delivers Learning and Teaching Wi-Fi. This is a closed network and is used for those requiring access to secure/ approved council applications on council owned devices. This infrastructure is capable of delivering segregated access that could include Bring Your Own Device (BYOD) connections however this requires additional security and also each device would require to register to the Council's



Managed Device Network. Registration restricts the applications that can be downloaded to an individual's phone. Public Internet access is also technically possible and if switched on would be open to all: the user would need to register, however restriction to what users access would be difficult to monitor. Further, the implementation of the new EU legal framework: GDPR (General Data Protection Regulation) will require focused actions to ensure compliance with data sharing and data protection. In light of these new rules, public internet access may need to be even more carefully scrutinised to ensure there are no breaches of data protection.

- 3.9 Councils across Scotland are currently all facing similar issues and are making decisions based on local context. Scottish Borders have recently allowed all senior (S5-S6) pupils to use public WiFi in schools. Glasgow City, which is proactive in 'poverty-proofing the school day' has committed to providing devices for learners. The SLWG will try to gather as many examples nationally to inform its conclusions. These will be reported back in January.

#### **4. Measures of success**

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- 4.1. Our learners will have the appropriate learning tools at their disposal; no child will be excluded from learning; and Headteachers will be supported to make the decisions in regard to IT that best suit the needs of their school population.

#### **5. Financial impact**

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- 5.1. There are no financial impacts arising from this report.

#### **6. Risk, policy, compliance and governance impact**

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- 6.1. EU legal framework: GDPR (General Data Protection Regulation) will require focused actions to ensure compliance with data sharing and data protection.

#### **7. Equalities impact**

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- 7.1. The decisions outlined in the next report will specify any negative impact in relation to protected characteristics or vulnerable groups.

#### **8. Sustainability impact**

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- 8.1. Decisions associated with the report will be 'future-proofed' to ensure sustainability is considered.

## 9. Consultation and engagement

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- 9.1. The group will consult with wider groups of Headteachers while in draft form.

## 10. Background reading/external references

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- 10.1. [Status of the ICT programme 29 August 2017](#)

### **Alistair Gaw**

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## 11. Appendices

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1. BYOD Position Statement 2015

## Bring Your Own Device (BYOD) discussion

### *General proposal*

Allow secondary pupils to bring a personally-owned ICT device (which meets an agreed minimum specification) into school and allow this device to be connected to the school's wireless network so that it can be used in the classroom to support learning & teaching.

### *Background*

While schools continue to provide some access to ICT for pupils using computer labs, the council's ongoing strategy for the development of ICT for learning is outlined in our 'Developing 1:1 Digital Learning' position paper, which states the following two key objectives:

- ICT is routinely and effectively embedded in all aspects of learning and teaching
- All learners have personal access to ICT whenever and wherever it benefits learning

Our approach to meeting these objectives so far has been to encourage schools to purchase a device (currently iPad) for pupils, on a 1:1 basis in secondary schools (implementing one year group at a time), and on a 1:N model for primary classrooms, but working towards 1:1 where appropriate (eg in P5-7), following the Digital Learning Team's 1:1 Toolkit.

By providing all pupils in a cohort with access to the same device and the same core set of immersive software tools, we can:

- **ensure inclusion and equality** for all learners.
- **support pedagogical transformation** by allowing teachers to fully embed ICT into learning and start to really redesign the learning & teaching process.

The effective implementation of 1:1 undoubtedly presents schools with new challenges to overcome, but the better each school has followed our 1:1 Toolkit to help overcome these challenges the more successful their 1;1 project has been. These include:

- Direct **senior leadership** of 1:1 and a strong ICT working group
- Significant in-house **professional development** for staff ahead of launch
- Robust **digital safety** curriculum in place
- Clear **policies and procedures** at the outset and for day to day issues
- Good **engagement with parents and pupils** prior to launch
- Appropriate levels of **technical support** for device setup, maintenance and monitoring
- Cost of buying and replacing devices

### *Considering BYOD*

In principle, if BYOD is to be considered it must be delivered in as equitable and inclusive a manner as possible, so 1:1 (ie a device for every pupil in a cohort) must still be achieved. This would mean a school would need to be prepared to provide all pupils who do not have their own device (which meets a specified minimum standard) with a school-owned one.

Beyond that, in order to implement a genuinely effective approach to BYOD, all the above 1:1 challenges (other than cost) would still need to be addressed by the school, and some significant additional challenges also emerge.

<b>Inclusion</b>	
A wide range of ICT devices of varying types appearing in school further emphasises socioeconomic differences between pupils.	We either need to accept this or we specify single platform. ie you can only bring your own device if it is an iPad.
<b>Pedagogy</b>	
A wide range of devices will make L&T integration more difficult, and also present teachers with greater classroom management challenges. There is a danger that this actually weakens pedagogy and teacher confidence.	Again, we could specify single platform. Alternatively, there would need to be a significantly higher level of teacher professional development prior to launch.
<b>Device safety</b>	
Parents may be uncomfortable allowing expensive equipment into school that the school could not take responsibility for.	If we say this is at parents' own risk, then we cannot realistically achieve 1:1, so we have inequality and we weaken pedagogical impact significantly. One approach may be to only implement in senior school where we can rely on greater personal responsibility. We'd need a carefully worded Home School Agreement for parents and pupils to sign.
<b>Inequality across schools</b>	
While BYOD may be achievable for schools in our more affluent areas where personal device ownership is high, a policy that effectively discriminates against schools in areas of lower socio-economic status could be deemed unfair.	We either need to accept this, or we allocate additional funding to other schools to compensate.
<b>Technical considerations</b>	
Schools have no control over personally owned devices in terms of inappropriate software/malware, so they could have an unduly negative effect on the school's or city's network/bandwidth.	Limited bandwidth and lack of bandwidth segregation (between traffic from BT machines and traffic from wireless) means we'd need to restrict this to a few single year group pilots, at least until after ICT Procurement in March 2016.

### **Next Steps**

Longer term, BYOD may well be our pragmatic solution for enabling 1:1 for some pupils, but it is difficult to do well and will take significant planning and preparation to get right at this time. (In many ways, the best way to prepare staff for BYOD is to run a school-provided 1:1 project first).

If we are to proceed with this now, next steps could be:

- Engage with council/SLT to determine political appetite for this approach
- SLWG decide on specifics of BYOD approach
- Decide on 1 or 2 focused pilots (single year groups only)
- Pilots begin working through 1:1 Toolkit (+ additional challenges above) to help plan and prepare for pilot launch
- Digital Learning Team audit pilots on state of readiness (as per all 1:1 implementations).

**D McKee**  
**Digital Learning Team Manager**