

Notice of meeting and agenda

Finance and Resources Committee

10.00 am Thursday, 20th May, 2021

Virtual Meeting - via Microsoft Teams

This is a public meeting and members of the public are welcome to watch the webcast live on the Council's website.

The law allows the Council to consider some issues in private. Any items under "Private Business" will not be published, although the decisions will be recorded in the minute.

Contacts

Email: rachel.gentleman@edinburgh.gov.uk / sarah.stirling@edinburgh.gov.uk

Tel: 0131 529 4107 / 0131 529 3009

1. Order of business

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

2. Declaration of interests

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

3. Deputations

- 3.1 Edina Hibs Football Club
- 3.2 Bingham Athletic Community Football Club
- 3.3 Portobello Community Football Academy

4. Minutes

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5. Forward Planning

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6. Business Bulletin

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7.6	Waiver Extension – Building Energy Management System (BEMS) – Report by the Executive Director of Resources	199 - 202
7.7	Local Government Pension Scheme - Employer Discretions Policy Statement – Report by the Executive Director of Resources	203 - 214
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7.9	Edinburgh Integration Joint Board – Contract Living Wage Uplift – Report by the Executive Director of Resources	227 - 232
7.10	Contract Award Recommendations Report in Respect of ‘Receipt and Composting of Garden Waste’ – Report by the Executive Director of Place	233 - 238
7.11	Collection and Reprocessing of Communal Glass – Report by the Executive Director of Place	239 - 244
7.12	Fountainbridge Development Partner Appointment Recommendation – Report by the Executive Director of Place	245 - 256
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8.5	49 North Fort Street, Edinburgh - Proposed New Lease – Report by the Executive Director of Resources	353 - 356
8.6	Kingsknowe Park Pavilion and Football Pitches, 25 Dovecot Road, Edinburgh – Proposed New Lease – Report by the Executive Director of Resources	357 - 360
8.7	23 Union Street, Edinburgh - Proposed New Lease – Report by the Executive Director of Resources	361 - 364
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8.9	137 Lauriston Place, Edinburgh - Proposed Lease Extension – Report by the Executive Director of Resources	371 - 374
8.10	328 and 330 West Granton Road, Granton – Proposed Acquisition – Report by the Executive Director of Resources	375 - 380
8.11	Internal Audit: Overdue Findings and Key Performance Indicators as at 10 February 2021 – referral from the Governance, Risk and Best Value Committee	381 - 494

9. Motions

9.1 None.

10. Resolution to consider in private

10.1 The Sub-Committee, is requested under Section 50(A)(4) of the Local Government (Scotland) Act 1973, to exclude the public from the meeting for the following items of business on the grounds that they would involve the disclosure of exempt information as defined in Paragraphs 6, 9 and 12 of Part 1 of Schedule 7A of the Act.

11. Private Reports

11.1	Commercial Property Portfolio - Update – Report by the Executive Director of Resources	495 - 502
11.2	Leith Links Lease Restructure Update – Report by the Executive Director of Resources	503 - 508
11.3	Statutory Repairs Debt Write-Off – Report by the Executive Director of Resources	509 - 526

Andrew Kerr

Chief Executive

Committee Members

Councillor Rob Munn (Convener), Councillor Joan Griffiths (Vice-Convener), Councillor Alasdair Rankin, Councillor Chas Booth, Councillor Graeme Bruce, Councillor Gavin Corbett, Councillor George Gordon, Councillor Graham Hutchison, Councillor Andrew Johnston, Councillor Neil Ross and Councillor Mandy Watt

Information about the Finance and Resources Committee

The Finance and Resources Committee consists of 11 Councillors and is appointed by the City of Edinburgh Council.

This meeting of the Finance and Resources Committee is being held virtually by Microsoft Teams.

Further information

If you have any questions about the agenda or meeting arrangements, please contact Rachel Gentleman or Sarah Stirling, Committee Services, City of Edinburgh Council, Business Centre 2.1, Waverley Court, 4 East Market Street, Edinburgh EH8 8BG, Tel 0131 529 4107 / 0131 529 3009, email rachel.gentleman@edinburgh.gov.uk / sarah.stirling@edinburgh.gov.uk.

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Minutes

Finance and Resources Committee

10.00am, Thursday 4 March 2021

Present:

Councillors Munn (Convener), Griffiths (Vice-Convener), Bruce, Corbett, Dixon (substituting for Councillor Gordon), Hutchison, Johnston, Frank Ross (substituting for Councillor Rankin), Neil Ross, Staniforth (substituting for Councillor Booth) and Watt.

1. Minutes

Decision

- 1) To approve the minute of the Finance and Resources Committee of 21 January 2021 as a correct record.
- 2) To approve the minute of the Finance and Resources Committee of 2 February 2021 as a correct record.

2. Work Programme

The Finance and Resources Committee Work Programme as at March 2021 was submitted.

Decision

To note the Work Programme.

(Reference – Work Programme of 4 March 2021, submitted.)

3. Rolling Actions Log

The Finance and Resources Committee Rolling Actions Log as at March 2021 was submitted.

Decision

- 1) To agree to close the following actions:
 - Action 1(3) – The City of Edinburgh Council Charitable Trusts – Report to Those Charged with Governance on the 2019/20 Audit
 - Action 6 – Revenue Budget 2020/21: Month Eight Position
 - Action 7 – Civic Hospitality Policy and Budget Adjustments
 - Action 8 – Workforce Dashboard – November 2020
 - Action 9(2&3) – Award of a Contract for the Provision of Temporary Agency Staff, Permanent, Fixed Term Contract and Short-Term Supply Resources
 - Action 10 – 3-11 West Granton Road, Edinburgh – Proposed Lease

- 2) To otherwise note the remaining outstanding actions.

(Reference – Rolling Actions Log of 4 March 2021, submitted.)

4. Business Bulletin

The Finance and Resources Committee Business Bulletin for March 2021 was submitted.

Decision

To note the Business Bulletin.

(Reference – Business Bulletin, 4 March 2021, submitted.)

5. Sustainable Capital Strategy 2021-31 – Annual Report

The proposed capital strategy was set out, which provided a high-level overview of how capital expenditure, capital financing and treasury management activity contributed to the infrastructure and provision of services for the benefit of Edinburgh communities and citizens.

Decision

- 1) To note the Capital Strategy, as set out in Appendix 1 of the report, and to refer to full Council for approval.
- 2) To note that capital expenditure priorities were being considered in line with the Council's priorities and approach proposed under the Adaptation and Renewal Programme outlined in the new Council Business Plan.

(References – Act of Council (no. 5) of 18 February 2021; report by the Executive Director of Resources, submitted.)

6. Annual Treasury Management Strategy 2021/22

A Treasury Management Strategy for the Council for 2021/22 was proposed, comprising an Annual Investment Strategy and a Debt Management Strategy. There was a statutory requirement for Council to approve this in advance of the new financial year.

Decision

- 1) To note the Annual Treasury Strategy 2021/22 and to refer the report to the City of Edinburgh Council for approval of the report and the change to the Council's Treasury Management Policy Statement and subsequent remit by the City of Edinburgh Council to the Governance Risk and Best Value Committee for scrutiny.
- 2) To note the key points in the report, that:
 - i) The Council's total capital expenditure was forecast to be £1.987bn between 2020/21 and 2024/25 with an underlying need to borrow at 31 March 2025 forecast to be £2.327bn.

- ii) The Council would continue to fund its Capital Financing Requirement from temporary investment balances over the next year.
 - iii) The Council would continue to seek opportunities to mitigate future interest rate risk with alternatives to the Public Works Loan Board and lock out the risk where appropriate.
- 3) To agree to include more detail on the level of borrowing in the six-month period Treasury Management report.

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

7. Revenue Budget 2020/21 and 2021/26 Budget Framework Update

An update was provided to members on the position in respect of the current year's revenue budget which, following the confirmation of further pandemic-related funding for local authorities, continued to reflect a projected balanced overall outturn. The report also briefly set out the outcome of the Council's budget-setting meeting and its impact on subsequent years of the revenue budget framework.

Decision

- 1) To note that in light of the confirmation of further in-year pandemic-related funding for local authorities, a balanced overall position continued to be forecast.
- 2) To note that, following the setting of a balanced one-year revenue budget by Council on 18 February 2021, a further briefing would be provided to all members once any further implications of the approved Scottish and UK Budgets for the budget framework were known.

(References – Finance and Resources Committee of 21 January 2021 (item 5); report by the Executive Director of Resources, submitted.)

8. Edinburgh Catering Services - Other Catering Significant Trading Operation (STO) - Update

As a consequence of the Covid-19 pandemic and the move to home working, Edinburgh Catering Services - Other Catering Significant Trading Operation (STO) had been unable to trade during 2020/21 financial year.

There remained uncertainty as to future office working arrangements. As this had a significant impact on the business case for the STO to trade, it was recommended that the STO be “de-badged”, with effect from 1 April 2020.

Decision

- 1) To approve the “de-badging” of Edinburgh Catering Services - Other Catering STO with effect from 1 April 2020.
- 2) To agree a report would be presented to a future meeting of the Finance and Resources Committee, setting out a business case for re-commencement of Edinburgh Catering Services - Other Catering trading activities.

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

9. Depot Strategy – Phase 2

The Depot Strategy was approved by the Finance and Resources Committee on 2 February 2016, followed by a Gateway Review on 4 December 2018. Due to the continuing evolution of service strategy, the Depot Strategy had been split into two phases, with Phase 1 (primarily relating to waste services) now successfully concluded.

The timing and phasing of Phase 2 had required an overall reassessment based on the major risks which had emerged over the last year. The strategy had moved away from the consolidation of the remaining South East sites in a single super hub, to one which is based around smaller, more localised depots which would deliver multiple services more efficiently.

Motion

- 1) To approve the updated Depot Strategy which continued with the concept of multi-service hubs complemented by local delivery depots.
 - 2) To approve a reduced scope storage and access facility for City Archives, with the remainder of storage associated with the Museums and Galleries venues being reported separately through the Cultural Service Review.
 - 3) To agree that Council officers would actively engage directly with all landowners and relevant stakeholders to develop a Memorandum of Understanding for the future regeneration of the wider Russell Road area.
 - 4) To note the proposed next steps at paragraph 5 of the report and to request further reports as progress was made.
- moved by Councillor Munn, seconded by Councillor Griffiths

Amendment

- 1) To approve the updated Depot Strategy which continued with the concept of multi-service hubs complemented by local delivery depots.
 - 2) To approve a reduced scope storage and access facility for City Archives, with the remainder of storage associated with the Museums and Galleries venues being reported separately through the Cultural Service Review.
 - 3) To approve a Memorandum of Understanding with Russell Road Edinburgh Ltd (RREL), an adjoining landowner who sought to work in partnership with the City of Edinburgh Council in order to explore a wider regeneration of Russell Road. Nothing in any MOU should preclude the council retaining the site in its own ownership and developing it directly to deliver on priority objectives; and those objectives, whether developed directly or in partnership, should include the urgent need for affordable housing; the primacy of active travel and public transport connectivity; and the imperative to deliver a zero carbon neighbourhood.
 - 4) To note the proposed next steps at paragraph 5 of the report and to request further reports as progress was made.
- moved by Councillor Corbett, seconded by Councillor Staniforth

In accordance with Standing Order 22.12, the amendment was accepted as an addendum to the motion.

Decision

- 1) To approve the updated Depot Strategy which continued with the concept of multi-service hubs complemented by local delivery depots.
- 2) To approve a reduced scope storage and access facility for City Archives, with the remainder of storage associated with the Museums and Galleries venues being reported separately through the Cultural Service Review.
- 3) To agree that Council officers would actively engage directly with all landowners and relevant stakeholders to develop a Memorandum of Understanding for the future regeneration of the wider Russell Road area. Nothing in any MOU should preclude the Council retaining the site in its own ownership and developing it directly to deliver on priority objectives; and those objectives, whether developed directly or in partnership, should include the urgent need for affordable housing; the primacy of active travel and public transport connectivity; and the imperative to deliver a zero carbon neighbourhood.
- 4) To note the proposed next steps at paragraph 5 of the report and to request further reports as progress was made.

(Reference – Finance and Resources Committee of 2 February 2016 (item 17); report by the Executive Director of Place and the Executive Director of Resources, submitted.)

10. Liberton Hospital, Edinburgh – Proposed Acquisition

The Council had been working closely with public sector partners to increase land supply to support affordable housing provision and deliver place-based regeneration. An opportunity had arisen to acquire the Liberton Hospital site in a direct purchase from NHS Lothian and partner landholders. Approval was sought to proceed with the purchase on the terms and conditions outlined in the report.

Councillor Cameron was in attendance as a ward councillor.

Decision

- 1) To approve the purchase of Liberton Hospital following the completion of due diligence and on the terms and conditions outlined in the report.
- 2) To note that a further report would be brought to a future Finance and Resources Committee to provide an update on the progress of the acquisition.

(References – Housing, Homelessness and Fair Work Committee of 14 January 2021 (item 6); report by the Executive Director of Resources and the Executive Director of Place, submitted.)

11. Workforce Dashboard – December 2020

A summary was provided of workforce metrics for the core and flexible workforce, absence, transformation/redeployment, risk, and performance, for the period of December 2020.

Decision

- 1) To review and note the workforce information contained in the dashboard.
- 2) To agree to provide further clarification on the displaced workforce funding and the £58k unfunded salary cost.

(References – Finance and Resources Committee of 21 January 2021 (item 11); report by the Executive Director of Resources, submitted.)

12. Annual Report – Debt Write-off

The Council was required to write off debt where there was little likelihood of it being recovered. This was good accounting practice and was carried out each financial year.

An update was provided with a summary of income streams deemed uncollectable and written off during 2019/20.

Decision

- 1) To note the sums due to the Council that had been written off during 2019/20 and the low value (0.70%) this represented compared to the overall level of income collected.
- 2) To note that, while a debt was written off for accounting purposes, cases would be reviewed, and payment appropriately pursued, if there was a material change in the debtor's circumstances.

(References – Policy and Sustainability Committee of 10 November 2020 (item 13); report by the Executive Director of Resources, submitted.)

13. Security Service – Use of Agency Workers

An update was provided on the Council's Security Team and the use of agency workers by this team. The advice given was that there were no agency workers used within the Council's security team within Property and Facilities Management. The current operating model comprised a Council employed core team which was supplemented, when necessary, by a Security Services Contract to G4S, as approved by the Policy and Sustainability Committee on 9 July 2020.

Decision

To note the content of the report and to discharge, in part, the Coalition Addendum from the Finance and Resources Committee approved on 21 January 2021.

(Reference – Finance and Resources Committee of 21 January 2021 (item 12); Policy and Sustainability Committee of 9 July 2020 (item 15); report by the Executive Director of Resources, submitted.)

14. Resources Directorate – Internal Audit Action Update

Following the Internal Audit annual opinion for the City of Edinburgh Council for the financial year ended 31 March 2020 and the outcomes of Internal Audits completed at the end of the 2019/20 Internal Audit Plan, findings were set out which were either a

Council-wide finding, which were applicable to all Directorates or were specific to the Resources Directorate.

Decision

- 1) To note the 2019/20 Internal Audit opinion and the associated summary findings from the final audits undertaken in the plan relevant to the Resources Directorate.
- 2) To note the position in respect of the current open and overdue internal audit findings relating to the Resources Directorate.

(References – Finance and Resources Committee of 21 January 2021 (item 18); report by the Executive Director of Resources, submitted.)

15. Health and Safety Performance in 2020

An update was provided on performance in relation to health and safety in 2020 during this unprecedented time.

Decision

- 1) To review and note health and safety progress and performance in 2020.
- 2) To agree to provide further explanation around the increase in near miss reporting.

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

16. Contract Award Recommendations Report in Respect of 'Granton Station Refurbishment'

Approval was sought to award the contract for 'Granton Station refurbishment' to Kier Construction Limited for a cost of up to £4.75m. The works would bring the historic former Granton Station building back into use as an enterprise hub and the derelict land in front of the building back into use as a high quality public square. It was anticipated that works would complete in late-2021 to early-2022.

Decision

To approve the award of a contract in respect of the 'Granton Station refurbishment' for a cost of up to £4.75m to Kier Construction Limited utilising the SCAPE Minor Works Framework.

(References – Act of Council (no. 11) of 19 November 2020; report by the Executive Director of Place, submitted.)

17. Award of Contract for Site Re-development Works at North Cairntow Traveller Site

Approval was sought to award a contract for re-development works at the North Cairntow Traveller site to the most economically advantageous organisation identified following a competitive tendering process.

Decision

- 1) To approve the award of contract to George Sharkey & Sons Ltd for redevelopment works at the Traveller site at North Cairntow.
- 2) To note that the contract would commence on 12 March 2021 for a period of up to 18 months with an estimated contract value of £3,844,733.04.
- 3) To agree to provide an update on further opportunities for funding for the project once more detail was known.

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

18. Award of Contract for Domestic Repair and Maintenance works to Council Properties

Approval was sought to award a Multi-Lot Framework Agreement to the most economically advantageous organisations identified following a competitive tendering process. The framework consisted of 7 Lots for reactive and planned repair and maintenance works to Council domestic properties.

Decision

- 1) To approve the award of a Multi-Lot Framework Agreement for reactive and planned maintenance works to the Council's Domestic Estate to the suppliers set out in Appendix 1 of the report. The framework consisted of seven Lots with an estimated value of between £20m and £24m over the maximum four-year term, as follows:
 - i) Lot 1 Internal Multi-Trade Works at an estimated contract value of £3,637,000 per annum.
 - ii) Lot 2 External Multi-Trade Works at an estimated contract value of £420,000 per annum.
 - iii) Lot 3 Gas Engineering Services at an estimated contract value of £885,000 per annum.
 - iv) Lot 4 Preservation Works at an estimated contract value of £300,000 per annum.
 - v) Lot 5 Mobile Access Equipment and Scaffolding at an estimated contract value of £150,000 per annum.
 - vi) Lot 6 Cosmetic Repair Works at an estimated contract value of £500,000 per annum.
 - vii) Lot 7 Jetting and Drainage Works at an estimated contract value of £150,000 per annum.
- 2) To note that an eighth Lot for Flooring works was also tendered, however was not considered for award at this time, as further feedback with the tenderers would be undertaken prior to deciding on the next steps for this requirement.
- 3) To note that the contract values above were reflective of estimated future pipeline of works and that the scope of works could fluctuate subject to demand, budget allocation and the availability of internal resources.

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

19. Contract Award – Purchase and Refurbishment of Communal Bins

Following a tendering exercise, approval was sought for the award of seven contracts for the provision, repair and refurbishment of communal bins. The total value of these contracts was expected to be £3,000,000 over the four-year duration of the contract (including extensions).

Decision

- 1) To approve the award of contracts for:
 - i) The Supply of Communal Bins and Spare Parts (Lot 1) to Storm Environmental Ltd.
 - ii) The Supply of Bin Housings & Spare Parts (Lot 2) to Wybone Ltd.
 - iii) The Provision of a Refurbishment Service for Existing Communal Bins (Lot 3) to Storm Environmental Ltd.
- 2) To note that the initial contract period (for all Lots) was two years, with the option to extend for two further 12-month periods, with a total maximum anticipated contract value (including extensions) of £3,000,000.

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

Declaration of Interests

Councillor Hutchison declared a non-financial interest in the above item as a Board member of the Scotland Excel Committee.

20. Contracts for Provision of Engineering Services for Roads Design, Structures and Flood Prevention

Approval was sought to adopt the Scotland Excel Framework for Engineering and Technical Consultancy (0820) which would run from 18 March 2021 until 17 March 2025 and to delegate authority to the Executive Director of Place to award Contracts for Provision of Engineering Services for Roads Design, Structures and Flood Prevention to the most economically advantageous organisation(s) identified following a competitive tendering process for each requirement.

Decision

- 1) To approve the adoption of the new Scotland Excel Framework for Engineering and Technical Consultancy (0820) which would replace the previous Framework Agreement (0616) expiring 17 March 2021.
- 2) To delegate authority to the Executive Director of Place to award Contracts for Provision of Engineering Services for Roads Design, Structures and Flood Prevention to the most economically advantageous organisation(s) identified following competitive tendering processes undertaken as mini-competitions through the Scotland Excel Framework for Engineering and Technical Consultancy - Lot 1 Roads and Structures and Lot 5 Drainage and Flooding.

- 3) To note that the contract values were estimated to be between £400k - £600k per annum for Roads Design, £100k – £150k per annum for Structures and £100 – £150k per annum for Flood Prevention for a period of up to four years.
- 4) To note that the awards would be reported to the Finance and Resources Committee under the half yearly procurement report for Awards of Contracts.

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

Declaration of Interests

Councillor Hutchison declared a non-financial interest in the above item as a Board member of the Scotland Excel Committee.

21. Hire Car Fleet Review 2020-23 (CT0794)

Approval was sought to award a contract to Jacobs UK Limited to provide a report on the findings of a full taxi demand survey and associated research on the licensed vehicle fleet in Edinburgh.

Decision

To approve the award of a contract to Jacobs UK Limited, to provide a report on the findings of a full taxi demand survey and associated research on the licensed vehicle fleet in Edinburgh.

(References – Act of Council (no. 1) of 24 October 2019; report by the Executive Director of Place, submitted.)

Declaration of Interests

Councillor Hutchison declared a non-financial interest in the above item as a Board member of the Scotland Excel Committee.

22. Award of Contracts for Day Opportunities Framework

a) Deputation – Eric Liddell Centre

A written deputation was presented on behalf of Eric Liddell Centre which detailed their efforts to resolve resourcing issues and meet the challenges of the Covid-19 pandemic. The deputation requested that the committee consider the financial challenges the Eric Liddell Centre now faced.

b) Report by the Chief Officer, Health and Social Care Partnership

Approval was sought to award the framework for Day Opportunities for Older People. The framework would commence for an initial period of 12 months, with the option to extend for an additional 12-month period.

Motion

- 1) To approve the award of the framework for Day Opportunities for Older People.
- 2) To note that the framework duration would be for a maximum of 24 months, on an initial 12-month basis, with the possibility to extend for a further 12-month period thereafter. The anticipated contract start date was 1 April 2021.
- 3) To note that the approximate total value of the framework was £4,934,000 including extensions.

- moved by Councillor Munn, seconded by Councillor Griffiths

Amendment

- 1) To approve the award of the framework for Day Opportunities for Older People.
- 2) To note that the framework duration would be for a maximum of 24 months, on an initial 12-month basis, with the possibility to extend for a further 12-month period thereafter. The anticipated contract start date was 1 April 2021.
- 3) To note that the approximate total value of the framework was £4,934,000 including extensions.
- 4) To note the deputation from the Eric Liddell Centre and to request that the IJB explore all possible options within the terms of the contract to reach a satisfactory outcome.

- moved by Councillor Neil Ross, seconded by Councillor Corbett

In accordance with Standing Order 22.12, the amendment was accepted as an addendum to the motion.

Decision

To approve the adjusted motion by Councillor Munn.

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

23. Contract Extensions for Alcohol and Drugs Service Contracts

Approval was sought to extend the current Alcohol and Drug Support contracts for up to 18 months from 1 April 2021 to up to 30th September 2022. These contracts had an annual value of £2.175m and were provided by five Service Providers: Turning Point Scotland (North East Hub); Change, Grow, Live (North West, South West and South East hubs); and Edinburgh and Lothians Council on Alcohol, Simpson House and Crew (Counselling services across the city). Normal procurement had been delayed by Covid-19 related pressures and extension would allow full and effective co production of future services.

Decision

To approve the request to extend current Alcohol and Drug service contracts due to the impact of Covid-19, from 1 April 2021 to up to 30th September 2022.

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

24. Contract Extension for the Edinburgh Health and Social Care Partnership

Partners 4 Change had been supporting the Edinburgh Health and Social Care Partnership since April 2019 with the implementation of the 3 Conversations approach, which was a key element of the Strategic Plan 2019 -2022.

The original contract with Partners 4 Change expired on 1 April 2020 and was extended to 2 April 2021 under urgency provisions, as described in section 4.1 of the Committee Terms of Reference and Delegated Functions, by the Chief Officer of the EIJB, in consultation with the Convenor of the Finance and Resources Committee, subject to the matter being reported to the next meeting of the Committee on 21 May 2020.

Decision

To award a contract extension to Partners 4 Change to ensure continuity of support for the EHSCP Transformation Programme.

(References – Finance and Resources Committee of 7 March 2019 (item 22); report by the Chief Officer, Health and Social Care Partnership, submitted.)

25. Waiver for Gilmerton Road Short Break Service 2021-22

Approval was sought for the waiver of Contract Standing Orders to allow payment to Action for Children as a part of a service level agreement with NHS Lothian, and the other Lothian councils. This service, delivered by Action for Children at Gilmerton Road Care Home, provided short breaks for a maximum of five children and young people with a learning disability and challenging behaviour up to the age of 19.

Decision

- 1) To approve the payment of up to £304,679 to Action for Children as Edinburgh's contribution to the cost of overnight provision for disabled children and young people (Gilmerton Road Care Home) as part of a service level agreement with NHS Lothian, and the other Lothian councils.
- 2) To approve the payment of up to £76,858 to Action for Children to purchase additional outreach support for families should this be identified as part of their support plans. This would be funded from existing budgets within the Children with Disabilities service area and additional funding provided by the Scottish Government in response to the Covid-19 pandemic.

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

26. Award of Contracts to the Edinburgh Fostering and Continuing Care Framework

The City of Edinburgh Council currently purchased approximately 200 fostering placements from independent providers. Current annual expenditure on independent foster placements was estimated at £8.5m. The estimated impact of the new framework was an increase of £0.4m resulting in an annual cost of £8.9m. This could be contained within the budget available for independent foster care.

These placements were purchased in accordance with the requirements of the Looked After Children (Scotland) Regulations 2009 and the Children and Young People (Scotland) Act 2014.

Decision

- 1) To approve of the appointment of a maximum of 16 providers to the Edinburgh Fostering and Continuing Care Framework, as set out in the appendices to the report.
- 2) To agree that the Framework duration would be for 24 months with the possibility to extend for a further 24 months.
- 3) To note that the maximum annual Framework value was estimated to be £8,900,000 (subject to yearly incremental rises of between 1-3%) with an estimated maximum value of £36,409,000.

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

Declaration of Interests

Councillor Hutchison declared a non-financial interest in the above item as a Board member of the Scotland Excel Committee.

27. Homelessness Services – Use of Temporary Accommodation

During the Covid-19 pandemic, the Council had used significantly more temporary accommodation in order to support vulnerable people and ensure the spread of the virus was minimised amongst the homeless population. This had meant securing a significant number of additional contracted and off contract temporary accommodation.

Additional funding of £10m had been provided through the 2021/22 budget process to recognise that increased demand would continue throughout this financial year.

Decision

- 1) To agree to enter into contracts for temporary accommodation comprised of flats, bed and breakfasts and tourist hotels on a spot purchase basis from the period 1 April 2021 to 31 March 2022, to supplement the current contracted provision of accommodation.
- 2) To approve waivers included in Appendix 1 of the report, to the value of £16,149,640, for the 2021/22 financial year to ensure temporary accommodation would be available to meet demand and accommodation providers could be paid on time. This request could be contained within available budgets.
- 3) To note the increased use and cost of temporary accommodation during the pandemic.

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

Declaration of Interests

Councillor Corbett declared a financial interest in the above item as an employee of Shelter Scotland.

28. Edinburgh Community Solar Co-operative – Battery Proposal

In 2016, Edinburgh Community Solar Co-operative (ECSC) installed 1.4MW of solar PV panels in 24 Council buildings. ECSC were close to completing the installation of six additional solar installations on key Council and Edinburgh Leisure buildings.

In 2018, ECSC received a grant from the Scottish Government's Community and Renewable Energy Scheme (CARES) to support the installation of batteries in Council owned properties. Approval was sought to grant a licence to ECSC to install batteries in 3 Council buildings with ECSC owned solar panels. The batteries would increase the amount of locally generated solar electricity used in the schools.

Decision

To agree to grant a 10-year Licence to Edinburgh Community Solar Cooperative to install batteries in 3 Council schools: Buckstone Primary School, Canal View Primary School and Oaklands School.

(References – Finance and Resources Committee of August 2019 (item 37); report by the Executive Director of Resources, submitted.)

Declaration of Interests

Councillor Corbett declared a non-financial interest in the above item as a Board member of Edinburgh Community Solar Co-op.

29. Contract Awards and Procurement Programme (Period 1 July to 31 December 2020)

An update was provided on the scope of contracts awarded across the Council in the period 1 July to 31 December 2020. This provided visibility of contracts awarded by

officers under delegated authority, including direct contract awards not openly tendered due to specific circumstances permitted in the relevant procurement regulations and those awarded following a waiver of the Council's Contract Standing Orders (CSOs). Approval was sought to provide the Committee with visibility of the forthcoming procurement programme in relation to expected higher value contracts across the Council.

Decision

- 1) To note the report.
- 2) To note the contract awards made by officers under delegated authority, in accordance with the Contract Standing Orders, and that a further report would be submitted to the Committee in approximately six months' time.

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

30. Contract Award Recommendation Report in respect of Supply and Distribution of Janitorial Products

Approval was sought to award the contract for the Supply and Distribution of Janitorial Products to Instock Limited to commence on 22 March 2021 for an initial period of three years with the option to extend for a further 12-month period.

Decision

- 1) To approve the award of the contract in respect of the Supply and Distribution of Janitorial Products to Instock Limited.
- 2) To approve the commencement of the contract, on 22 March 2021, for a period of three years with the option to extend for a further 12-month period, at a total estimated cost of £3.6m.

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

Declaration of Interests

Councillor Hutchison declared a non-financial interest in the above item as a Board member of the Scotland Excel Committee.

31. St Crispin's School, Watertoun Road, Edinburgh – Proposed Disposal

a) Deputation – Savile Area Residents Association

A written deputation was presented on behalf of the Savile Area Residents Association (SARA) which outlined their concerns regarding the plans for the site from Cala Homes, particularly around on-site parking. The deputation requested that the Committee consider conditioning Cala Homes to resolve parking issues and to work in collaboration with the local community.

b) Report by the Executive Director of Resources

St Crispin's school was currently being replaced as part of the "Wave 3 Schools" programme as approved by Council on 18 December 2008. Part of the capital receipt

achieved from the sale of the existing school was allocated to the funding package for the new facility. To avoid holding costs for the existing school when vacated, and to coincide with completion of the new school, marketing commenced in October 2019. At the closing date, on 29 January 2020, 26 bids were received.

Approval was sought to select Cala Homes as preferred bidder for the site, on the terms and conditions outlined in the report.

Decision

To approve the appointment of Cala Homes as preferred bidder for the disposal of the St Crispin's School site on Watertoun Road on the terms and conditions outlined in the report and on other terms and conditions to be agreed by the Executive Director of Resources.

(References – Act of Council (no. 3) of 18 December 2008; report by the Executive Director of Resources, submitted.)

Declaration of Interests

Councillor Neil declared a financial interest in the above item as he owned shares in Legal and General which owned Cala Homes.

32. Unit 3, Phase 1, Clocktower Industrial Estate, South Gyle Crescent, Edinburgh – Proposed Lease Extension

Unit 3 Clocktower Industrial Estate was currently let to NTL National Networks Limited on a lease which would expire on 29 February 2024. The tenant had requested a 20-year lease extension to commence from 1 March 2024. Approval was sought to grant a 20-year lease extension to NTL National Networks Limited for the property detailed on the terms and conditions outlined in the report.

Decision

To approve a 20-year lease extension to NTL National Networks Limited of premises at Unit 3 Clocktower Industrial Estate, Edinburgh, on the terms outlined in this report and on other terms and conditions to be agreed by the Executive Director of Resources.

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

33. Longstone Depot, Murrayburn – Proposed Transfer to Housing Revenue Account

The Council's depot strategy to reduce the number of operational buildings would release the depot at Longstone. The depot had been identified as an opportunity to assist with the delivery of the Council's housing programme and the wider regeneration of the Wester Hailes area. Approval was sought to transfer the depot from the General Fund to the Housing Revenue Account.

Decision

To approve the transfer of Longstone Depot, Murrayburn, Edinburgh to the Housing Revenue Account on the terms and conditions as outlined in the report and on other terms and conditions to be agreed by the Executive Director of Resources.

(References – Housing, Homelessness and Fair Work Committee of 14 January 2021 (item 5); Finance and Resources Committee of 4 December 2018 (item 6); report by the Executive Director of Resources, submitted.)

34. 65 Niddrie Mains Terrace – Proposed Lease

The Council completed the sale of the property at 65 Niddrie Mains Terrace to LAR Housing Trust. The Council had agreed to lease the renovated flats for a 10-year term through the Health and Social Care Partnership to provide accommodation for adults with learning disabilities. Approval was sought to lease the property from LAR Housing Trust, on the terms and conditions outlined in the report.

Decision

To approve the lease of six flatted units at 65 Niddrie Mains Terrace on the terms and conditions as outlined in the report and on other terms and conditions to be agreed by the Executive Director of Resources.

(References – Finance and Resources Committee of 5 March 2020 (item 28); report by the Executive Director of Resources, submitted.)

35. 16 Canning Street Lane, Edinburgh – Proposed Lease Extension

The property at 16 Canning Street Lane was currently let to Telewest Communications (Scotland) Limited on a lease which would expire on 16 August 2024. The tenant had requested a 15-year lease extension to commence from 17 August 2024. Approval was sought to grant a 15-year lease extension to Telewest Communications (Scotland) Limited on the terms and conditions outlined in the report.

Decision

To approve a 15-year lease extension to Telewest Communications (Scotland) Limited of premises at 16 Canning Street Lane, Edinburgh on the terms outlined in the report and on other terms and conditions to be agreed by the Executive Director of Resources.

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

36. 141 Lauriston Place – Proposed Lease

The property at 141 Lauriston Place was vacated in September 2020. Cargo Bike Movement, an organisation set up to promote a sustainable food delivery model for the city, had approached the Council to take an initial one-year lease of the unit. Approval was sought to let the unit to Cargo Bike Movement on the terms and conditions outlined in the report.

Decision

To approve a 1-year lease of the property at 141 Lauriston Place on the terms outlined in this report and on other terms and conditions to be agreed by the Executive Director of Resources.

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

37. Miscellaneous Debts – Write-Off

The Committee, in terms of Section 50(A)(4) of the Local Government (Scotland) Act 1973, excluded the public from the meeting during consideration of the following item of business for the reason that it involved the likely disclosure of exempt information as defined in Paragraph 6 Part 1 of Schedule 7(A) of the Act.

The current miscellaneous debt that was outstanding and deemed uncollectable was summarised and recommended for write-off. All possible methods of recovery had been attempted and the debt remained outstanding.

Decision

Detailed in the Confidential Schedule, signed by the Convener, with reference to this minute.

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

38. Extension of Managed Print Service Under Urgency Provisions

The Committee, in terms of Section 50(A)(4) of the Local Government (Scotland) Act 1973, excluded the public from the meeting during consideration of the following item of business for the reason that it involved the likely disclosure of exempt information as defined in Paragraph 9 Part 1 of Schedule 7(A) of the Act.

The Finance and Resources Committee was asked to note an extension to the current Managed Print Service contract.

Decision

Detailed in the Confidential Schedule, signed by the Convener, with reference to this minute.

(References – Finance and Resources Committee of 3 December 2020 (item 15); report by the Executive Director of Resources, submitted.)

39. Continuation of Existing Contract Arrangements – Care Home Contracts

The Committee, in terms of Section 50(A)(4) of the Local Government (Scotland) Act 1973, excluded the public from the meeting during consideration of the following item of business for the reason that it involved the likely disclosure of exempt information as defined in Paragraph 9 Part 1 of Schedule 7(A) of the Act.

The Finance and Resources Committee was asked to approve an extension to the current contract arrangements for provision of care homes.

Decision

Detailed in the Confidential Schedule, signed by the Convener, with reference to this minute.

(References – Finance and Resources Committee of 6 December 2019 (item 32);
report by the Chief Officer, Edinburgh Health and Social Care Partnership, submitted.)

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by virtue of paragraph(s) 6, 9 of Part 1 of Schedule 7A
of the Local Government(Scotland) Act 1973.

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Work Programme

Finance and Resources Committee

20 May 2021

Item	Key decisions	Frequency	Wards affected	Director and Lead Officer	Expected Date
1.	Workforce Dashboard	All F&R Committees		Executive Director of Resources Lead Officer: Katy Miller 0131 469 5522 katy.miller@edinburgh.gov.uk	All F&R Committees
2.	Council Commercial Property Portfolio – Update Report	Committee agreed to receive regular updates, where required, on 29 October 2020		Executive Director of Resources Lead Officer: Graeme McGartland 0131 529 5956 graeme.mcgartland@edinburgh.gov.uk	TBC
3.	Revenue Monitoring – Council-wide	Quarterly Report		Executive Director of Resources Lead Officer: Hugh Dunn 0131 469 3150 hugh.dunn@edinburgh.gov.uk	August 2021

Item	Key decisions	Frequency	Wards affected	Director and Lead Officer	Expected Date
4.	Revenue Budget Risks and Reserves Report	Annual Report		Executive Director of Resources Lead Officer: Hugh Dunn 0131 469 3150 hugh.dunn@edinburgh.gov.uk	January 2022
5.	Capital Monitoring – Council-wide	Quarterly Report		Executive Director of Resources Lead Officer: Hugh Dunn 0131 469 3150 hugh.dunn@edinburgh.gov.uk	August 2021
6.	Resources Directorate - Revenue Budget Monitoring	Quarterly Report		Executive Director of Resources Lead Officer: Iain Shaw 0131 469 3117 iain.shaw@edinburgh.gov.uk	August 2021
7.	Chief Executive – Revenue Budget Monitoring	Quarterly Report		Executive Director of Resources Lead Officer: Iain Shaw 0131 469 3117 iain.shaw@edinburgh.gov.uk	August 2021
8.	Miscellaneous Debts Write Off – 6 monthly operational update (B Agenda)	Six Monthly Report		Executive Director of Resources Lead Officer: Nicola Harvey 0131 469 5016 nicola.harvey@edinburgh.gov.uk	August 2021
9.	Contract Award and Procurement Programme	Six Monthly Report		Executive Director of Resources Lead Officer: Iain Strachan 0131 529 4930	August 2021

Item	Key decisions	Frequency	Wards affected	Director and Lead Officer	Expected Date
				iain.strachan@edinburgh.gov.uk	
10.	Change Strategy 2021/24	Annual Update Report, incorporating impacts of provisional Local Government Finance Settlement		Chief Executive and Executive Director of Resources Lead Officer: Hugh Dunn 0131 469 3150 hugh.dunn@edinburgh.gov.uk	January 2022
11.	Housing Revenue Account Budget Strategy	Annual Report		Executive Director of Place Lead Officer: Elaine Scott 0131 529 2277 elaine.scott@edinburgh.gov.uk	January 2022
12.	Capital Budget Strategy 2020/30	Annual Update Report, incorporating impacts of provisional Local Government Finance Settlement		Executive Director of Resources Lead Officer: Hugh Dunn 0131 469 3150 hugh.dunn@edinburgh.gov.uk	January 2022
13.	Annual Fraud Prevention and Detection	Annual Report		Executive Director of Resources Lead Officer: Nicola Harvey 0131 469 5016	November 2021

Item	Key decisions	Frequency	Wards affected	Director and Lead Officer	Expected Date
				nicola.harvey@edinburgh.gov.uk	
14.	City of Edinburgh Council – 2019/20 Annual Audit Report to the Council and the Controller of Audit – referral by the Governance, Risk and Best Value Committee	Annual Report		Executive Director of Resources Lead Officer: Hugh Dunn 0131 469 3150 hugh.dunn@edinburgh.gov.uk	November 2021
15.	The City of Edinburgh Council Charitable Trusts – report to those charged with governance on the 2019/20 audit	Annual Report		Executive Director of Resources Lead Officer: John Aghodeaka 0131 469 5348 john.aghodeaka@edinburgh.gov.uk	November 2021
16.	2019/20 Common Good Annual Performance Report	Annual Report		Executive Director of Resources Lead Officer: John Aghodeaka 0131 469 5348 john.aghodeaka@edinburgh.gov.uk	November 2021
17.	Annual Treasury Management Strategy 2019/20	Annual Report		Executive Director of Resources Lead Officer: Innes Edwards 0131 469 6291 innes.edwards@edinburgh.gov.uk	August 2021

Item	Key decisions	Frequency	Wards affected	Director and Lead Officer	Expected Date
18.	Treasury Management Mid-Term Report 2020/22	Annual Report		Executive Director of Resources Lead Officer: Innes Edwards 0131 469 6291 innes.edwards@edinburgh.gov.uk	December 2021
19.	Asset Management Works Programme	Annual Report The report is normally presented at the financial year end to update Committee on the outcome of the 12-month programme.		Executive Director of Resources Lead Officer: Peter Watton 0131 529 5962 peter.watton@edinburgh.gov.uk	May 2022
20.	Health and Safety Performance	Annual Report		Executive Director of Resources Lead Officer: Nick Smith 0131 529 4377 nick.smith@edinburgh.gov.uk	March 2022
21.	Workforce Control Annual Report	Annual Report		Executive Director of Resources Lead Officer: Katy Miller 0131 469 5522 katy.miller@edinburgh.gov.uk	August 2021

Item	Key decisions	Frequency	Wards affected	Director and Lead Officer	Expected Date
22.	Commercial and Procurement Annual Report	Annual Report		Executive Director of Resources Lead Officer: Iain Strachan 0131 529 4930 iain.strachan@edinburgh.gov.uk	August 2021
23.	Appointments to Working Groups	Annual Report		Chief Executive Lead Officer: Rachel Gentleman 0131 529 4107 rachel.gentleman@edinburgh.gov.uk	August 2021
24.	Depot Strategy – Phase 2	Requests further reports as progress is made		Executive Director of Place Lead Officer: Gareth Barwell 0131 529 5962 gareth.barwell@edinburgh.gov.uk Executive Director of Resources Lead Officer: Peter Watton 0131 529 5962 peter.watton@edinburgh.gov.uk	TBC

Finance and Resources Committee Upcoming Reports

Appendix 1

Report Title	Directorate	Lead Officer
August 2021		
Capital Monitoring Council-Wide	Resources	Hugh Dunn
Revenue Monitoring – Council-wide	Resources	Hugh Dunn
Resources Directorate - Revenue Budget Monitoring	Resources	Hugh Dunn
Chief Executive – Revenue Budget Monitoring	Resources	Hugh Dunn
Contract Award and Procurement Programme Jan-Jun 2021	Resources	Iain Strachan
Annual Treasury Management Strategy	Resources	Hugh Dunn / Innes Edwards
Commercial and Procurement Annual Report	Resources	Iain Strachan
Construction Charter Annual Update	Resources	Iain Strachan
Miscellaneous Debts Write Off – 6 monthly operational update (B Agenda)	Resources	Nicola Harvey
Leith Links Pavilion and Bowling Green – (B Agenda)	Resources	Peter Watton

Asset Management Works Programme – 2020/21 Update	Resources	Peter Watton / Alan Chim
Summary Report on Property Transactions Concluded Under Delegated Authority	Resources	Graeme McGartland
Proposed Lease Extension for King’s Theatre and Proposed New Lease of Festival Theatre	Resources	Graeme McGartland
Annual Workforce Controls	Resources	Katy Miller
Workforce Dashboard	Resources	Katy Miller
Financial Outturn for HRA 2021/21	Place	Elaine Scott
Award of Contract for City Centre West to East Cycle Link and Street Improvements Project Construction	Place	Rurighd McMeddes
Council Annual Report - SOs, Committee TORs, Scheme of Delegation	CE	Hayley Barnett / Gavin King
Appointments to Working Groups	CE	Rachel Gentleman / Sarah Stirling

Rolling Actions Log

Finance and Resources Committee

20 May 2021

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
1	05.11.20	The City of Edinburgh Council Charitable Trusts – Report to Those Charged with Governance on the 2019/20 Audit	1) To agree to provide a briefing on the Council's charitable trusts in relation to membership of the Finance and Resources Committee. A briefing session was requested on how members should fulfil this role.	Chief Executive	March 2021		Update December 2020 An update is provided in the Business Bulletin for the December meeting of Committee.
			2) To agree to consider potential further reductions to the	Executive Director of Resources	November 2020	November 2020	Closed on 3 December 2020 – Details on this were included in the briefing of additional

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
			list of the Council's Charitable Trusts.				information shared with Committee Members on the 24 th November 2020.
			3) To agree to provide a briefing with all responses to date on Lauriston Castle.	Executive Director of Resources	January 2021	February 2021	Closed on 4 March 2021 – an updated briefing was circulated to Committee on the 23 rd February.
2	05.11.20	Consultants Costs 2019/20	To agree to provide further context around the use of consultants.	Executive Director of Resources	November 2021		Update December 2020 This information will be included in the next annual report.
3	03.12.20	Revenue Budget 2020/21: Progress Update	To agree to provide an update on the amount which had been spent of the £100k funding allocated to Marketing Edinburgh.	Executive Director of Resources /Place	March 2021		Recommended for Closure – Update circulated on 19 January 2021.

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
4	03.12.20	Tron Kirk, Edinburgh	Committee therefore agrees Option A in the report and instructs officers to bring forward a report on the short and longer term future of the building to a future meeting of the Finance & Resources committee.	Executive Director of Resources	May 2021		Recommended for Closure – This report is on the agenda for May 2021; to ensure that full consideration is given to the information provided by interested parties.
5	21.01.21	Rolling Actions Log	To request that it be outlined which trusts members would become trustees of for new appointments to the committee in May.	Chief Executive	May 2021		
6	21.01.21	Award of a Contract for the Provision of Temporary Agency Staff, Permanent, Fixed Term Contract and	1) agrees to request that the Executive Director of Resources provides a report to the Finance and Resources Committee, in 3 cycles, on the opportunities and additional measures that can be	Executive Director of Resources	August 2021		

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
		Short-Term Supply Resources	introduced to further reduce agency worker spend by the Council;				
			2) agrees to request a report from the Executive Director of Resources, in 2 cycles, providing an update on the Council's security team and the use of agency workers in this area	Executive Director of Resources	May 2021	March 2021	Closed on 4 March 2021 – This report was on the agenda for March.
			3) To agree to provide a briefing note detailing differences in types of living wage.	Executive Director of Resources	March 2021	March 2021	Closed on 4 March 2021 – A briefing note was circulated to Committee on 22 nd February 2021.
7	21.01.21	Former Royal High School, Regent Road, Edinburgh – Options Paper (B Agenda)	Instructs the Executive Director of Resources to proceed with option 4 as set out in the report, with a further progress paper to be brought to	Executive Director of Resources	May 2021		

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
			the Committee on 20 May 2021				
8	21.01.21	Council Commercial Property Portfolio - Update Report (B Agenda)	To note that an update report would be provided to the committee in May.	Executive Director of Resources	May 2021		Recommended for Closure – Report on agenda for May.
9	04.03.21	Annual Treasury Management Strategy 2021/22	To agree to include more detail on the level of borrowing in the six-month period Treasury Management report.	Executive Director of Resources	December 2021		
10	04.03.21	Revenue Budget 2020/21 and 2021/26 Budget Framework Update	Following the setting of a balanced one-year revenue budget by Council on 18 February 2021, a further briefing will be provided to all members once any further implications of the approved Scottish and UK Budgets for the budget framework are known.	Executive Director of Resources	May 2021		

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
11	04.03.21	Edinburgh Catering Services - Other Catering Significant Trading Operation (STO) - Update	Agree a report is presented to a future meeting of the Finance and Resources Committee, setting out a business case for re-commencement of Edinburgh Catering Services - Other Catering trading activities.	Executive Director of Resources			
12	04.03.21	Liberton Hospital, Edinburgh – Proposed Acquisition	Notes that a further report will be brought to a future Finance and Resources Committee to provide an update on the progress of the acquisition.	Executive Director of Resources			
13	04.03.21	Workforce Dashboard – December 2020	To agree to provide further clarification on the displaced workforce funding and the £58k unfunded salary cost.	Executive Director of Resources	March 2021	March 2021	Recommended for Closure – email issued with requested information

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
14	04.03.21	Health and Safety Performance in 2020	To agree to provide further explanation around the increase in near miss reporting.	Executive Director of Resources			Recommended for Closure – briefing note circulated to members on 11 March 2021
15	04.03.21	Award of Contract for Site Re-development Works at North Cairntow Traveller Site	To agree to provide an update on further opportunities for funding for the project once more detail was known.	Executive Director of Place			

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Business Bulletin

Finance and Resources Committee

10.00 a.m, Thursday, 20 May 2021

Via Microsoft Teams

Finance and Resources Committee

Convener:	Members:	Contact:
<p data-bbox="156 338 459 416">Convener Councillor Rob Munn</p>  <p data-bbox="156 891 501 969">Vice-Convener Councillor Joan Griffiths</p> 	<p data-bbox="635 338 1054 712">Councillor Chas Booth Councillor Graeme Bruce Councillor Gavin Corbett Councillor George Gordon Councillor Graham Hutchison Councillor Andrew Johnston Councillor Alasdair Rankin Councillor Neil Ross Councillor Mandy Watt</p>	<p data-bbox="1145 338 1505 544">Rachel Gentleman Committee Services rachel.gentleman@edinburgh.gov.uk 0131 529 4107</p> <p data-bbox="1145 584 1505 790">Sarah Stirling Committee Services sarah.stirling@edinburgh.gov.uk 0131 529 3009</p>

Recent News	Background	Contact
<p>Former Royal High School, Regent Road, Edinburgh</p> <p>Following the decision by Committee on 21 January 2021, the contract for the development of the hotel has been terminated.</p> <p>The property will be marketed with the outcome of the process, with the appropriate recommendation, reported to Committee in August.</p>		<p>Graeme McGartland, Investments Senior Manager</p> <p>graeme.mcgartland@edinburgh.gov.uk</p> <p>Tel: 0131 529 5956</p>

Forthcoming activities:

Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Revenue Budget Framework 2021/26 Update

Executive/routine Wards Council Commitments	Executive All
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1. Recommendations

- 1.1 Members of the Finance and Resources Committee are recommended:
- 1.1.1 to note that a balanced revenue outturn for 2020/21 continues to be forecast;
 - 1.1.2 to note that, following the receipt of significant additional COVID-related funding late in 2020/21, up to £20.150m is available to address budget pressures, anticipated savings delivery shortfalls and member priorities in 2021/22 and 2022/23;
 - 1.1.3 to refer, on this basis, the report to Council on 27 May 2021 for decision on funding available;
 - 1.1.4 to note, nonetheless, that the medium- to longer-term impacts of the pandemic and other key risk factors will continue to be kept under active review; and,
 - 1.1.5 to note additionally the more fundamental need to initiate by Autumn 2021 a comprehensive savings programme, rooted in the priorities set out within the Council's Business Plan, to address the estimated revenue funding gap.

Stephen S. Moir
Executive Director of Resources

Contact: Hugh Dunn, Head of Finance
Finance Division, Resources Directorate
E-mail: hugh.dunn@edinburgh.gov.uk | Tel: 0131 469 3150

Revenue Budget Framework 2021/26 Update

2. Executive Summary

- 2.1 This report updates members on the projected revenue outturn position for 2020/21, as well as a number of proposed changes to financial planning assumptions affecting future years of the budget framework.
- 2.2 Following the receipt of significant additional revenue funding late in 2020/21 and after taking account of estimated COVID-related financial impacts over the next two financial years, the report intimates the availability of one-off resources of up to £20.150m to address budget pressures, anticipated shortfalls in savings delivery and other member priorities in 2021/22 and 2022/23. In so doing, however, members are reminded of the pressing need for a sustainable savings plan, rooted in the priorities set out within the Council's Business Plan, to be developed later in the year to address significant future years' projected funding gaps.

3. Background

2020/21 revenue budget

- 3.1 Given the unprecedented nature and scale of disruption to the Council's activity during 2020/21, members have considered a succession of detailed in-year revenue monitoring reports, the most recent of which was presented to the Committee's last meeting on 4 March 2021. Despite cumulative pandemic-related expenditure and income impacts of some £85m, following the confirmation of additional in-year funding for local authorities, a balanced overall position was forecast as of that time. The potential to receive further significant in-year funding was also noted but with the Council's precise allocation remaining to be confirmed.

2021/22 revenue budget

- 3.2 Members of Council also approved a balanced one-year revenue budget for 2021/22 on 18 February 2021. In so doing, however, it was noted that there remained the potential for change based on the outcome of both the UK Budget and subsequent stages of the Draft Scottish Budget's Parliamentary consideration. A corresponding members' briefing summarising the main elements of these

announcements and their implications for the revenue budget framework was then issued on 11 March.

- 3.3 The members' briefing outlined the provision of additional ring-fenced funding within the 2021/22 Local Government Finance Settlement for concessionary travel, free school meals, pandemic support payments and, subject to confirmation of the accompanying details, various capital schemes. Despite provision of these additional sums, the increase in Local Government's core revenue settlement for 2021/22 remained unchanged from the 0.9% Scotland-wide uplift announced by the Cabinet Secretary for Finance on 28 January.

4. Main report

Projected position for 2020/21

- 4.1 Members will be aware from previous briefings of the provision of significant additional unhypothecated revenue resources comparatively late in the 2020/21 financial year. Relative to the position reported to the Committee's January meeting, these sums primarily comprise:
- (i) £210m of additional funding distributed with reference to income losses suffered by councils, of which Edinburgh's share was £41.8m; and
 - (ii) £175m of additional funding allocated in accordance with more generic expenditure-based needs assessments, with Edinburgh's share being £13.7m.
- 4.2 Taken together and on the assumption that actual COVID-related expenditure and income losses have been contained within the overall level assumed in the January report, this results in an anticipated in-year funding surplus of £15.7m, as follows:

	COVID costs	Scottish Government additional funding	Unallocated funding	Reserves	Corporate budgets	Balance
	£m	£m	£m	£m	£m	£m
Forecast position as of January	84.5	(44.5)	(4.8)	(12.1)	(23.1)	0.0
Forecast position as of end March	84.5	(100.2)	0.0	0.0	0.0	(15.7)

- 4.3 Receipt of this additional funding furthermore "frees up" the sums highlighted in bold that would otherwise have been required to achieve financial balance in 2020/21.
- 4.4 As of the time of writing, closure of the Council's accounts for 2020/21 is continuing and a verbal update will be provided at the meeting by the Head of Finance. At this stage, however, additional savings across service and corporate budgets of some £7m relative to the position shown above are anticipated.

Availability of COVID and other pressures-related funding in 2021/22

- 4.5 As part of the approved 2021/22 revenue budget, members also agreed to the realignment of the Council's reserves to create a dedicated COVID contingency reserve of £16m. When added to the confirmed allocation of COVID-related funding in 2021/22 of £20.5m and the Council's share of £40m of additional pressures-related funding introduced as part of approval of the 2021/22 Local Government Finance Order, this results in total unallocated COVID- and pressures-related funding of £102.4m as shown in the table below:

	£m
Balance on 2020/21 COVID outturn per Paragraph 4.2	15.7
Sums freed up by receipt of additional funding:	
Unallocated funding from 2020/21 budget	4.8
Earmarked reserves not now required for COVID mitigation	12.1
Corporate budget savings in 2020/21	23.1
Other anticipated funding sources:	
Service monitoring and corporate budgets - anticipated favourable movements by year-end (subject to 2020/21 outturn)	7.0
COVID contingency reserve per Risks and Reserves report, 2 February	16.0
COVID-related grant funding, 2021/22	20.5
One-off "pressures" funding, 2021/22	3.2
Total available COVID and pressures-related funding	102.4

Proposed revised budget framework provision for COVID-related impacts

- 4.6 Given the receipt of this significant additional cash resource and the continuing impacts of COVID, it is proposed to increase significantly the level of provision contained within the budget framework for COVID-related factors in 2021/22 and 2022/23 as shown in the table below, whilst not now utilising the loans fund financial flexibility in those years. As has been emphasised at previous meetings of the Committee, such financial flexibilities, while providing welcome breathing space to councils in managing the substantial in-year and likely continuing pressures resulting from the pandemic, merely defer and spread these costs over a longer period and, in that sense, are less conducive to the sustainability of the budget framework than the provision of additional resource.

	2021/22	2022/23	2023/24	2024/25
	£m	£m	£m	£m
	Total provision (increased relative to approved budget)		Unchanged relative to approved budget	
Lothian Buses - loss of dividend	6.0	6.0	6.0	TBC
Reductions in parking income	8.0	6.0	0.5	TBC
Reductions in commercial rental income	5.0	3.0	0.5	TBC
PPE	1.0	1.0	1.0	TBC
ALEOs - support for Edinburgh Leisure	6.0	3.0	3.0	TBC
ALEOs - other	1.0	1.0		TBC
Homelessness*	5.0	3.0	0.0	TBC
Other income/expenditure**	7.0	2.3	0.0	TBC
Total funding for COVID impacts	39.0	25.3	11.0	3.0

* Taking into account other core provision, total additional investment in homelessness services across the four-year period of the budget framework is £10m/£8m/£5m/£5m.

** Other income/expenditure reflects assumed continuation of expenditure pressures and, in particular, income losses across a number of other areas based on the 2020/21 monitoring position.

- 4.7 In view of the size of the subsequent gaps in 2023/24 and 2024/25, however, a decision on using available financial flexibilities will be deferred until the autumn to allow for both further work to be undertaken with the Scottish Government on the PPP concession flexibility and clarity to be obtained on the availability of any further grant funding, particularly distribution of Barnett Consequentials linked to the operation of the income compensation scheme in England. Members should note that, at least at this stage, these flexibilities are only available for application in 2020/21 and 2021/22 and, on that basis, a final decision on their use (or otherwise) requires to be made by March 2022.
- 4.8 Application of the available funds in this way increases the budget framework provision for the on-going impacts of the pandemic by £21m (i.e. from £18m to £39m) and £14.3m (from £11m to £25.3m) respectively in 2021/22 and 2022/23. While, taking account of actual 2020/21 impacts, available new-year projections and more promising general signs on the emergence from restrictions, these sums are considered prudent, as in 2020/21, their adequacy will be kept under regular review. Members should note, however, that this level of provision decreases substantially beyond 2022/23 and there is a risk that these impacts are longer-lasting, or more severe, than is currently being assumed.
- 4.9 Taking account of the decision not to utilise the loans fund financial flexibility at this time, £64.3m of the £102.4m of available funding shown in the table at Paragraph 4.5 is now being applied to bolster the level of provision for pandemic-related impacts within the budget framework. This provides an opportunity to spend up to

£21m to mitigate existing budget pressures, anticipated savings delivery shortfalls and/or facilitate investment in member priorities. Members may, however, also wish to consider applying these sums to reduce the significant projected funding gaps apparent from 2023/24.

	2021/22	2022/23	2023/24	2024/25
	£m	£m	£m	£m
Gap per report to Finance and Resources Committee, 4 March 2021	0.0	15.3	39.7	67.7
Impact of not using financial flexibility	18.0	8.0	8.0	0.0
Loans charge saving as a result of not using loans fund financial flexibility	0.0	(2.5)	(2.5)	(2.5)
Increased provision for COVID impacts relative to position assumed in 4 March report	21.0	14.3	0.0	0.0
Other changes to framework assumptions for 2022/23 re. EIJB saving and Council Tax increase	0.0	10.0	10.1	10.2
Revised "flat cash" grant funding assumption in 2023/24 and 2024/25	0.0	0.0	(5.1)	(10.2)
Additional member-led spend, including consideration of service pressures and potential savings shortfalls	12.0	9.0	0.0	0.0
Funding				
Application of available funding to offset COVID pressures	(39.0)	(25.3)	0.0	0.0
Contribution from reserves (being sum set aside in 2021/22)	0.0	(2.7)	0.0	0.0
Application of available additional funding to offset residual gap	(12.0)	(26.1)	0.0	0.0
Cumulative funding gap	0.0	0.0	50.2	65.2

Review of savings assumed to be delivered in 2022/23

- 4.10 Members will recall the inclusion within the 2021/22 Local Government Finance Settlement (LGFS) of additional monies provided to local authorities on the assumption that Council Tax rates were maintained at 2020/21 levels. All thirty-two councils in Scotland chose to freeze levels in this way and, on that basis, access their share of the £90m made available for this purpose. In the Council's case, however, the level of income compensation of £9.6m was some £5.2m less than what would have been raised by the planned 4.79% increase.
- 4.11 Given both this precedent and the likely on-going nature of the economic recovery from the pandemic, it is considered prudent, for planning purposes, also to revise the in-principle assumed increase of 4.79% in 2022/23 to 3%, with a resulting loss of income of £5.4m, with this reduction in income having a compounding effect in subsequent years of the framework.
- 4.12 In contrast to recent years, the 2021/22 LGFS did not contain any unhypothecated additional funding for demand-led pressures facing Integration Joint Boards. In considering the level of funding to be made available to the Edinburgh Integration Joint Board (EIJB) in 2021/22, members therefore chose not to apply the planned 2% savings target. Given this decision and the remaining projected in-year

shortfall for 2021/22 (and significant funding gaps for future years), it is considered prudent not to assume application of the budget framework's planned 2% increase in 2022/23, thereby adding £4.6m to the savings requirement in that year.

Grant funding assumptions

- 4.13 The budget framework's baseline assumption in recent years has been a 0.7% annual decrease in like-for-like core grant funding, based on the actual level of settlement received in 2019/20. The actual level of settlement received in 2020/21 and 2021/22 (at +1% and +1.6% respectively) has, however, exceeded this level and on that basis, while acknowledging the potential for some tightening of future public expenditure to address the exceptional support provided in response to the pandemic, the baseline assumption in 2023/24 and 2024/25 has been revised to one of "flat cash" i.e. an unchanged overall level of resource.
- 4.14 While negotiations are continuing, the current employer's pay offer for 2021/22, even without further movement, exceeds the 2% level of provision included within the budget framework. Subject to the final level of settlement reached, given the anticipated first-year implementation costs of the Scottish Local Government Living Wage, it may be possible to contain this pressure in 2021/22. The level of pay award for 2021/22 is, however, likely to give rise to an overall pressure in 2022/23 and, coupled with the existing 2% provision in that year, it is not proposed to revise the grant funding assumption in 2022/23 at this time.

Opportunities for additional member investment to recognise budget pressures, savings delivery shortfalls and/or Council priorities

- 4.15 Given continuing uncertainty and the need to re-establish the sustainability of the budget framework, it is proposed to apply available funding such that a balanced position can be achieved in both 2021/22 and 2022/23. Applying the remaining element of available funding, after increasing the budget framework's provision for COVID-related impacts and other net changes, results in the availability of up to £20.150m across 2021/22 and 2022/23 for additional member-led spend, including consideration of appropriate provision for remaining service pressures and potential savings shortfalls.
- 4.16 Appendix 1 details a number of options members may wish to consider in their deliberations. It is important to emphasise, however, that the list of options significantly exceeds the level of funding available and includes £14.2m of budget pressures over 2021/22 and 2022/23, as well as £2.2m of anticipated savings shortfalls, an element of which may be recurring and thus add to the significant estimated savings gaps in future years.
- 4.17 Given the significance of these future-year gaps, no borrowing for additional capital expenditure can be supported at this time. Proposals brought forward by members should therefore seek to strike an appropriate balance across recognition of underlying service pressures, support for delivery of future savings and alignment to the Council's key priorities.

- 4.18 In addition to the specific templates included within the appendix, members may also wish to have regard to recent consideration of reports on such areas as [communal bin provision](#) and a number of priorities set out within the Council's [Business Plan](#). Members may also wish to note that the Council has secured funding from NatureScot's Green Recovery Fund to employ four additional temporary Pentland Hills rangers in 2021/22.
- 4.19 Two specific pre-existing commitments have been offset in determining the availability of £20.150m of additional funding. On 29 April 2021, Council approved the use of £0.450m from available COVID-related funds to support the provision of additional temporary public toilets, thereby meeting accessibility needs in premier parks that require additional facilities. This funding will also be used to extend existing facility opening hours in peak footfall locations and further improve signage at locations where these facilities are available.
- 4.20 Group Leaders and members of the Committee have also received regular updates on the progress, and associated costs, of an independent inquiry into matters connected to the death of a Council employee and the Council's whistleblowing arrangements and organisational culture. Members have previously approved the use of up to £0.6m from the Council's earmarked reserves in 2020/21 to offset relevant costs incurred during the year. Actual expenditure of £0.565m in 2020/21 was therefore maintained within this level.
- 4.21 The respective Investigation Teams continue to make good progress, with final reports in each case expected to be available by late summer. Responsible senior officers have sought to keep the Finance and Resources Convener and Vice-Convener, as well as Group Leaders, apprised of the associated costs with a view to striking an appropriate balance between the reviews' scope and delivering best value to the Council. On this basis and acknowledging the need for the inquiries to be concluded and report back on their associated findings and recommendations, an in-year 2021/22 provision of £0.400m has been assumed. When added to the level of approval for public conveniences noted above, this reduces the level of resource available for allocation by members from £21m to £20.150m.

Other budget framework risks

- 4.22 While the availability of additional funding is to be welcomed, members should not lose sight of a number of risks affecting the revenue budget framework. Besides those outlined in previous sections, these include:
- (i) the speed and extent of recovery, in particular, for commercial rental and parking income streams where COVID provision reduces from £9m in 2022/23 to only £1m in 2023/24;
 - (ii) additional required support for the Council's ALEOs should the impacts of social distancing and behavioural change be longer-lasting than currently incorporated within the framework, particularly for Edinburgh Trams;

- (iii) potential on-going reductions in Council Tax collection levels and increased required level of Council Tax Reduction Scheme support;
- (iv) the significant remaining funding shortfall of £172m within Capital Investment Programme over period to 2031/32;
- (v) upward pressure on loans charge expenditure due to adoption of the Equal Instalment of Principal (EIP) basis of calculation with effect from April 2021; and
- (vi) an inability to identify further savings as part of the budget framework, given that only £0.310m of new proposals brought forward as part of 2021/22 budget discussions.

4.23 These risks emphasise the need for early consideration and a corresponding comprehensive and sustainable savings plan, rooted in the Council's priorities as set out in the Business Plan, to be initiated by the autumn to address significant projected funding gaps from 2023/24 onwards.

Edinburgh Integration Joint Board (EIJB)

4.24 On 27 April 2021, members of the EIJB considered an update on progress with the Board's 2021/22 financial plan. At this stage, an in-year deficit of £9.3m continues to be forecast, with constructive tripartite discussions involving the Council, NHS Lothian and the EIJB continuing. A corresponding funding proposal, the level of which is broadly aligned to the Council's proportionate funding contribution, is included in Appendix 1.

4.25 The Chief Officer and Chief Finance Officer of the EIJB have also opened a dialogue with the Scottish Government to explore an in-year resolution to the element of the overall financial gap attributable to the 2020/21 Living Wage contract uplift.

5. Next Steps

5.1 Following initial consideration by the Finance and Resources Committee, this report will be referred to Council on 27 May 2021 for decision on the allocation of the additional available resources set out in Paragraph 4.15.

6. Financial impact

6.1 Previous revenue monitoring reports considered by the Committee in 2020/21 have set out a gradually-improving picture, with more recent reports setting out the basis of a balanced in-year position, taking account of additional grant funding, use of reserves and savings across a number of corporate budgets.

- 6.2 Following the receipt of significant additional funding late in the 2020/21 financial year, however, there is now an opportunity to build on earlier steps to enhance the robustness and sustainability of the budget framework by increasing the level of mitigation against 2021/22 and future years' COVID-related impacts whilst also allowing a degree of additional member-led spend in 2021/22 and 2022/23.
- 6.3 While this additional funding is to be welcomed, it is important not to lose sight of the more fundamental need to bring forward a comprehensive and sustainable savings plan, rooted in the Council's priorities, to address significant projected funding gaps from 2023/24 onwards.

7. Stakeholder/Community Impact

- 7.1 A detailed report summarising the response to the Council's recent engagement on budget priorities for 2021/22 and beyond, including relevant supporting material from other engagement activity on priorities and life experiences during the COVID-19 pandemic, was considered by the Finance and Resources Committee on 2 February and referred on to Council as part of the 2021/22 budget-setting meeting.

8. Background reading/external references

- 8.1 [2021/22 Financial Plan Update](#), Edinburgh Integration Joint Board, 27 April 2021
- 8.2 [Communal Bin Review Update](#), Transport and Environment Committee, 22 April 2021
- 8.3 [Revenue Budget 2020/21 and 2021/26 Budget Framework Update](#), Finance and Resources Committee, 4 March 2021
- 8.4 [Coalition Budget Motion](#), The City of Edinburgh Council, 18 February 2021
- 8.5 [Local Government Finance Settlement 2021/22](#), The City of Edinburgh Council, 18 February 2021
- 8.6 [Council Business Plan and Budget 2021/26](#), Finance and Resources Committee, 2 February 2021
- 8.7 [Council Business Plan and Budget 2021/26 – Risks and Reserves](#), Finance and Resources Committee, 2 February 2021

9. Appendices

- 9.1 Appendix 1 – Budget pressures, approved savings anticipated delivery shortfalls and potential service investments

Budget pressures, approved savings anticipated delivery shortfalls and potential service investments

	2021/22	2022/23	Recurring from 2023/24 £000
	£000	£000	£000
Budget pressures			
Homelessness	3,000	3,000	
Looked-After Children - Residential and Secure	2,200	1,000	
Edinburgh Integration Joint Board	2,500	2,500	
	7,700	6,500	0
Approved savings - anticipated delivery shortfalls			
Development and Business Services Operating Model	187	0	
Fees and Charges (Place)	563	563	563
Transport Review - Travel Demand	900	0	
	1,650	563	563
Potential investments			
Roads and pavements infrastructure	6,000	0	
Energy and Waste actions	850	200	200
Net Zero Strategy	645	0	
Underwriting Sustainability Team	200	180	
EV charging infrastructure	250	0	
Increased footway and cycleway gritting and street cleansing	500	500	500
Prevention and Community Engagement	600	600	
Human Resources (Diversity)	180	0	
Affordable and accessible transport	500	500	500
Carers' Recovery Fund	250	0	
Edinburgh Bike Hire Scheme	800	500	500
Tram Travel	500	500	
Edinburgh's Summer Festivals	500	0	
Future Libraries - Software Investment	350	350	
	12,125	3,330	1,700
Total	21,475	10,393	2,263
Available funding (maximum)	(20,150)		
Shortfall in available funding (minimum)	11,718		

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Budget Pressures

**Proposal Summary:
(Scope)**

The homelessness service has seen a significant increase in the requirement for temporary accommodation due to the COVID-19 pandemic. This has resulted in additional costs of £9m in 2020/21 rising to £14m in 2021/22. Whilst the increase has levelled off in recent months there is, as yet, little change in the underlying factors that would enable the numbers supported to reduce.

Impact:

As restrictions are eased this will give opportunities for the overall numbers requiring temporary accommodation to be reduced. However, this is largely dependent on the housing market returning to normal and the availability of settled housing increasing. In addition, during 2021/22 the change in legislation relating to ‘local connection’ is expected to have a negative impact on Edinburgh and lead to an increase in the numbers that would have been expected to present as homeless in the city. An additional expected impact is the ending of the Coronavirus Job Retention Scheme which may increase demand in the short-term.

In the 2021/22 budget process additional funding of £10m was approved for 2021/22 and £5m for 2022/23. Further COVID-related funding of £3m has since been made available for 2022/23, increasing additional funding to £8m in total.

Due to the factors mentioned above it is felt that reducing costs from the current additional £14m a year to an additional £10m and £8m respectively in 2021/22 and 2022/23 is very challenging and the Council should plan accordingly. Therefore, further investment of £3m a year for both years would allow the service to stabilise the position during 2021/22 and implement the preventative services recently agreed through the budget process. In the meantime, the Council will continue discussions with the Scottish Government with a view to ensuring that a consistent Scotland-wide approach is adopted in funding for homelessness services.

The number of households in temporary accommodation at December 2020 was 4,350. The additional funding would enable this number to be supported throughout 2021/22 with reductions of approximately 770 taking place across the following two years as the housing market returns to normal and the benefits of the new preventative services are delivered.

**Investment
21/22**

£3.000m

**Investment
22/23**

£3.000m

Total Investment

£6.000m

Non-Financial Benefits

People are supported to have their income maximised.

Increase in the number of people whose homelessness is prevented.

People are supported to move out of temporary accommodation and into permanent homes.

Supports the Council to meet obligations under the Unsuited Accommodation Order and prepare for likely Prevention Duty.

Proposal Summary: (Scope)

Impact:

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Funding to alleviate pressures in Residential and Secure budgets within Looked After Children (LAC) area pending review and development of mitigating action to manage numbers of internal and external placements within available budget resources

An initial analysis indicates estimated recurring pressures within Residential and Secure Service areas totalling £2.5m as follows :

Out Of Council Residential school placements £1.5m

Out of Council Secure placements £1.0m

Staff costs pressures – Young People Centres £0.3m and Secure unit £0.3m

Unaccompanied Asylum-Seeking Children (UASC) income – balance net of costs (£0.6m)

The budget framework already includes one-off COVID-related provision of £0.3m in this area in 2021/22, **reducing the net pressure to £2.2m.**

These pressures have been partially offset in 2020/21 by one-off savings in other areas of the LAC budget, including Special Schools and Additional Support for Learning (ASL) but it is anticipated that there will be recurring pressures from the use of external placements to manage demand and issues relating to capacity/throughput of young people within CEC residential provision.

A working group has been set up to review the pressures within this area, including the impact of continuing care legislation and increases in the numbers of UASC being accommodated in recent years, and to develop options to prevent escalation of needs and reduce the demand for higher-cost, external placements in future and manage overall demand within available resources. This will also include scope for enhancement of early intervention and preventative support measures which could be developed in order to minimise the numbers of young people requiring to be accommodated in higher-cost provision in future.

Further work is required to review potential preventative measures which could be delivered within the additional £2.2m investment in 2021/22 to manage the forecast pressure down to £1m in 2022/23, with the aim of fully balancing the pressures within available resources by 2023/24.

Investment
21/22

Investment
22/23

£2.200m

£1.000m

Total Investment

£3.200m

Non-Financial Benefits

Proposal Summary: (Scope)

Address the structural shortfall in base budget for social care by increasing the funding for EIJB

Impact:

EIJB faces stark choices given its structural financial deficit. Efforts to address this without impacting performance, quality and outcomes are nearing exhaustion.

Since its inception, Edinburgh Integration Joint Board (EIJB) has faced challenges in setting a balanced budget. For the first time in 2019/20, EIJB delivered a break-even position without year-end contributions from its partners and a similar position is projected for 2020/21. However in both instances this has been achieved by relying on non-recurring monies and the structural deficit remains.

On 24th March 2021 the EIJB agreed its financial plan, associated savings and recovery programme and some further mitigating actions. Despite agreeing a challenging programme of efficiencies, the plan agreed by the Board was unbalanced. The gap currently stands at £9.3m and all three partners agree that the opportunities to deliver further efficiencies at the same time as maintaining performance and improving outcomes for people have now largely been exhausted. Savings beyond the level currently built into the plan will have a significant negative impact on performance gains and ultimately on outcomes for people.

This position has been the subject of urgent tripartite talks led by the Chief Officer with officers from NHS Lothian and The City of Edinburgh Council. All involved in these discussions recognise and accept a number of complex inter-related factors, namely: the ongoing improvements in performance; the likely negative impact on outcomes for people and performance more generally of any further savings initiatives; the ongoing uncertainty as we emerge from the Covid pandemic; and the EIJB's structural deficit. In this context, partners are supportive of the approach and committed to working with EIJB officers to identify options to bridge the financial gap as the year progresses.

Investment 21/22	Investment 22/23
£2.500m	£2.500m
Total Investment	
£5.000m	
Non-Financial Benefits	
<ul style="list-style-type: none"> Limits the extent of the consequential cuts to social care services Reduced level of complaints and concerns from the public re quality, timeliness and accessibility of services Shows evidence of commitment from partners 	

Approved Savings, part or full delivery of which is currently in doubt

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Approved savings (Place): Development and Business Services Operating Model

Brief summary of original proposal, including associated approved saving over 2021/22 and 2022/23 and current BRAG status for 2021/22.

This approved saving was to develop and deliver a new operating model within Planning, Building Standards and Regulatory Services to reduce the reliance on the Council's revenue budget by improving efficiency, reducing costs and increasing income. The approved saving in 2021/22 is £0.950m and in 2022/23 £0.3m. The current assessment shows £0.143m of the 2021/22 saving as green (this has been achieved), with £0.620m assessed as amber and £0.187m as red.

2021/22 status	
£m	
	0.143
	0.620
	0.187

What has changed since the time of budget approval to mean part or full delivery is now at risk?

This saving was approved in 2020/21. Since approval, the outbreak of COVID-19 has meant that service delivery arrangements have changed and implementation of new ways of working/service efficiencies has been delayed. Service demands, particularly in Regulatory Services, have increased significantly to adapt to the regulatory requirements associated with COVID-19 and the Council's ability to generate income has been reduced.

What could still, or alternatively, be done to deliver some or all of the saving, including any opportunities to accelerate other proposals? Please indicate amounts and identify key assumptions, dependencies and risks.

Taking account of the impact of COVID-19 on these service areas, it is proposed to reprofile the approach to delivering this saving, with a number of one-off measures in 2021/22 being proposed to make a significant contribution towards the saving required, and with plans in place to ensure that the full saving can be achieved in 2022/23. These measures are:

- As set out above, £0.143m of the saving has already been achieved through VERA (for GR9);
- Income of £0.320m can be allocated on a one-off basis;
- A staffing saving of £0.1m to be achieved through organisational review; and
- £0.2m from reserves to be paid back in future years.

This would mean that there is approximately £0.187m which is currently assessed as red in 2021/22.

It is intended to begin engagement with the Planning and Building Standards service in May 2021 and Regulatory Services in September 2021, on the potential for service and organisational efficiency; and then to commence organisational reviews later in this calendar year. **This will ensure a contribution to the saving required this financial year and delivery of the full saving required from 01/04/2022.**

Approved savings (Place): Fees and Charges 5% uplift

Brief summary of original proposal, including associated approved saving over 2021/22 and 2022/23 and current BRAG status for 2021/22.

This proposal was to increase most discretionary fees and charges across the Council by 5%. For Place, this equates to an increase in income of £0.938m in 2021/22. This is in addition to approved savings from increased charges for Garden Waste (£0.160m) and implementation of the Parking Action Plan Phase 2 (£0.520m).

	2021/22 status
	£m
	0.375
	0.563

What has changed since the time of budget approval to mean part or full delivery is now at risk?

Since the budget was approved, the fees and charges uplifts have been modelled using financial assumptions. The modelling shows that they would not yield sufficient additional income to meet this saving.

What could still, or alternatively, be done to deliver some or all of the saving, including any opportunities to accelerate other proposals? Please indicate amounts and identify key assumptions, dependencies and risks.

The uplift in respect of the suite of parking charges has never been within the scope of this calculation. This income uplift (assuming parking income recovers as public health restrictions ease) cannot be used as a substitution as this has already been pointed towards the Parking Action Plan Phase 2 saving on a one-off basis to reflect the timing of new controlled parking zones (CPZ) coming online. Additional CPZ income is not projected until Q4 of 2021/22.

Modelling of likely additional income suggests that circa £0.375m can be realised in 2021/22. Finance and service colleagues will continue to work on options to increase this amount however it is unlikely this work will achieve the full £0.938m required.

Approved savings (Communities and Families): Transport Review – Travel Demand

Brief summary of original proposal, including associated approved saving over 2021/22 and 2022/23 and current BRAG status for 2021/22.

For Communities and Families expenditure on Home to School Transport, there is an existing budget pressure of £0.400m identified for 2020/21 which needs to be addressed and a further £1m of investment payback to be made over 2021/22 and 2022/23. The overall saving required in 2021/22 is therefore £0.900m, with a further £0.500m of savings required in 2022/23.

Due to the ongoing pandemic it is difficult to demonstrate whether these savings are being made as additional COVID-related travel requirements have been required throughout 2020/21 and will continue into 2021/22. The Passenger Operations team are working closely with colleagues in Finance to identify the costs specifically attributable to COVID and once this information is available, it will be easier to estimate the actual level of savings that might be achievable in 2021/22 compared to the level of expenditure before the pandemic.

	2021/22 status
	£m
	0.900

What has changed since the time of budget approval to mean part or full delivery is now at risk?

The ongoing pandemic and increased travel demand due to social distancing requirements on vehicles, when combined with the part-time return to school for some pupils, has made it impossible to continue the reductions in travel demand which were successfully being achieved pre-COVID. In order to achieve the required savings the Travel Demand project, previously focusing on Communities and Families Home to School Transport, has been expanded to include all travel and logistics activity in the Council and will be directly linked to transformational change in all of the services involved.

What could still, or alternatively, be done to deliver some or all of the saving, including any opportunities to accelerate other proposals? Please indicate amounts and identify key assumptions, dependencies and risks.

The expanded Travel Demand and Logistics project presented an outline of future steps to CLT on 27 January 2021. The phased approach to long term transformation was as follows:

- Step 1 – Technology and Automation
- Step 2 – Depot Strategy
- Step 3 – Service Integration Opportunities
- Step 4 – Supporting the Business Plan

Throughout February and March the project team worked with ICT colleagues to identify appropriate software and device solutions for step 1. A workshop with key stakeholders to identify the best solution is to be progressed soon. The intention is for the new software and technology to be implemented during 2021/22. The exact details and costs and programme will emerge following the workshop. This investment is a crucial dependency in order to realise the required savings.

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Investment Options

Key:

Sustainability

Poverty and Prevention

Technology

Core Service Delivery and City Recovery

Investment in Roads and Pavements Infrastructure

Proposal Summary: (Scope)

Impact:

The Council’s Transport Asset Management Plan sets out the Council’s plan to invest continually in its roads and pavements infrastructure. This plan has been developed following a review of the economic and useful life of all Council assets. To maintain roads and pavements assets to the required standard involves reactionary repairs, regular maintenance (to extend the life of the asset) and investment to improve their condition.

This proposal seeks the investment of £6m of one-off funding to allow for intensive repair and resurfacing work on our road and pavements network in order to reverse some of the substantial damage that has been caused by the recent winter weather.

It is anticipated that £2m of the funding would be allocated to the procurement of packages of work to undertake patching and permanent repair work as a follow-up in those streets where there have been temporary make-safe repairs over the winter.

In addition, £4m would be allocated to resurfacing and surface treatment works where there is the highest requirement for these types of intervention.

It is expected that this investment would be very well received by the public, and there is clearly a strong alignment with outcome 14 of the Business Plan, in maintaining or improving the quality of our roads and pavements.

Investment 21/22	Investment 22/23
£6.000m	£0.000m

Total Investment
£6.000m

- Non-Financial Benefits**
- This additional funding will support the achievement of Council commitment 16.
 - This will also support the achievement of Business Plan outcome 14 – to maintain focus on the city’s roads and pavements.
 - This will lead to improved resident satisfaction, reduced complaints and fewer insurance claims.
 - This will also contribute to an expected improved Road Condition Index assessment in 2021/22.

Proposal Summary: (Scope)

Accelerated action on Council emissions from energy and waste

(Impact)

Demonstration of Council leadership and commitment to achieving net zero

1. Detailed design for operational estate retro-fit (£0.500m)
 This additional £0.500m would build on feasibility studies planned for 10-12 buildings and already resourced within the budget and commission the full design of the pilot buildings for selected demand reduction measures (insulation, glazing, air tightness, etc.).

Additional funding made available would offset against the capital requirement and give certainty on the opportunity for these design works to progress. Enabling the preparation of detailed designs would mean that if a decision was made to progress, works could be brought forward to start in 2022/23.

This would in effect create a series of shovel-ready projects.

2. Rolling out recycling in schools (£0.090m - £0.150m)
 As a result of COVID-19, schools and kitchens are generating more waste. Schools are also trying to recycle more in line with the Council’s 2030 sustainability pledges. Through 2021 and 2022, all primary schools will be launching free meals for every pupil, with around a 15% increase in waste anticipated as a result. £0.090m would support the purchase of 150 additional recycling bins to help mitigate the impact of increased waste on the Council’s carbon footprint, and to support awareness raising on sustainability and recycling among pupils. £0.150m would support acceleration beyond primary schools.

3. Recycling improvements (£0.100m - £0.200m)
 Bringing forward a contract variation with our dry mixed recycling contractor to incentivise the recovery of increased streams of material. There is potential to extract greater value from the materials both the Council and citizens put into the city’s waste recycling system, particularly in relation to dry mixed recycling. This would both deliver efficiency improvements and support the Council’s circular economy approach.

Investment 21/22	Investment 22/23
£0.690m to £0.850m	£0.100m - £0.200m (recurring)
Total Investment	
£0.790m - £1.050m	
Non-Financial Benefits	
<ul style="list-style-type: none"> • Reductions in Council emissions from energy • Enhanced and upgraded operational estate • Reductions in Council emissions from waste • Awareness raising and engagement of young people in the sustainability agenda 	

Early commitments to support a city-wide 2030 Net Zero Strategy

Proposal Summary: (Scope)
Strategic development and co-ordination capacity

(Impact)
Orchestration of Council and city partnership to support delivery of 2030 net zero target

Capacity to secure additional external funding to support investment in new net zero projects

- 1. Citizen communication and engagement budget - £0.310m**
 - £0.200m – city-wide behaviour change campaigns (online and face-to-face when permitted) utilising targeted mixed marketing
 - £0.060m – Carbon footprinting app
 - £0.040m – Schools engagement, including events e.g. youth / primary school summits, etc. (option to time to coincide with COP26 if going ahead)
 - £0.010m – Running costs to support community climate action groups’ access to under-utilised Council buildings as ‘pop-up’ space for collaboration
- 2. City-wide heat and energy strategy and partnership - £0.335m**
 - £0.200m – Commissioning of strategy and development of major heat network proposal for the city
 - £0.075m – 1 year FTC G10 Heat and Energy Strategy Manager to establish and support a city-wide heat and energy partnership; work with the ESCO to agree its future role; identify opportunities to align capital works programmes and target external funding streams
 - £0.060m – 1 year FTC G8 City Partnership Officer to establish and support governance structures for implementing the city 2030 Net Zero Strategy, and orchestrate partner buy-in and collaborative action to achieve the strategy’s aims.
- 3. Underwriting the Corporate Sustainability Team Capacity (£0.380m underwritten over two financial years)**
 - Manage the risk of losing the Corporate Sustainability Team capacity as a result of financial uncertainty of European funding by extending the current one-year fixed term contracts to two years. The team would, during that time, continue to seek additional and external funding but the Council would carry the £0.380m risk of unmet funding as a pressure. Several funding bids are in train, totalling in excess of £0.800m. Key programmes including the Carbon Scenario Tool, Council Emissions Reduction Plan, 2030 Strategy Implementation Plan, innovation programmes and funding change, citizen engagement on sustainability and co-sponsorship of Edinburgh Climate Commission are dependent on this capacity.

Investment 21/22	Investment 22/23
£0.645m (£0.200m)	(£0.180m)
Total Investment	
£0.645m+£0.380m u/w	
Non-Financial Benefits	
<ul style="list-style-type: none"> • Delivery of political commitments on sustainability • Council leadership of net-zero 2030 agenda across the city • High-quality data on the emissions impact of major Council programmes - to support political decision-making and track progress to net-zero • Leverage of additional expertise, capacity and shared learning through participation in joint programmes with European partners 	

Proposal Summary: (Scope)

Accelerated action on Council emissions from transport

(Impact)

Demonstration of Council leadership and commitment to achieving net zero

EV charging infrastructure to support further electrification of Council fleet and citizen needs (£0.250m capital)

The Council has made good progress in transitioning its car fleet to electric. Around 75% of the remaining fleet consists of medium-sized diesel vans, with the Council’s Emissions Reduction Plan proposing a commitment to replacing these with electric. The Council will work with Transport Scotland to seek funding to enable the purchase of electric vans. Further costs relate to the EV charging infrastructure required to support new electric vans. Just under half of the medium van fleet (c.150) support mobile workers and would require the installation of home chargers at a cost of c.£2,000 per unit. Vans for non-mobile workers require hub/depot charger capacity at c.£7,000 per van. Negotiation with trades unions is required to be able to secure the installation of home chargers and this, coupled with lead-in times, points to a target of infrastructure to support 50 additional vans in 2021/22 (20 mobile workers, 30 standard fleet) at a total cost of £0.250m, assuming 20% of chargers have fast charge capability. Those chargers installed in publicly-accessible locations would be made available on Chargeplace Scotland for citizens to use outside of core working hours, delivering increased EV charging infrastructure for citizens and businesses.

Investment 21/22	Investment 22/23
£0.250m	n/a
Total Investment	
£0.250m	
Non-Financial Benefits	
<ul style="list-style-type: none"> • Reductions in Council emissions from transport • Improved efficiency • Improved ‘hub’ EV charging infrastructure for citizens • Reduction in demand for on-street EV charging • Reductions in city emissions from transport 	

Proposal Summary: (Scope)

Impact:

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This proposal seeks to expand our footway and cycleway gritting operations through the re-design of our operation. This will be recommended to Transport and Environment Committee as an option in June, but has been brought forward now due to the limited length of time to consider investment options.

The investment would allow the leasing of additional compact street sweepers, with associated equipment to allow the sweepers to operate as mini-gritters through the winter. The £0.500m investment would lease the equipment but would also recruit additional street cleansing staff to operate them throughout the year.

There would be multiple benefits to this investment:

1. Increased coverage of our footway and cycleway network that is treated;
2. A more efficient and effective operation (the compact sweepers have a payload that is nearly three times greater than an existing mini-tractor); and
3. Improved street cleanliness – throughout the spring and summer, the sweepers would be fully engaged on street cleansing operations. Furthermore, when the sweepers are not needed for gritting, they can also continue to clean streets and assist with seasonal demands such as leaf clearance.

This investment would be firmly aligned outcome 14 of the Business Plan (core services are maintained or improved) and would be a strong response to Elected Member and citizen feedback over the recent winter period.

Investment 21/22	Investment 22/23
£0.500m	£0.500m

Total Investment
£1.000m (plus £0.500m recurring)

Non-Financial Benefits
<ul style="list-style-type: none"> Improved public safety Improved reputation for the Council Decreased 'slips and trips' resulting in fewer hospital admissions

Prevention and Community Engagement: Reforming the way we work

Proposal Summary:

For increased capacity and expert advice to support the development of a programme to deliver a new council approach to prevention

Impact:

The first year programme of work to deliver change, including innovation projects will progress

Council Business Plan Outcome 2 commits to reforming the way the Council works to better deliver prevention services with **engaged and empowered communities**. This commitment is in response to the Edinburgh Poverty Commission call to action for prevention based services to operate as small local teams, working across service boundaries in all parts of the city to help people access support in a way that works for them and **prevents poverty and an escalation of need**.

Evidence and research tells us that reform of this kind and scale must be designed from the bottom up through supporting community and citizen engagement and building community and citizen capacity.

This proposal is to create capacity with a dedicated core team of 3 staff members who **would work alongside and create capacity in existing teams** and resources across the Council to

- Lead the implementation of immediate reforms to current practice
- Develop a new preventative service model targeting **those services most likely to be accessed by residents at risk of poverty**
- Develop the plan for wider roll out across the work of the Council
- Work with the community and voluntary sector to review our commissioning and contractual arrangements

The team would need to align and engage with key workstreams including the development of the Edinburgh Pact and community engagement team **in building strong, collaborative and empowering relationships with citizens** and colleagues across sectors.

Delivering this change successfully means bringing existing staff in community lifelong learning, **employability, advice and benefits, housing and homelessness** to work together in new and improved ways **targeting citizens most at risk of poverty**. As such this proposal budgets for additional training to support staff to these changes.

Overall, the package of work outlined here is for an investment of £600,000 per annum over two years, with a review at the end of year 1 – with clear baselines for evaluating success. This investment will align with and build on similar work underway in IJB which has been supported by a budget of £2m.

While improvements are possible without a budget, **reform and a new way of working is unlikely to be delivered without dedicated capacity to support change**. In addition, the risk of not investing now is that the Council will lose an opportunity to harness the desire for and the potential offered by post covid service redesign currently going on cross council and among third and statutory city partners.

Investment 21/22	Investment 22/23
£0.600m	£0.600m
Total Investment	
£1.200m	
Non-Financial Benefits	
<ul style="list-style-type: none"> • Prevent poverty and homelessness • Make the experience of seeking help more compassionate and more dignified • Improve income or reduce living costs for poorest citizens • Improve opportunities to access or progress in fair employment, learning or training • Improve physical and mental health and reduce health inequalities • Make sure people can access the services they need in the places they live and work • Engage and empower people to make the changes they want to see in their communities 	

**Proposal Summary:
(Scope)**

Impact:

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The investment proposed is to provide one-off support to accelerate activities in respect of the Council’s Diversity and Inclusion Strategy and the Equalities and Human Rights Framework.

At the Policy and Sustainability Committee meeting on 20th April 2021, the Committee approved the Council’s updated Equality and Rights statutory framework. Recognising the opportunity to accelerate activity to deliver against this framework and more specifically improve our support to create a more diverse and inclusive workforce, this proposal proposes one-off investment of £0.180m for one year to develop and commence the roll-out of modern and progressive diversity and inclusion training within the Council, both for elected members and officers. In addition, to provide capacity to support this work, a fixed-term post at Grade 8 for 12 months is proposed to enable the sourcing of a diversity and inclusion specialist to support greater focus on policy, guidance, project management and engagement in this area.

Investment 21/22	Investment 22/23
£0.180m	n/a

Total Investment
£0.180m

Non-Financial Benefits
<ul style="list-style-type: none"> • Acceleration of progress with implementation of the Council’s updated Equality and Rights Framework • Demonstrable commitment to improving diversity and inclusion capacity and capability within the organisation, specifically focussing upon issues of unconscious bias.

Proposal Summary:
 For increased capacity and resource to reduce travel cost barriers for people seeking employment, education and key services

Impact:
 Improved ease of access to employment, training and key services for people in or at risk of poverty

The Council Business Plan (Outcome 11), the City Mobility Plan and End Poverty Edinburgh Delivery Plan make a commitment on action to ensure that transport options in the city are inclusive and affordable. Such actions reflect a core call to action from the Edinburgh Poverty Commission which noted that “the cost and ease of transport across the city is a major barrier to people’s ability to hold down jobs, access educational opportunities and support, participate in activities and maintain family and social connections.”

Such pressures are expected to grow in importance as the city begins its recovery from pandemic and recession, as large numbers of unemployed workers seek support in returning to jobs, training and education. Investment is required to ensure that transport access and cost is not a barrier to recovery and renewal for people in or at risk of poverty across Edinburgh.

- **£500,000 additional investment to significantly expand capacity for community transport providers,** ensuring low or no cost transport options are available in every community, expanding the provision of mobility as a service option, and making sure that access to transport is not a barrier to the take-up of employment, learning or other opportunities.

In making this investment, the programme aims to build on and maximise the impact of existing programmes, and Scottish Government programmes – including the planned expansion of free bus travel for under-22 year olds expected for implementation later this year.

Investment 21/22	Investment 22/23
£0.500m	£0.500m
Total Investment	
£1.000m (plus £0.500m recurring cost)	
Non-Financial Benefits	
<ul style="list-style-type: none"> • Improve income or reduce living costs for poorest citizens • Improve opportunities to access or progress in fair employment, learning or training • Make the experience of seeking help more compassionate and more dignified • Improve physical and mental health and reduce health inequalities • Create safe, inclusive communities that promote equality and diversity • Make sure people can access the services they need in the places they live and work 	

Proposal Summary: (Scope)

Impact:

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Prior to the pandemic, almost 14% of Edinburgh's population had caring responsibilities. For many, these have increased massively since late March 2020, with other citizens also taking on new responsibilities. At the same time, the pandemic brought out the best in communities, with the voluntary and third sectors also able to respond flexibly and creatively to the challenges.

Working with an experienced delivery partner, a one-off investment in a Carers' Recovery Fund would be an important recognition of carers' contribution and a signal of the Council's commitment to invest further in carers' rights to short respite breaks as set out by the Independent Review of Adult Social Care in Scotland (IRASC) and the Scottish Government's Readiness Toolkit for Integration Joint Boards Health and Social Care Partnerships.

The Carers' Recovery Fund should align to agreed health and social care outcomes, focus on carers in greatest need with limited means (and facing multiple barriers) and address poverty risks which are higher among carers than other groups. Clear and transparent criteria will be developed, comparable to established criteria for short respite breaks grants. One or more of three outcomes which form a core part of the Carers (Scotland) Act 2016 and Edinburgh's Joint Carers Strategy 2019-22 should be met, namely improved opportunities for breaks from caring, Improved personal health and wellbeing and improved economic (financial) well-being.

To reach the maximum number of carers in Edinburgh's communities, it is proposed to spread promotion and distribution of the payment over a period of six months, with a launch during National Carers' Week (7-13 June 2021) which this year has the theme Make Caring Visible and Valued. It is proposed to allocate some funds specifically to young carers and young adult carers, and to parent carers and carers of minority communities.

Investment 21/22	Investment 22/23
£0.250m	n/a
Total Investment	
£0.250m	
Non-Financial Benefits	
<ul style="list-style-type: none"> • Recognition of the vital role of unpaid carers, particularly those in greatest need, during the pandemic and subsequent recovery, thereby addressing poverty risks • Signalling the Council's commitment to invest further in carers' rights 	

**Proposal Summary:
(Scope)**

Impact:

The Edinburgh Cycle Hire Scheme (ECHS) was established three years ago by Transport for Edinburgh to provide bicycles for hire across the city, enabling residents and visitors to travel efficiently around the city. The current scheme is delivered under contract by Serco, with sponsorship from *JustEat*.

The contract for the existing scheme is due to end in September 2021 and it is proposed to exercise the four-year extension option (permitted under the existing concession contract). Members will be asked to approve this extension, subject to sufficient funding being secured from a combination of grant funding bids (UK and Scottish Government), sponsorship revenue and ridership revenue. A fixed annual fee has been requested, with further refinements of the service provision to improve the service for the customer, reduce the environmental impact of supporting the scheme and to reduce costs. Serco have indicated that they are not prepared to extend the existing contractual arrangements as they currently carry all of the financial risk. They would be prepared to extend the current contract but with a Managed Service Model.

Financial support has been requested from City of Edinburgh Council as a contribution towards the continuation of ECHS.

The maximum total cost of the contract in year 1 would be £2.329m and £1.157m in years 2 – 4. This assumes that only ride income of £0.4m is received, with no sponsorship or external grant funding.

- The cost of security upgrades will be £1.172m and TfE are in discussions to secure grant funding for this. This would be capital funding.
- The cost of purchasing the fleet which is not already owned is £0.097m per annum for each of the four years of the contract. Again, grant funding is being sought for this. This will be capital funding.
- The management fee averages £1.460m per annum in each of the four years. A reduction of £0.100m is possible but not guaranteed.

The income expected for the scheme is expected to be:

- £0.5m income from ridership; and
- TfE believe that they will achieve Sponsorship income of £0.5m.

This would mean that the maximum funding required would be £0.460m. TfE intend to seek funding to deliver the security upgrade, grant funding and additional sponsorship but these are subject to further negotiation. TfE expect to secure the capital funding required but note potential risks on both ridership and sponsorship of approximately £0.250m. On this basis, the funding gap could increase from the £0.460m noted above to £0.710m.

**Investment
21/22**

**Investment
22/23**

£0.800m

£0.500m

Total Investment

£1.300m (with estimated recurring cost of £0.500m)

Non-Financial Benefits

- ECHS will contribute to Council Business Plan objective for the city becoming sustainable and net zero carbon, particularly outcome 12.
- ECHS will support the delivery of the City Mobility Plan.

Concessionary Public Transport (Tram Travel) for Under 19s

Proposal Summary: (Scope)

Impact:

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The Scottish Government has recently announced an extension to concessionary travel arrangements which means that people under the age of 22 will be able to travel on public transport for free. It is expected that the funding for this will be provided by the Scottish Government, based on bus patronage. However, in Edinburgh, the public transport service also includes tram travel and the existing arrangements for concessionary travel do not provide sufficient funding for tram passengers.

Therefore, the Council currently reimburses Edinburgh Trams to enable them also to deliver the concessionary travel arrangements which apply for bus passengers.

A calculation has been made on the potential impact should Edinburgh decide to offer free travel by tram to those aged under 19, with the estimated cost being circa £0.5m. An exercise is now underway to establish the estimated cost for providing free travel for people aged under 22.

Should the Council be required to reimburse Edinburgh Trams for this concessionary travel, these costs cannot be met from the Place budget. It is therefore requested that funding be set aside to meet these costs, if required, in 2021/22 and 2022/23 and that arrangements are put in place to meet these costs on an on-going basis from 2023/24.

* Note – these costs are based on the assessment of free travel for those under 19. This cost will increase if the cost applies to those under 22.

Investment
21/22

£0.500m*

Investment
22/23

£0.500m*

Total Investment

£1.000m*

Non-Financial Benefits

- The tram forms an integral part of the Council's sustainable transport network and contributes to business plan objectives 11 and 12 and would help to support the effort to end poverty by 2030.

Proposal Summary: (Scope)

Impact:

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Edinburgh's August Festivals and Fringe have been significantly impacted by the outbreak of COVID-19 and, while recognising that it would be impossible to stage these Summer Festivals on the scale and impact of previous years, the current Scottish Government guidance provides an opportunity to support the city's economic recovery and the wellbeing of residents by their staging a hybrid model which combines live and digital events to:

- support audience wellbeing and the leisure and tourism economy in a way digital alone does not;
- help local creatives to deliver live work as wider market demand restarts; and
- position Scotland for recovery by creating marketing assets which showcase the city's unique experiences and places across the world.

Current restrictions and public health requirements mean that the festivals are unable to rely on their normal funding streams. Additional support is required so that as full a programme as possible of COVID-secure events can be delivered. The Scottish Government has earmarked one-off funding of £1m for Edinburgh's August Festival activity in 2021 and has requested that the Council provide some match funding to enable live events to take place.

A package of up to £1.5m would be created and a joint plan is being developed which would see support for a range of small, medium and larger scale events. The governance and delivery mechanisms, including criteria, for the proposed fund are under development. The intended focus for the Council resource is more specifically for Edinburgh-based Fringe producers and venues and their participation and recovery given their importance as the foundations of the city's core cultural jobs, talent retention and creative infrastructure. It is not intended for the main festivals or the Fringe Society itself.

This funding, in partnership with the Scottish Government financial support, is vital to supporting the recovery of the city's creative economy for performers, production support and the wider sector supply chain. COVID-19 has had a significant detrimental impact on this sector, with many people unable to work for the past 12 months, so bringing forward plans for Summer Festivals 2021 not only supports individuals and small businesses but also the wider local and city economy. Alongside their digital programming and promotion, by having events on the ground, this will also support the wider city economy, especially the hospitality and retail sectors.

In addition, the Summer Festivals will be targeting local and regional audiences, prioritising accessibility and engaging with local residents and communities. The Culture Service will continue its support role with other festivals and events throughout the year.

Investment 21/22	Investment 22/23
£0.500m	n/a

Total Investment
£0.500m

Non-Financial Benefits
<ul style="list-style-type: none"> • In support of the Council business plan, this additional support will also support the recovery of the city centre and businesses (objective 10) • Support for the city's creative and hospitality sectors which have been significantly impacted by COVID-19 • Improve wellbeing for local people, offering the opportunity for enjoying creative and social experiences.

Proposal Summary: (Scope)

Impact:

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There has been a recurring savings target of £1.9m in the budget across the library service which we are looking to achieve over the next three years. The project will look at various options to achieve this saving including: reducing our staff numbers whilst protecting our frontline staff; looking to implement a more joined-up approach across our school and community libraries; and looking to provide a more focused core offering which aligns with the strategic objectives of the organisation by linking library services into the wider wellbeing objectives e.g. to support digital inclusion; reduce poverty, inequality and employability; reduce social isolation; provide equal access to information and deliver healthy, vibrant and engaged communities.

As part of the longer-term vision for libraries, we are looking to move away from the traditional standalone buildings towards multipurpose hubs as part of the 20-minute neighbourhood strategy where Council services can be co-located. As part of this we will be investigating the option of using Open+ technology which enables our libraries to be open with or without staff being present, increasing community access but at a lower cost.

There is an opportunity to transform how the library service is delivered and the services / events which could be held within our libraries, however this would require a significant investment to improve existing buildings, existing library systems and as part of the longer term ambition to create multi-purpose hubs where council services can be co-located.

This request is for one-off payments for a replacement Library Management System which is not fit for purpose, to replace People's Network which is coming to end of life at the end of December 2021 and to replace self-service kiosks which were switched off due to potential security risks in January 2020 as they had come to end of life and were no longer supported. It is also to support the CCTV and Open+ technology which would allow libraries to be open longer with or without staff.

Investment 21/22	Investment 22/23
£0.350m	£0.350m

Total Investment
£0.700m

- Non-Financial Benefits**
- Increasing efficiencies and delivering a saving whilst protecting frontline staff's jobs
 - Staff gain a more rounded level of knowledge and experience through combining the community and school librarian roles
 - Looking to form new partnerships and build on existing partnerships
 - Looking to future-proof the library service

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Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Tron Kirk Update

Executive/routine Wards Council Commitments	Executive 11 – City Centre 2
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1. Recommendations

- 1.1 That Committee:
- 1.1.1 Notes the current position regarding the previous short-term lease to Old Town Projects Limited (a subsidiary of Edinburgh World Heritage Trust); and,
 - 1.1.2 Approves the proposal at Option B of entering into an agreement with Scottish Historic Buildings Trust on the terms set out in Appendix 2 and other such terms to be agreed by the Executive Director of Resources.

Stephen S. Moir

Executive Director of Resources

Contact: Mark Bulloch, Portfolio Manager,

Property and Facilities Management Division, Resources Directorate

E-mail: mark.bulloch@edinburgh.gov.uk | Tel: 0131 529 5991

Tron Kirk Update

2. Executive Summary

- 2.1 This report provides an update on the short-term lease for the Tron Kirk and highlights the options available to the Council moving forward. It recommends the option of entering into an agreement with Scottish Historic Buildings Trust to advance the Council's short and long-term aspirations for the building.

3. Background

- 3.1 The Tron Kirk is located on a prominent position on the Royal Mile at the junction of High Street and South Bridge. The property extends to 278sq m (3,000 sq. ft) or thereby and is shown outlined red on the plan attached as Appendix 1.
- 3.2 Numerous reports on the Tron Kirk, dating back to 6 June 2013, have been presented to the Finance and Resources Committee, the most recent of which was [3 December 2020](#). In considering that report, Committee agreed the following motion:
- 1) To note the contents of the report and the work that had been carried out by both officers and Edinburgh World Heritage Trust (EWHT) to realise the Tron Kirk project;
 - 2) To further note that if the project were to proceed there would be a substantial impact on the Capital Budget Strategy that would negatively impact capital projects across the city; and,
 - 3) To therefore agree Option A in the report and to instruct officers to bring forward a report on the short- and longer-term future of the building to a future meeting of the Finance and Resources committee.
- 3.3 Option A was to reconfirm the position from 2013, that the Council are not prepared to make a capital contribution to the project due to significant other unbudgeted capital pressures. EWHT had advised that if this option was confirmed they could not continue with the project.
- 3.4 Following Committee's decision, agreement was reached with EWHT to terminate the lease as at 31 March 2021. Consequently, the Council secured vacant

possession, with effect from 1 April 2021, and the building has been vacant since that time.

4. Main report

4.1 To consider options on the future of the Tron Kirk, the Council needs to be clear on the assumptions that inform those options. Consequently, for the purposes of this report, the following has been assumed, which are informed by previous Committee and Council decisions:

- That short-term refers to 1 to 5 years and relates to the building itself by making use of the temporary floor, constrained by the building footprint and lack of amenities;
- That any short-term use will specifically debar its use as a festival venue and/or alcohol licence;
- That long-term refers to 5 years plus and relates to the building and the potential to utilise the former Hunter Square toilets and at least part of Hunter Square itself (as per the EWHT proposals);
- That a capital contribution from the Council, towards a long-term strategy, is currently not available.
- That the Council will not sell the property and therefore any short- or long-term proposal will be by way of a lease agreement;
- That a financial return is not the principal determining factor when considering short- and long-term proposals; and,
- That preference is for a quasi-public-sector long-term proposal like the aspirations of the EWHT of show casing the building whilst acknowledging its historic and heritage importance.

4.2 On the basis of the above, options are restricted to Option A (or a permutation thereof) or Option B as detailed below.

Option A

4.3 A short term strategy, in isolation, is limited by the duration of the agreement. Basically, the property is advertised on the open market for short term use, interest is solicited, and a closing date is set. Consequently, selection of a preferred bidder is also limited to the financial return and the use proposed.

4.4 Members are reminded that the above process was last carried out in 2013, which produced several offers resulting in numerous Committee reports, deputations and motions. The outcome was an indoor market which remained in place until the lease was terminated to allow EWHT to take possession, which again resulted in numerous Committee reports, including a review by GRBV.

- 4.5 Following further consideration and reflection on past experiences, Council officers are now of the professional view that the pursuit of separate short and subsequent long-term solutions is not conducive to achieving the principal objective of securing a sustainable future for the building and wider site. The nature of a short tenancy gives no incentive for an occupier to raise funds to invest in the future of the building. Consequently, the Council should now consider a strategy that seeks to secure the future of the Tron Kirk in the short and long term through one comprehensive process, like the one about to commence for the former Royal High School.
- 4.6 The approach would be to expose the opportunity to the wider market as a restoration/redevelopment opportunity as one package and seek proposals that principally focus on long-term outcomes. Importantly, but ancillary, are proposals to manage the asset in the interim including, for example, timescales, milestones, financials, conditions, engagement etc. Effectively, a suite of weighted criteria developed to assess any offers for both the interim use and longer-term project.
- 4.7 Bidding based on the above would be a major undertaking for any party and would not likely be of interest to an opportunist. It does however require the Council to acknowledge at the outset what the likely outcome will be, viz, the option is likely to generate substantial interest from commercial developers and occupiers, mainly in the retail, tourist and food and drinks sectors, and this will be reflected in proposed end uses. If the Council is inviting proposals from the market, and private finance is going to fund the development, commercial developers will require a return that reflects the risk undertaken including the ability to pay back the investment and make a profit. There are several permutations to this approach, but the headline principles remain.

Option B

- 4.8 The Council has been approached by Scottish Historic Buildings Trust (SHBT) seeking the opportunity of taking the Tron project forward both in short and long term. The full initial proposal is attached as Appendix 2.
- 4.9 Committee will be aware that there is precedent of the Council working with SHBT at both Riddles Court and Customs House. In both projects the approach has been the same, interim proposals with longer term goals that secures funding for investment in the building and business plans that seek to find the right balance between sustainable income, heritage and public benefit.
- 4.10 Their proposal is to 'step in' and manage the short-term phase by utilising the Tron for tenants (akin to the EWHT short term use). During this period, work would commence on a longer-term feasibility study that would include a review of the original proposals and work already completed by EWHT. Effectively, a vision would be developed in consultation with the Council and ultimately signed off by this Committee.
- 4.11 SHBT bring substantial experience and track record of successfully taking on and finding solutions for difficult listed buildings.

Summary

- 4.12 The significant difference between the two options is that one is a commercial enterprise and will produce a financial return with uses that are a mix of retail/food/drink/tourism whereas the other is a public/partner led project that will seek to be self-sustaining financially but with greater public benefit. Marketing the property, as in Option A, is unlikely to secure proposals that Option B offers.
- 4.13 In conclusion, based on the comments above and the assumptions detailed in paragraph 4.1, it recommended that Committee approves Option B and enters into direct discussions with SHBT on taking the project forward.

5. Next Steps

- 5.1 Subject to Committee approval, officers will engage with SHBT to advance legal documentation.

6. Financial impact

- 6.1 The termination of the lease to EWHT on 31 March 2021 will result in no income for the Council. As the building is Grade A listed there are no substantial vacant rates to be paid.
- 6.2 Option A could create a financial return to the Council, albeit this cannot be determined until the parameters of possible uses are confirmed.
- 6.3 The proposals from SHBT proposes no financial return to the Council as any surplus income will be invested in the property/project. The proposals make the Council responsible for external repairs in the short term, which is similar to the short-term situation when EWHT were in occupation. Considerable capital expenditure was incurred on roof repairs in recent years and therefore the risk of extensive external repairs, in the short term, is minimal.

7. Stakeholder/Community Impact

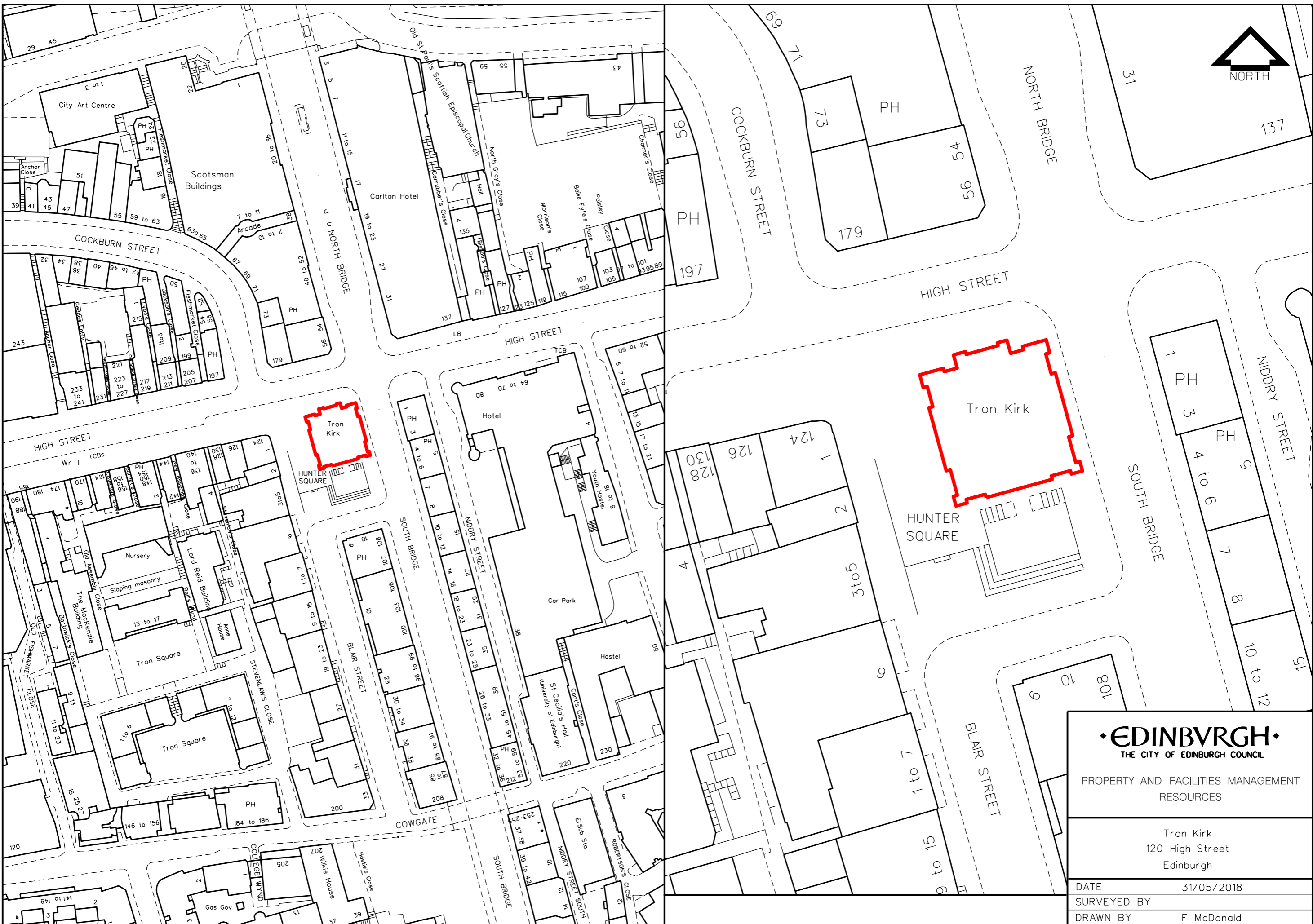
- 7.1 Ward elected members have been made aware of the recommendations of the report.

8. Background reading/external references

- 8.1 [Finance and Resources Committee 3 December 2020 \(Tron Kirk, Edinburgh – Update Report\)](#)

9. Appendices

- 9.1 Appendix 1 - Location Plan
- 9.2 Option paper – Scottish Historic Building Trust



• EDINBURGH • THE CITY OF EDINBURGH COUNCIL	
PROPERTY AND FACILITIES MANAGEMENT RESOURCES	
Tron Kirk 120 High Street Edinburgh	
DATE	31/05/2018
SURVEYED BY	
DRAWN BY	F McDonald
SCALE	Plan to Scale at A3
NEG. NO.	NT2573/A3/1356

LOCATION PLAN

SCALE 1:1250

SITE PLAN

SCALE 1:500

THE TRON KIRK, EDINBURGH

PAPER for City of Edinburgh Finance and Resources Committee Meeting – 20th May 2021

INTRODUCTION

Scottish Historic Buildings Trust (SHBT) is offering this paper as an option and way forward for the Tron Kirk following the announcement from Edinburgh World Heritage (EWH) to withdraw from the project on 31st March 2021.

SHBT already has a relationship with CEC on two buildings in Edinburgh – Riddle’s Court in the Lawnmarket which was restored in 2017 as a Centre for Learning which includes a Café, Holiday Apartment and Offices and is leased on a 99 Year Lease, and the Custom House in Leith which is currently on a short term Lease whilst a Feasibility Study is being undertaken to determine the long-term Vision for the building. In the meantime, SHBT manages the building as a Creative Hub within the heart of Leith. The building is home to a diverse group of tenants ranging from a Café and Coffee Roaster to a Barber and Men’s fashion retailer to the Edinburgh Tool Library and Men’s Shed to a number of artists, artisans and crafts people to the weekly Leith Market and a monthly Action House. Whilst a number of uses are public fronted, the building opens its doors on a regular basis to enable the Community and interested parties to come and hear about the project and see in person behind the scenes.

As a Charity, SHBT is able to retain public benefit and use of both Riddle’s Court and the Custom House, both in the interim and long-term use of the buildings. At Riddle’s Court, SHBT secured funding of over £7m from Historic Environment Scotland and the Heritage Fund to numerous Trusts and Foundations to public and private donations, guaranteeing the long-term future of this important building within the Old Town. CEC gave a cash contribution of £26,000 towards Riddle’s Court as well as its contribution in kind offsetting any rental income. The Council has also benefited from use of the building by its adult community learning classes at no charge. The Custom House Feasibility Study will determine the total investment required to safeguard this building, with the cost of repairs alone being in excess of £4m.

SHBT is a charity with a track record of over 40 years dedicated to regenerating significant historic buildings throughout Scotland whose survival is threatened. SHBT is well placed to assist the Council in developing a viable and sustainable future for the Tron Kirk which was acquired by CEC in the 1950’s. Although the building has been in sporadic use from the 1970’s, it was the traditional centre of the Edinburgh Hogmanay celebrations until recently when the focus moved to Princes Street and remains a fond memory of those who were fortunate to have been part of its history.

SHBT PROPOSAL

SHBT would like to be involved in securing a future for the Tron Kirk and as per our agreement on the Custom House and previously Riddle’s Court. We would like to suggest that our involvement is broken down into 3 stages as follows:

IMMEDIATELY:

Subject to SHBT Board Approval, SHBT would step in immediately, or as soon as possible and take up a Missive/Licence to Occupy the Tron (similar to what we started with on the Custom House). This would enable us to step in and take over the day to day management of the building without delay.

SHBT will liaise with the most recent retail partners to EWH to discuss the option of returning to the building once Government lock-down restrictions ease. We understand that all existing retail tenants were asked to vacate the building on 31st March 2021. SHBT will discuss original Lease/Licence agreements which will be honored where possible and new Licences to Occupy the Premises with sufficient length of time to ensure that they have some continuity of tenancy will be granted. If possible, SHBT will immediately issue a month by month Licence to give tenants comfort in working towards the building re-opening in line with Government announcements.

If new tenants are required, SHBT will consider those with a retail offer appropriate to the building and the City of Edinburgh and will continue the theme of a heritage retail offer with commissioned local artists and craftspeople to promote the demand for Scottish books, prints, crafts and where possible food offerings.

Immediate Outcomes:

- SHBT will fulfil a management role for the Tron as long as required, and will liaise with all existing and new tenants to ensure that the building is open for business as soon as Government measures allow, and available for the Summer Tourist Season;
- SHBT will not charge any Management Fee for this period, but would recover its own costs from rental income from the tenants that occupy the building;
- SHBT will pay no rent on the building;
- CEC will continue to insure the building and undertake external repairs (other than day to day maintenance). SHBT will deal with any internal repairs/utilities, etc.

SHORT TERM:

Once the Immediate actions have been executed, SHBT enter into a longer-term agreement with the Council (similar to the arrangements on the Custom House and Riddle's Court) and secure a short-term Lease (minimum 5 years, with the ability to extend) which will enable SHBT to undertake a Feasibility Study to consider and develop the Long Term Vision for the Tron Kirk.

SHBT will also seek agreement at this stage for a longer lease of 125 Years with an agreed trigger-point which will enable SHBT to deliver a capital project and manage the building into the future. This long lease will be required for any funding applications that we will seek in the future. The agreement will set out the triggers for the Lease to be signed and registered, but in the short-term, SHBT will only require agreement from CEC to do this once a viable and sustainable capital project is developed (the same arrangement that we have on the Custom House, and previously Riddle's Court).

Short Term Outcomes:

- SHBT will continue to manage the building over the course of this extended Lease period. No rent will be paid and SHBT will recover all of its costs from the rental income received. SHBT is prepared to operate on an open-book basis, where any surplus income generated can be reinvested in the capital project (again a similar arrangement to that undertaken on Riddle's Court and the Custom House);
- CEC will continue to insure the building and deal with any external repairs and SHBT will deal with day to day maintenance;
- SHBT will develop a Feasibility Study (working with the Council) to set out a future Vision for the Tron which will provide public benefit to the people of Edinburgh and its Visitors. The Feasibility Study will also consider whether Hunter Square and the adjacent toilet block is beneficial to the viability of the Vision. It is expected that the completed Study will be signed off by CEC Finance & Resources Committee and any other sub-committees in its development;
- Once the Study Vision has been agreed with all parties, SHBT will develop the Capital Project including all fundraising required to realise the Vision. At a point when the project is fully funded and ready to tender for a Main Contractor, SHBT will trigger signing the 125 Year Lease (which will have been developed during this phase with title documents provided at the initial lease stage).

LONG TERM:

Once the trigger for the 125 Year Lease has been met, SHBT will take forward the final stages of project development to appoint a Main Contractor to undertake the capital work, and also finalise all fundraising conditions, including standard securities, ranking agreements and such like and deliver the capital project through to completion. The 125 Year Lease will reflect the end-use of the building and any specific conditions to its management. This Lease will be on a full repairing and insuring basis (as per Riddle's Court).

Long Term Outcomes:

- The Tron Kirk is restored and given new and meaningful life for the citizens of Edinburgh and beyond;
- The long-term management and maintenance of the Tron Kirk is secured.

CONCLUSION

SHBT has shown through the successful completion of the project at Riddle's Court that its involvement can secure the future of an important at risk historical building by giving it a viable and sustainable future. It is also an example of partnership working where the track record and skills of SHBT as a Building Preservation Trust and Charity were able to secure the future of Riddle's Court with a fully funded capital project with sustainable income generation to safeguard its ongoing maintenance and running costs whilst the Council is able to retain the building on its balance sheet. This arrangement will be mirrored on the Custom House where the CEC contribution is the acquisition of the building using Common Good funding.

SHBT acknowledges that CEC have no capital funds to contribute towards the restoration of the Tron Kirk in the current financial climate and is happy to proceed with the project on the above basis.

Una Richards

Chief Executive, Scottish Historic Buildings Trust

19th April 2021

Finance and Resources Committee

10:00am, Thursday 20 May 2021

Portobello Town Hall

Executive/routine Ward Council Commitments	Executive 17 – Portobello/Craigmillar
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1. Recommendations

1.1 That Committee:

- 1.1.1 Notes the bids received for Portobello Town Hall following a marketing exercise; and,
- 1.1.2 Approves the bid, in principle, from Portobello Central Ltd subject to further discussions and engagement with the Council on the 20 Minute Neighbourhood proposals for Portobello.

Stephen S Moir

Executive Director of Resources

Contact: Allan Robertson, Senior Surveyor

Property and Facilities Management Division, Resources Directorate

E-mail: allan.robertson@edinburgh.gov.uk Tel: 0131 529 5962

Portobello Town Hall

2. Executive Summary

- 2.1 Portobello Town Hall has been vacant since July 2019 and requires significant capital investment due to its condition. The property has been marketed for lease as a restoration opportunity and this report outlines the bids received at the closing date.
- 2.2 The recommendation is to accept the proposals from Portobello Central Ltd, a not for profit company set up by the local community.

3. Background

- 3.1 Portobello Town Hall, built in 1914, is a Category B Listed Council owned building situated in a prominent location on Portobello High Street as shown outlined in red on the plan attached as Appendix 1.
- 3.2 The Hall was purpose built by the then Corporation as part of a commitment in the Edinburgh Expansion Act 1896, which annexed Portobello to Edinburgh. It comprises a main hall with ornate barrelled ceiling with surrounding balconies capable of hosting approximately 450 together with a lesser hall with capacity for a further approximately 60 people.
- 3.3 The most recent use of the hall was as a venue made available for hire through the Council's Libraries Service.
- 3.4 As part of business as usual, the Council updates condition surveys on 20% of its property estate each year on a rolling programme. The condition report for the Town Hall was updated, on 16 April 2019, and classified the asset overall as condition C – Poor -showing major defects and/or not operating adequately. The outcome indicated investment required of £1,001,385 (over a five-year period) to bring it up to Condition A/B standard.
- 3.5 As hair line cracks were emerging in the ceiling area above the stage and balcony, a separate specialist inspection of the ceiling was also carried out. Initially, as a precautionary measure, netting was erected above the stage to allow planned events to take place. That initial inspection recommended that a further closer

tactile specialist inspection was carried out, which, due to the height of the hall and need for scaffolding, required the closure of the hall for a period to allow the survey to take place. Based on the outcome of the specialist survey and as a result of health and safety concerns with the ornate vaulted ceiling, the decision was taken to close the venue in July 2019.

- 3.6 At the time of closure, the main use of the hall was for childcare purposes, martial arts classes and the occasional wedding reception. Assisted by the Council, all uses were relocated.
- 3.7 The Council has no allocated capital budget to meet the costs of repair and therefore engagement took place with local members and representatives of the local community to establish options moving forward. This included a workshop held in August 2019.
- 3.8 While there was general consensus on the aspiration for the further use of the building, it was agreed that the initial process would be to market the building for let, principally as a restoration opportunity. The initial bids would be assessed, and a second closing date held. The interest solicited would then inform the next phase of securing the building's future and, once complete, would provide the Council, in consultation with the wider community with options to assess.

4. Main report

- 4.1 The property was initially marketed as available for lease, in February 2020, on a full repairing (i.e. tenant responsible) basis. Additional information was made available to interested parties, including:-
- Building Condition report by Council – June 2019;
 - Detail ceiling inspection by Adams Napier Partnership (Building Surveyors and Heritage Consultants) – August 2019;
 - Estimated ceiling cost plan by Summers Inman (Construction and Property Consultants) – September 2019; and
 - Asbestos Management Survey – Omega Asbestos Consultancy – April 2019.
- 4.2 Several enquiries and viewings took place, however the main challenges on the level capital investment and the B listed status of the building were off-putting to many. The marketing process was significantly impacted by Covid lockdowns but first and second closing dates were set on 30 November 2020 and 19 March 2021 respectively. At the second closing date two bids were received as follows:-
- Portobello Central Limited**
- 4.3 Portobello Central Ltd (PCL) is a company limited by guarantee, a not-for-profit community organisation, formed by members of the Portobello community to prepare a proposal to the Council in response to its call for proposals for Portobello

Town Hall. The full bid, first and second closing date submissions, is attached as Appendix 2.

- 4.4 It is proposed that, in partnership with the Council, PCL progresses towards an asset transfer of the building to a Scottish Charitable Incorporated Organisation (SCIO), set up for the purpose, with a board of trustees elected by the community.
- 4.5 The documents details significant preparatory work that includes:-
- Community Consultation;
 - Legal Structure and Timetable;
 - Funding Strategy and Financial Plan;
 - Links and synergies with emerging Council strategies, e.g., 20 Minute Neighbourhood concept;
 - Assumptions and Risk Register with Mitigating actions.
- 4.6 The proposal seeks collaboration between the local community, the Council and private sector to deliver a project than ultimately leads to a Community Asset Transfer of the asset.

Mr Valerio Lo Coco-Native Wines Ltd

- 4.7 The proposed use is to create a food market, consisting of stalls for the sale of fresh local produce, street food, drinks, craft and natural products.
- 4.8 The proposal seeks a 20-year full repairing and insuring lease with 3-years rent free and a rent of £60,000 per annum subject to planning and building warrant consents. The bid refers to accessing public funds but is silent on whether that is a condition. The full bid material is attached as Appendix 3.

Summary and Conclusions

- 4.9 If the bid from Portobello Central Ltd was a formal Community Asset Transfer it would be considered, by the Council' assessment criterion, as excellent. Significant time and resource have been put into the bid, which does not underestimate the challenge of taking on a listed building in poor condition nor downplay the risks involved. It seeks empowerment from the Council to the local community which underpins the Community Empowerment Act and has strategically linked the proposals with emerging Council initiatives. The model proposed was successfully used for the former Council owned resource centre at Duncan Place, Leith
- 4.10 While the bid from Mr Lo Coco has some interesting financial figures, the bid lacks detail on their deliverability and there is also little detail on what grants would be accessed and how these relate to the restoration of the building. Given that several months were afforded to prepare submissions, with two closing date, it is not considered unreasonable to have expected a more substantive submission.

- 4.11 For the reasons above, it is recommended that the bid from Portobello Central Ltd is accepted. At this time, it is recommended that the bid is accepted “in principle” to afford time for further engagement on the emerging Council proposals for the 20 Minute Neighbourhood that will be reported to the Policy and Sustainability Committee in June 2021.

5. Next Steps

- 5.1 Subject to Committee approval, officers will carry out further engagement with Portobello Central Ltd to progress the proposals.

6. Financial impact

Capital

- 6.1 As detailed in the main report, the building requires capital repairs of approx. £1m for which there is currently no allocation in the Council Capital Budget Strategy. While this expenditure could be incurred over time, no investment will result in the further deterioration of the building fabric. It should also be noted that the costs were estimated pre Covid-19 and its impact will result in the costs increasing.
- 6.2 Implementing the recommendations of this report will result in the required capital expenditure being sourced by the proposed tenant thereby removing the pressure from the Council.

Revenue

- 6.3 An analysis of the last full financial year of the building being open in 2018/19 has been carried out. This covers the Library Service cost of managing the facility, offset by rental income from hire and the Property and Facility Management Divisional budget that has to cover the costs of utilities, NDR, Janitorial/Cleaning, compliance etc. The consolidated net outturn for that financial year was a cost of £113,795.
- 6.4 The proposed lease of the property should realise savings and efficiencies at the level indicated in paragraph 6.3.

7. Stakeholder/Community Impact

- 7.1 Local elected members have been advised and consulted prior to, and following, the marketing of the property.
- 7.2 Following the closure of the property, officers met with representatives of the local community that was arranged by the local members. In addition, a workshop was held in August 2019 to which the local community was invited.

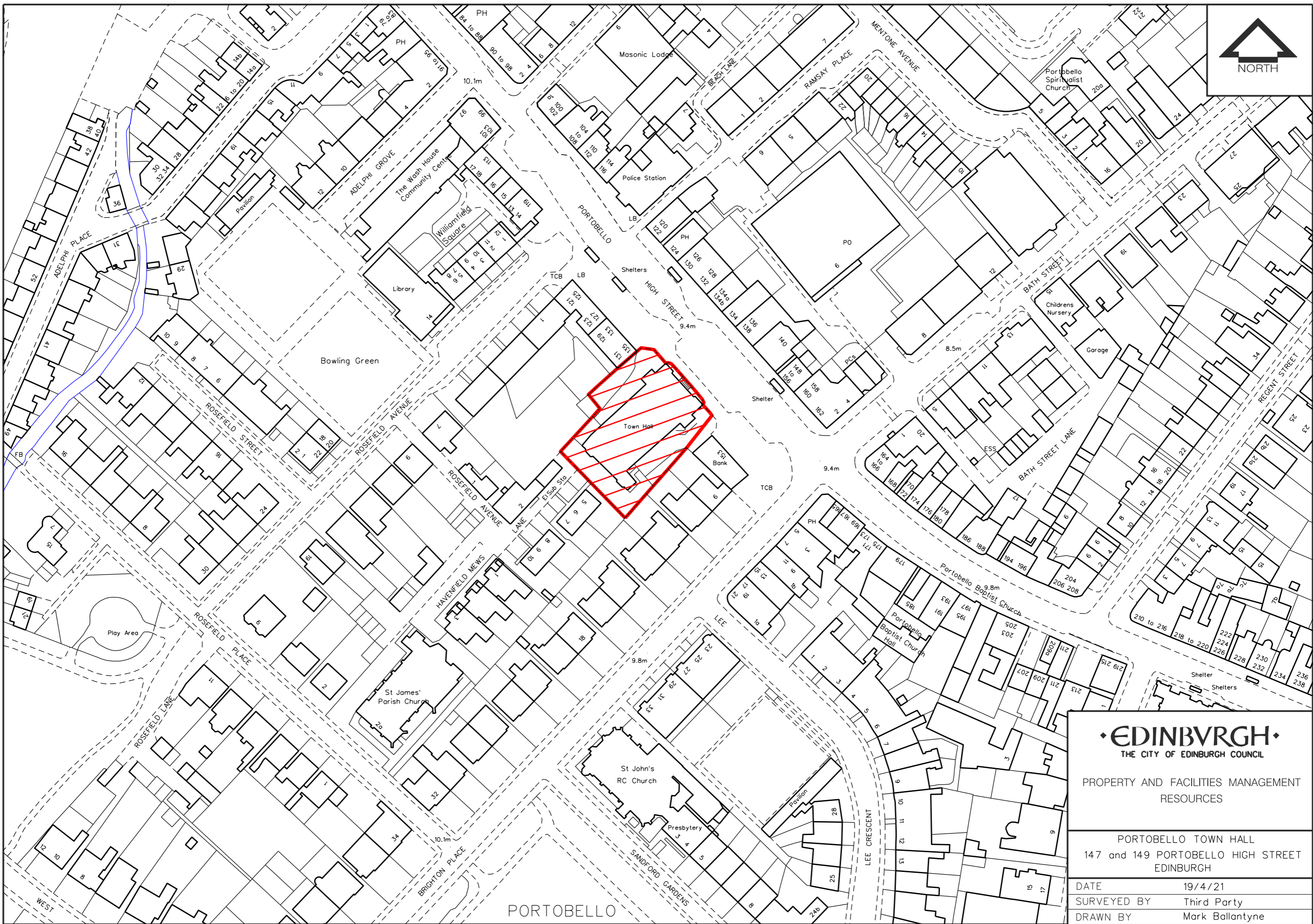
- 7.3 Following the marketing of the property, Portobello Community Council were consulted who, in turn, held a virtual community engagement event.

8. Background reading/external references

- 8.1 None.

9. Appendices

- 9.1 Appendix 1 - Location Plan
- 9.2 Appendix 2 – Bid by Portobello Central Limited
- 9.3 Appendix 3 – Bid by Mr Valerio Lo Coco – Native Wines Limited



SITE PLAN

SCALE 1:1250

EDINBURGH THE CITY OF EDINBURGH COUNCIL	
PROPERTY AND FACILITIES MANAGEMENT RESOURCES	
PORTOBELLO TOWN HALL 147 and 149 PORTOBELLO HIGH STREET EDINBURGH	
DATE	19/4/21
SURVEYED BY	Third Party
DRAWN BY	Mark Ballantyne
SCALE	1:1250 @ A3 SIZE
NEG. NO.	A3/2346

New Life for the Heart of Portobello

The Community Proposal for Portobello Town Hall



Portobello Central Ltd
*A not-for-profit
community organisation*
26 November 2020

New Life for the Heart of Portobello

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In a Nutshell

1. Portobello Central Ltd is a company limited by guarantee, a not-for-profit community organisation, formed by members of the Portobello community to prepare a proposal to the City of Edinburgh Council in response to its call for proposals for Portobello Town Hall.
2. We propose that, in partnership with the Council, we progress towards an asset transfer of the building to a Scottish Charitable Incorporated Organisation (SCIO), set up for the purpose, with a board of trustees elected by the community, as required by the relevant legislation.
3. We conducted a wide-ranging public consultation, during the period of COVID-19 restrictions, which identified a clear wish from the community that:
 - the building re-open as soon as is practicable for a wide range of uses, traditional and new;
 - it should be managed by the community.
 - the building has capacity for more uses than just big events
4. We understand the reasons behind the 2019 closure and are grateful for sight of the various reports commissioned by the Council on the works needed and their likely cost. We believe that a phased programme of work is possible, enabling the building to re-open in the autumn of 2021.
5. Funding the work without a security over the building as a community-based organisation is difficult. We conclude that a straightforward, commercial-style lease is impractical. However, if the building were owned and operated by a community charitable body, such funds might be obtained from, for example, the Scottish Land Fund and the Lottery. Exploring these possibilities is difficult without a clear indication from the Council that our proposal should be pursued.
6. A community-owned and managed venue offering a wide range of activities would sit well with the growing population of Portobello, with the current developments in Portobello itself, and to come at Brunstane and Seafield, adding to demand. Independent architect and surveyor consultants are available and keen; first indications are that they see the building as viable and could be opened for limited use with 3-6 months work.
7. Currently, we assume that a Council decision, in principle, might take at least until the end of February 2021. Assuming that is favourable, the statutory steps for creation of a SCIO and to begin the asset transfer process could well run into late summer 2021. In parallel, the search for funds could continue.
8. Working in partnership with CEC, and considering the unique offer of the Town Hall in the broader local landscape of community, charity and Council-run venues, we intend to use the period while an asset transfer is under consideration to conduct further work to prepare for opening the building, safely but with limitations by 1 October 2021, as a venue complementary to, and not in competition with, other venues in Portobello. This will involve a contractual arrangement with CEC to be negotiated.

Where we start

9. Councillors, Council officers and community representatives met in November 2019. An agreed note of that meeting concluded:

“The initial process is to solicit interest, to inform the next phase of securing the building’s future with capital investment and, once complete, the Council, in consultation with the wider community, will assess all options.

In summary - the Town Hall needs serious investment, that the council can’t currently provide, and are looking to see if anyone (could be private business, social enterprise, charity or a community group) has a proposal for a sustainable use of the town hall. The community will then be involved in assessing the proposals and next steps.”
10. An informal group of local people came together at the end of 2019, including members associated with Bellfield and The Wash House, to prepare a community-based proposal to take over management of the Town Hall.
11. The City of Edinburgh Council (CEC) advertised in late February 2020:

“seeking a tenant to provide a sustainable future for this important historic building. Ideally the proposed future use should include community benefits and facilities.”
12. This document is a proposal with which to open discussions with CEC.
13. This proposal cannot be regarded as a final, formal bid as might be expected in a normal contractual process - the COVID-19 disruption and uncertainties are too great. However, this is presented as an honest basis for discussion.
14. If another proposal is before the Council, the group feels that there should not be a competition but a discussion on the prospects for partnership working. The group concluded early on that the best outcome would be a coming together of commercial, community and Council interests.

The Working Group

15. Although the group came together under a “Save Portobello Town Hall” banner, it was evident that the options for the building are limited, not least by its listed building status, and that the base position of the Council was an extended moth-balling of the building until its other priorities were settled. The key risk in this is a continuing degradation of the condition of the building and loss of a facility which is valued by the community and beyond.
16. We therefore decided that we needed a different approach, recognising that the Town Hall was built to be the centre of life in Portobello and has been the scene of many memorable events. The name “Portobello Central” is intended to put a name to the current process; if successful it will be for the community to decide how to name the building.

Who we are

17. The Working Group is made up of people active in the community, including board members of complementary local organisations which have been involved in community buy-out, local business people, members with finance and IT skills, and community council and central government experience.
18. Members have worked on various projects involving third and public sector funds and are used to working with community issues.
19. Short biographies of each member form Annex 4.

Legal Structure

20. The transition to a company limited by guarantee brings the discipline of company law and a framework of accounting and management.
21. In addition, the project will run at a high level of visibility and moral accountability to the Portobello community. If, as is under consideration, this becomes a project of formal asset transfer a further structural change will be needed to provide for formal community roles in management.
22. As a first step the company status enabled us to apply for a bank account.

Progress to Date

23. The work to prepare this proposal had three main strands:
 - understand the extent and depth of interest in community management, and the ambitions of the community for the Town Hall
 - identify possible, likely and probable users in order to assess the financial viability of re-opening the building,
 - assess, as far as possible, what works are needed to re-open the building at all and what further works would be required in the early and mid-term.
24. In this work we have been encouraged by the willingness of CEC to permit access and to provide such technical information as it holds.
25. Since late 2019 we have run a successful community consultation; discussed potential with various users; held initial discussions with local and specialist architects and technical experts and completed a vast array of administrative tasks necessary for future success. There is a long way to go but with determination and the will of the community behind us, we are hopeful of success.



What we know

26. The loss of the building provoked a strong reaction. Almost immediately, the community got to work with a petition calling for refurbishment attracting over 1,800 signatures.
27. Once Portobello Central was established we considered how to create a space where the community could come together to harness its capacity for optimism, creativity, and volunteering. We wanted to explore what the Town Hall could enable in the future.
28. An on-line engagement programme began in July 2020. We aimed to have 300 conversations in 30 days to gauge the strength of feeling within the community. In the end 532 engaged through a mix of survey results, Zoom meetings, social media and other means.

300 Conversations - what we found

29. The Town Hall is envisaged as a cross-generational, inclusive, and accessible community venue. It should meet gaps in existing provisions including a social space for all generations, particularly youth, while meeting the ambitions of Portobello as a home for a serious, up and coming, events space.
30. **Portobello wants to keep the Town Hall for Community use:**
 - Over 1,800 signatures to refurbish the Town Hall at time of closure.
 - Over 500 active participants in the engagement campaign, even during lockdown.
 - 90% of those surveyed want to keep the Hall within the community.

31. The community have exciting ideas

- From cooking lessons to nerf gun battles, youth clubs to cinema, we were inundated with more than 100 intriguing ideas for how the community want to use the Town Hall.

32. The community want to help

There is evidence of a qualified and experienced volunteer force for refurbishment, maintenance and organisation of events. We recognise that translating on-line offers and excitement into action with mops and brushes is tricky; lockdown has made it difficult to assemble teams to come to clear conclusions, nonetheless the appetite is there and evidenced by Bellfield's track record of harnessing volunteers with a regular team of around 25.

- 195 offers to donate time and expertise, 75 regularly.
- 116 offers to donate money.
- 65 offers to organise future events.
- Support from our local sister community centres, from expertise to hall hire.

33. The Community Engagement Report with full results and methodology forms Annex 1.

The Building



34. The Council's suite of reports and assessments is comprehensive and daunting. We note that the Council had been considering a refurbishment programme in 2022 but the priorities of the capital programme were re-assessed (rightly) to focus on the needs of school buildings.
35. We are grateful to have had two reconnaissance visits (28 February and 5 October) to get a real feel for the issues set out in the various documents produced by the Council. At the 5 October visit we were accompanied by architects from the local firm of Munro Allison, which has a strong record in similar projects.
36. We have not engaged consultants yet, pending the Council's decision, but informal discussions suggest that some works of moderate cost might enable the building to be re-opened. We recognise the longer term and substantial cost works which are needed to give the building a fresh future.
37. Accordingly, we applied to the Architectural Heritage Fund for a Project Viability Study grant - and received a grant offer of £6,500 on 17 November 2020.

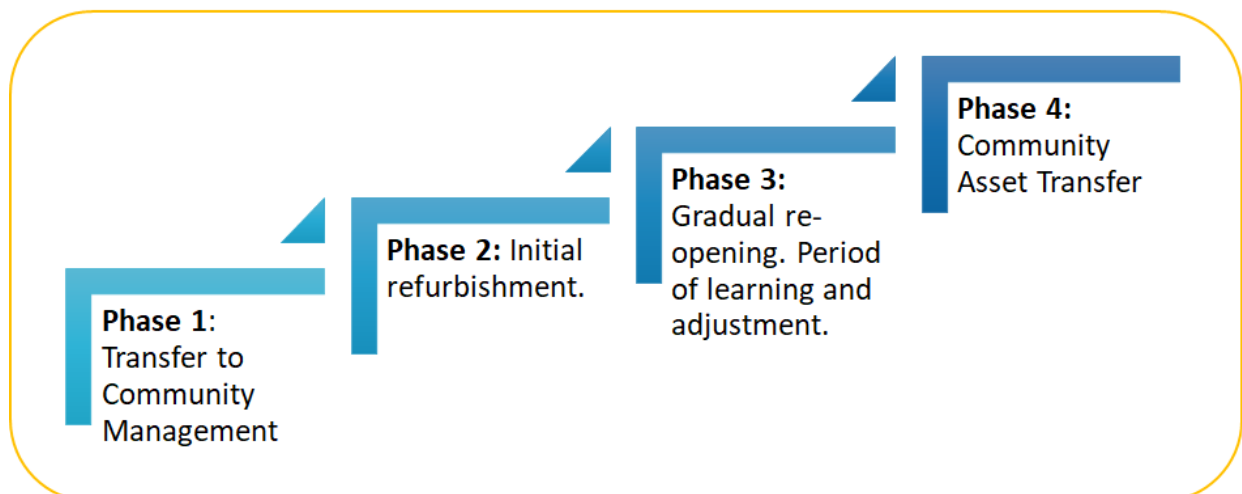


The First Reconnaissance: February 2020

What We Propose

Stepping Forward

38. The Town Hall is envisaged as a cross-generational, inclusive, and accessible community venue. It should meet gaps in existing provisions including a social space for all generations, particularly youth, while meeting the ambitions of Portobello as a home for a serious up and coming events space.
39. It must take its place alongside other community assets and businesses, contributing to growing the energy and capacity of the community and offering flexibility to meet changing demands and methods of delivery. We see no need for competition between the current community-based providers of space, as there is little overlap in the offers each make, and real scope for managing them as a comprehensive range of facilities: cousins not competitors. The venues are hard-pressed at the moment because of COVID-19 but we should be planning for the new normal, even if what that is may not yet be clear.
40. The Council requested proposals for a lease which implies a tenant with sufficient existing resources to fund and manage a significant project. We took the hint in the advertisement:
- “Ideally the proposed future use should include community benefits and facilities”.*
41. No commercial operation can engage with the community better than the community itself and our 300 Conversations engagement exercise showed that the community wants community management of the Town Hall. However, raising funds for a new business (as that is what it will be) and a significant capital programme cannot be done on the basis of event income alone. We propose four stages:



Transfer to Community Management

42. A contractual arrangement with a charitable business, which could be the existing Portobello Central company with a new associated charity or an altogether new SCIO. This would immediately eliminate the burden of rates and meet a qualification for funds from the Lottery and similar bodies. If agreed, we think the arrangement might start from 1 April 2021.

The Longer Term

43. The arrangement might last until the end of the current Council capital programme but it is quite possible that the Town Hall would still face considerable competition for Council capital funding.
44. From our perspective, we should use the provisions of Part 5 of the Community Empowerment (Scotland) Act 2015 to work with the Council to transfer the Town Hall to community ownership by asset transfer. If this is accepted by the Council we might set up, from the outset, a SCIO in a form suitable to meet the statutory needs of the community participation in the asset transfer.
45. As a first step the community would have use of the building under a simple contractual arrangement while the formal process of asset transfer is conducted.



Portobello Town Hall

Community
Engagement Report



Annex 1
Community Engagement Report

Portobello Town Hall

Community Engagement Report



01 Introduction

02 What we found out

03 What we did

04 What we learned

Portobello wants to keep the Town Hall for Community use

- Over 1,800 signatures to refurbish the Town Hall at time of closure.
- Over 500 active participants in the engagement campaign, even during lockdown.
- 90% of those surveyed want to keep the Hall within the community.

The community have exciting ideas

- From cooking lessons to nerf gun battles, youth clubs to cinema we were inundated with more than 100 unique ideas for how the community want to use the Town Hall.

The community want to help

- 195 offers to donate time and expertise, 75 regularly.
- 116 offers to donate money.
- 65 offers to organise future events.
- Support from our local sister community centres, from expertise to hall hire.

Introduction

Portobello Central is a small group based in the Portobello community working to bring Portobello Town Hall back to life.

Portobello Town Hall closed in July 2019 following a period of management by the City of Edinburgh Council through the Libraries department. Deemed financially non-viable and facing increasing repair costs, the Council closed the doors.

With 2 halls, including an impressive theatre arrangement with seats for almost 500 people, the venue was used for weddings, ceilidhs, theatre, concerts, festivals, dances, exhibitions, parties and keep fit classes. The sense of loss, as the heart of Portobello grew dark, was palpable.

“This is not just a building but something which means a lot to the community and the whole of Edinburgh. There isn’t anyone I don’t know who has not had a tie to this building.....

Refurbishing would bring life back into the building as well as being heavily used again.
This building IS Portobello!

Almost immediately, the community got to work with a petition calling for refurbishment, attracting **over 1,800 signatures**. Following this successful petition, a community workshop was arranged to discuss options for the Town Hall using a ‘world café’ style.

A core group met at the workshop, and with the help of local Councillor, Mary Campbell, came together to make sure Portobello Town Hall remained a public space with community at its heart regardless of the ultimate leaseholder. From this group, Portobello Central was born.

Portobello Central set out to create a space where the community could come together to harness our capacity for optimism, creativity, and volunteering. We wanted to explore what the Town Hall could enable in the future.

We set out to create an ambitious community engagement programme in line with the National Standards for Community Engagement.

Due to start in March 2020, our original timetable and methodology was challenged by the necessary restrictions created by COVID-19. After a brief pause, the group reconvened. We agreed the purpose of the engagement and the desire to maintain a quality consistent with the National Standards had not changed. We adjusted our methodologies accordingly and our engagement began again in earnest in June 2020.

The remainder of this report details the outcome, purpose, methodology and lessons learned of our engagement plan.



What we found out

Petition to “Refurbish Portobello Town Hall

At the point of closure a petition was instigated on change.org calling on Edinburgh City Council to refurbish Portobello Town Hall and prevent its closure. Very quickly, 1,812 signatures were gathered.

The petition demonstrated the strength of feeling within the community for a well-loved and used building. A sense of frustration that the Hall had been allowed to fall into such disrepair, particularly as our community grew larger, was clear.

“Portobello would not be Portobello without this wonderful building! It is perfectly positioned right in the middle of the town centre and serves its community well. Every proper town needs its own town hall and none more so than this one.”

“It’s a beautiful building and it’s much needed by the ever-growing population of Portobello”

“Integral part of the community, overlooked and under-funded for years. Loss of this building would have so much impact.”

Many comments addressed the potential for the building and the variety of needs it had served at the past and could serve in the future.

“My wife is from Thailand and we travel from Hamilton to visit the town hall every time there is a Thai Festival there. So we can Celebrate with our other Thai Friends. This would be a Big Loss”

“I have (had) many a great night in this venue. Where can I meet up with friends from near & far who are attending the Northern Soul nights?”

300 Conversations in 30 Days

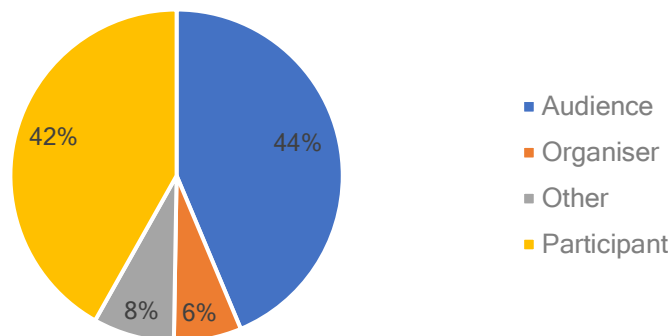
Using a variety of methods aimed at engaging as many and as diverse views as possible (full methodology in “what we did” section) Portobello Central created space within the restrictions of social distancing where the community could come together to harness our capacity for optimism, creativity and volunteering.

Over 30 days we broke our 300 conversations target and 532 different people engaged with us through surveys, online meetings, social media, email, and socially distanced chats. They shared their memories of the Town Hall, their excitement about its possible futures, what they needed from this community space, their ideas, and their offers of help.

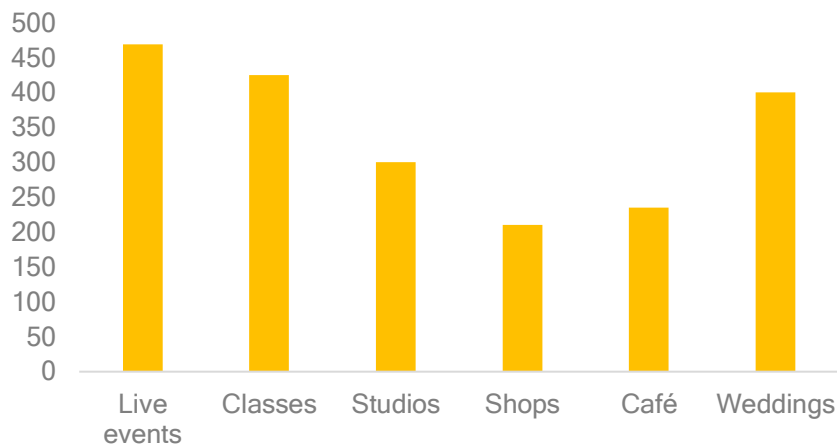
We found the community overwhelmingly wanted to keep the Town Hall under community control and were willing to help. They envisioned a space that filled the gaps in existing provision for all generations, particularly youth, while meeting the ambitions of Portobello as a home for a serious up and coming events space.

Of the 460 main community survey respondents, over 74% had used the Town Hall in the past and 90% wanted it to be managed by and for the community in the future. 100% of those asked (surveyed and other) believed more could happen in the Town Hall if it was community run. Difficulties encountered when trying to hire the hall from the Council were mentioned, one participant noted “I did try and hire it once but got nowhere”.

The Town Hall was previously used for a wide variety of purposes. When conducting the survey we asked how people had used the Town Hall but aimed for a sense of how much it was used for “events” (audience) and how much for more participatory purposes (e.g. classes):



We wanted to understand what the community of Portobello wanted to use Portobello Town Hall for now and in the future. Grouping the ideas into categories we asked across our different engagement methods which of the categories people would like to see, people could select more than one choice:



The real fun happened in the workshops, face to face conversations and free-form section of the surveys. With over 100 intriguing ideas (see appendix 1), Portobello really showed its creativity.

“The Portobello Town hall is a brilliant resource right in the heart of Portobello. It’s time to think about re-engaging the communities we live in and the town hall can play a key part in this, providing lots of opportunities for people to access social connections, culture and goods under one roof”

The breadth of ideas was impressive and reflected the diversity of participants. Youth oriented ideas such as youth groups; youth council hub; gaming conventions; under 18 discos; laser quest; and nerf gun battles came predominantly from participants aged 18 and under. This perhaps reflects the lack of informal community spaces for the young within Portobello.

The lack of relaxed social meeting spaces for the older generation came up too with one participant noting “The cafe at Bellfield was a (local) meeting space for the elderly .. (they are) now meeting at Morrisons café”. This need was innate in ideas such as coffee mornings; community café; social bingo and tea dances.

Large, noisier public events such as live concerts and gigs, theatre, festival venue, “Porty’s Queens Hall” often came up, recognising the unique possibilities offered by the Town Hall compared to Portobello’s other community spaces. It was clear that there were concerns about diverting demand from other community centres in Portobello.

Certain ideas came up multiple times, cinema, and childcare in particular. Wrap-around childcare was previously available at the Town Hall but has since moved to Duddingston. We produced “wordles” at various points of the campaign. A crude but effective tool, words are grouped in a shape with relative size reflecting frequency:



Themes started to emerge from these ideas. The Town Hall is envisaged as a cross-generational, inclusive, and accessible community venue. It should meet gaps in existing provisions including a social space for all generations, particularly youth, while meeting the ambitions of Portobello as a home for a serious up and coming events space:

“An events, meeting place, theatre, dance, performance space, a REAL hub of the new Porty community, youth club! Don't let this chance pass YOU by, Porty NEED'S something, for everyone, from babies to the purple rinse brigade, everyone!”

“There's a gap between the ages of 12 and 15/16 - P7 to S3, too young to go into Town, too old for parents.”

“A community cafe with locally grown veg”

“Community cooking for those recently housed”

“We need somewhere in Portobello dedicated to the arts and concerts”

“...be good to see it properly equipped to use as a theatre venue”

“I have always thought, as I passed the town hall, that IT should be used for events!”

“Portie does Strictly”

“...early evening nightclub for parents”

“Tea dances and socials..for the elderly”

“I have hired hall over last 4 years , sometimes 5 times a year for our northern soul all-dayers “

“discos... for ages 12–15”

“Make it into a community centre for the youth”

“I want an indoor hall to go to with my mates, play games and hang out after school”



“Stuff for Dads(so they don't go to the pub!!!!)”



“Food and restaurant space; farmers market; pop-ups; use the balcony seating for eating; food *is* community”



“live music venue!”



“Film nights or cinema nights. For children, Adults & Teens on different days or times.”

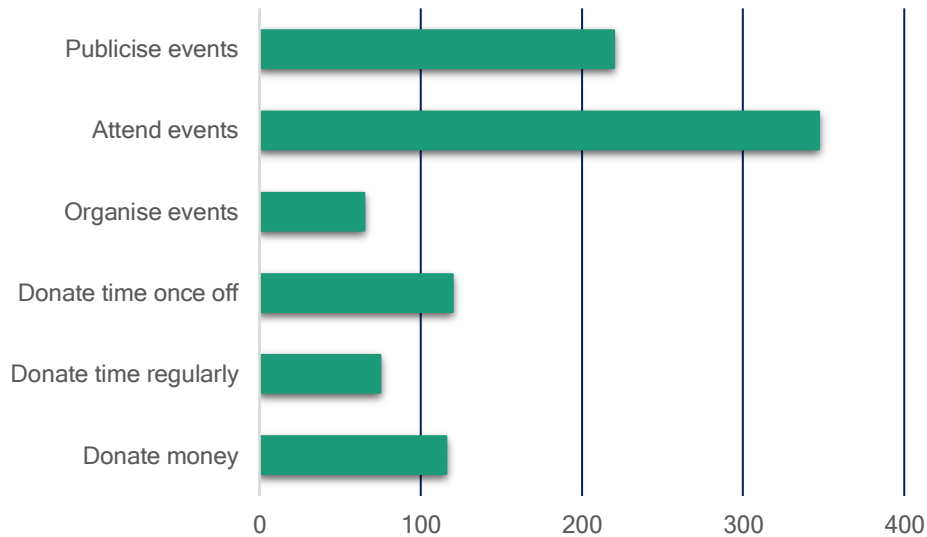
“Community cinema”

“..weekend morning cartoon showings (drop in / out to fit in with all the kids clubs in Portobello”



The community wants to help

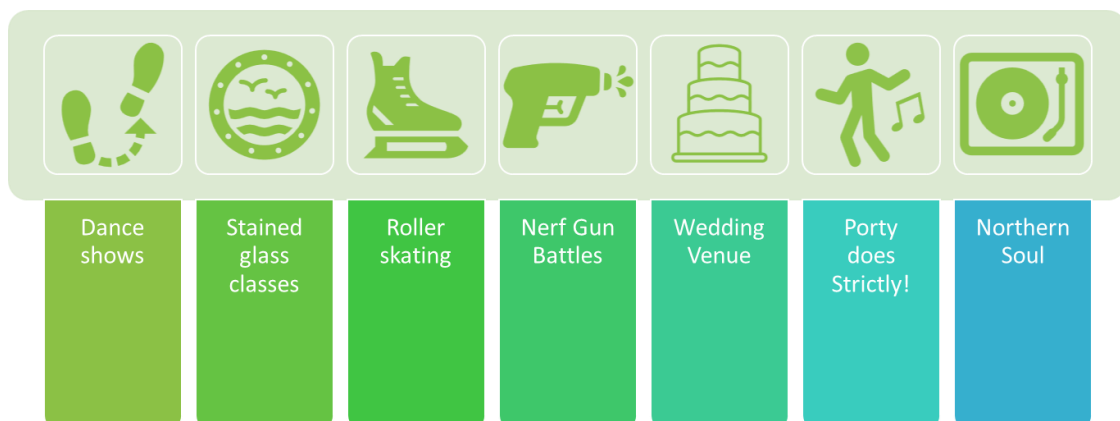
In our surveys and conversations we asked participants if they would be willing to help and in what way. People were able to choose multiple options, varying from spreading the word about events to donating time and money.



195 people in total offered to donate time, 120 on an ad hoc basis and 75 regularly. Skills offered included design, project management, events programming, conservation architecture, sharing experience of 3rd sector organising and similar community projects, cleaning, painting, and gardening. 137 email addresses were provided to discuss offers in more detail - we are still working through that list.

116 participants indicated willingness to support the project by donating money. The community have donated £540 so far (Sept 2020), in response to an update for our mailing list. We did not explore other options (community shares, crowd funding) at this stage of engagement.

63 respondents were interested in organising events, those mentioned specifically:



What we did

Purpose of Engagement and Identification of Partners

First we agreed the purpose of our engagement plan based on our understanding of the communities ambitions, informed by the original petition establishing community interest.

Purpose of Engagement
Understand what Portobello Community needs, and what is missing from our existing portfolio of community spaces.
To involve our wider community in shaping the proposal we deliver, and to make sure that we accurately represent our communities' views.
Understand what the community of Portobello want to use Portobello Town Hall for now and in the future.
Understand what support the community of Portobello are willing and able to give.
To excite the community about the possibilities of Portobello Central

Our next stage was to identify partners within the community that could help us design and deliver our engagement, leaning on their knowledge to ensure our design was inclusive and removed barriers where possible. We met various community organisations:

- Portobello Community Council
- Portobello Library
- Portobello High School
- Other community centres - The Washhouse and Bellfield
- Local Scout Groups

Original plans included speaking at High School assemblies; workshops at the library; crafting sessions with the local Scouts group; and world café style events at the Washhouse, who donated their venue for this purpose.

COVID-19 meant we had to re-think. Within the constraints of social distancing, while continuing to focus on the importance of diversity and inclusivity of participants, we designed our 300 conversations in 30 days campaign:



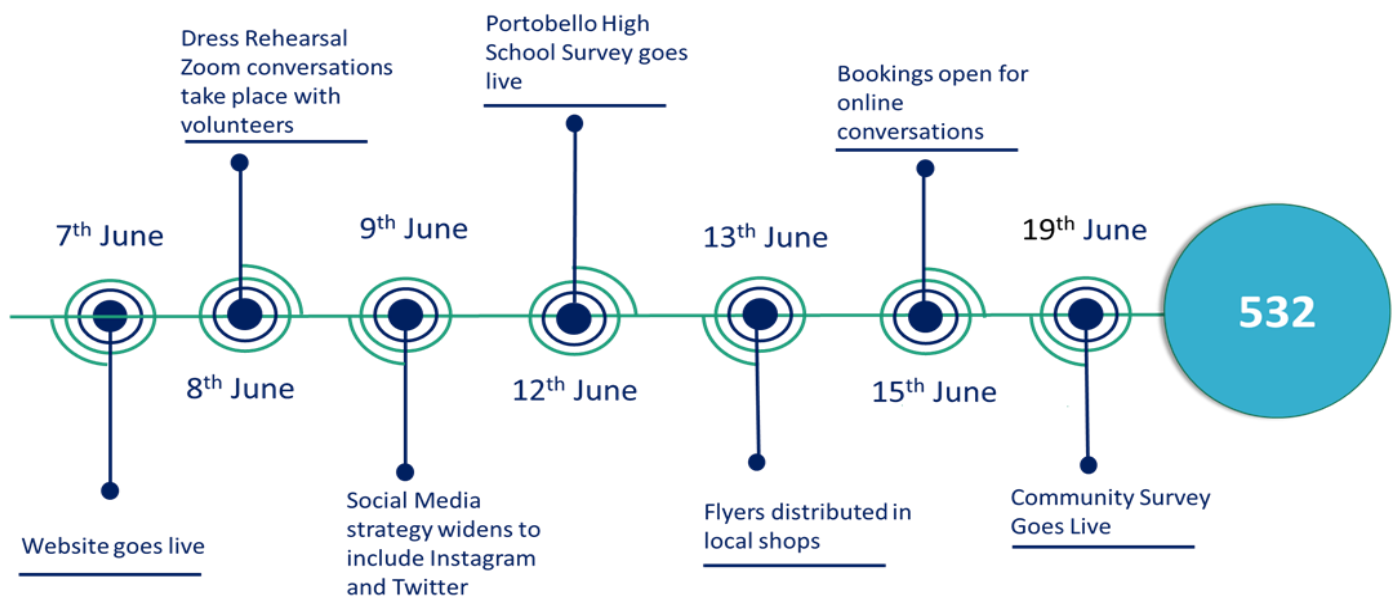
300 Conversations in 30 Days: Design and Methodology

300 conversations in 30 days was developed to encompass our ambition to align with the National Standards of Community Engagement within the constraints imposed by social distancing.

We continued to strive towards diversity of views and inclusion through:

- social media strategy to widen audience using different platforms;
- different online approaches (targeted surveys; online group meetings; email)
- creating avenues for those not able or willing to engage online (socially distanced meetings, hard copies of survey questions)
- socially distanced physical publicity (flyers, banner, presence on High Street)

The campaign name, “300 conversations in 30 days” provided a sense of urgency, what we felt was a reasonable and representative target, and allowed us to encompass all of the different methods by counting each point of engagement, by whatever means, as a “conversation”.



Method of Engagement	# Conversations
Main Survey	459
Online Workshops	19
Portobello High School Survey	18
Socially distanced face to face	11
Facebook	11
Email	9
Hard copy form	5

Social Media Strategy

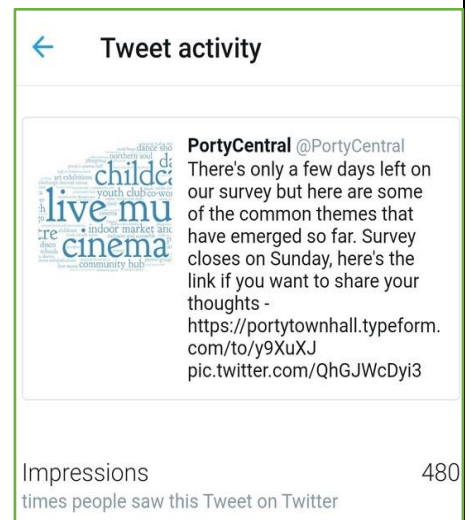
The objective of the social media strategy was to reach as wide an audience as possible. This meant moving beyond our established Facebook group (800) which was non-diverse (74% identified as female, majority within age group 35 - 64).

We developed www.portobellocentral.org, using this as the launch pad for communicating our work and plans for engagement. We then echoed through Facebook; Instagram and Twitter.

We conducted a social media community audit. This identified groups with large and active followings within our community and those we hoped might expand our diversity (e.g. Portovelo, Spokes Porty and Portobello Rugby Club). We engaged these groups through Facebook, Twitter, and Instagram. Our partners, Portobello Library, the Wash House, and Bellfield, along with individual supporters, also promoted our campaign.

During the campaign, the Portobello Central (Saving Porty Town Hall) Facebook group quickly grew from c.800 to well over 1,000 members, c.650 of whom are deemed “active”. Twitter followers grew to around 200 and Instagram to 150. Formal “subscribers” to the Porty Central mailing list through the website grew to c.100.

We used these platforms to provide information and encourage engagement. We kept everyone up to date on our tally of conversations and used “wordles” to share popularity of ideas at given points. This provoked engagement from those who did not see their idea. We also had meaningful conversations via Facebook with participants providing their thoughts and ideas, which made up a small element (11) of our 532 conversations.



Online Workshops

Using the online booking platform, Eventbrite, we set up a series of 12 “Zoom” meetings for people to book. Using a semi-structured interview style based on the purpose of our engagement these were small, focused workshops. To ease nervousness and wary of “Zoom-fatigue” during lockdown, these were promoted and designed to be relaxed and informal with no more than 5 or 6 participants encouraged to “bring a cup of tea”.

“Just had a great ZOOM discussion & really feel that there is so much potential for so many uses for the Town Hall!
I would definitely recommend booking into one of ZOOM discussions, really found it interesting & great to hear other folks suggestions & ideas!”

In total, 19 of the 532 conversations were performed in this way. Participants were from a variety of backgrounds, 5 identified as male and around 36% occupied the 65 and over age group. Participants were animated, bouncing ideas off each other, asking questions, and providing advice.

Surveys

We designed and executed 2 surveys covering the purpose of our engagement using Typeform for both. The largest by far, with 459 responses, was the general community survey, promoted through our social media.

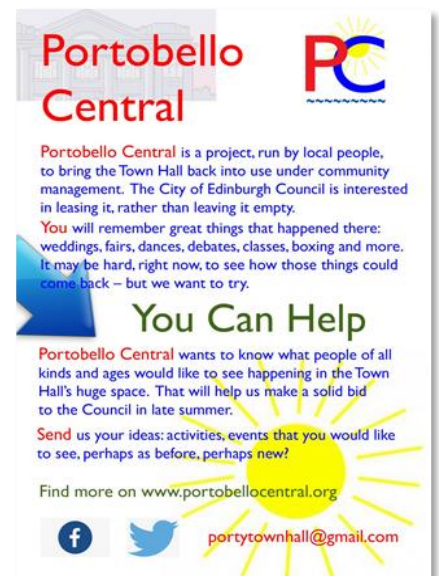
We also worked with our partner, Portobello High School, to provide a tailored survey to High School pupils which was shared through the school's weekly update email out to pupils and parents. 19 pupils took part, providing an insight to an age group for which we were not seeing a high level of engagement.

The design of both surveys was initially by the working group, using the guidance provided by the Typeform platform. These were then tested and feedback was sought from community members (a teacher for the High School survey) prior to publication. Drop off rates were low, and insignificant for the community survey once the survey was started. Only completed surveys were counted.

Non-Virtual Methods of Engagement

Keen to ensure we included those who were not able or willing to engage online we supplemented our engagement plan with non-virtual methods where possible:

1. 1000 printed flyers with questions on the back distributed in shops and public spaces, Bellfield provided a delivery location. At this stage in the lockdown we were not confident of a successful socially distanced doorstep delivery.
2. Large banner hung on doors of the Town Hall
3. Physical presence outside of Town Hall (2 days, consecutive weekends, socially distanced) where we were able to distribute leaflets and talk face to face with passers-by.
4. Pre-arranged socially distanced face to face conversations outside with no more than 2 households present at any time.



Of our 532 conversations, 11 were face to face and 5 were paper forms handed in.

Annex 1: Appendix 1: Over 100 Unique Ideas

Weddings	Licensed Bar
Parties / celebrations	Community / Commercial mix
Farmers market	Permanent café
Nursery age child care	A community cafe with locally grown vegs (making use of the garden for crops, great for children school project type thing)
Wrap around childcare	Drop in centre
Drop in crèche	Coffee mornings
Playgroups	Jewellery studio;
Live events	Tango dances
Live music venue	Ceroc dances
Permanent cinema	Dance shows
Pop-up cinema	Porty's Queen Hall
Shop	Boutique hotel
Christmas fairs	Classes and clubs for kids
Market space	Exhibitions
Tables sale	Tea dances
Indoor car boot sales	Social bingo
Arts and craft fairs	Bingo
University or college outreach	Fundraising events
Community hub with police, CAB and library	Art classes
Seaside tourist hub - manage our tourism	Community democracy events
Artists studios;	Under 18 discos
Co-working space	Social events for ages 12 - 15
Edinburgh festival	Theatre performances
Support schools	Community centre for the youth
Northern Soul	Charity events
Youth club	Volleyball
Community place	Quiz night
Hub for community groups	
Community performances	

<p>Fitness Support schools Drama clubs Orchestras Ceilidh DJ nights Family friendly events Games conventions Lectures An indoor hall to play games and hang out after school. Office space Somewhere to get out of house to meet other Mums over coffee and let the babies play with toys and chat. Play frame, ball pit. Rehearsal space Kids fitness or self defence classes Adult self defence classes Boxing Tournaments Lego league Arts and crafts groups 50's, 60's 70's dance nights Lip reading lessons Office functions Christenings Prom venue Nerf gun battles Laserquest Badminton Pop-up bank Zero-waste grocery Dog shows Hidden Doors festival Spiritual fellowships Chinese New Year Celebrations</p>	<p>A space like Out of the Blue Circuit training Stuff for Dads so they don't go to the pub Choir Dance competitions. (Highland, Ballroom, Stage or Hip Hop) Youth theatre Festival Fringe events Ping pong evening (Bellfield too small) Swing dance society Conference space Children's sporting events Training young people about community work and volunteering - grow the next generation of citizens After school activities Mindfulness classes Work with other centres to create weekend "events" to get a buzz going round Porty Innovation and entrepreneur space Family Saturday theatre / cinema Multi-generational events Venue for Edinburgh Beltane Science outreach and education Graduations Venue for Fun Palace Porty does Strictly Food festival Mini highland games Community cooking for those recently housed Theatre training Local energy project Local history museum Social innovation space Porty Robots finders Gathering Polling station</p>
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Annex 1: Appendix 2: Lessons Learned

A key objective of the National Standards for Community Engagement is to use what has been learned to improve our future community engagement.

To that end the working group got together at the end of the campaign to discuss how we felt and what we would do differently in the future. We also welcomed feedback throughout our conversations.

There was so much more that could have been done with the benefit of more time, skills, and resources. COVID restrictions caused constraints, both for our engagement plans but also in the capacity of the community and partners.

There were also some things we would do differently if we had our time again regardless:

Diversity and Inclusivity:

We were acutely aware of the limitations of COVID restrictions and what this meant in terms of lack of diversity. We did not reach as many offline as we would have liked and participant demographics were skewed towards those of the working group.

With the benefit of hindsight we would:

- Spend more time identifying and engaging partners at the start with diversity firmly in mind.
- Identify youth “ambassadors” to spearhead engagement with this age group (participant feedback).
- Expand our offline conversations, enabling volunteers to hold these with neighbours and friends. This would allow those that know the participant best to tailor each conversation to the participant’s needs.

Communication and Branding:

Participants fed back that our branding “Portobello Central” made it unclear at first glance what our objective was. A similar criticism was aimed at the “300 Conversations in 30 Days” tagline where it was suggested the uncertainty of objective may have put people off.

With the benefit of hindsight we would:

- Make sure our branding was clear, adding the line “Saving Portobello Townhall” beneath.
- Welcome feedback in advance of our campaign communications to ensure these were as clear as possible.

Portobello Town Hall

Running the
Community Business



Annex 2 Running the Business

Portobello Central

Running the Community Business

Introduction

Phase 1: Objectives

Phase 1: Costs and Funding Sources

Phase 1: Forecast Income and Expenditure

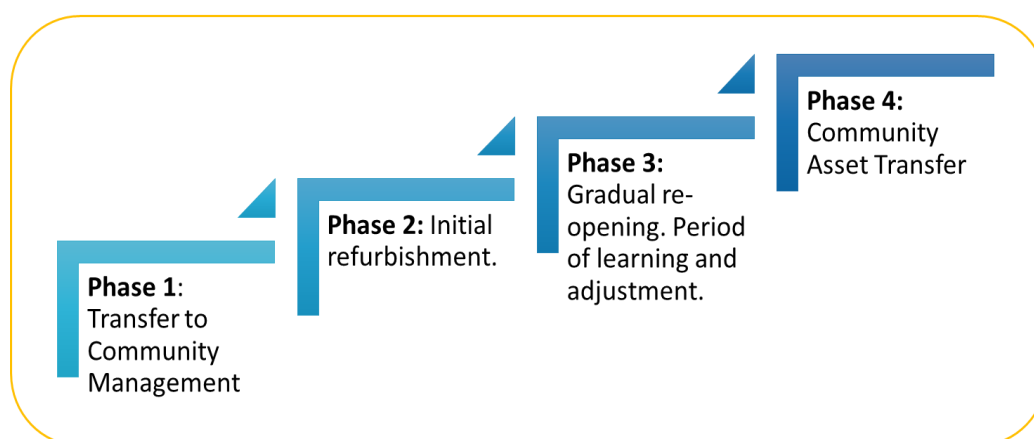
Phases 2-4: Projected Income and Expenditure

Phases 2-4: Assumptions

Introduction

Portobello Central Ltd was established to re-open Portobello Town Hall and bring it under community management and potentially ownership.

Portobello Town Hall closed in July 2019 following a period of management by the City of Edinburgh Council (CEC) through the Libraries department. This business case provides a basis for a CEC-supported transfer of the management of Portobello Town Hall to the local community (“Phases 1 to 2”). This will allow the community to refurbish, re-open, manage and prove the long-term viability of the Town Hall. With the consent of the community, we will explore potential future community ownership over a 3 to 5-year period (“Phases 3 to 4”).



Often referred to as a “try before you buy” model, this is a tried and trusted approach to Asset Transfer under Part 5 of the Community Empowerment (Scotland) Act 2015, recognised by supporters such as DTAS and the Scottish Land Fund. This plan details the financial requirements underpinning Phase 1.

This initial phase in the project consists of exploratory work to fully understand:

- community appetite for management and ownership;
- community needs, ambitions and vision for the space;
- scale of works required to allow re-opening;
- operational costs and realistic anticipated income streams.

Hence outgoings will consist predominantly of professional fees and a nominal level of business expenses and publicity.

This initial phase will be funded through donations (time, expertise and money) and grants.

Phase 1 Objectives

The overall objective of Phase 1 is to agree a CEC-supported transfer of the management of Portobello Town Hall to the local community.

Currently the City of Edinburgh Council has offered the Town Hall for let:

“The Council is seeking a tenant to provide a sustainable future for this important historic building. Ideally the proposed future use should include community benefits and facilities.”

In order to achieve this and commence further negotiations with CEC we must build a business case which demonstrates our proposal has the backing of the community and is financially sustainable. Our 3 key objectives for Phase 1 are therefore:



To date we have completed an initial programme of community engagement, funded by small donations of money and large donations of time and goodwill. This showed strong support for the project; helped us understand the needs and ambitions of the community and provided over 100 unique ideas for building use¹.

We now require professional assistance to achieve the remaining objectives and are seeking grant funding and donations to make this happen.

¹ See Appendix 1: Community Engagement Report

Phase 1 Costs and Funding Sources

Costs

The following list of services required, and cost estimates, are based on the prior experience of other centres and individuals who have conducted similar exercises and initial conversation with professionals and advice and funding bodies.

They are subject to change and we may uncover the need for more specialist services as we proceed:

Services Required	Estimated Cost
Building condition survey ²	£0
Specialist reports (e.g. VAT planning, asbestos, ceiling specific, green energy)	£5,000
Conservation architect options report	£3,500
Business plan, feasibility study and option appraisal	£4,400
Legal Fees	£1,000
Business Expenses and marketing materials	£1,000
Total	£14,900

Funding Sources

Similar to estimated costs, the funding sources below are based upon indicative conversations and prior experience.

Source	Target	Actual	Status
Community donations and fundraising	£2,000	£761	received
National Lottery Community Fund Microgrant	£500	£500	received
Architectural Heritage Fund	£7,500	£6,500	secured
Scottish Land Fund - 1 st Stage	£10,000		engaging
Foundation Scotland			prospect
Regeneration Fund			prospect
Total	£20,000	£7,761	

² We have assumed £0 for building survey as architect indicates we would proceed based on Council survey.

Phase 1 Income and Expenditure Forecast

As a small, voluntary organisation we do not anticipate any overdraft or other financing requirements at this stage. We will constrain our activities based on the income available at the time. The timeline for phase 1 is forecast as follows:

	Nov 2020	Dec 2020	Jan 2021	Feb 2021	Mar 2021	Apr 2021
Opening Balance	£1,141	£1,261	£1,361	£1,461	£1,561	£261
Donations and fundraising	£120	£300	£300	£300	£300	£300
Architectural Heritage Fund					£6,500	
Scottish Land Fund - stage 1						£6,000 ³
Total Income	£120	£1,561	£300	£300	£6,800	£6,300
Building survey					£0	
Specialist reports						£5,000
Conservation architect report					£3,500	
Business plan					£4,400	
Legal Fees						£1,000
Expenses	£0	£200	£200	£200	£200	£200
Total Expenditure	£0	£200	£200	£0	£8,100	£6,200
Closing Balance	£1,261	£1,361	£1,461	£1,561	£261	£361

³ This is an indicative amount. We intend to apply for £10k and assume the need for further unidentified services will crop up during this phase.

Phases 2 - 4 Projected Income and Expenditure

We provide a projection of anticipated costs and income up to Phase 4 to illustrate our understanding of the magnitude of the task. Capital expenditure is based on provided Council reports, phased to reflect informal conversations with local architects, operational income and expenditure is based on existing community centres and previous costs of the Town Hall, provided by the Council. Funding sources are indicative at best at this stage (prior to feasibility study).

	Q2 2021	Q3 2021	Q4 2021	Q1 2022	Q2 2022	Q3 2022	Q4 2022	Q1 2023	Q2 2023
Opening Balance	£361	£961	£36,561	£21,661	£31,961	£63,961	£66,961	£31,061	£361
Donations and fundraising	£600	£600							
Funding Sources	£42,000	£75,000	£50,000	£80,000	£50,000	£10,000	£5,000		
Income	£0	£2,000	£16,100	£21,300	£63,000	£64,000	£26,100	£21,300	£63,000
Total Income	£42,600	£77,600	£66,100	£101,300	£113,000	£74,000	£31,100	£21,300	£63,000
Capital Expenditure	£25,000	£25,000	£40,000	£50,000	£40,000	£30,000	£25,000	£10,000	£5,000
Operational Expenses	£10,500	£10,500	£39,500	£39,500	£39,500	£39,500	£39,500	£39,500	£39,500
Consulting Fees	£5,000	£5,000					£1,000	£1,000	£5,000
Management Expenses	£1,500	£1,500	£1,500	£1,500	£1,500	£1,500	£1,500	£1,500	£1,500
Total Expenditure	£42,000	£42,000	£81,000	£91,000	£81,000	£71,000	£67,000	£52,000	£51,000
Closing Balance	£961	£36,561	£21,661	£31,961	£63,961	£66,961	£31,061	£361	£12,361

Phases 2 - 4 Assumptions

The projected income and expenditure provided for phase 2-4 is illustrative and we expect it to change rapidly following the business planning process (see appendix 3).

The basis for each of our assumptions are listed:

Income	Assumption
Donations and fundraising	Assuming we are successful we plan to begin a fundraising programme within the community, target amounts are spread across the phases. To date donations have been largely unsolicited
Funding Sources	We recognise the plan as it stands is reliant on grant funding. We will be able to provide more tangible details once consultancy work starts. We are also exploring potential commercial partnerships and anchor tenancies within the ambitions and needs of the community.
Income	Expected income is seasonal with festive and wedding seasons represented. Amounts are based on community experience and discussions with other venues. It is also based on a return to something closer to normality post COVID towards the end of 2021.

Expenditure	Assumption
Capital Expenditure	We recognise the Council survey indicates an overall cost of refurbishment to modern day standards at around the £750k - £1m mark. However, initial discussions with architects would suggest a more modest sum of around £250,000 would be enough to get the doors open.
Operational Expenditure	Operational expenditure is based on knowledge of other centres within Portobello (duly "grossed up" to reflect the larger size and ambitions of the Town Hall). We have been informed by the previous running costs provided by the Council. We make the assumption that, as a charity, we would not be paying rates.
Consulting Fees	We assume we will continue to require specialist services and make allowances for this in the forecast.
Management Expenses	We have allowed for a small amount of expenses not directly related to the running of the building, fundraising for example.

Annex 3:



Munro Allison Architects & Rob Robinson Heritage Consultant

Proposal for Project Viability Study



Proposal by Munro Allison and Rob Robinson Heritage Consultant for a Project Viability Study (Extract)

METHODOLOGY & COSTS FOR ARCHITECTURAL HERITAGE FUND VIABILITY STUDY

The study would be carried out in three stages

1.0 INTRODUCTORY/ BRIEFING MEETING

To meet the core client team, gain a detailed understanding of the project and project group ambitions (for the study and the project), obtain any further background information, including any consultation requirements and contact details, discuss deadlines and timescales and visit the site (Rob Robinson).

2.0 RESEARCH STAGE

At this stage as much information about the building as possible is researched, collated and analysed, including previous studies, earlier consultation and surveys.

2.1 Work to be carried out by Munro Allison Architects

2.1.1 Historical Research and Building Analysis

This involves researching the building and its history to inform and better understand the significance of the building and its setting. This includes documentary research in archives as well as collating and assessing any previous research carried out. An analytical survey of the building will be carried out which will allow us to identify any changes to the building and assess the relative importance of the building in terms of architecture, social history, etc.

2.1.2 Condition

A condition survey is normally carried out at this point, but given that the council have recently carried out extensive condition surveys, including specialists for plaster ceilings, this section would summarise and assess the findings of these.

2.1.3 Statement of Significance

This is the key summary of why the building is important holistically and would identify the elements of the building which are of more or lesser significance: this then allows the effects of proposed alterations to the building to be assessed accurately. A summary of the constraints and opportunities faced by any re-use of the Town Hall will also be produced.

2.2 Works to be carried by Rob Robinson Heritage Consultant

2.2.1 Data collection/ research:

All relevant documents and data relating to the project and the market / local context will be collated and reviewed. It is anticipated that the client team will assist with the collation of some of this material but its collection will be led by the consultant and will include:

- Any previous studies along with all associated documents
- Any further building reports including operating reports
- Any previous community consultation
- Any project group documentation (mission statement / constitution / Forward Plan)
- Local demographic and economic data (e.g. Edinburgh by Numbers) including future proposals (Draft Local Plan)
- Additional local or regional visitor data
- Additional community needs reports (e.g. community action plans)
- Any other relevant data, strategies, studies or plans known to the client team or the consultant

2.2.2 Activity Research and Summary:

Through discussion with the client team to provide a summary of the current activity by the project group and of past activity within the Town Hall.

2.2.3 Locality and Context:

To provide an assessment of the Portobello locality in terms of socio economic position and demographics. This will be to sufficient detail to provide context for the project and option proposals as per the requirements of the Project Viability Report.

3.0 OPTIONS APPRAISAL AND FINAL REPORT

3.1 Summary

The final viability study will identify three options for re-use or alteration of the building. These will be based on both the architectural constraints and opportunities identified in previous stages as well as the economic viability of use.

Following discussion with the client group, the preferred option will be chosen and developed into an indicative scheme with capital building and repair costs identified.

3.2 Works to be carried out by Rob Robinson

Working with the client team, three options for use will be developed for the building. Each option is likely to include a variety of use mixes (based on community needs, project team ambitions and building suitability). Some consultation is likely to be required at this stage with potential partners, users or stakeholders.

For each option, the use will be described and assessed from a business perspective to assess outline financial viability and risk and an assessment of pros and cons for each option will be provided leading to a recommended preferred option.

Economic outcomes: For the preferred option, a basic economic evaluation will be undertaken providing an estimation of economic outcomes, employment and volunteering. If the use and data allows this will include an outline economic impact assessment.

Funding: Funding research will be undertaken to identify the key sources of funding, the levels of funds required from each funder and how this fits with the preferred option. This information will be entered into the tables in the PVR template.

Action Plan: Input into the action plan to clearly identify next steps for the client team to progress the project

3.1 Works to be carried out by Munro Allison Architects

After identifying the three preferred uses (or use mix), we will then develop sketch schemes for how these can be accommodated into the Town Hall building, and whether any significant alteration or extension of the property would be required or help to accommodate viable economic uses.

These design options can be used as the basis for initial discussions with funders. Each option will also include: the necessary repairs to the existing fabric of the building; a summary of the pros and cons of each approach; and the potential for staged development.

The final, preferred scheme will be drawn up in sufficient detail to allow for indicative budget costings, including necessary repairs and indications of potential for development stages.

4.0 ADMINISTRATION

4.1 Lead Consultant

The project will be led and co-ordinated by Munro Allison Architects. Each consultant will be appointed directly, and separately, by the client. MAA would be appointed on standard RIAS conditions of appointment.

4.2 Meetings

Meetings with the client are proposed at start up (stage 1), and on production of interim and draft reports. These will be in person, COVID-19 permitting, and by Zoom / skype etc. if not.

4.3 Reporting

Reports would be provided at interim (selection of preferred option) and full draft stages. Following meetings at each report stage and taking client comments on board the final report will be produced.

4.4 Exclusions:

Community Consultation - community consultation is not regarded as necessary at this stage, but if deemed so, this would be undertaken by the client team or at additional cost

Costings: A suitable experienced cost consultant would be required to produce the costing for the preferred scheme and collation of the repairs to the building. We can arrange this if required.

Annex 4: Who we are



Damian Harney

Experienced IT professional with almost 20 years in various sectors such as telecoms, finance and public sector. Main area of expertise is change management.



Lynn Houmndi

Portobello resident of 30+ years. Former diplomat and civil servant, now supporting purpose-driven organisations including charities and social enterprises. Interim manager, Bridgend Farmhouse and Multi-Cultural Family Base Trustee.



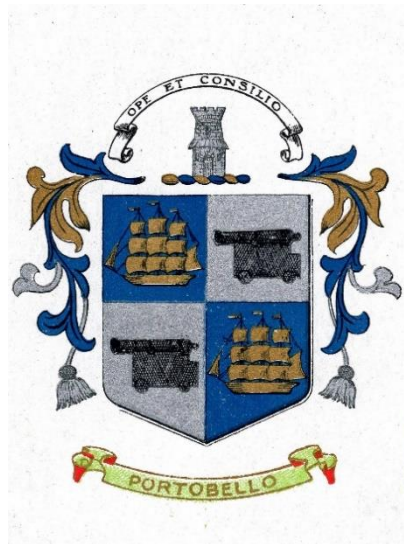
Jon Davey

Former IT systems developer, now operating a local photography business. Local resident, familiar with the locality, in particular the local cultural landscape. Served for three years as a director of Art Walk Projects CIC and remains on the Art Walk committee.



Jayne Saywell

Senior risk manager, focused on climate risk. Co-founder of a social enterprise helping companies pivot to regenerative business models. Finance professional (ACMA). treasurer of the Wash House, local parent.



Jennifer Elliot

Salesperson in the IT industry for 20 years, now a carer for the elderly., Treasurer of Action Party since the early days of that project - the 1st urban community right to buy. The learnings and positive experiences from that project led to Jennifer being a founder member of the Portobello Central organisation.



Will Tyler-Greig

Civil servant whose most recent work was responding to the COVID-19 pandemic, leading on the 'Wellbeing Fund' with a range of third sector partners to distribute £50 million to thousands of front-line charities. Will has a background in planning and geography and is a Trustee of UK charity Living Streets.



Morag Phillips

Owner/Principal of Lothian Dance Academy for 32 years. Former professional dancer involved in dance & dance education 45 years. Experienced events and shows organiser. Registered teacher Royal Academy of Dance. Experience in advertising networking & social media. Active in local community.,



Geoff Pearson

Retired Scottish Government civil servant, experienced in legislation, third sector, NDPB structural issues, government finance and policy development. Previous experience includes board of Venture Scotland; Chair of Streetwork UK; secretary of a local community council; member of the community planning partnership structure.



Cover picture by Rhanna Baldwin, Spaceinajardesigns

www.portobellocentral.org
portytownhall@gmail.com
<https://www.facebook.com/groups/saveportytownhall>
<https://twitter.com/PortyCentral>
<https://www.instagram.com/portobellocentral>

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Delivering New Life

The Community Proposal for Portobello Town Hall



Portobello Central Ltd
*A not-for-profit
community organisation*
19 March 2021

Delivering New Life

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We Can Make This Work

1. Portobello Town Hall is nothing without its community, but the community is enriched, enlivened and working for all with the Town Hall open for business. It was built for every sector and segment of life and is adaptable to the new needs and uses coming in the “new normal”. There should be something happening here for everyone, to strengthen our business community, widen our cultural and social life, no matter what life we come from.
2. Our “*New Life*” vision is for Portobello Town Hall to be the focal point of the town, the beating heart supporting a truly resilient “20-minute community”. Portobello Town Hall will become “the go to” place for information, support, education, entertainment, company, and culture.
3. Portobello Central Ltd is a social enterprise whose mission is to place Portobello Town Hall under community management to enhance life in Portobello for the benefit of local residents and the local economy. We seek to maximise community resilience and wellbeing through the Town Hall.

4. To deliver the “*New Life*” vision, Portobello Central Ltd proposes to:

PREPARE: take occupation of Portobello Town Hall under an informal arrangement with the City of Edinburgh Council (CEC) from September 2021. Immediately, an assessment will be made of the works required for safe public use, funds will be raised and those works will be carried out by Portobello Central SCIO. An assessment of the works required to fulfil long term plans will also be undertaken, along with fund raising and development of a social impact framework.

OPERATE: open the Town Hall for business from 1 April 2022 (if pathway 1 is possible), under the management of a new SCIO which is being established. The SCIO would hold the lease with CEC and will develop and expand the uses of the Town Hall by the community, building on its legacy and the interest shown by individuals and organisations over the last 12 months.

POSSESS: In due course the SCIO will engage with CEC to assess the scope for asset transfer of the building under Part 5 of the Community Empowerment (Scotland) Act 2015.

5. “*New Life for the Heart of Portobello*”, submitted in November 2020, focussed on what Portobello Town Hall means to the community and what “life” the community wishes to see. That arose from substantial consultations in the summer of 2020, which form the foundation of this proposal. This document, taken with the 2020 paper forms our proposal at March 2021.
6. Almost a year on from the start of that work, we now set out the practical steps needed to return the Town Hall to the community.



Prepare

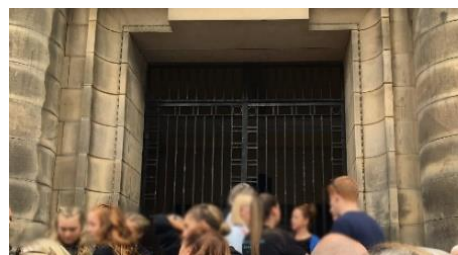
7. The building has been dormant for almost two years and only lightly used before that, so it will take some time to re-create demand. The nature of demand may have changed during the pandemic but recovering former users and uses as well as developing and providing for the new will be a first priority for the business. We have strong indications of people seeking what the Town Hall can offer.
8. We propose an informal arrangement to run until 31 March 2022. During this time no full lease would be signed and no rent paid but negotiations for the full lease with CEC would be undertaken with the final agreement to be made with the SCIO in late 2021.
9. During the period to March 2022 we will seek managed access to the building by Portobello Central representatives and our consultants, in order to assess, plan and cost the works required. We recognise there are insurance and safety issues to be considered to be discussed with CEC officers.
10. By mid-2021 Portobello Central will have the full Project Viability Study from Munro Allison Architects and Rob Robinson Heritage Consulting funded by the Architectural Heritage Fund which will cover:
 - A works schedule (for repairs and refurbishment)
 - An assessment of potential improvements
 - Ideas for business and market development.
11. This independent professional advice will support Portobello Central in completing our plan to re-open the building to public use.
12. We are convinced that the Town Hall can be run as a viable community asset and this proposal lays out our reasoning.

Legal Structure

13. Portobello Central Ltd was set up as a temporary limited company to be able to apply for funding and give a legal foundation to the project. It is not the structure to run the building.
14. We are applying to OSCR to register a Scottish Charitable Incorporated Organisation (SCIO). In ordinary times this would take 3 months but currently is likely to take much longer.
15. The SCIO will take the standard two-tier form, with a body of community members which elects a set of trustees. The Trustees are responsible for delivering the business and reporting to the members. The procedure provides that the first trustees are those making the application, currently drawn from directors of Portobello Central.
16. Once OSCR has approved the application, and we have CEC approval, we can call for members - we know there are many who wish to support the project in this way. The SCIO is a recognised and recommended structure for this kind of business, providing a deep root into the community and a business-led form of management.

Timeline

Decide	
30 November 2020	Portobello Central (PC) Ltd Submitted “ <i>New Life for the Heart of Portobello</i> ”
11 February 2021	CEC asks for Best and Final submissions
18 March 2021	PC Ltd contracts for Project Viability Study to report in late-May
19 March 2021	Closing date for Best and Final submission “ <i>Delivering New Life</i> ”
20 May 2021	Finance & Resources Committee
Prepare	
June 2021 - Sept 2021 (Phase 1)	Discussions between CEC officers and PC Ltd on terms of occupation and opening access for “safe to open” works
Oct 2021 - March 2022 (Phase 2)	Development of SCIO, membership voting for Trustees; With SCIO in place formal applications can be made for funding Advertising for users to rent, book spaces, make plans
Operate	
April 2022 - March 2024 (Phase 3)	SCIO takes up occupation, nominal rent, no rates to be paid Parts of building refurbished for office/studio use by commercial tenants Open for business - subject to remnant COVID rules
April 2023	Discussions open with CEC on asset transfer.
Possess	
1 April 2024 (Phase 4)	Asset transfer to SCIO



Funding Strategy

17. In total we estimate a requirement for around £350,000 grant funding over the first 2 years to safely and sustainably open Portobello Town Hall. To make better use of the building a further £350,000 is estimated bringing total grant funding requirement to £700,000 over 5 years.
18. Our business plan estimates around £250,000 capital is required to re-open Portobello Town Hall and that we spend around £600,000 in fixed operational costs between opening in April 2022 and March 2025, met in large part by an estimated £540,000 operating profit margin. This leaves a funding gap of at least £310,000 and does not take into account the timing of cashflows which make the first year, in particular, grant dependent.
19. Our financial programme runs in 4 Phases, starting from first agreement by the Council that our proposal is accepted. Until that point all arrangements and calculations are necessarily tentative. The formal arrangements can begin once the SCIO is agreed by OSCR; until that point no long-term formal agreement can be entered into, although Portobello Central Ltd would wish to negotiate access arrangements as early as possible in order to make definitive plans.
20. We will develop a social impact framework, to demonstrate to CEC and funders the community benefits that will result from our plans for the Town Hall. In addition to grant funding, we are exploring other models such as raising impact investment and community shares, which take a long-term approach and can lever local investment from businesses which would benefit from a revitalised Town Hall.
21. It is difficult to plan for grant funding at this early stage without a positive decision from the council, so we have established a multi-scenario strategy with at least four pathways underway at any one time to obtain funding in the phases as required (see pathway summary at end of this section).
22. Ideally, arrangements might be made to allow access to funding from the Town Centre Fund, which would need to be granted by the council and spent by end March 2022 (Pathway 1). If Pathway 1 proved possible, it would allow the timing of the project outlined in this proposal but we recognise that is a fast delivery. The other pathways are feasible but the Town Hall programme opening dates slip 12 months. What is needed and its costs will be assessed against the Project Viability Report already commissioned.



The Upper Hall

Pathway Summary

	Pathway 1	Pathway 2	Pathway 3	Pathway 4
Phase 1: Prepare				
Architectural Heritage Fund	6,500	6,500	6,500	6,500
Lottery Microgrant	500	500	500	500
Donations	700	700	700	700
Awards for All National Lottery	10,000	10,000	10,000	10,000
Scottish Land Fund Stage 1	15,000	15,000	15,000	15,000
Community Fundraiser	1,300	1,300	1,300	1,300
Total Phase 1	34,000	34,000	34,000	34,000
Phase 2: Prepare				
Crowdfunding	16,000	16,000	16,000	16,000
Town Centre Fund	300,000	100,000	100,000	0
Total Phase 2	316,000	116,000	116,000	16,000
Phase 3: Gradual Reopening				
Regeneration Fund	0	300,000	£0	300,000
Scottish Land Fund	100,000	50,000	300,000	100,000
National Lottery Community Fund	50,000	0	50,000	50,000
Total Phase 3	150,000	350,000	350,000	450,000
Phase 4: Possess				
Community Share Options	200,000	200,000	200,000	200,000
Total £	700,000	700,000	700,000	700,000



Hustings

© Jon Davey

Consideration of Phases by Funding Pathways

Phase 1: Prepare (June 2021 - Sept 2021)

23. We know that significant funding will require a long-term strategy. In the short term (May 2021 to Sept 2021) all pathways are the same and we set out potential funding from National Lottery Awards for All of £10,000 towards staff and £15,000 of Stage 1 Scottish Land Fund (SLF) towards professional fees.
24. We are in discussion with both National Lottery and Scottish Land Fund to understand what is feasible. Currently, it is clear SLF will fund us only if there is an owner willing to transfer the asset. Therefore, securing SLF funding for the whole project depends on the CEC position.
25. Some community fundraising (an event) to raise £1,300 would take place in this period. Including existing funding of £7,700, and assuming SLF and Awards for All funding this brings us to an expected £34,000 for Phase 1.

Award	Amount	Status
Architectural Heritage Fund	£6,500	Secured
Lottery Microgrant	£500	Secured
Donations	£700	Secured
Awards for All National Lottery	£10,000	In discussion with funder
Scottish Land Fund Stage 1	£15,000	In discussion with funder
Community Fundraiser	£1,300	
Total Phase 1	£34,000	

26. In this phase, serious conversations with key funders are crucial. The principal funds in our plan are the Town Centre Fund, Regeneration Fund and Scottish Land Fund (may also be considered in conjunction with the Architectural Heritage Fund) as well as National Lottery Community Fund. We are already talking with each of these funding bodies with the goal to secure funds for Phases 2 or 3.
27. Upon a positive decision from CEC, we will prepare a more detailed Funder Matrix showing timings, values, criteria, probability etc of various funds, not just those named above. The funds selected are the most significant and aligned to our cause but there are others such as; Foundation Scotland; Climate Change Fund; Creative Scotland; Various Trusts and many smaller funds that could all contribute should they be necessary.

Phase 2: Prepare (October 2021 - March 2022)

28. On agreement by CEC we plan to crowdfund with a target of £10K-£20K, with the expectation of achieving around £16,000 during this Phase.
29. We are targeting funds aligned to our purpose of becoming the heart of Portobello and the most readily available funds. With that in mind, we are targeting £300,000 from the Town Centre Fund to be used by March 2022 as our preferred funding route (Pathway 1).

30. Securing the full TCF funding would allow us not just to make the building safe but would also allow us to undertake suggested improvements and adaptations resulting from our architect's report.
31. This proposal is not dependant on Portobello Central obtaining Town Centre funding but it is a key fund in the plan and allows us to move fastest.

Award	Amount	Status
Town Centre Fund	£300,000	In discussion with funder
Crowdfunder	£16,000	Planning
Regeneration Fund	TBC	In discussion with funder
Scottish Land Fund	TBC	In discussion with funder
National Lottery Community Led Fund	TBC	In discussion with funder
Preferred Phase 2 Pathway	£316,000	

32. We recognise that the timing on Pathway 1 is aggressive and to that end under Pathways 2 and 3 we seek only £100,000 from the Town Centre Fund for essential capital works in Phase 2.
33. Pathway 2 then seeks to close the funding gap with a Regeneration Fund bid of £300,000. Pathway 3 closes the funding gap with Scottish Land Fund money. Neither of these would be allocated until April 2022 at the earliest assuming we submit a Stage 1 applications for either/both by June 2021.
34. Were we to go down Pathways 2 or 3, the 'Operate' phase would be delayed by 12 months (essentially merging Phases 2 and 3), accepting that the knock-on impact on operational income generation may necessitate larger grant funding.
35. Pathway 4 has no Town Centre Funding allocated in Phase 2 and is our least preferred route. No significant funding starts for Pathway 4 until after April 2022. Under Pathway 4 there is a long period of uncertainty for the project as no significant funds are secured for almost a year. Work to make the building safe to open does not even start until after April 2022 and all focus is on fund-raising until then.
36. While we have put the funding of Pathway 4 into Phase 3 in the summary it really means Phase 2 continues for longer.

Phase 3: Gradual Reopening and Evolution

37. In each of our pathways, by the time we reach Phase 3 we are looking to have secured £500,000 of funding.
38. Our preferred funding plan (Pathway 1) is built on £300,000 from the Town Centre Fund in Phase 2 and then £100K of Scottish Land Fund and £50K of National Lottery Community Fund in Phase 3 and allows us to open fastest and with the most secure funding route. If Pathway 1 cannot be secured, the timeline is slower and less certain for Pathways 2 and 3 and Pathway 4 is the slowest and least secure but is also feasible.

Phase 4: April 2024 - March 2026

39. We plan to launch a Community Share Option at the end of the mid-term plan in Phase 4 (Community Asset Transfer and Real Development). Ideally this supplements an already successful funding strategy rather than be the keystone of it. However, if we failed to secure funding we could move sooner to a Community Share option and aim for £300K rather than £200K as an additional pathway.
40. Community Share options are typically successful more for existing thriving community businesses and are no small undertaking. This is not a good funding option on its own.
41. In the longer term we will seek to develop a holistic funding strategy exploring other options such as impact investment and using community expertise to supplement a sustainable social enterprise with legacy, corporate and grant funding for specific initiatives.



Operate

20-Minute Neighbourhood

42. We have based our thinking on a three-way partnership: community, commercial, Council. We see the Town Hall as the centrepiece in a thriving town with a wide variety of shops and services. The High Street contains a good number of high-quality shops of many kinds interspersed with a fair number of charity shops and empty premises. We know that bringing businesses together creates business, gives choice to the customer, encourages variety and brings on the smaller businesses that do better with lively neighbours.

“ High streets are not collections of competitive businesses, but sets of different shops, restaurants, and services, whose business is dependent on each other”

Community

43. A lot of effort has been made to understand the community view - which might lead to a perception that the Town Hall is just an over-sized community centre. In fact, it has substantial potential to drive economic growth in the east of Edinburgh. It occupies a prime, prominent site, is recognisable as a landmark surrounded by an array of premises providing the staples as well as the specials. We believe that its importance has been lost in the last decade - it is so big, it is easy to miss it.

Commercial

44. But now there is a real prospect of its loss or permanent closure, we know that businesses are concerned that the draw of Portobello is too focussed on the Prom. The thousands who come to Edinburgh's Seaside, not just on high days and holidays, would also come if the Town Hall were providing a range of interest. On the basis of “provide and they will come” we think that jobs of all kinds will grow from an active Town Hall. It is too big to be just a single purpose building, and that has deterred business people who have approached us, quietly. A day by the sea will be better if there is more to see.

Council

45. The City Council has talked much of bringing services closer to communities, delivering to citizens in their own areas and now the welcome “20-minute neighbourhood” which seeks:

- well-connected local places
- builds new models of shared service delivery with partners including key role of the voluntary sector
- delivers synergies between services and 'serendipity' of finding out more from one visit
- takes our best assets and delivers more services from them, creating more fit for purpose, sustainable assets
- creates a strategic approach to the location of our services rather than the existing organic way buildings have grown up over the last century
- all key to supporting a growing city in a sustainable manner

46. We firmly believe that the Town Hall can make a powerful contribution to the delivery of this programme and hope that the Council will engage with us to make it a reality.

47. "20-minute neighbourhoods" need to be created from within those neighbourhoods, which are the communities centred on Portobello. (Outcome 12 in the Sustainable Economic Recovery strand of the CEC Adaptation and Renewal Programme)

Financial Plan

48. Portobello Central is a mission driven social enterprise. Our primary objective is to generate a profit to finance not-for-profit activities and safeguard the future financial sustainability of this enterprise. Our vision, mission, and purpose cannot be achieved without financial sustainability.
49. We have prepared a detailed financial plan for the period April 2022 to March 2026 to test the viability. This is on a cashflow basis and assumes funding Pathway 1, excluding community shares. It is also prior to the anticipated advice in the consultants' Project Viability Report. We will re-draw the business plan following receipt of their report.
50. It is based upon much research; discussions; input from members of the community and the combined experience of the Portobello Central group.

Year on Year	Year to end Mar-22	Year to end Mar-23	Year to end Mar-24	Year to end Mar-25	Year to end Mar-26
Receipts					
Grants & Fundraising	£342,300	£150,000	£0	£0	£0
Zone 1: Large Hall Operating Profit	£0	£48,887	£114,230	£114,230	£114,230
Zone 2: Small Hall Operating Profit	£0	£9,090	£20,140	£20,140	£20,140
Zone 3: Kitchen and Class Operating Profit	£0	£2,232	£4,712	£4,960	£4,960
Zone 4: Retail Units Operating Profit	£0	£8,650	£17,300	£17,300	£17,300
Total Variable Profit	£0	£68,859	£156,382	£156,630	£156,630
Total Receipts	£342,300	£218,859	£156,382	£156,630	£156,630
Fixed Expenses					
Operating Expenses	£16,350	£34,909	£28,508	£28,831	£29,178
Licenses & Insurance	£6,050	£15,780	£13,937	£14,188	£14,457
Staff Costs	£11,076	£85,592	£94,181	£95,960	£97,868
Total Fixed Expenses	£33,476	£136,281	£136,626	£138,979	£141,503
Operating Profit (excluding grant funding)	-£33,476	-£67,422	£19,756	£17,650	£15,127
Capital Expenditure (including professional fees)	£323,000	£50,000	£0	£0	£0
Total Payments	£356,476	£186,281	£136,626	£138,979	£141,503
Net Receipts / Payments	-£14,176	£32,578	£19,756	£17,650	£15,127
Cash balance at the end of the year	-£6,476	£26,102	£45,858	£63,508	£78,635

51. We anticipate grant dependency for the first two years building a surplus in the following years to safeguard against future capital repairs.
52. A sustainable profit level is estimated to be reached by Summer 2023 if funding Pathway 1 is successful. Should Pathway 1 prove to be unsuccessful it would delay our starting date and take longer to achieve financial sustainability.
53. The assumptions upon which we base this business case are prudent and reflective of where we are on our journey. We fully anticipate these will change as we develop our plan.
54. A full list of assumptions is provided on page 23. Some key points:
- In line with our experience of community spaces, we have forecast an average low occupancy level Monday to Thursday of around 50% for zones 1 & 2, slightly higher for the kitchen zone 3 at 56% reflecting the longer duration of mid-week use per hiring.
 - Weekend occupancy of zone 1, large hall, is higher at 60%. Small hall occupancy at weekends drops to around 20% to account for the larger events requiring this to be kept free. Similarly, we have forecast no rental income for zone 3, kitchen, during the weekend, assuming this is hired alongside the large hall.
 - Hire rates are in line with other community spaces in the area and differentiated between community and commercial. Our charging structure will become more nuanced as we develop options such as discounts for longer term usage, off peak usage and risk/profit share arrangements, particularly in the early stages
 - We aim to protect rental space for free community use where the objectives fit with the community social outcome ambitions. It is too early in this stage of development to commit to a particular volume of occupancy but this will be available to as large a degree as possible while remaining financially prudent and sustainable.
 - In addition to these prudent assumptions, we then halved the operating profit forecast in the first year to indicate the inherent uncertainty when starting any new venture.
 - We have assumed 3 full time salaried members of staff and ad hoc events staff at the living wage.
 - Expenses have been forecast based on experience at Bellfield and Washhouse, grossed up to reflect the larger size of the Town Hall.
55. On the advice of events space experts, we have also applied seasonality to our forecasts, with summer being the most lucrative and post-Christmas very slow. While our application of seasonality is crude at this point, it does provide an idea of the cash balance swings we will need to consider when discussing financing arrangements, particularly in the early years. This is further skewed by some instances of grant funding receipt not quite matching up with payments.

The Market

56. The Town Hall exists within a community already served by various public spaces, the Washhouse, Bellfield and three church halls (St John's, Baptist Church and Portobello and Joppa Parish Church). Also Tribe, and soon to open Edinburgh Palette at Stanley Street (with a waiting list for over 80 users versus the initial 20 to be provided). Each is unique in its facilities, location and demographic appeal. Each, before the pandemic, was busy and generally used to good levels. The unique selling point of Portobello Town Hall within the community is simple. It is placed at the heart of the community, it is large and it is not in a residential location. It can thus offer events, spaces and location the other venues cannot.
57. There may be a perception that the Town Hall will compete with other venues, commercial and community. This is similar to the concerns often raised when a commercial venture starts up in a new area. The reality is often that related and complementary businesses add to the offer and increase footfall and turnover. We believe that this is the case for Portobello's venues; having a range of types, sizes, styles and locations should enhance prospects for them all. There are already preliminary discussions in hand to make the most of these opportunities.
58. Justin Kenrick, a local citizen, described in a recent Party Podcast:
- "We used to have the existing community centres and also the George bingo hall, the Dalriada, St James' church halls. Since their loss Portobello has grown, not shrunk, we can definitely sustain more community space and with the planned significant scale housing development at Seafield in coming years demand for community spaces can be expected to grow not decline."*
59. Undeniably the impact of the pandemic on the use of community buildings has been devastating but when this passes there will be a vibrant demand for spaces again and the existence of community space will help drive local recovery and resilience. It might be that as we reopen from COVID restrictions the use of space will have changed - demand may well be for smaller booth offices rather than open plan spaces, bigger, well ventilated halls are likely to be more in demand than smaller spaces. Things will have changed but as we deliver new life in Portobello Town Hall, we can adapt to the changes.



Beyond Portobello

60. We recognise that this is a major venue, which can be used flexibly and is competing against venues in Musselburgh and the City. Flexible, agile marketing is essential and we would expect to employ a manager early on to create that market, preferably in collaboration with other community venues.
61. The large size of the Town Hall and its long history extend its natural community beyond the traditional Portobello bounds. We think users of the building will come from Bingham, new Brunstane, the Christians, Craigentenny, Duddingston, Magdalene, Mountcastle, Northfield as well as new Seafield and, possibly, Leith and Musselburgh. We already know that some events have brought numbers from the rest of Britain and Europe. 'Northern Soul Dance' that hope to put on five weekends a year, have regular dancers who come from Manchester, Newcastle, and all over Scotland. They book B&B locally, thus benefitting the local economy.
62. The seating capacity of Portobello Town Hall, particularly with the balcony seating included, positions the venue in a particularly sweet spot for performers looking for something between the 200 seat venue and the stadium. Local events manager, Stephen Davidson, comments:

"The town hall could become a fantastic community owned venue bringing culture, people and money to Portobello. With the balcony open the venue would have the mid-range capacity to entice high level comedians, bands and shows to Edinburgh's seaside".

63. To secure these opportunities we plan the following actions:

- Respond to the many requests for space to build into a 2022/23/24 programme
- Engage potential users in the design of building improvements and configurations.
- Work with local events management specialists to assemble a rolling 3-year programme to provide time and space that suits users but planning for periods of "dark" while repair, maintenance and improvement works can be undertaken.
- Nurture good working relationships with other venues, particularly within our community. Seek to create a collaborative approach with a wider network of venues. Aim to be part of something bigger.
- Maintain horizon scanning of other venues within and around Edinburgh to ensure our pricing and facilities on offer hits the sweet spot of being financially sustainable and competitive.



Theatre Spaces

Brunton Theatre in Musselburgh has a seating capacity of 296 in the old auditorium. It can seat 497 in the larger conference room by way of bleacher seating. That encroaches onto the performance area so 400 is usually a comfortable maximum. The old theatre attracts both professional and amateur shows and is always well booked up.

Churchill Theatre in Morningside has a 342 seat auditorium. It used mostly by amateur groups and is very popular with dance schools for annual shows and amateur drama productions. It is well used also during the Edinburgh Festival Fringe.

Leith Theatre is a massive venue that can seat 1400. It is ideal for large events but too big for many community events, sole performers and smaller bands.

Rose Theatre in Rose St (former Baptist church) is a fairly new theatre and the main auditorium seats 300.

St Stephen's Church in Stockbridge has a main performing area with audience capacity of 234 in the lower Proscenium Arch Theatre and 400 in the Upper (theatre in the round).

St Bride's Centre Orwell Terrace has a small performance area and seats 250 via bleacher seating. It attracts many dance school performances, drama, cinema etc. as well as being a busy Festival venue.

George Square Theatre This venue holds about 450. As it belongs to the University it is not readily available.

Portobello Town Hall The Town Hall has a capacity seated of around 600. So it provides yet another choice of audience size.



The Space

64. We expect the Project Viability Report to identify new ways of using all the spaces within the building. For the moment, we see it in four parts:

- The front building, with foyer, toilets and cloakrooms occupying valuable street-facing space.
- The upper hall above.
- The traditional proscenium arch theatre
- The rear pre-1912 building intended as artistes' retiring rooms and now including a reasonably modern catering kitchen - and having separate external access.



A "Retiring room"



The Kitchen

65. These zones will be re-thought, with the aim of maximising the usability of the proscenium arch theatre while also providing space for anchor tenants who would provide a base income. We will ensure that necessary public amenity is provided, and that the external spaces are being used to best advantage, all within the constraints of the "B" listed status.
66. The CEC documents identify a full programme of refurbishments, but we believe this should be reviewed and updated, based on the future intended uses and changes in best practice. For example, since that programme was assembled, the overall approach to energy has changed but has yet to settle into industry norms. For example, it may be possible to fit solar panels to the building to provide heat or electricity (as has been done at Bellfield).
67. The Town Hall heating system is coming to a late stage in its life but within 5-10 years it is likely that a replacement system would be based on air or ground source heat pumps. There is life in the current system and that remaining time can be used to plan with care how that and other systems should be replaced. It is also likely that, in the short term, once the integrity of the roof is certain, that insulation of the roof space could be done in a fairly straightforward manner.
68. We would ensure that the building was brought up to date with modern services, for example fast broadband, and met current high standards for accessibility. We would develop a long-term maintenance and improvement plan to keep the building in good condition and up to date with emerging needs and uses.

POSSESS

- 69. The long-term future of the building will be set by its success over the next few years. Local concern is that the building might ultimately be sold and its use radically changed, but we hope that our efforts to breathe new life into the Town Hall will mean that never happens.
- 70. A loss to the community might be avoided by asset transfer under Part 5 of the Community Empowerment (Scotland) Act 2015. This has already happened to buildings in Edinburgh. Transfer to the SCIO would ensure that it then remained in charitable hands, even if that were another charity.
- 71. This is not a focus of the current work, as it is not essential for delivery of our vision but, in due course, it might be the right outcome.



Great Occasions

THE NEW LIFE APPROACH

72. The community has expressed a strong wish to have the Town Hall re-opened along the lines suggested by Portobello Central, and we have received hundreds of suggestions of ways in which the building can support and develop the cultural, social and economic life of the area.
73. An important part of our vision is the need for diversity and inclusivity. This has been reflected in potential hirer requests. We have heard from people who run wheelchair dancing and others asking about the kitchen to teach cooking to their Down's Syndrome group. There is an appetite for interaction between the generations in family disco sessions and ceilidhs. Post pandemic it will be important to entice older people out into the social scene again.
74. While there are still some uncertainties to be worked through, we believe that our proposal is the best outcome for the building and the community, and the alternatives risk the building to continue to be dark and decaying, or used for a commercial purpose and denied to the community for many years.
75. By partnering with Portobello Central and by supporting, using, and raising funding to restore and improve this important landmark, the City of Edinburgh Council will be fulfilling its remit in ensuring that this Council property is used for the long-term benefit of the community in which it is located, and contributing positively to the area.



Space

Where is Portobello?

76. Portobello has not lost its feeling of independence, even after almost 140 years within Edinburgh. In that time new communities have grown around the old town and are very much the community this proposal addresses. So while “Porty” is the shorthand, we think of, in alphabetical order, Baileyfield, Bingham, Brunstane, Craigentiny, Craigmillar, Duddingston, Joppa, Magdalene, Mountcastle, Northfield, Seafield, at least. Our proposal is intended to be inclusive of all the areas who look to a wider community whose centre is the Town Hall and to meet their ideas, needs and aspirations.



Everyone welcome

SUPPORTING THE CASE

Detailed financial plans

Quarterly	2021/22					2022/23				
	Q1	Q2	Q3	Q4	Y/E Mar 22	Q1	Q2	Q3	Q4	Y/E Mar 22
Receipts										
Grants & Fundraising	9,300	57,000	0	276,000	342,300	150,000	0	0	0	150,000
Zone 1: Large Hall Operating Profit	0	0	0	0	0	14,666	19,555	9,777	4,889	48,887
Zone 2: Small Hall Operating Profit	0	0	0	0	0	2,727	3,636	1,818	909	9,090
Zone 3: Kitchen and Class Operating Profit	0	0	0	0	0	670	893	446	223	2,232
Zone 4: Retail Units Operating Profit	0	0	0	0	0	2,595	3,460	1,730	865	8,650
Total Variable Profit	0	0	0	0	0	20,658	27,544	13,772	6,886	68,859
Total Receipts	9,300	57,000	0	276,000	342,300	170,658	27,544	13,772	6,886	218,859
Fixed Expenses										
Operating Expenses	0	0	6,426	9,924	16,350	10,447	7,997	8,147	8,318	34,909
Licenses & Insurance	0	0	3,000	3,050	6,050	3,881	3,111	3,081	5,707	15,780
Staff Costs	0	0	0	11,076	11,076	16,074	23,006	23,006	23,506	85,592
Total Fixed Expenses	0	0	9,426	24,050	33,476	30,402	34,114	34,234	37,531	136,281
Operating Profit (excl grant funding)	0	0	-9,426	-24,050	-33,476	-9,744	-6,571	-20,462	-30,645	-67,422
Capital Expenditure (incl professional fees)	8,000	65,000	0	250,000	323,000	0	0	0	50,000	50,000
Net Receipts / Payments	1,300	-8,000	-9,426	1,950	-14,176	140,256	-6,571	-20,462	-80,645	32,578

Detailed Financial Plans

Quarterly	2023/24					2024/25				Y/E Mar 22
	Q1	Q2	Q3	Q4	Y/E Mar 22	Q1	Q2	Q3	Q4	
Receipts										
Grants & Fundraising	0	0	0	0	0	0	0	0	0	0
Zone 1: Large Hall Operating Profit	34,269	45,692	22,846	11,423	114,230	34,269	45,692	22,846	11,423	114,230
Zone 2: Small Hall Operating Profit	6,042	8,056	4,028	2,014	20,140	6,042	8,056	4,028	2,014	20,140
Zone 3: Kitchen and Class Operating Profit	1,984	1,488	744	496	4,712	1,488	1,984	992	496	4,960
Zone 4: Retail Units Operating Profit	5,190	6,920	3,460	1,730	17,300	5,190	6,920	3,460	1,730	17,300
Total Variable Profit	47,485	62,156	31,078	15,663	156,382	46,989	62,652	31,326	15,663	156,630
Total Receipts	47,485	62,156	31,078	15,663	156,382	46,989	62,652	31,326	15,663	156,630
Fixed Expenses										
Operating Expenses	8,672	6,386	6,636	6,813	28,508	8,781	6,456	6,706	6,889	28,831
Licenses & Insurance	3,920	3,106	3,106	3,806	13,937	3,993	3,165	3,165	3,865	14,188
Staff Costs	23,420	23,420	23,420	23,920	94,181	23,865	23,865	23,865	24,365	95,960
Total Fixed Expenses	36,012	32,913	33,163	34,539	136,626	36,639	33,486	33,736	35,119	138,979
Operating Profit (excl grant funding)	11,473	29,243	-2,085	-18,876	19,756	10,350	29,166	-2,410	-19,456	17,650
Capital Expenditure (incl professional fees)	0	0	0	0	0	0	0	0	0	0
Net Receipts / Payments	11,473	29,243	-2,085	-18,876	19,756	10,350	29,166	-2,410	-19,456	17,650

Quarterly	2025/26				Y/E Mar 22
	Q1	Q2	Q3	Q4	
Receipts					
Grants & Fundraising	0	0	0	0	0
Zone 1: Large Hall Operating Profit	34,269	45,692	22,846	11,423	114,230
Zone 2: Small Hall Operating Profit	6,042	8,056	4,028	2,014	20,140
Zone 3: Kitchen and Class Operating Profit	1,488	1,984	992	496	4,960
Zone 4: Retail Units Operating Profit	5,190	6,920	3,460	1,730	17,300
Total Variable Profit	46,989	62,652	31,326	15,663	156,630
Total Receipts	46,989	62,652	31,326	15,663	156,630
Fixed Expenses					
Operating Expenses	8,897	6,531	6,781	6,970	29,178
Licenses & Insurance	4,072	3,228	3,228	3,928	14,457
Staff Costs	24,342	24,342	24,342	24,842	97,868
Total Fixed Expenses	37,311	34,101	34,351	35,740	141,503
Operating Profit (excl grant funding)	9,678	28,551	-3,025	-20,077	15,127
Capital Expenditure (incl professional fees)	0	0	0	0	0
Net Receipts / Payments	9,678	28,551	-3,025	-20,077	15,127

Assumptions

Costs	Assumption
Cleaning supplies	Based on Bellfield figure of £1,000 a year, then tripled to account for post-COVID stricter cleaning and decontamination regime (£3,100). We then add on a small stipend of £100 a year to hire the Bellfield misting machine. This starts to tail off after 2022 with supplies reduced down to double the Bellfield figure plus mister by April 2023 (post winter). In 2023 onwards we assume it maintains this new baseline but increase in line with projected inflation.
Communications	Most communications will be undertaken by a mix of our admin support officer and events manager, with support from the volunteer network. We assume that in 2021 we pay for a professional website (£1000) and an initial communications consultant to build our strategy over 3 days (£1000). Beyond this we have allowed for some paid staff training. This may be overly prudent and volunteer expertise could fill these gaps. We have also allowed a small amount (£250) twice a year for publication materials. Finally we have allowed for an annual fee of £100 for website hosting and £8 per month for Mailchimp minus the 10% charitable discount. Given the small and separate amounts here we have not applied inflation.
Equipment and Maintenance (including office equipment)	From Council documents we have a figure of c.£51k per annum for non-janitorial staff and operating equipment and maintenance. If we assume, therefore that this covers a staff expense of around £30k, including NIC etc, then a sensible estimate for equipment and maintenance might be around £20k per annum, if we remove cleaning supplies from this we are looking at around £17k per annum, although unsure what else this includes. This seems overly prudent considering Bellfield spend of around £10k but may be correct in the first year or two of opening a mothballed facility. Therefore, from 2023 we reduce this to £12k per annum. We assume this cost will commence after receiving the keys, assuming a 2 month lag in assessment and purchasing.
Building Insurance - includes public liability and employers liability	Insurance - Given the size of the Council excess, have assumed it would be necessary to have insurance from the point of lease signing. Have taken annual Bellfield insurance fee of c£4k and roughly tripled due to size of venue. Have also assumed this kicks in when we sign a lease, timing in line with SCIO application (Sept 2021), and get the keys. Finally, have assumed an increase each year in line with projected inflation costs.
Performance License	Based on Washhouse accounts - the performance license allows recorded music to be played in the venue - particularly useful for fitness classes. Assume this kicks in for opening in April 2022 and rises in line with inflation.
Alcohol Licence	Following advice from Callum Laidlaw, we assume we could make use of occasional licences in the first year (£10 each, max 12, £50 personal licence to sell alcohol), following that we would develop our own bar offering. For this we have assumed legal fees of £1500 (start 2023) and, given rateable value of £98k, one off application fee of £1,156 and annual fee of £700.
Payroll	Assuming we would use SCVO payroll service, price based on Washhouse when it had 2 members of staff, grossed up by a third (so £560 per annum to £728). Timing - assume this would not kick in until 2 months prior to opening and would rise in line with inflation.
SCVO membership	SCVO membership provides access to HR services amongst other supportive services. Taken from current pricing matrix (£280), we are aware this is currently under review. Increased by inflation each year, we assume this would commence at the same time as payroll services.
EVOC membership	Currently £35 per annum, assuming our income remains below £500k.

Assumptions

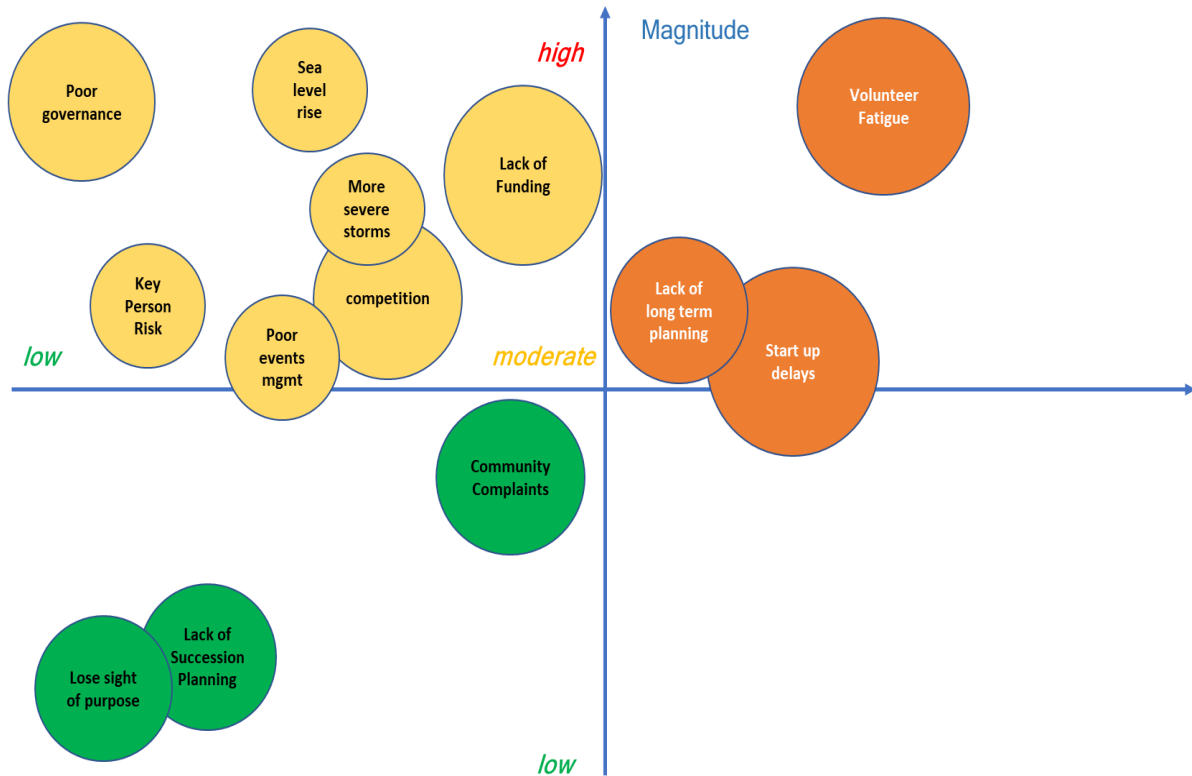
Costs	Assumption
Ongoing Professional Fees	Here we have included the ongoing professional fees. These include audit, accountancy and bank fees. We assume the role of Treasurer will be filled by a volunteer but expect to pay accountancy fees for annual filings. We have based audit and accountancy fees on Bellfield at £2000 pa. Bank fees are difficult to predict prior to opening so have based on a rough estimate of Bellfield at £45 per month.
Software Subscriptions	Xero or similar accounting package - including invoicing and linked to bank account c.£30 per month; Office 365 including Teams, email, basic project management, cloud storage and the usual Microsoft suite (£11.28 per user per month, including VAT) - assume up to 5 users once staff on board, £56.40 (3 staff plus Treasurer and Board Secretary). Assume social media scheduling can use basic, free versions (Hootsuite, Buffer) , same for volunteer organising tools such as Basecamp, Trello, Slack, WhatsApp etc
Internet	Post COVID in particular, online connectivity is crucial. We anticipate a flexible approach to events with parallel streaming taking place for a nominal ticket price. Based on Bellfield costs, assume paid from one month post lease signing (£125 per month, rising with inflation). However, we fully anticipate working with CEC and/or BT to turn the Town Hall into a high speed free hotspot location to reduce digital exclusion.
Heat & Light	Based on Bellfield costs (pre-solar) with 25% uplift then reduced by 10% until opening, so £900 until April 2022 rising to £1000 per month.. Assume paid from month lease signed. One of our top priorities would be to work with Zero Waste Scotland to implement basic energy, waste and water monitoring and processes. Assuming this project would take around 4 months (3 month establishing baseline, 1 month implementing), we reduce energy costs by at least 10% 4 months after opening (assumption verified with consultant). We would further expect to work with Porty Energy to implement renewable energy options and insulation prior to 2025, however, this would likely have to be grant funded so have not included in forecast.
Capex Repairs Fund	In the first 2 to 3, or even 5 years we can assume the Town Hall will not be a profit centre and will be seeking grant funding for major works until such time as we have established a sustainable social enterprise. Our goal is to establish a capital repair fund as soon as possible.
Rent and Rates	Assume rent free and no rates as charitable body.
Staff Training	Have assumed £300 to £500 per year to spend on professional development.
Salaries and NIC	See salary spreadsheet
Professional Fees for 1st Year	As per the initial business plan in our first proposal. We have appointed Munro Allison Architects and Rob Robinson, Heritage Business Plan specialist to provide architectural options and project viability. This will cost £8K. We have also included contingency for further, specialist, reports (e.g. VAT planning, asbestos, ceiling specific, green energy) of £5,000 and legal fees of £2,000 given we have a strong contingent of legal expertise being lent to the project.

Assumptions

Income Line	Assumption
Large hall - charges	£30 an hour for community hire, £35 for commercial. £100 for professional events requiring support, including sound and lights. £1500 for large weddings over 3 days and £750 for smaller weddings where everything can be done in one day. Weddings assume whole venue
Large hall - occupancy	For financial year 2021/22 assumed 47 available weekends, 12 taken up by large weddings, 13 smaller weddings of 1 day each, predominantly on Saturdays. 18 whole day cultural events at weekends over Friday to Sunday, such as Northern Soul all-dayers. Predominantly Saturdays. Also includes fairs, smaller cultural events and community use. All in resulting in an occupancy rate of around 60%. Detailed assumptions within spreadsheet. For future years, 51 weekends assumed with similar occupancy rates
Variable costs	Events charges are based upon the number and type of each type of event and the expected length. They include bar profit, security and cleaning staff, varied according to the type of event (typically we could expect large bands, for example, to require more security and cleaning staff). Living wage assumed. Bar profits are worked up based on expected number of attendees at any particular event using average volumes of drink, ratio of those drinking alcohol and average cost of alcohol. Other costs include ice and stock levels. Income incorporate corkage for weddings. Detailed assumptions within spreadsheet
Small hall	Hourly rates assumed. £20 commercial hire, £25 for hire including equipment (e.g. for boardroom style); £15 for community hire. Occupancy rate of around 50% Mondays to Thursdays, 20% at weekends - takes term time occupancy into account.
Kitchen	Hourly rates assumed. £30 commercial hire, currently assuming equal community hire for free in line with community engagement focus on Food in building communities.
Retail unit 1	Assumed available from opening. Rates based on discussions with local jewellery maker and validated by cost of ex-bookmakers premises across the road (£1k per month)
Retail unit 2	Assume will take time to attract the right tenant, use as discounted pop-up space in meantime to encourage new businesses - if affordable this may become a permanent solution. £25 a day, assume 5 days a week on average - £125 per week. Based on half price of similar sized pop-up space in Leith (www.appearhere.co.uk)

Risks and mitigants

Risk Magnitude / Likelihood Matrix



77. A project of this magnitude is risky, something the group are very aware of from their own experiences. To be successful we must actively identify, monitor and mitigate risks as much as possible. To create the initial identification of risks we used different techniques including a standard workshop format and “reverse stress” approach. The standard workshop format is a simple forward-looking brainstorm, designed to bring out experience and knowledge. The reverse stress approach is more creative. Participants are asked to imagine the demise of the organisation some time in the future and work out scenarios to get there. We used a 10 year timeframe and encouraged everyone to write “obituaries” of the organisation at that point to illustrate the combination of events (scenarios) that could occur to bring about the end of the organisation.
78. This resulted in the initial risk register (below), ranked using a scale of magnitude looking at impact and likelihood.

Initial Risk Register

	Risk / opportunity	Likelihood	Magnitude	Timeline	Details	Mitigant
1	<p>Operational Risk:</p> <p>Volunteer fatigue Not enough volunteers to successfully maintain operations leading to burnout of few key volunteers.</p> <p>Opportunity: Work across the community organisations to build a network of potential volunteers</p>	Moderate / High	High	By 2026 or after around 4/5 years post opening	Our own experience tells us that the higher risk is fatigue of the regular volunteers that underpin operations.	<p>Most importantly we will prioritise an optimal and sustainable mix of paid and voluntary roles.</p> <p>Volunteering should be a fun and rewarding experience. From our own experience, we need a large and diverse pool of volunteers, actively recruited, cared for and allowed to follow their own interests within the organisation.</p> <p>The role of volunteer coordinator is critical, requires Board support and the role will be considered as one of our key person risks.</p> <p>We will make full use of local volunteer support services such as Volunteer Edinburgh and EVOC.</p>
2	<p>Strategic Risk:</p> <p>Start-up period longer than anticipated</p>	Moderate	High	Within first year	Within the wider strategic risk of forecasts not matching reality. The impact of a longer start up period than anticipated depends upon the outgoings during this time and so, the arrangement entered into with the Council. Also, the architectural findings and the	<p>This is an area of high uncertainty and we are painfully aware of how long a start-up period can be for such a project through experience at Bellfield and talking to other organisations such as Leith Theatre.</p> <p>Risk can be mitigated somewhat through making full use of professional advice</p>

Risks and Mitigants

	Risk / opportunity	Likelihood	Magnitude	Timeline	Details	Mitigant
					length of COVID restrictions.	available - architects are appointed, and we have gathered a legal and property advisory board.
3	Strategic Risk Lack of long-term focus	Moderate	High	Beyond 10 years	Can also manifest as losing sight of purpose. To be truly sustainable, Portobello Town Hall must be actively cared for with future generations in mind.	Strategic and investment decisions must be made with a long term view (governance). Opportunity: A trustee with the specific remit to consider future generations. A youth council to build in the views of the younger members of the community, also helpful in succession planning and volunteer pipeline.
4	Strategic Risk: Lack of Funding: Portobello Town Hall requires in the region of £250k to open its doors and will seek grant income going forward.	Moderate	High	Immediate	There are no guarantees in funding and following COVID we have moved the risk of finding funding from low to moderate. Without funding the project will likely fail. Additionally, our pathway 1 entails spending Town Centre Funds within a calendar year - being able to spend the funds on time itself brings additional risk	We have developed a funding strategy to maximise our resources on the most likely funding avenues. We take a portfolio approach, assuming a certain element of failure in our applications. We make use of supporting organisations and local fundraising specialist volunteers to advise and review strategy and applications. The objective of our financial plan, although initially dependent on funding, is to be financially sustainable. This will mean balancing events management with steady income streams such as

Risks and Mitigants

	Risk / opportunity	Likelihood	Magnitude	Timeline	Details	Mitigant
						strong anchor tenants.
5	<p>Strategic Risk</p> <p>Competition: Risk of losing business to similar venues or venues that can offer similar facilities</p>	Moderate	Moderate	Ongoing	<p>The USP of Portobello Town Hall within Portobello is simple. It is placed at the heart of the community, it is large and it is not in a residential location. It can thus offer something the other venues cannot. This is not the case throughout Edinburgh where similar venues exist.</p>	<p>By building a good working relationship with other venues we will seek to create a collaborative approach with a wider network of venues. We will aim to be part of something bigger. And not in competition.</p> <p>We will also maintain horizon scanning of other venues within and around Edinburgh to ensure our pricing and facilities on offer hits the sweet spot of financially sustainable and competitive.</p>
6	<p>Operational Risk</p> <p>Increased precipitation, more severe storms (climate change): Unforeseen capital expenditure required, particularly the roof.</p> <p>Opportunity: Portobello Town Hall becomes a beacon of climate related adaptation and mitigation to create a truly sustainable community space.</p>	Moderate - under scenario of moderate cuts to emissions (assume less than Paris Agreement)	High	by 2030, worsening beyond	<p>The Town Hall is an old building under some disrepair. Our initial works will ensure it is wind and watertight but there is a risk that future changes in the climate accelerate any deterioration.</p>	<p>Monitor predictions globally and locally. Seek professional advice on regularity and depth of checking required for building. Financial sustainability means creating a building fund from the start of operations, understanding the need for future repairs and building this into future strategy.</p> <p>Opportunity: Seek professional advice on adaptation considerations. Work with Zero Waste Scotland to create a net zero plan.</p>

Risks and Mitigants

	Risk / opportunity	Likelihood	Magnitude	Timeline	Details	Mitigant
7	<p>Strategic Risk:</p> <p>Poor events programme management</p>	Low	Moderate	Post opening	Poor events programme management goes further than lowering demand, it can create tensions with the community leading to complaints and reduced volunteer numbers. It can also prevent us from achieving our social goals. Potentially manifesting from “losing sight of our purpose”.	Events management goes beyond creating a profit. The programme created is a careful balance of community engagement, social outcomes and financial sustainability. We will agree a framework, with the community, within which we will curate our events programme and will aim to fund an experienced events manager.
8	<p>Operational Risk:</p> <p>Climate Change; Sea level rise: intermittent flooding, potentially of Boiler room.</p> <p>Transition Risk: Town Hall commandeered to rehome those most badly affected.</p> <p>Opportunity: Town Hall becomes centre for support and advice, manned by community volunteers.</p>	Low - under scenario of moderate cuts to emissions (assume less than Paris Agreement)	High	by 2030, worsening beyond	Climate Central interactive map shows areas of central Portobello up to the High St at Figgate Burn in particular, moderately likely to experience annual flooding. Adaptation Scotland report 2021 reports sea level rise predictions in Edinburgh of between 9 and 28cm by 2050 in a high emissions scenario. Source: www.climatecentral.org www.adaptationscotland.org	<p>Operational Risk: Monitor predictions globally and locally via the Forth Coastal Observatory and Adaptation Scotland. Seek professional advice on adaptation considerations.</p> <p>Transition Risk/Opportunity: Work with Adaptation Scotland to devise a community plan to mitigate and adapt.</p>
9	<p>Operational Risk</p> <p>Keyperson Risk: The risk that one or a small number of volunteers or</p>	Low	Moderate	Ongoing	Similar to volunteer fatigue, the risk is that one or more key people leave or become absent from the organisation abruptly, leave with a poor handover	Understanding the diversity of skills, experience, background and thought both within our volunteers and our Trustees will be critical to avoiding this risk. We will seek

Risks and Mitigants

	Risk / opportunity	Likelihood	Magnitude	Timeline	Details	Mitigant
	<p>Board members have particular skills which make them indispensable to the operating of the organisation.</p> <p>Opportunity: To actively grow diversity on our Board of Trustees, leaning on support organisations and building partnerships with local schools and colleges to widen our appeal.</p>				<p>and/or we struggle to match their skills, networks or experience.</p>	<p>to actively develop those areas we feel are most at risk (for example, specialist professional skills). We intend to develop a shadowing programme early in our development</p> <p>We will promote diversity within the organisation, potentially partnering with others such as Change the Chemistry to identify new Trustees.</p> <p>We will make full use of local volunteer support services such as Volunteer Edinburgh and EVOC</p>
10	<p>Governance Risk:</p> <p>Poor Governance: Poor governance leads to bad or poorly thought through decisions and weak controls.</p>	Low	High	Ongoing	<p>Governance risks may include charity trustees not knowing or living up to their responsibilities; high board turnover; conflict on a board; conflicts of interest not properly managed; absence of relevant policies; failure to properly implement agreed policies; and policies not being reviewed.</p> <p>A significant governance risk may also arise where the charity trustees do not give due consideration to the charity's legal form and governing document and</p>	<p>We are in the process of forming a SCIO and will follow the governance processes accordingly. Several of the founding members have Trustee experience.</p> <p>We will follow the "good governance" guidelines produced by OSCR and annually review the 12 elements identified by OSCR.</p> <p>We will take full advantage of the EVOC governance training available and encourage all new board members to do the same within our induction pack.</p>

Risks and Mitigants

	Risk / opportunity	Likelihood	Magnitude	Timeline	Details	Mitigant
					decide whether they are fit for purpose.	We will seek professional help when necessary, including co-opting Board members if we find a skills gap.
11	<p>Operational Risk:</p> <p>Community complaints: Vigorous programme of live events leads to complaints about noise, crowds and general nuisance, particularly after hours.</p>	Moderate	Moderate	From opening	As experienced by Bellfield and Washhouse, noisy late evening events in particular can lead to complaints which can curtail hours of operation and the types of events we can hold, ultimately reducing income.	Portobello Town Hall is not in a densely residential area. Nonetheless we are working for the benefit of our community and will build ongoing dialogue with immediate neighbours into our events planning framework.
12	<p>Operational Risk</p> <p>Lack of succession planning: The risk we fail to plan for the succession of Trustees, leading to volunteer fatigue and keyman risk.</p> <p>Opportunity: To actively grow diversity on our Board of Trustees, leaning on support organisations and building partnerships with local schools and colleges to widen our appeal.</p>	Low	Low	2023 or 2/3 years post opening	Brings up similar issues as keyperson risk and volunteer fatigue	Succession planning underway within 12 months of opening

Risks and Mitigants

	Risk / opportunity	Likelihood	Magnitude	Timeline	Details	Mitigant
13	Strategic Risk Losing sight of purpose	Low	Low	Ongoing	Portobello Central is a purpose led social enterprise for the benefit of the local community. Drifting from this purpose could result on low demand, lack of volunteers and neighbourhood complaints.	Work within our agreed governance structure to establish strong accountability, keeping the community at the heart of everything we do.



At the heart of Portobello

Promising beginnings

Northern Soul Dance

"I have hired hall over last 4 years , sometimes 5 times a year for our northern soul all-dayers. I am also employed as a full time joiner but I would be willing to help any way I can . Thanks for letting me join group in what is hopefully the re- birth of Porty Town Hall".

Stephen Froude: Northern Soul Dance

United Sk8s

"The idea of being able to host our roller disco sessions in such an amazing venue is just brilliant. We do believe that it would bring something very different to the community here and would be something that the whole family could enjoy. We would love to be part of these amazing memories in the making".

James & Lesley Hunter: United SK8s

Brenda Ronnie

"I hire Portobello Town hall for 3 events a year, I absolutely love the hall and it holds so many memories. I am Secretary of the City of Edinburgh Highland Dancing Association, for your records".

Brenda Ronnie: Highland Dance Competitions

International Purves Puppets

"Now in our 50th year. We provide a family audience show, a great fun pantomime style performance using large scale puppets that glow in the dark. This would be a big draw for your venue as so many of the audience would have heard of us or seen us in the Edinburgh Festival."

Vickie Purves. Purves Puppets

Sassy School of Burlesque

"We cannot wait to do lots of events here".

Sassy School of Burlesque

AI Productions

"We did look into using the hall just before it closed. We are planning on doing lots of concerts/ musicals/ parties in the future and loved the space and were gutted when we couldn't use it! Please keep us posted".

Aidan: AI Productions

Gannet & Guga Café

"We would love to have a socially responsible set up and maybe do some work with local charities or run events that could raise money for local causes too. The kitchen looked well appointed so I imagine it could be possible".

Malcolm: Gannet & Guga

Move it Dance

"We cannot wait for the Town Hall to reopen. We do hope it will. It's a precious community resource and lends itself well to both community & social enterprise. I have been using the Town Hall for 20 years putting on shows and doing workshops. I was gutted when it closed. My new enterprise needs a large venue with lots of smaller spaces. The Town Hall is ideal for this. So please keep me posted with your endeavours".

Sara Black: Move it Dance.

ACTION PORTY SUPPORT



Extract from Letter to Councillors

13 March, 2021

Dear Councillor / Council Official

Portobello Town Hall

I am writing on behalf of Action Porty, the community organisation formed to take the former Portobello Old Parish Church into community ownership and run it as a community hub (Bellfield). At the request of the City of Edinburgh Council, Action Porty hosted the initial meeting to consult the community on the future of Portobello Town Hall, and we have been closely following events since. What happens to Portobello Town Hall has implications for the future of Bellfield as well as for the wider Portobello community.

Action Porty has recently been in discussions with the Washhouse about how we can ensure that both venues remain complementary and to explore how we can better support each other. The logic of this dialogue is that the programming of Portobello Town Hall becomes part of this process, thus ensuring the avoidance of needless competition and encouraging a spirit of mutuality between community venues. Action Porty has no doubts that - from a range of evidence - that there is sufficient demand to support all 3 venues, and that is without taking into account further planned housing development and corresponding population growth.

Action Porty fully supports the community bid being led by Porty Central, which is based on significant community engagement and offers a pragmatic approach to the opportunities and challenges of the undertaking. We are prepared to work alongside Porty Central if required, and offer whatever help and support we can to progress their work. Together we hope that the Wash-house, Bellfield and Porty Central can evolve a strategic approach to the provision of community venues in Portobello.

Ian Cooke
Company Secretary / Trustee

Like Minds



Out of The Blue fully supports the proposal by Porty Central to re-develop and re-invigorate Portobello Town Hall. Out of the Blue has over 25 years experience of taking on and re-purposing older buildings and developing them as community assets, so we fully understand the importance of buildings like the Town Hall to the Portobello community.

Out of the Blue believes that the proposal by Porty Central represents the best and most community-oriented proposal to revitalise Portobello's cultural and community public infrastructure along with the Bellfield project, The Wash House and the proposals to save The George Cinema from being converted into flats. After Covid 19, communities like Portobello need a range of cultural infrastructure to provide a focus for our communities to come together once more and enjoy many types of cultural and community events.

Out of the Blue

March 2021



Edinburgh Food Social has been involved in Portobello for a number of years, running projects at Portobello High School as well as being involved with a number of local community groups. Over the past 5-10 years, we have seen the growth of Portobello into a thriving town with a number of new independent businesses and the conception and development of some valuable community provision- however with swift growth and development comes an increased need for community-led organisations to serve a community that includes many ages, backgrounds and points of view.

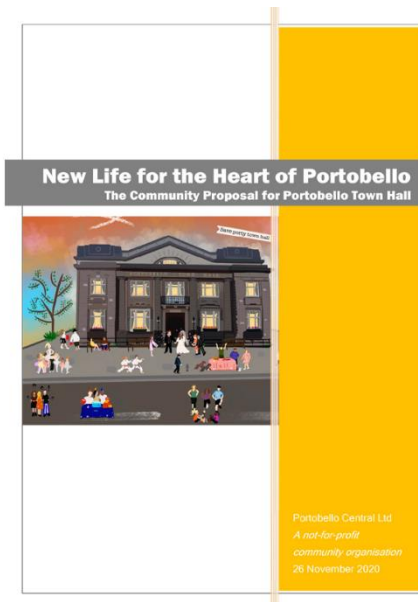
We feel that the community bid led by Porty Central is crucial to the development of services and places that are beneficial to local people- something that is so important at this point in time. Having followed the process so far, we feel that a commercial bid is entirely the wrong fit for this building, which carries huge significance to the town and its residents. We are excited to continue our work in Portobello and very much hope that this will be with alongside the existing groups (Action Porty, Wash House etc), each of whom individually and together serve their members and the community so well.

Edinburgh Food Social CIC

March 2021

The Back Page

This document is the second and final part of the proposal by Portobello Central Ltd to bring back Portobello Town Hall into community use. The first part was submitted to the City of Edinburgh Council on 30 November 2020 and contains the thoughts and ideas from a substantial consultation in the summer of 2020 and the proposal for a Project Viability Study, now underway. The two parts should be read together.



Thank You

Portobello Central Ltd is grateful to a huge number of people across Portobello and beyond, for advice, comment, ideas, actions and, above all, honest support - in cash, kind and heart.

If this proposal is accepted by the City of Edinburgh there is a huge amount of work to be done to make it a reality, a thriving centre of activity at the very heart of Portobello Town. That work will, we plan, be done by a new charitable body with a membership to elect its trustees, a formal step to ensure the Town Hall is managed in the interests of the community.

The business case suggested in this proposal is a demonstration of possible financial feasibility. The views and opinions expressed in this document are our best effort given the information available and do not represent the professional views of any individual.

Jennifer Elliot Jayne Saywell	Jon Davey Will Tyler-Greig	Damian Harney Geoff Pearson	Lynn Houmdi Morag Phillips
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www.portobellocentral.org
portytownhall@gmail.com
<https://www.facebook.com/groups/saveportytownhall>
<https://twitter.com/PortyCentral>
<https://www.instagram.com/portobellocentral>

Published by:
Portobello Central Ltd
1 Windsor Place
EH15 2AJ
19 March 2021

Portobello Town Hall Lease Proposal



2.3.2021

Mr Valerio Lo Coco-Native Wines Ltd

136 Dundas Street

Edinburgh EH3 5DQ

Email: info@bacco-wine.co.uk

Tel: 07588714152

Proposed Use: our proposed use for the Portobello Town Hall is to create a food market, in line with all major cities in the world. The market would consist of stalls for the sale of fresh local produce, street food, drinks, craft and natural products. The idea is also for the premises to be used a community hub and be an important part of the Portobello community life.

Aims and Objectives: our aim is to create a Nonprofit Organisation with the following objectives: economic, health, environmental, social, cultural.

-creating a market would attract many visitors to the area, benefiting local businesses in and outside the market. Young people would have an opportunity to start their own business within the market with very little investment. Local producers would have an additional point of sale with access to thousands of potential customers every week.

-the market will aim to promote fresh, healthy and organic food. A healthy diet is fundamental for a healthy life style.

-we are also very sensitive to the environmental challenges the world is facing in our era. We want to play our small part in protecting the environment. We aim for the market to be plastic free and recycling as much as possible, reducing the landfill waste to almost zero. We will also try to use sustainable materials in the construction works and green sources of energy. We will use electric vehicles for deliveries too.

-we will create a food bank to provide free hot meals and produce to people in need. Hospitality and food retail businesses produce food waste at the end of every day which cannot be sold the next day but that is perfectly suitable for consumption. We will use it for giving free meals at the

end of every day. We will also finance the food bank with donations and part of the profit from the market. We will organise activities for the community, such as cooking classes, food and wine tastings, gigs and performances.

-we will employ award winning designers and consultants to ensure a sensitive restoration while injecting a new life into the Town Hall. This will also turn the building into a visitors attraction.

Terms of the lease: we propose a 20 years Full Repairing and Insuring lease, with the first 3 years rent free to allow for the refurbishment and £60.000pa rent thereafter with periodic reviews. We would take the lease on as a Nonprofit Organisation. This is in order to have access to public funds and grants to cover the main repairing works as they are only available for Nonprofit Organisations. This is also due to the nature of the project. We will carry out all the necessary repair and restoration works, including the roof and the stands, to make the building suitable and safe for public use. This stage will be mainly funded through grants. The funds to complete any additional work necessary for setting up the venue as a market, allowing the serving of food and drinks will be obtained through fundraisers, private donations, grants and public funds available to nonprofit organisations. We will also ask the businesses that will be part of the market to contribute to the refurbishment costs as they would do if they were to lease different premises to set up a business. All of the above will be subject to Planning Consent and Building Warrant.

We expect to be able to cover rent and other regular expenses through the profit generated by the market. This will consist of:

-Rent of food stalls

-Home deliveries generated through a website and app. Every business part of the Portobello Food Market will be able to sell their products on the market's website. The Portobello Food Market will be responsible for delivering the orders in the Edinburgh area with electric vans and it will charge sellers a 20% commission.

We would also rely on donations and public funds. Any balance left after covering all the costs would be used to provide free meals to people in need.

Please find attached a separate sheet with a forecast cash flow.

Potobello Food Market Cash Flow Projection

Monthly Revenue:

	Amount	Qty
Retail Stalls Rent	1500	15
Hot Food and Drinks Stalls Rent	3000	20
Home Deliveries	30000	20%
Total Revenue		

Monthly Expenses

Rent
Utilities
Business Rates and Licenses
Insurance
Trade Waste
Security
Cleaning
Staff
Marketing
Accountancy and Admin
Miscellaneous
Maintenance
Total Expenses

Total Income

Total

22500

60000

6000

88500

5000

9000

?

1000

2000

6000

8000

18000

2000

3000

1000

1000

56000

32500

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Finance and Resources Committee

10.00am, Thursday, 20 May 2021

20 West Shore Road, Granton, Edinburgh – Proposed Ground Lease Acquisition and New Lease

Executive/routine Wards Council Commitments	Executive Ward 4 - Forth 1 , 2 , 10 , 11
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1. Recommendations

1.1 That Committee:

- 1.1.1 Approves the purchase of the ground lease interest in the property at 20 West Shore Road;
- 1.1.2 Approves the use of Prudential Borrowing to fund the purchase; and,
- 1.1.2 Approves a 15-year lease of the property to Edinburgh Palette on the terms outlined in this report and on other terms and conditions to be agreed by the Executive Director of Resources.

Stephen S. Moir

Executive Director of Resources

Contact: Graeme McGartland, Investments Senior Manager,

Property and Facilities Management Division, Resources Directorate

E-mail: graeme.mcgartland@edinburgh.gov.uk | Tel: 0131 529 5956

20 West Shore Road, Granton, Edinburgh – Proposed Ground Lease Acquisition and New Lease

2. Executive Summary

- 2.1 The Council own the heritable interest in the property at 20 West Shore Road, which is subject to a long ground lease to November 2104. An opportunity to acquire the tenant's interest in the property has arisen which would allow the Council to let the property to a tenant in keeping with the Granton Waterfront regeneration vision. The report seeks approval to acquire the ground lease interest, and to subsequently lease the property to Edinburgh Palette on the terms and conditions outlined in the report.

3. Background

- 3.1 In [March 2018](#), the Housing and Economy Committee agreed the high-level objectives for the regeneration of Granton Waterfront including the intention to work collaboratively with the public-sector partners and the local community to develop a vision for Granton. This included agreement to undertake work to update frameworks and studies to support future development.
- 3.2 Later the same year, the Council purchased the Forthquarter site with other land in Granton Waterfront, owned by Waterfront Edinburgh Limited (WEL/EDI), also transferred to the Council. A multi-disciplinary team was appointed to prepare a Development Framework and a high level, programme delivery plan for Granton Waterfront.
- 3.3 On [6 December 2019](#), the Finance and Resources Committee approved the appointment of Arcadis to provide project management capacity and capability to support the delivery of Granton Waterfront.
- 3.4 On [25 February 2020](#), the Corporate Policy and Strategy Committee received an update on Granton Waterfront Regeneration including an outline of the Programme Delivery Plan.
- 3.5 The Development Framework, which will guide future development within Granton Waterfront, was approved by the Planning Committee on 26 February 2020. This guidance sets out the ambition to transform this former industrial site into a new city quarter which will, with time, redefine Edinburgh into one of Europe's top Waterfront destinations to live, learn, work and visit.

- 3.6 The Council owns around 120 acres of developable land within the Granton Waterfront area, creating a unique opportunity for the Council to take an infrastructure first approach and work in collaboration with key partners and the community to deliver exemplar regeneration. There are however several assets held on long leases which will require to be acquired/relocated to assist with the delivery of the vision in the longer term.
- 3.7 The Council own the heritable interest in the property at 20 West Shore Road as shown outlined in red on the attached plan. The site is held on a ground lease by Philip Smith, which does not expire until 28 November 2104. There is a substantial warehouse building on the site which was constructed by a former tenant under the ground lease. The current rent received by the Council is £23,300 per annum.
- 3.8 The building has been vacant for some time and an opportunity has arisen for the Council to acquire the ground lease interest. This would provide the Council with ownership of the ground and the building and would assist with the aspirations of the Council to deliver the Development Framework principles in connection with the Waterfront. The longer-term plan is to develop this area at the north shore as a coastal park over the next 10-15 years, creating an inclusive, biodiverse and climate resilient shoreline.
- 3.9 In advance of this, and to complement the wider regeneration that will take place on adjacent sites, an acquisition and subsequent lease allows 20 West Shore Road to be activated as an exciting meanwhile offering utilised to support community enterprise and activity. Together with the refurbishment of Granton Station building as a creative enterprise hub, this will help strengthen the vision to create Granton Waterfront as a place where people want to live, work, learn and visit.

4. Main report

- 4.1 An independent valuation of the property, undertaken on behalf of the Council, reported a figure of £1.15m. A subsequent building survey was instructed to provide a report on the condition of the property and costs for any essential works to the building to allow occupation.
- 4.2 The reports allowed a negotiation on the price. This has resulted in Heads of Terms being agreed, in principle, for a purchase as follows:-
- Subjects 20 West Shore Road, Granton, Edinburgh;
 - Purchaser: City of Edinburgh Council (General Fund);
 - Gross Purchase Price: £1.025m (plus LBTT);
 - Date of Entry: After purification of all suspensive conditions;
 - Conditions:
 - i) The Purchaser being satisfied with all technical information relating to the buildings/structures to remain on site;
 - ii) Finance and Resources Committee Approval;

- 4.3 To coincide with the proposed purchase, the Council, with the consent of the current occupier, undertook an advance marketing exercise to secure a tenant for the property. The intention being to mitigate the risk holding costs of the vacant property once the tenant interest was acquired.
- 4.4 Marketing details were prepared setting out key criteria and interested parties were asked, by a closing date, to set out proposals which addressed the following:
- Details of the proposed lease term, on a full repairing and insuring basis, and the proposed mechanism for paying a rent to the Council. Rental offers of in the region of £95,000 per annum were sought;
 - How the proposed use would address the Granton Vision for the property as a meanwhile use and how the property will be used as a creative space while the regeneration is taking place on adjacent sites; and
 - The way the community will be involved in the future use of the building.
- 4.5 At the closing date two proposals were received which were assessed by a panel of Council officers from the Granton Waterfront Project Team. The preferred submission which was deemed to best address the key criteria set out in the marketing details was that received from Edinburgh Palette.
- 4.6 The provisional terms for the lease to Edinburgh Palette are as follows:-
- Tenant Edinburgh Palette;
 - Rent £95,000 per annum;
 - Term 15-years from the date of entry;
 - Rent Free 12-month rent free period from date of entry;
 - Rent Review At 5-yearly intervals;
 - Use Creation of sustainable creative studio and business incubation space;
 - Repair Full repairing liability on the tenant.
- 4.7 Consequently although the Council will forgo the income from the ground lease of £23,300 per annum, the acquisition of the ground lease interest and proposed re-letting will allow a greater rental income to be received.

5. Next Steps

- 5.1 Subject to Committee approval, the legal documentation for the purchase of the ground lease and subsequent re letting of the property will be completed.

6. Financial impact

- 6.1 It is proposed to use borrowing to fund the purchase.
- 6.3 The capital cost of acquiring the ground lease interest totals £1.07m including LBTT and legal costs. This can be funded through borrowing serviced by the net rent generated from leasing the building to the proposed tenant. The borrowing costs for the purchase price equate to £72,000 per annum over a 20-year period.
- 6.4 The purchase of the ground lease will result in an immediate loss of income to the General Fund of £23,300 per annum. This will be offset by a higher rent on re letting the building once the acquisition is complete of £95,000 per annum with the increase in rent received enough to cover the current rent and the annual borrowing costs. There will be the possibility of increasing the rent at the review dates within the lease.

7. Stakeholder/Community Impact

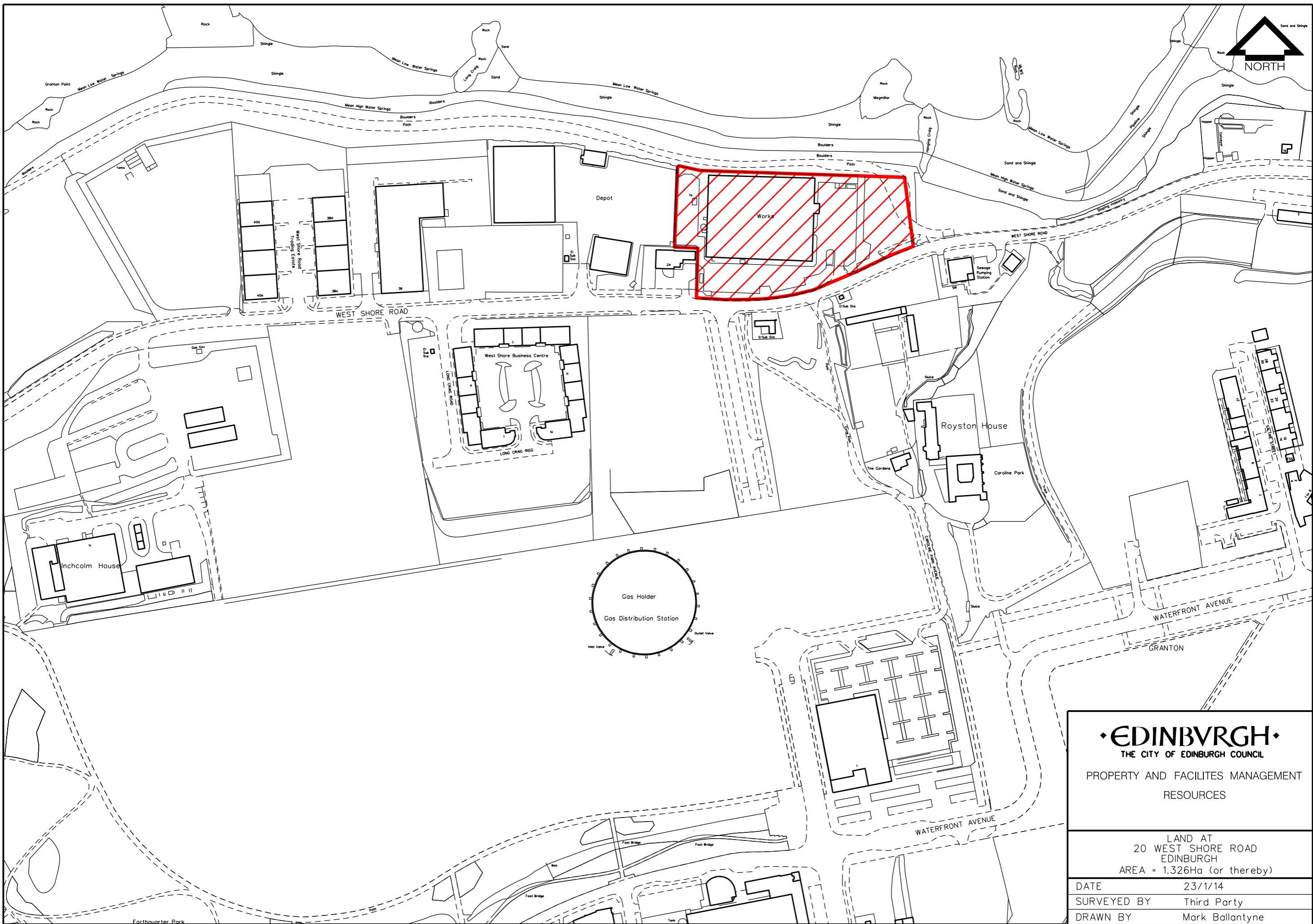
- 7.1 Ward members have been made aware of the recommendations of the report.

8. Background reading/external references

- 8.1 Report to Housing and Economy Committee 22 March 2018 - [Granton Waterfront Regeneration Strategy](#)
- 8.2 Report to Finance and Resources Committee 6 December 2019 - [Award of Contract – Project and Commercial Management Support for Granton Waterfront](#)
- 8.3 Report to Policy and Sustainability Committee - [Granton Waterfront – Leading the Way in Sustainable Development: Programme Delivery Plan](#)

9. Appendices

- 9.1 Appendix 1 – Location Plan



LOCATION PLAN

SCALE 1:2500

• EDINBURGH • THE CITY OF EDINBURGH COUNCIL	
PROPERTY AND FACILITIES MANAGEMENT RESOURCES	
LAND AT 20 WEST SHORE ROAD EDINBURGH AREA = 1.326Ha (or thereby)	
DATE	23/1/14
SURVEYED BY	Third Party
DRAWN BY	Mark Ballantyne
SCALE	1:2500 @ A3 SIZE
NEG. NO.	A3/1420a

THIS MAP IS REPRODUCED FROM ORDNANCE SURVEY MATERIAL WITH PERMISSION OF ORDNANCE SURVEY ON BEHALF OF THE CONTROLLER OF HER MAJESTY'S STATIONARY OFFICE CROWN COPYRIGHT. UNAUTHORISED REPRODUCTION INFRINGES CROWN COPYRIGHT LICENCE NUMBER 100023420. CITY OF EDINBURGH 2013 AND MAY LEAD TO PROSECUTION OR CIVIL PROCEEDINGS.

Finance and Resources Committee

10:00am, Thursday 20 May 2021

Hard Facilities Management Services Delivery Partners – Award of Contracts

Executive/routine Wards Council Commitments:	Executive All 2, 18, 25, 28 and 31
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1. Recommendations

1.1 That Committee:

- 1.1.1 Approves the award of two contracts, one with MITIE Technical Facilities Management Ltd and one with Skanska Construction UK Ltd to deliver Hard Facilities Management (FM) Services following a competitive procurement process to identify the most economically advantageous tenderers. The aggregate value of the contracts is estimated to be up to £18m per annum subject to the annual revenue budget setting process;
- 1.1.2 Notes that the period for each contract is for 7 years with the option to extend for a further 3 years subject to performance reviews; and,
- 1.1.3 Notes that existing contracts have been extended to 30 September 2021 to allow for the contract award process to take place and mobilisation of the successful tenderers to commence the new contracts on 1 October 2021.

Stephen S. Moir

Executive Director of Resources

Contact: Murdo MacLeod, Technical Operations Manager

Property and Facilities Management Division, Resources Directorate

E-mail: Murdo.macleod@edinburgh.gov.uk | Tel: 0131 529 4296

Hard Facilities Management Services Delivery Partners – Award of Contracts

2. Executive Summary

- 2.1 Following the outcome of a procurement process to identify the most economically advantageous tenderers, this report seeks approval to award contracts for the delivery of Hard Facilities Management Services to each of MITIE Technical Facilities Management Ltd and Skanska Construction UK Ltd for a total aggregate value of up to £18m per annum, subject to the annual revenue budget setting process for the Council. The contracts are for a period of 7 years with the option to extend for a further 3 years subject to satisfactory performance reviews.

3. Background

- 3.1 The Council has over 660 operational buildings and other non-operational assets such as statues and monuments etc across the estate covering approximately 670,000m². Each building and site have an ongoing requirement for Hard Facilities Management (FM) Services.
- 3.2 Hard FM Services is the collective term for repairs and maintenance which consists of:
- **Statutory inspections and certifications** – the mandatory inspections and maintenance of equipment to ensure legal compliance. For example, gas safety tests for boilers, cookers etc, fire alarm, fire suppression and emergency lighting, lifts and escalators, PAT, fixed wire tests etc;
 - **Reactive Repairs** - the repair or replacement of items when defective. Predominantly health and safety, wind and watertight or service provision requirements including structural concerns, leaking roofs, broken windows, defective heating etc; and
 - **Planned Preventative Maintenance (PPM)** – a programme to proactively inspect and maintain assets including clearing gutters and drainage systems, maintain windows, roofs, flooring, electrical and mechanical equipment etc. to prolong the asset lifecycle, maintain best performance and reduce risk.

- 3.3 The Hard FM Services requirements are currently delivered via a range of external contractors which was subject to competitive tender in 2013 and split into individual trade disciplines (Lots).
- 3.4 In 2018, the Property and Facilities Management Division (P&FM), in conjunction with Commercial and Procurement Services (CPS) Team, commenced a procurement process to transform the delivery of the service provision into a more streamlined, proactive and planned approach to be delivered by two principal Hard FM partners.
- 3.5 The re-procurement of the service was highly complex and required a significant volume of market engagement, stakeholder and end user consultation, scope and price modelling, contract drafting, data gathering, and analysis to ensure the creation of the most efficient and effective contract which meets the needs of the Council and also secures and demonstrates Best Value.
- 3.6 The existing contractors are currently contracted under an approved waiver to the Council's Contract Standing Orders which is due to expire, on 30 September 2021, when it is expected that the new contracts will be in place, and mobilisation of the new contracts commenced.

4. Main report

- 4.1 The Council's strategy to streamline to a more strategic procurement model will reduce provision of works and services to two principal Hard FM contractors based on current best industry practice, effective performance management and monitoring to enable the key maintenance strategy objectives of having a property estate of the following qualities:
- Well maintained, wind and watertight (through planned preventative maintenance with required reactive repairs);
 - Safe, accessible, and compliant with statutory legislation – make safety of building users the top priority;
 - Maintains and enhances asset values and protects capital investment delivered through the Asset Management Works Programme;
 - Delivers value for public funding;
 - Optimises maintenance and lifecycle spend;
 - Produces and maintains effective records and performance management/quality assurance information; and,
 - Enhances the Council's reputation as a leader in Hard FM services/ effective maintenance of core operational stock.
- 4.2 Through incorporation of industry best practice, the contracts will utilise SFG20 scheduling (maintenance tasks) and the NEC4 Term Service Contract (flexibility

and clarity) to promote collaboration, high quality service delivery, key performance and contract management and use of technology to transform the delivery of the services to meet the objectives above and the following procurement objectives:

- Contract management efficiencies by reduction to two principal contractors, enabling more effective performance management and monitoring;
- Collaborating and incentivising of the two principal contractors;
- Reduction in the number of reactive calls to the Help Desk;
- Reduction in the number of reported 'near misses';
- Improved performance management of response and rectification times;
- Strong community benefits/economic development opportunities created through apprenticeships and involvement of local SMEs; and,
- Improved sustainable working practices to be adopted by the contractors through use of reduced or more sustainable means of travel between work sites and the recycling of materials.

- 4.3 On 5 June 2019, a Prior Information Notice was published in the Official Journal of the European Union (OJEU) inviting interested Hard FM services providers to note interest and complete a questionnaire. The questionnaire secured responses in relation to market experience; capacity and available resources; innovation and technology; their views on comprehensive limits and performance management. Opinions and comment on the procurement process; route to market; award criteria; and term of contract were also requested.
- 4.4 This engagement confirmed that the Council's strategy was achievable and deliverable while cementing the decision-making process in relation to the form of contract which was to be utilised and the pricing strategy. As part of this engagement process, the Council also engaged with the incumbent contractors to ensure open communication in relation to the change in service delivery model and options in relation to the Transfer of Undertaking (Protection of Employment) Regulations 2006, also known as TUPE.
- 4.5 On conclusion of the market engagement, a Contract Notice was placed in the OJEU, on 7 October 2019, inviting those interested to submit a European Single Procurement Document (ESPD) to assess the tenderers' financial capacity, business probity, capacity, experience and organisational policies for fair work and environmental practices.
- 4.6 On 8 November 2019, 14 tenderers submitted an ESPD and following evaluation, seven contractors were invited to tender. The award criteria were outlined as 60% quality:40% price. This criterion was identified as the most appropriate due to the need for tenderers to provide the highest quality service at the most economical price.

- 4.7 Progress was hindered by the impact of the Covid pandemic, however, the Invitation to Tender was issued on 9 October 2020 and consisted of:
- A compilation of over 195,000 assets which were logged for scoping, pricing and monitoring purposes;
 - Assessment of the end to end process from works order to payment to identify operational improvements;
 - Validated asset information and property portfolio information for the operational estate;
 - A detailed and comprehensive service scope including mandatory community benefits and sustainability requirements;
 - SFG20 maintenance schedules; these are industry recognised best practice standards and were adapted to suit the Council's diverse estate;
 - Comprehensive information modelling and processes; and,
 - Key Performance Indicators with service credits to manage non-performance.
- 4.8 During the tender period, the tenderers participated in a 'Meet the Bidder' event webinar and several online meetings with potential sub-contractors to promote inclusion for SMEs and local suppliers into their supply chain for this specific opportunity. This event was managed in conjunction with the Supplier Development Programme and very positive feedback was received.
- 4.9 On 12 February 2021, all seven shortlisted tenderers returned their tender proposals. The first part of the process was for the evaluation panel to score the tenderers' quality submissions to a number of qualitative award criteria which is contained within Appendix 1. The tenderers also delivered their response to one element of the award criteria at a presentation to the evaluation panel which was also scored.
- 4.10 The quality analysis was scored using a 0 to 10 matrix. Following completion of the quality analysis, tenderers that passed the minimum threshold of 60% of the available quality marks and achieved a pre-set minimum score of 5 or above for each element were then subject to cost analysis. Two tenderers who did not meet these pre-set quality thresholds were rejected from the process at this point.
- 4.11 The 40% price was sub divided across the following financial elements: mobilisation; fixed cost for delivery of statutory compliance and planned preventative maintenance; a series of labour rates and mark up on materials; plant and out of hours working. There was also an opportunity for tenderers to submit profits and overheads percentages for future capital works projects should this be required by the Council during the duration of the contract.
- 4.12 All evaluated elements were combined to identify the two most economically advantageous tenderers. The tender outcome is detailed in the following table:

Tenderer	Cost Score	Quality Score	Overall Tender Score	Overall Rank
Mitie	40.00	46.05	86.05	1
Skanska	34.97	44.40	79.37	2
Bidder 3	29.82	43.80	73.62	3
Bidder 4	25.14	45.60	70.74	4
Bidder 5	25.62	42.45	68.07	5
Bidder 6	0.00	36.30	36.30	6
Bidder 7	0.00	35.40	35.40	7

- 4.13 Where organisations have a “0.00” score for price this is due to their quality bid failing to achieve the pre-set quality thresholds. Organisations failing to achieve the thresholds were not considered further for appointment and their price proposal was not reviewed.
- 4.14 As identified above, the tenderers who have submitted the most economically advantageous tenders are Mitie and Skanska and are therefore recommended for appointment.

5. Next Steps

- 5.1 Subject to approval of the recommendations in this report, the Council will commence a 10-day standstill period.
- 5.2 Subject to successful completion of the standstill period, the Council will award a contract to each of Mitie and Skanska, which will commence with a mobilisation period to start on 1 July 2021 for a planned period of 3 months.
- 5.3 The mobilisation period will consist of activities such as asset verification; Computer Aided Facilities Management (CAFM) integration; agreement of first year statutory compliance and planned preventative maintenance plan; stakeholder communications and engagement plan; onboarding of contract delivery team including sub-contractors and TUPE; and process and procedure implementation.
- 5.4 At the end of the mobilisation period, the successful contractors will commence full contract delivery on 1 October 2021.

6. Financial impact

- 6.1 The estimated aggregate contract value of up to £18m per annum consists of costs for delivery of statutory compliance and planned preventative maintenance and all required reactive maintenance to ensure the Council's estate is in a suitable condition to deliver frontline services.
- 6.2 The costs submitted by the successful tenderers have been assessed as securing Best Value to the Council and achieved efficiencies which will allow the allocated annual budget to deliver more for the same cost. It is expected that there will be a lower percentage saving at the outset of the contracts but will increase to up to a 20% efficiency as the service delivery is transformed in line with the contract scope and requirements. The efficiencies will be tracked and monitored by Corporate Finance on an annual basis.
- 6.3 The cost of the procurement exercise is estimated to be in the region of £200,000 which is inclusive of all internal and external technical resources and legal costs.

7. Stakeholder/Community Impact

- 7.1 The Project Team have conducted significant consultation and collaboration to ensure excellent benefits in relation to sustainability and impact on the City of Edinburgh including:
- working in collaboration with Sustainable Procurement Scotland to devise a specification focussed on a low carbon approach to delivery including a focus on circular economy, low/zero carbon transport methods and recycling – the tenderers have both committed to a fully electric fleet of vehicles for this contract by 2023 with 50% by day 1 of the contract commencement;
 - securing a commitment from both tenderers to sign up to the Council's Construction Charter which focuses on fair payment, training, ethical employment practices and high standards of Health and Safety;
 - securing a commitment from both tenderers for all parties engaged on the contract to be paid the real Living Wage;
 - securing community benefits which include the establishment of a Skills Academy focussed on providing training, apprenticeships and employment opportunities for long term unemployed – the tenderers have committed to 40 apprenticeships, 40 skills campaigns and 80 work experience placements across the lifetime of the contract. There will also be a £15,000 per annum fund for community sponsorship;
 - Improvement to processes and procedures to ensure a more enhanced customer experience for building users through improved technology and communication;

- Securing commitment from both tenderers to support Small to Medium Enterprises (SMEs) which includes conditions within the contract for an 85% minimum spend with SMEs within a 10-mile radius of the property and regular 'Meet the Bidder' events. The tenderers have also committed to the use of three social enterprises to be engaged in the delivery of the scope annually;
- Following review of the tender submissions, the pre-procurement SME events were successful as several sub-contractor attendees feature in the proposed contract delivery teams; and,
- The Project Team worked alongside Legal Advisors to create a contract which is 'future proofed' and contains appropriate conditions related to sub-contractor payment, financial distress, TUPE and poor performance penalties.

8. Background reading/external references

- 8.1 [March 2020 Extension to contracts Report](#)

9. Appendices

- 9.1 Appendix 1 – Summary of Tendering and Tender Evaluation Processes.

Appendix 1 – Summary of Tendering and Tender Evaluation Processes

Contract	Hard FM Services Delivery Partners	
Contract period (including any extensions)	7 years with the option to extend for 3 years	
Estimated Contract Value (including extensions)	Up to £180,000,000 subject to the annual budget setting process (over the maximum contract period of 10 years).	
Procurement Route Chosen	Competitive Procedure with Negotiation (Negotiation Period not utilised as felt content of the bids demonstrated best value at initial stage returns)	
Tenders Returned	7	
Name of Recommended Supplier(s)	MITIE Technical Facilities Management Ltd Skanska Construction UK Ltd	
Price / Quality Split	Price 40%	Quality 60%
Evaluation criteria and weightings and reasons for this approach	Price	40%
	Mobilisation	5%
	Statutory Compliance, Planned Preventative Maintenance	60%
	Labour Rates and Contract Mark Ups	35%

	Quality	60%
	Project Delivery Team	15%
	Contract Mobilisation	12.5%
	Delivery Approach and Methodology	17.5%
	Health and Safety	5%
	Collaboration, Vision and Relationship Management (written)	5%
	Collaboration, Vision and Relationship Management (presentation)	5%
	Procurement and Sub-Contractor Accreditation Process	5%
	Community Benefits	5%
	The Environment	5%
	Business Continuity and Resilience	5%
	Fair Work Practices	5%
	Information Technology	10%
	Terms and Conditions	5%
Evaluation Team	Evaluated by Technical officers from Property and Facilities Management and external expert advisors	

Finance and Resources Committee

10.00 a.m., Thursday 20 May 2021

Waiver Extension – Building Energy Management System (BEMS)

Item no	
Executive	Executive
Wards All	All
Council Commitments	

1. Recommendations

1.1 That the Finance and Resources Committee:

- 1.1.1 Notes the contract extension for the BEMS services awarded to TESGL Limited until 30 September 2021, through a waiver of the Contract Standing Orders, at an estimated total cost of £250,000. This contract extension was awarded as an urgent decision in accordance with section 4.1 of the Council’s Committee Terms of Reference and Delegated Functions by the Executive Director of Resources, in consultation with the Convenor and Vice Convenor of Finance and Resources; and,
- 1.1.2 Approves a further 3-month extension of the contract from 1 October 2021 until 31 December 2021, at an estimated value of £125,000, to enable sufficient time for the procurement of the replacement service.

Stephen S. Moir

Executive Director of Resources

Contact: Robert Boyd, Engineering Services Manager (Facilities Management)

Property and Facilities Management Division, Resources Directorate

E-mail: robert.boyd@edinburgh.gov.uk Tel: 0131 529 5284

Waiver Extension – Building Energy Management Systems (BEMS)

2. Executive Summary

- 2.1 This report notes the contract extension for the BEMS services, which was awarded to TESGL Limited, through a waiver of the Contract Standing Orders, to run until 30 September 2021, at an estimated value of £250,000. This contract extension was awarded as an urgent decision in accordance with section 4.1 of the Council's Committee Terms of Reference and Scheme of Delegation, the Executive Director of Resources having taken that decision in consultation with Convenor and Vice-Convenor of the Committee, subject to it being reported to the next available meeting of this Committee.
- 2.2 The report also seeks approval for a further 3-month extension of the contract, from 1 October 2021 until 31 December 2021, at an estimated value £125,000. This is to allow sufficient time for the procurement of the replacement service to be concluded.

3. Background

- 3.1 TESGL Limited have supplied the Council's Building Energy Management System (BEMS) solution since 13 April 2016. This ensures the functionality of Automatic Controls Systems (ACS) primarily those pertaining to Heating, Ventilation and Air Conditioning (HVAC) systems within buildings across the Council's estate.
- 3.2 The contract with TESGL Limited expired in August 2020, but the procurement exercise to retender the contract has been delayed due to the impact of the Covid-19 pandemic. The contract was extended until 31 March 2021 through a waiver of the Contract Standing Orders and extended again under delegated authority until 30 September 2021 through a waiver of the Contract Standing Orders, at an estimated value of £250,000. The contract extension was awarded as an urgent decision in accordance with section 4.1 of the Council's Committee Terms of Reference and Scheme of Delegation, with the Executive Director of Resources having taken that decision in consultation with Convenor and Vice-Convenor of Finance and Resources, subject to it being reported to the next available meeting of this Committee.

4. Main report

- 4.1 The contract is operated across the Council's operational estate, inclusive of schools and care homes, including assurance of supply in order to maintain energy (heat and electricity) and avoid ventilation and water issues (Legionella).
- 4.2 The extension will allow for changes to the way in which BEMS is tendered allowing for integration with the new hard Facilities Management (FM) contract and Computer Aided Facilities Management (CAFM) integration, increasing estate awareness and control, whilst maximising the FM strategy. The new hard FM contract is subject to a separate report on the Committee agenda.
- 4.3 The additional time will enable investigation into the existing hardware, to implement changes to the procurement approach, contingency timing for the procurement process and to allow time for a managed transition to a new supplier, if necessary.
- 4.4 The process for tendering this service is currently under way and it is anticipated that a new supplier will be in place by 31 December 2021. Consequently, a further 3-month extension to the decision taken under delegated authority is required, at an estimated value of £125,000, to enable the retendering exercise to complete.
- 4.5 If the extension is not awarded there would be a detrimental impact upon the ability to manage the energy usage and air and water quality and would place a risk on the safe operation of properties across the estate.

5. Next Steps

- 5.1 Subject to approval, the existing extension to the contract with the supplier is due to end on 31 December 2021, and the tender exercise for the new contract has already commenced.

6. Financial impact

- 6.1 The estimated value of the proposed extension, from 1 April until 31 December 2021, is £375,000.
- 6.2 This waiver represents an increased risk of challenge within what is a competitive market; however, this is mitigated by the intention to use the extension period to undertake a tender exercise, which will permit other potential suppliers to come forward for consideration.

7. Stakeholder/Community Impact

- 7.1 Not applicable

8. Background reading/external references

8.1 None.

9. Appendices

9.1 None.

Finance and Resources Committee

10.00am, Thursday 20 May 2021

Local Government Pension Scheme - Employer Discretions Policy Statement

Executive/routine Wards Council Commitments	Executive
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1. Recommendations

- 1.1 It is recommended that the Finance and Resources Committee:
 - 1.1.1 Approves the Employer Discretions Policy Statement within this report
 - 1.1.2 Note the inclusion of Regulation 17(1), TP15(1)(d) and A25(3), Shared Cost Additional Voluntary Contributions.

Stephen S. Moir

Executive Director of Resources

Contact: Hugh Dunn, Head of Finance,

Finance Division, Resources Directorate

E-mail: hugh.dunn@edinburgh.gov.uk | Tel: 0131 469 3150

Local Government Pension Scheme – Employer Discretions Policy Statement

2. Executive Summary

- 2.1 The employer discretions have all been updated as per the Local Government Pension Scheme (Scotland) Regulations 2018.
- 2.4 In addition to the regulations being updated, the Council will include the Non-Compulsory Discretion, Regulation 17(1), TP15(1)(d) and A25(3), Shared Cost Additional Voluntary Contributions.

3. Background

- 3.1 Under Regulation 58 of the Local Government Pension Scheme (Scotland) Regulations 2018, each employer that is a member of the Local Government Pension Scheme is required to have an employer discretions policy statement covering the various discretions that are contained in the regulations.

4. Main report

- 4.1 The Council's Employer Discretions Policy Statement has been updated following advice from the Local Government Pension Scheme, all discretions have been updated in accordance with legislation.
- 4.2 This Employer Discretions Policy Statement sets out which of the discretions the Council intends to adopt and how it will operate them.
- 4.3 All discretions, both compulsory and non-compulsory, have been updated to reflect the guidance from the Local Government Pension Scheme (Scotland) Regulations 2018.
- 4.4 Regulation 17(1) allows for a Shared Cost Additional Voluntary Contribution (AVC) scheme to be implemented and the Council will now include this regulation.
- 4.5 This regulation is only available to colleagues who are part of the Local Government Pension Scheme as a result of a change in Local Government Scheme Regulations to promote pension savings in Scotland.

- 4.6 The main advantage of Shared Cost AVCs over a standard AVC option is that as well as receiving full Income Tax savings, colleagues will not pay National Insurance Contributions (NICs) on the amount of pay that they have sacrificed.
- 4.7 The Council will also benefit from National Insurance Contribution (NIC) savings and Apprenticeship Levy savings (where applicable) on the total amount of salary sacrifice.

5. Next Steps

- 5.1 Subject to committee approval, the Council will implement the Discretions Policy Statement.

6. Financial impact

- 6.1 There is no material impact of this Policy Statement being implemented.

7. Stakeholder/Community Impact

- 7.1 The Employer Discretions Policy Statement has been developed in conjunction with colleagues from HR and Lothian Pension Fund and with feedback from Trade Unions.

8. Background reading/external references

- 8.1 None

9. Appendices

- 9.1 Appendix 1 - Discretions Policy Statement

Employer Discretions Policy Statement

Under Regulation 58 of the Local Government Pension Scheme (Scotland) Regulations 2018, each employer who is a member of the Local Government Pension Scheme is required to have a discretions policy statement covering the various discretions that are contained in the regulations.

This Employer Discretions Policy Statement sets out which of the discretions the council intends to adopt and how it will operate them. When coming to a decision about the discretions that are available, the main consideration has been how the use of a discretion would look to the general public, in terms of whether it could lead to a serious loss of confidence in the council as a publicly funded body.

Author	Scope
Employee Relations, Human Resources, Resources Directorate	This policy applies to all Council colleagues who are members of the Local Government Pension Scheme.
Purpose	Review
Some of the statements are compulsory, in that every member of the Local Government Pensions Scheme must publish their intentions towards some discretions. Others are optional. The Employer Discretions Policy Statement groups the compulsory and non-compulsory discretions together under separate headings, for ease of reference.	<p>In making this Employer Discretions Policy Statement, the Council has referred to the statutory provisions and to advice from the Council as the Pension Scheme administering authority.</p> <p>The employer discretions policy statement will be kept under review and will be revised as and when necessary to reflect any changes in regulations or policy. Any changes to this discretion policy will be advised to the administering authority and scheme members within one month of the change taking effect.</p>

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1. Compulsory Discretions

Additional Pension Contributions (APC's)

(Regulation 16(2)(e) & 16(4)(d) of the Local Government Pension Scheme (Scotland) Regulations 2018)

This regulation deals with employees buying **additional** pension contributions to increase their pension. Employees can choose to buy additional pension up to an agreed limit, which is subject to annual increase in line with the Pensions (Increase) Act 1971 (£7,040, figure correct as at 12 April 2021). Pension contributions like this are called Additional Pension Contributions (APCs).

The Regulations allow the Council to pay the associated employer costs, where an employee has chosen to buy additional pension. Given that this is an extra cost to the Council, and APCs are additional pension beyond the standard pension available to all employees, the Council's Policy is not to enter into Shared Cost APC's to increase employees' pensions.

How it works

The regulations allow employers to enter voluntarily into an APC contract with a pension member who is contributing to the main section of the scheme, in order to purchase additional pension of not more than the additional pension limit.

The scheme member can choose to make their additional pension contributions in regular instalments (in accordance with Regulation 16(2)(e) or as a lump sum in accordance with Regulation 16(4)(d).

Employees looking for more information about APC's should contact Lothian Pension Fund in the first instance.

Council Policy:

*The Council's policy on this is **not** to enter into Shared Cost APCs with employees who wish to increase their pension because of the additional employer costs.*

Flexible Retirement

(Regulation 29(7) of the Local Government Pension Scheme (Scotland) Regulations 2018)

Flexible retirement is where employees, who are pension members and are aged 55 or over, can ask the Council to allow them to access their pension benefits while agreeing to work either reduced hours and/or at a lower grade.

Approval will be subject to it being shown that the request is operationally beneficial, will result in a clear business benefit to the Council and the costs are affordable and can be met.

How it works

When pension members take flexible retirement, they must take all the pension benefits they have accrued in respect of membership before 1 April 2009.

For pension accrued from 1 April 2009, members can decide to:

- take all, part or none of the benefits in respect of membership from 1 April 2009 onwards;
- take any additional benefits such as added years contracts, additional pension contracts (APCs), additional voluntary contributions (AVC's) or additional pension or membership awarded by the employer.

Where they decide to take part or none of the pension they have accrued since 2009, they will get access to that once they retire.

If the rule of 85 applies, there may still be some actuarial reduction to the member's pension. This will depend on when the member joined the LGPS and other variables.

Where there is an actuarial reduction, the regulations give the Council the option to waive the reduction, but this would result in the Council having to meet that cost. The Council does **not** have a general policy of waiving any actuarial reductions.

Council Policy:

The Council has adopted this regulation and details of our flexible retirement scheme can be found in the Retirement Policy.

Waiving actuarial reduction on early retirement between aged 55 and 60.

(Regulation 29(9) of the Local Government Pension Scheme (Scotland) Regulations 2018)

Any scheme member can ask for the early payment of their pension benefits, providing they are aged between 55 and 60. However, the benefits may be reduced for early payment.

The Council allows employees to request early retirement under the Retirement Policy.

The Council does have the discretion to waive the reduction that would apply. However, doing so would mean the Council would be liable to cover the pension strain costs that would apply. Therefore, the Council **has not adopted** this discretion.

Council Policy:

*The Council **will not waive** any reduction which would normally be applied to the member's benefits.*

Choice of Early Payment of Pension

Schedule 2 (Paragraphs 2 & 3 of the Local Government Pension Scheme (Transitional Provisions and Savings) (Scotland) Regulations 2014.

This regulation deals with applying the rule of 85 to employees retiring early under Regulation 29 (5) between age 55 and 60.

The rule of 85 does not automatically apply to members who voluntarily retire and take their pension benefits on or after age 55 and before age 60 (except in cases of flexible retirement). As a result, the member's benefits may be actuarially reduced.

How it works

The new regulations allow the Council the discretion to apply the 85 year rule protections to avoid pension members having their benefits reduced. There is also the option of waiving part of the actuarial reduction. If the Council agreed to do this, the Council would then have to meet the pension strain costs. For this reason, the Council has chosen not to adopt this discretion.

Council Policy:

*The Council will **not** have a general policy of applying the Rule of 85 in cases where early retirement is agreed. Nor will the Council waive any reduction that would normally be applied to the benefits.*

Award of Additional Pension

(Regulation 30 of the Local Government Pension Scheme (Scotland) Regulations 2018.

This regulation allows employers to award current members up to £5,417 additional pension. Employers can also make an award to former employees whose employment was terminated on the grounds of redundancy or the interest of efficiency, provided they do this within 6 months of the employee leaving.

The Council may consider written requests on their individual merits, where there is a financial or operational advantage to the Council and will consider individual cases on their merits.

How it works

An employer may award a member additional pension which would become payable from the same date as the member's normal pension. The maximum extra pension which can be awarded is £5,417. Such awards can be made to current members or, within 6 months of leaving, to members whose employment was terminated on the grounds of redundancy or the interest of efficiency. The employer must make an appropriate payment into the fund within one month of making a decision.

The figure of £5,417 will be increased annually each April (figure correct as at 12 April 2021) under the Pension (Increase) Act 1971.

Council Policy:

*The Council will **not** have a general policy of awarding additional pension.*

Voluntary Early Retirement between the ages of 55 and 60

(Regulation 30 of the Local Government Pension Scheme (Benefits, Membership and Contributions) (Scotland) Regulations 2008) – Former Employees

This regulation deals with former employees of the Council who were members of Lothian Pension Fund, who are covered by the 2008 regulations and who want to access their pension early.

It applies to former employees with deferred benefits who left the Scheme before 1 April 2015. The Scheme Regulations allows former members to obtain access to their deferred benefits early provided they are at least 55 years old. Benefits would be reduced for early payment of pension. The amount of the reduction depends on the extent of the protection applicable to the member in respect of the 'Rule of 85'. The reduction is calculated in accordance with guidance issued by the Government Actuary's department.

Decisions to award early payment of benefits under this regulation put a strain on the pension fund, which results in a pension strain cost being passed on to the Council. However, the Council has the discretion to agree where it could be demonstrated that there were financial or operational benefits in doing so.

How it works

Any scheme member aged 55 or over, who has left their employment, can ask for the early payment of pension benefits. If the member is under age 60, it is at the Council's discretion whether to agree to early payment. (This discretion may also apply to former members with deferred pension rights when they attain age 50, depending on when they originally joined Lothian Pension Fund).

If the Council does agree, it can then go on to consider whether any actuarial reduction should be made. Regulation 30(5), states that where compassionate grounds exist, the Council could agree that a scheme member's benefits should not be reduced. The Council will only waive any actuarial reduction applied to the member's benefits in exceptional cases of hardship.

Council Policy:

- *The Council will **not** have a general early release policy for former employees but will consider applications on their merits. The Council may agree, where it can be demonstrated as being in the Council's financial or operational interests.*
- *The Council will only waive any actuarial reduction applied to the member's benefits in exceptional cases of hardship.*

2. Non-Compulsory Discretions

Shared Cost AVC's

(Regulation R17(1) & TP15(1)(d) & A25(3) of the Local Government Pension Scheme (Scotland) Regulations 2018)

The Council will pay Shared Cost AVC contributions where an employee has elected to pay AVCs by salary sacrifice. The amount of these employer Shared Cost AVC contributions will not exceed the amount of salary sacrificed by the employee. This is an employer discretion which is subject to the employee meeting the conditions for acceptance into the salary sacrifice shared cost AVC scheme and may be withdrawn or changed at any time.

How it works

Shared Cost AVCs must be operated on a 'shared cost' basis. Employees will be required to contribute a minimum of £1 per month into their pension. This Income Tax-free contribution will be deducted from their salary and paid into their AVC fund. The Council will contribute the remaining via a salary sacrifice arrangement.

As an example, if an employee would like to contribute £50 per month into the Shared Cost AVC scheme, £49 would be contributed via salary sacrifice with £1 being their personal Shared Cost AVC contribution taken as a gross deduction.

The main advantage of Shared Cost AVCs over a standard AVC option is that as well as receiving full Income Tax savings, employees will not pay National Insurance Contributions (NICs) on the amount of pay that they have sacrificed.

The Council will also save on the National Insurance Contributions (NICs) that employees have sacrificed.

Council Policy:

The Council has adopted this regulation.

Forfeiture of pension rights after conviction for employment-related offences

(Regulation 86 of the Local Government Pension Scheme (Scotland) Regulations 2018)

This regulation deals with current employees, who are members of the Local Government Pension Scheme, and are convicted of serious offences. In these circumstances, the Council can apply to the Scottish Ministers to forfeit all or part of a scheme member's pension benefits. This would only

apply in cases where the conviction was for a serious offence which was either 'gravely injurious to the State' or 'liable to lead to serious loss of confidence in the public service'.

It is recommended by Lothian Pension Fund that all employers adopt this provision.

Council Policy:

The Council reserves the right to exercise this discretion, should the need arise, in the interest of maintaining confidence in the public service.

Recovery or retention where former member has misconduct obligation

(Regulation 87 of the Local Government Pension Scheme (Scotland) Regulations 2018)

This regulation deals with situations where the Council suffers a loss arising from a criminal, negligent or fraudulent act by an employee or a former employee. This provision allows the Council to recover funds to cover that loss from the former employee's pension benefits, providing that all other efforts to recover the loss have been exhausted.

How it works

This provision allows employers to recover monies from pension benefits in respect of acts of theft or fraud carried out by an employee. For example, the theft of a substantial sum of money could be recovered from a scheme member's pension benefits. This provision can also apply to former employees by deducting this amount from a member's pension, so they only receive the reduced pension when they retire. It is recommended by the Lothian Government Pension Scheme that all employers adopt this provision.

Council Policy:

The Council reserves the right to exercise this discretion, should the need arise, in the interest of maintaining confidence in the public service.

Inward transfer of pension rights

(Regulation 95 of the Local Government Pension Scheme (Scotland) Regulations 2018)

This covers cases where new employees to the Council want to transfer service accrued with other pension funds to the Lothian Pension Fund. Lothian Pension Fund does not, and will not, permit the inward transfer of pension rights from private sector pension schemes or personal pension arrangements.

The Scheme Regulations allow members to transfer previous pension rights into the Local Government Pension Scheme. The Regulations state that all transfers must be requested within **12 months** of the member joining the scheme. However, employers and administering authorities have the discretion to allow transfers to proceed after this time-limit has expired.

Allowing late transfers results in a cost to the Council. This will be a particular consideration if there is a possibility that early retirement may be considered in the future, as such an increase in liabilities could give rise to increased strain on Fund costs.

How it works

Employees can apply and the Council will consider individual applications for late transfers on their merits and may, in agreement with Lothian Pension Fund, exercise discretion to allow a late transfer to proceed where there is no financial impact on either the Council or Lothian Pension Fund and/or if there are extenuating circumstances as to why the member did not request the transfer previously.

Council Policy:

*The Council will **not** have a general policy of allowing late transfers to proceed in respect of the inward transfer of pension rights from schemes that the Lothian Pension Fund recognises.*

Member Contributions

(Regulation 9(4) of the Local Government Pension Scheme (Scotland) Regulations 2018)

This regulation covers cases where employees move to a different pay band during the financial year, which would result in a change to their pension contributions. Under this regulation, the Council may adjust a member's contribution rate during the financial year if their pay changes.

How it works

Employers have to allocate members into the appropriate contribution bands annually. If a member's pay moves into a different band during a financial year, the employer has discretion to implement the new band immediately but may prefer to wait until the next annual review.

Council Policy:

The Council reserves the right to exercise this discretion should the need arise providing that a consistent approach is taken, in the interest of maintaining confidence in the public service.

Additional pension contributions

(Regulation 16(16) of the Local Government Pension Scheme (Scotland) Regulation 2018)

This covers cases where employees have a gap in their contributions following an agreed period of absence from the Council.

Under this regulation employees must make a written request to the Council to buy back lost pension within 30 days of returning to work. If they decide to do so the cost of buying back the lost pension will be shared with the employer. The Regulations give the employer discretion to extend the 30-day time limit.

How it works

Where an employee decides to buy back missed pension contributions within 30 days of returning to work, the employer **MUST** pay the associated employer costs. There is no discretion around this. The Regulations are quite clear that the employer must meet the costs if the employee's request is made within the 30-day deadline. The mechanism for these payments is a Shared Cost Additional Pension Contract.

Council Policy:

*Employees who have gaps in their pension contributions due to agreed unpaid leave can choose to buy back the missing element. They must decide to do this within 30 days of returning to work. The Council will **not** generally agree to extend the 30-day time limit, but may do so exceptionally, where an employee provides evidence of extenuating circumstances.*

Discretionary Payments

(The Local Government (Discretionary Payments and Injury Benefits) (Scotland) Regulations 1998 and the Local Government (Discretionary Payments and Injury Benefits) (Scotland) Amendment Regulations 2008)

The Discretionary Payments and Injury Benefits Regulations allow employers, such as the Council to make discretionary payments to employees, who may also get access to their pension at the same time, in relation to:

- Injury Allowances;
- Redundancy payments;
- Awarding compensatory added years; and
- Gratuities for non-pensionable service.

Under regulation 51A, the Council must formulate and publish a policy in relation to:

- **Regulation 4:** basing redundancy payments on an actual weeks pay where this exceeds the statutory weeks pay limit;
- **Regulation 35:** awarding compensation for redundancy payment of up to 104 weeks pay;
- **Regulation 8:** awarding compensatory added years; and
- **Regulation 49B:** ill-health gratuities.

It is up to each employer to consider how to deal with these discretions within the context of its own policies on severance, redundancy and early retirement.

In considering how it makes these payments, all employer members of the Local Government Pension Scheme must have regard to the extent to which the exercise of their discretionary powers, unless properly limited, could lead to a serious loss of confidence in the public service. All employer members are urged to ensure that they are satisfied that the policy is workable, affordable and reasonable having regard to the foreseeable costs.

Calculation of Severance and Redundancy Payments

The Council's method of calculating severance and redundancy payments can be found in the Councils' Managing Change policy and user guide. Employees who do not have access to the internet should ask their line manager for a copy. Details of the process and the cost/savings test can also be found there.

Added Years with Early Access to Pension

The Council will **not** have a general policy of awarding compensatory added years (CAY) in redundancy cases where the employee is also getting access to their pension.

The Council will consider each individual case on its merits and have regard to the operational benefits, the affordability of the proposal and the extent to which the case meets the Council's cost/saving test and provides a financial benefit of 25% of basic annual pay.

Where added years are agreed, the employee's redundancy payment will not be enhanced i.e. it will be based on the statutory weeks' pay limit multiplied by the statutory number of weeks.

The level of added years to be awarded in each case is determined by the statutory conditions and the local conditions applied by the City of Edinburgh Council which:

- i) limit added years to one added year for every two years of Pension Scheme service; and
- ii) limit the maximum award of added years to 5 years.

Added years will be reduced where that is necessary to ensure the required financial benefit is provided.

These local conditions will apply to voluntary severance/ redundancies and compulsory redundancies. An employee does **not** have the right to have an application for added years considered or approved.

Ill-Health Gratuities

Regulation 49B allows the Council to make discretionary payments to employees who leave on the grounds capability but who do not meet the criteria for ill-health retiral, either in terms of length of pension membership or the medical criteria for ill-health retiral. In these circumstances, the Council has the discretion to make a payment of not more than the equivalent of 30 weeks pay.

Given the cost of this, the Council will not pay ill health gratuities in these circumstances.

Finance and Resources Committee

10.00am, Thursday 20 May 2021

Workforce Dashboard

Item number	
Executive/routine	Routine
Wards	All
Council Commitments	

1. Recommendations

- 1.1 The Committee is recommended to review and note the workforce information contained in the dashboard.

Stephen S. Moir

Executive Director of Resources

Contact: Katy Miller, Head of Human Resources,
Human Resources Division, Resources Directorate

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

Workforce Dashboard

2. Executive Summary

- 2.1 This report provides a summary of workforce metrics for the core and flexible workforce, absence, transformation/redeployment, risk, and performance, for the period of February 2021.

3. Background

- 3.1 Comparison is made to the previous dashboard reporting period, January 2021.

4. Main report

- 4.1 The attached dashboard (Appendix 1) provides workforce information on:
- the number of Full Time Equivalent (FTE) staff employed by the Council, the type of contract they are employed through and the turnover of new starts and leavers;
 - trends on absence rates, including the top five reasons for short and long-term absence;
 - the cost of the pay bill, including the cost associated with new starters and leavers;
 - insight relating to our performance framework (launched April 2017) including the percentage of annual conversations carried out.
 - the number of VERA/VR leavers and associated cumulative budget savings; and
 - the number of redeployees and associated costs.
 - Learning and Development digital and face to face satisfaction rates and event numbers.

Core Workforce

- 4.2 All Figures referred to are contained in Appendix 3.
- 4.3 Our core workforce decreased this period by 22 FTE to 14,924 FTE (reflecting an increase in all areas except in Communities and Families which showed a decrease), and the basic salary pay bill decreased by £1.4 m to £463.1m. Workforce FTE and pay bill trends are shown in **Figures 1 and 2**.
- 4.4 **Figure 3** shows the change in FTE for the Local Government Employee (LGE), Teaching, Chief Official and Craft Apprentice groups between January 2021 and February 2021.
- 4.5 **Figure 4** shows the change in Directorate FTE between January 2021 and February 2021.
- 4.6 Permanent contracts decreased by 106 FTE, Fixed Term Contracts (FTCs) increased by 10 FTE, acting up and secondment contracts increased by 75 FTE and apprentice/trainee contracts decreased by 1.
- 4.7 The annual cost of permanent contracts decreased by £1.4m and FTCs increased by £235k. The cost of acting up and secondment arrangements decreased by £131k, and the cost of apprentices/trainees reduced by £16k.
- 4.8 The cost of organisation new starts was £1.7m and the cost of leavers was £1.3m.
- 4.9 The spend on Working Time Payments (WTPs) saw little change at £715 K.
- 4.10 **Figure 5** shows longer term Local Government Employee workforce change, between June 2015 and February 2021 (i.e. before and after Transformation).

Flexible Workforce

- 4.11 In the period, this workforce was equivalent to approximately 874 FTE. The associated costs for this period decreased by £0.1m to £2.8m. (**Figure 6**).
- 4.12 The spend on the agency workforce decreased by £300k and cost the organisation £1.23m in the period. Of the total spend, 91% is attributable to the primary and secondary agency suppliers, whilst 9% relates to off-contract spend. The agency workforce this period was the equivalent of 423 FTE, with an average monthly workforce of 509 FTE (12-month average).
- 4.13 The agency cost trend is shown in **Figure 7**. Note that month on month agency cost fluctuation can be linked to the nature of the billing process.
- 4.14 The casual/supply workforce spend decreased by £171K this period to £426K. The decrease is primarily due to decreased supply workers in the Communities and Families Directorate. The casual/supply workforce this period was the equivalent of 205 FTE, with an average monthly workforce of 319 FTE (12-month average). The casual/supply cost trend is shown in **Figure 8**.
- 4.15 The total cost of overtime increased by £303K this period to £1.14m. A breakdown of the spend by overtime "type" is detailed in **Figures 9 and 10**. Around 29% of the spend was made at the enhanced overtime rate; 39% was paid for call outs and 21% was paid at the public holiday rate (payment made in arrears for public

holidays in January/December); 6% was paid at plain time and 5% related to contractual overtime. The overtime/additional hours worked this period was the equivalent of 247 FTE, with an average monthly workforce of 194 FTE (12-month average, callout hours excluded from FTE reporting). The overtime cost trend is shown in **Figure 11**.

Displaced Workforce

- 4.16 The total number of employees on the redeployment register has decreased by two since the last period. Of the 26 employees currently displaced; 1 is a leaving on VR, 16 have now been temporarily redeployed and 9 are not currently redeployed into a temporary solution but are carrying out meaningful work in their former service area. The funding arrangements for the total displaced FTE is as follows; 14.4 FTE are corporately funded; 7.4 FTE are funded by their service and 2.0 FTE are funded externally.
- 4.17 Of those corporately funded; 1.0 FTE is a planned leaver, 4.8 FTE are currently redeployed and 8.6 FTE are not currently redeployed. 11.8 FTE of the corporately funded FTE have been on the redeployment register for longer than 12 months and 2.6 FTE has been added to the redeployment register within 6 months.

Absence

- 4.18 In the period the monthly absence rate (reflecting days lost to absence in February 2021) increased from 4.00% (January 2021) to 4.05% (see **Figures 12, 13 and 14**). These figures exclude COVID related absence.
- 4.19 The rolling absence rate for the organisation for the 18/19 year was 5.18%, reflecting 168K working days lost to absence in the period (approx. 748 FTE) (see **Figures 15 and 16**). The rolling absence rate for the organisation for the 19/20 year was 5.28%, reflecting 170K working days lost to absence in the period (approx. 756 FTE). Comparison of the 18/19 and 19/20 rolling rate demonstrates an overall increase in organisation absence in the last 12 months.

Case Management

- 4.20 There are currently 185 open high-risk cases (Appendix 4).
- 4.21 The necessity for an ongoing precautionary suspension (currently 17 colleagues) is reviewed on a monthly basis by the Nominated Officer, the ongoing direct cost of those suspended is circa £197K.

Learning and Development

Utilisation

- 4.22 In February the number of unique digital modules launched increased by over 100%, from 5059 in January to 11760.
- 4.23 Satisfaction rates have remained largely consistent with January, in both the excellent and good categories for digital and in-person learning.

5. Next Steps

- 5.1 To continue to monitor appropriate workforce data to evidence that the Council is on track to achieve targeted workforce controls and budget savings.

6. Financial impact

- 6.1 The achievement of agreed £39.2m savings through voluntary redundancy.
- 6.2 Salary costs for employees on redeployment (particularly those not redeployed).
- 6.3 Opportunity cost of lost working time due to sickness absence.
- 6.4 Agency, Overtime/Additional Hours expenditure.

7. Stakeholder/Community Impact

- 7.1 Stakeholder consultation and engagement, including senior management teams, Trade Unions and elected members, is ongoing.

8. Background reading/external references

- 8.1 Workforce Control Report and Dashboard to Corporate Leadership Team on 13 January 2021.

9. Appendices

Appendix 1: Corporate Leadership Team Workforce Dashboard

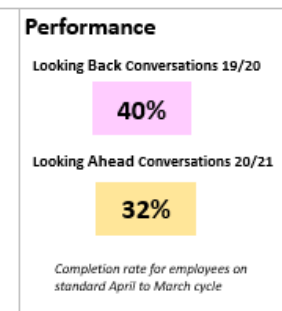
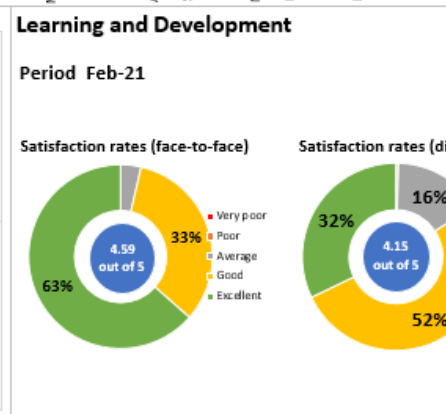
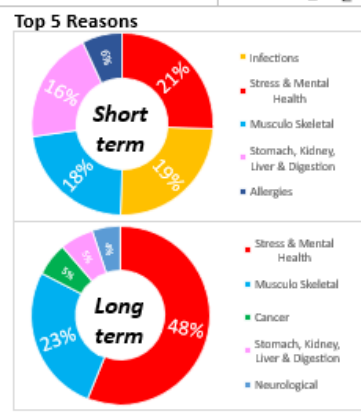
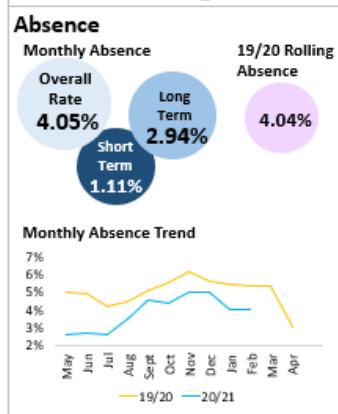
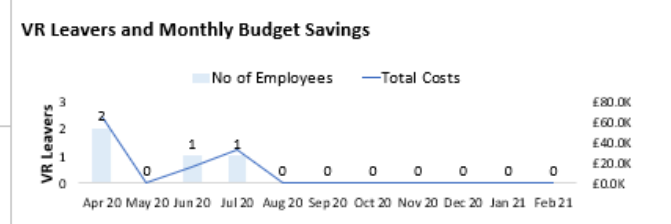
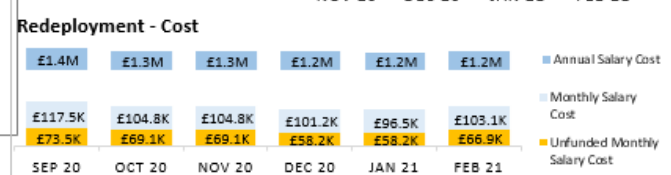
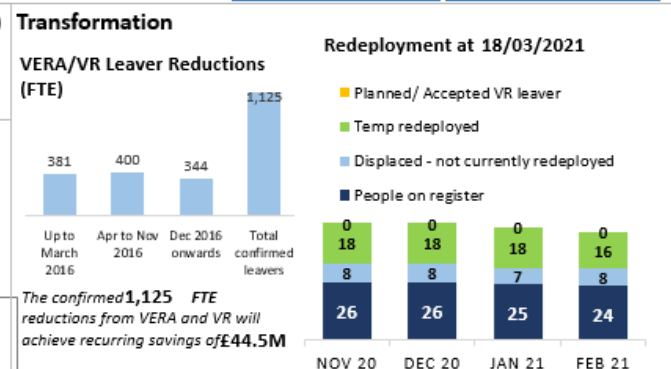
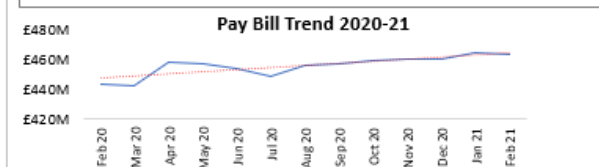
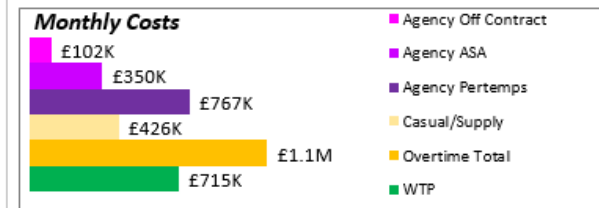
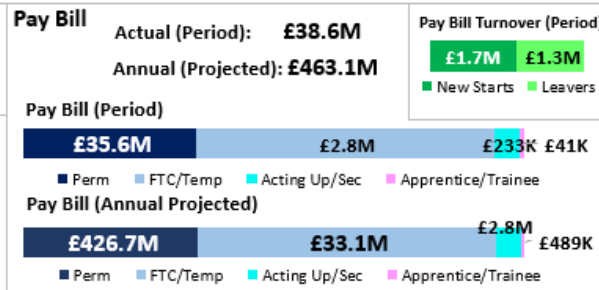
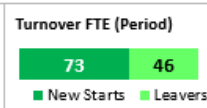
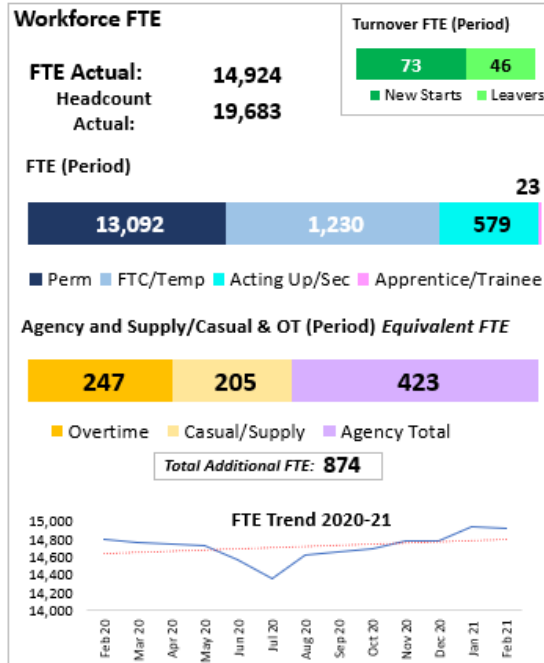
Appendix 2: Corporate Leadership Team Workforce Dashboard Glossary

Appendix 3: Workforce Management Information and Trends

Appendix 4: Case Management statistics

Appendix 1: Corporate Leadership Team Workforce Dashboard

Period: Feb 21 Issued: 7 Apr '21



Appendix 2: Corporate Leadership Team Workforce Dashboard Glossary

Workforce FTE

FTE Actual: Sum of FTE for all staff on CEC payroll
Count of total contracts/positions is not reported here

Headcount Actual: Total number of individual employees on CEC payroll

FTE (Period)

Breakdown of FTE by contract type for all staff on CEC payroll. A snapshot taken on 25th of each month (post 2nd payroll calc to capture all contractual changes, leavers etc). New starts after 1st of month are removed and included in the next month's FTE analysis. This methodology enables better syncing of workforce FTE data and new start/leaver data.

Additional FTE* (Period)

Breakdown of additional working hours utilisation for overtime represented as equivalent FTE. Agency cost and supply/casual cost converted to notional FTE value using average annual salary cost of £35/£25K per FTE.
Overtime - actual units of time claimed/paid for additional hours (excludes call-out OT hours) at last transaction date. Data extracted at week 1 to capture late payments.
Agency - cost of weekly invoicing from Pertemps, ASA and off-contract agencies for the last month. Data extracted after last weekly payroll in preceding month.
Casual/supply - cost of hours claimed at last transaction date. Data extracted at week 1 to capture late payments.

FTE calculated on the basis that a full-time Local Government Employee works 36 hours per week over 52.18 weeks (1878 hours). This calculation will be developed to take into account a 35 hour working week for Teacher contracts and any other conditions identified at consultation.

FTE Trend

Archive data from previous S&I dashboard process.

Turnover FTE (Period)

Organisation new starts and leavers in the month. Does not report on internal new appointments (e.g. additional contracts, promotion) or ended contracts for multi-position holders (where other positions are still live).

Absence

All tables and graphs based on preceding 12 months absence data for all staff on CEC payroll.

Data extracted at week 1 to capture late

Trend data - archive data from previous S&I dashboard process.

Pay Bill

Actual (Period): Sum of pro-rated basic salary for all staff on CEC payroll

Annual (Projected): Sum of pro-rated basic salary for all staff on CEC payroll*12

Pay Bill (Period)

Breakdown of basic pay by contract type for all staff on CEC payroll. Same reporting conditions as for FTE.

Pay Bill (Annual Projected)

Breakdown of basic pay by contract type for all staff on CEC payroll*12. Same reporting conditions as for FTE.
For trends analysis it should be noted that workforce FTE/cost vs new start/leaver FTE/cost will never match exactly due to the "internal churn" of the existing staff population, e.g. changes to working hours, additional contracts).

Monthly Costs

Actual cost of hours claimed for overtime, agency and casual/supply and payments made in period. Actual cost of transactions for all working time payments (variable, shifts, weekend, nights, disruption) at the last transaction date.

Pay Bill Turnover (Period)

As FTE. Costings report on the annual basic salaries (pro-rated) for new start and leaver populations.

Pay Bill Trend

Archive data from previous S&I dashboard process.

Transformation

VERA/VR Leaver Reductions (FTE)

Data from Finance at week 4 of month.

Redeployment - People

Headcount of staff on redeployment register with status surplus, temp redeployed, future dated VERA/VR leaver. Data extracted at 27th of month.

Redeployment - Cost

Pro-rated basic salary data for staff on redeployment register.

VR Leavers and Cumulative Budget Savings

Data from Finance at week 4 of month.

Performance

Looking Ahead Conversations

Total number of conversations where target date for completion has been reached (last day of preceding month). Data extracted at week 1 to capture late input. Different service areas have varying rolling dates for completion of GR1-4. Staff do not fall into scope for completion analysis until the last day of their target month for completion has passed.

Looking Back Conversations

Total number of conversations where target date for completion has been reached (last day of preceding month). Data extracted at week 1 to capture late input. For the standard cycle, all looking back meetings should have taken place by 31/03/18. Different service areas have varying rolling dates for completion of GR1-4. Staff do not fall into scope for completion analysis until the last day of their target month for completion has passed.

Appendix 3: Workforce Management Information and Trends

Core Workforce: Management Information and Trends

Fig 1. FTE Trend

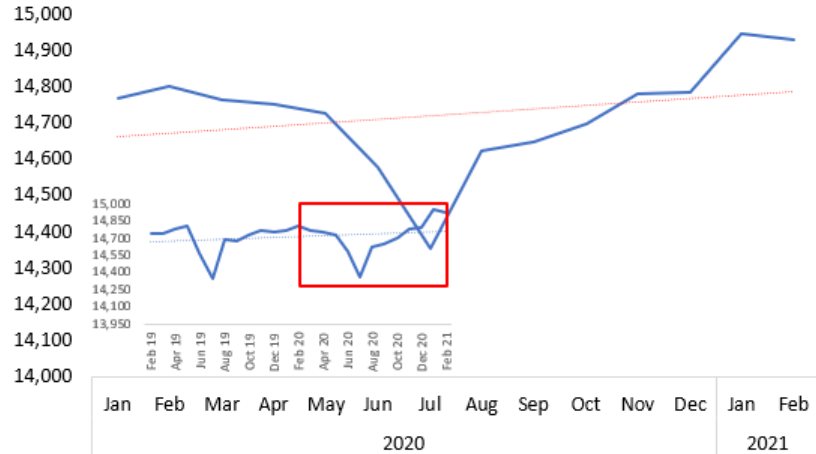


Fig 2. Pay Bill Trend

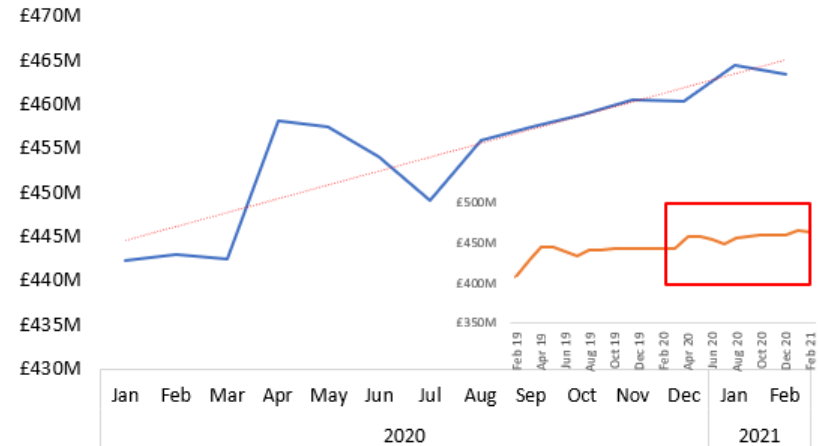


Fig 3. Core Workforce Groups

Category/ Group	January 2021		February 2021		Change in FTE	Change in Headcount
	FTE	Headcount	FTE	Headcount		
Local Government Employee GR1-GR12 including Craft	11,027	13,704	11,013	13,711	-14	7
Chief Official	16	16	15	15	-1	-1
Craft Apprentice	19	19	19	19	0	0
Teaching Total	3,884	4,981	3,877	4,968	-7	-13
Council Total	14,946	18,720	14,924	18,713	-22	-7

Note: Chief Official figures exclude Chief Executive

Fig 4. Core Workforce FTE by Directorate

Directorate	January 2021		February 2021		Change in FTE	Change in Headcount
	FTE	Headcount	FTE	Headcount		
Strategy & Comms	158	170	148	160	-10	-10
C&F	8,203	10,791	8,230	10,820	27	29
EH&SCP	2,077	2,378	2,069	2,365	-8	-13
Place	2,307	2,708	2,285	2,684	-21	-24
Resources	2,185	2,835	2,176	2,833	-9	-2
Displaced	16	17	16	17	0	0
Council Total	14,946	18,899	14,924	18,879	-22	-20

Appendix 3: Workforce Management Information and Trends (continued)

Core Workforce: Management Information and Trends

Fig 5. Local Government Employee Workforce Change June 2015 to Current Period

Category/ Group	Grade	June 2015		June 2017		June 2018		June 2019		June 2020		February 2021		June 15 to February 21		
		FTE	Basic Salary Cost	FTE	Basic Salary Cost	FTE	Basic Salary Cost	FTE	Basic Salary Cost	FTE	Basic Salary Cost	FTE	Basic Salary Cost	Change in LGE FTE	Change in LGE Basic Salary Cost	
<i>Front Line Staff</i>	GR1	624	£8.1M	638	£8.4M	595	£8.1M	576	£8.3M	240	£3.6M	236	£3.5M	-	388	£-4.5M
	GR2	244	£3.4M	198	£2.9M	170	£2.5M	167	£2.6M	496	£7.8M	528	£8.3M	283	£4.8M	
	GR3	2,374	£38.2M	2,124	£34.9M	2,089	£35.1M	1,965	£34.9M	2,038	£37.3M	2,085	£37.8M	-	289	£-0.4M
	GR4	2,479	£45.8M	2,567	£48.1M	2,444	£46.8M	2,549	£52.0M	2,445	£51.8M	2,394	£50.5M	-	85	£4.7M
<i>Front Line Manager/ Specialist</i>	GR5	1,808	£40.6M	1,563	£35.2M	1,545	£35.3M	1,634	£39.6M	1,674	£41.9M	1,735	£42.8M	-	73	£2.2M
	GR6	1,421	£37.1M	1,337	£35.9M	1,397	£38.0M	1,444	£41.8M	1,402	£42.2M	1,276	£37.8M	-	145	£0.6M
	GR7	1,520	£48.0M	1,296	£42.1M	1,294	£42.4M	1,294	£45.2M	1,300	£46.8M	1,318	£47.1M	-	202	£-0.9M
	GR8	776	£29.2M	652	£25.1M	689	£26.7M	700	£29.0M	711	£30.3M	722	£30.6M	-	54	£1.4M
<i>Managers</i>	GR9	359	£15.9M	280	£12.9M	281	£13.0M	279	£13.9M	276	£14.2M	289	£14.7M	-	70	£-1.2M
	GR10	118	£6.3M	123	£6.5M	117	£6.4M	120	£7.0M	127	£7.7M	120	£7.2M	3	£0.9M	
	GR11	47	£3.0M	36	£2.3M	36	£2.4M	38	£2.7M	33	£2.4M	41	£2.9M	-	6	£0.0M
	GR12	31	£2.2M	33	£2.4M	38	£2.8M	42	£3.3M	40	£3.3M	42	£3.5M	11	£1.3M	
Total		11,801	£277.8M	10,849	£256.8M	10,694	£259.4M	10,808	£280.5M	10,782	£289.2M	10,786	£286.7M	-	1,015	£8.8M

Appendix 3: Workforce Management Information and Trends (continued)

Flexible Workforce: Management Information and Trends

Fig. 6 Flexible Workforce in Period

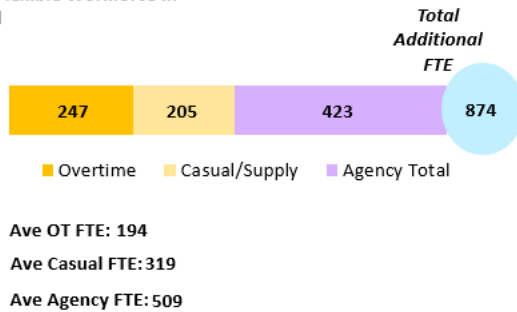


Fig. 7 Agency Trend

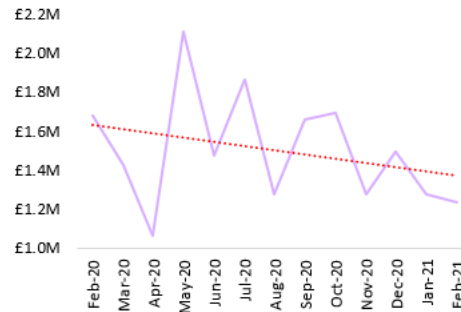


Fig. 8 Casual Trend

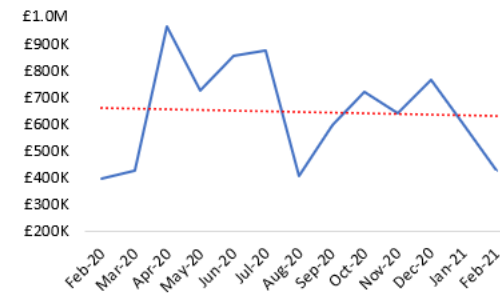


Fig. 9 Overtime by Type in Period

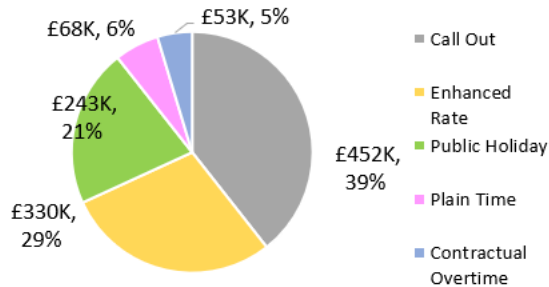


Fig. 10 Overtime by Type in Period - By Directorate

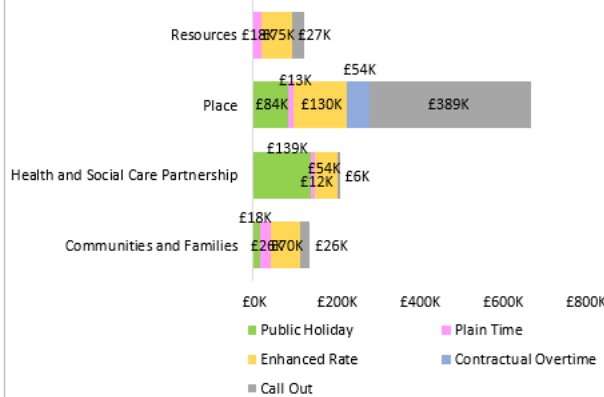
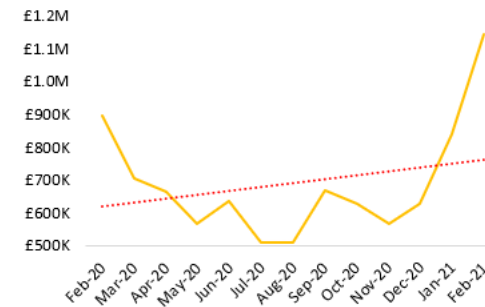


Fig. 11 Overtime Trend



Appendix 3: Workforce Management Information and Trends (continued)

Core Workforce: Management Information and Trends

Fig 12. Monthly Absence Rate

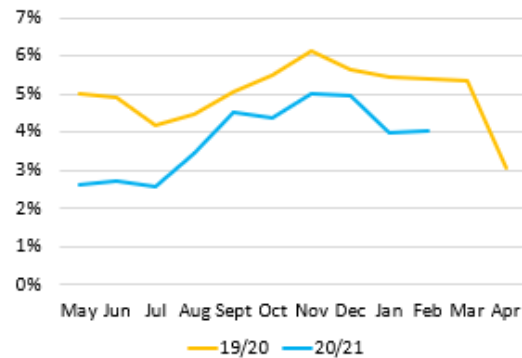


Fig 13. Monthly Days Lost

	Working Days Lost	
	19/20	20/21
May	13,862	7,236
Jun	13,139	7,222
Jul	11,395	7,005
Aug	12,275	9,470
Sept	13,821	11,986
Oct	15,101	12,020
Nov	16,373	13,329
Dec	15,524	13,823
Jan	15,008	11,165
Feb	13,938	10,284
Mar	14,854	
Apr	8,570	

Fig 14. Monthly Absence Rate 20/21 - Directorates

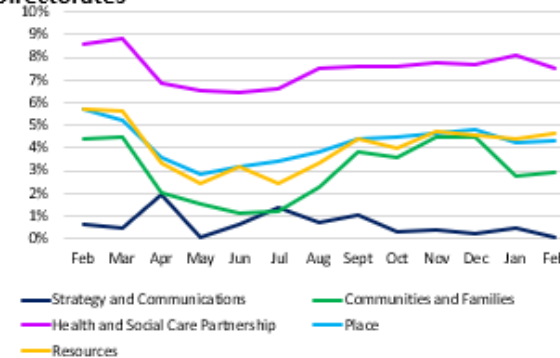


Fig 15. Rolling Absence Rate

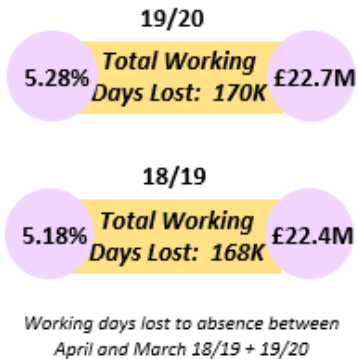
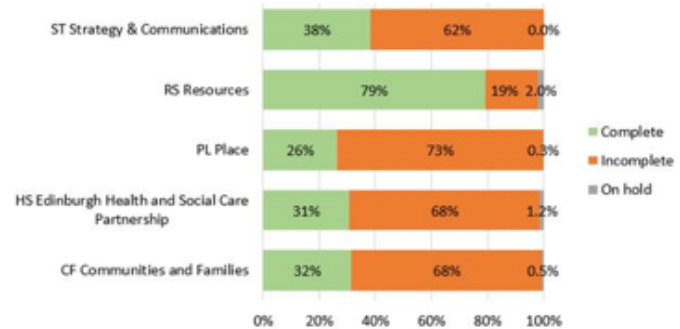


Fig 16. Rolling Absence - Directorates

Directorate	Rate 18/19	Days Lost 18/19	Rate 19/20	Days Lost 19/20
Strategy and Communications	1.33%	0.4K	1.92%	0.6K
Communities and Families	3.76%	65K	4.05%	66K
Health and Social Care Partnership	8.51%	42K	8.48%	42K
Place	6.37%	33K	6.10%	32K
Resources	5.72%	28K	5.55%	28K

Fig 17. Looking Back 19/20 Conversation Completion February 21



Appendix 4: Case Management statistics

Cases	
Directorate / Case Type	No. of Open Cases
Communities and Families	63
Case: Absence	13
Case: Avoidance of Bullying & Harassment	3
Case: Disciplinary	40
Case: Grievance (LGE)	1
Case: Grievance (Teaching)	5
Case: Performance improvement	1
HS Edinburgh Health & Social Care Partnership	32
Case: Absence	12
Case: Avoidance of Bullying & Harassment	1
Case: Disciplinary	19
Place	31
Case: Absence	14
Case: Avoidance of Bullying & Harassment	1
Case: Disciplinary	11
Case: Grievance (LGE)	4
Case: Performance improvement	1
Resources	59
Case: Absence	24
Case: Avoidance of Bullying & Harassment	3
Case: Disciplinary	21
Case: Grievance (LGE)	7
Case: Performance improvement	4
Grand Total	185

Case Type	No. of Open Cases
Case: Absence	63
Case: Avoidance of Bullying & Harassment	8
Case: Disciplinary	91
Case: Grievance (LGE)	12
Case: Grievance (Teaching)	5
Case: Performance improvement	6
Grand Total	185

Suspensions	
Directorate	No. of Open Suspensions
Communities and Families	6
HS Edinburgh Health & Social Care Partnership	4
Place	4
Resources	3
Grand Total	17

Alternative Duties (Instead of Suspension)	
Directorate	No.
HS Edinburgh Health & Social Care Partnership	1
Grand Total	1

Finance and Resources Committee

10.00am, Thursday, 20th May 2021

Edinburgh Integration Joint Board – Contract Living Wage Uplift

Executive/routine Wards Council Commitments	Executive
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1. Recommendations

- 1.1 Members of the Finance and Resources Committee are recommended to:
- 1.1.1 note the Direction from the Edinburgh Integration Joint Board (EIJB) to uplift contracts by 2.2% with effect from April 2021;
 - 1.1.2 approve the uplift of contracts in accordance with the Direction from the EIJB;
 - 1.1.3 note that the EIJB has reflected an estimated £3.5m cost pressure arising from the 2020/21 national uplift of contracts within the overall 2021/22 EIJB revenue budget gap and that the EIJB Chief Officer and Chief Finance Officer are continuing to liaise with Scottish Government officials to seek a resolution to address this cost pressure in 2021/22;
 - 1.1.4 note that the national agreement is in place for 2021/22 only and that a commitment has been made by the Scottish Government and COSLA to undertake a policy review with the future approach to be fully considered and agreement sought by November 2021; and,
 - 1.1.5 refer this report to Council as any shortfall in funding could result in a call on Council resources of up to £3.5m in 2021/22 and up to £6.6m from 2022/23.

Stephen S. Moir
Executive Director of Resources

Contact: Hugh Dunn, Head of Finance,
Finance Division, Resources Directorate
E-mail: hugh.dunn@edinburgh.gov.uk | Tel: 0131 469 3150

Edinburgh Integration Joint Board – Contract Living Wage Uplift

2. Executive Summary

- 2.1 This report provides an update on the EIJB's proposed approach to implementation of contract uplifts for 2021/22 including proposals relating to the national agreement on Fair Work and the Living Wage in Adult Social Care.

3. Background

- 3.1 On 24 March 2021 the Cabinet Secretary for Health and Sport and the COSLA Health and Social Care Spokesperson published a [joint statement](#) of intent which included confirmation of funding to ensure adult social care workers will be paid at least the Real Living Wage in 2021/22 with uplifts to be backdated to April 2021.
- 3.2 The EIJB considered a [report](#) on this matter on 27 April 2021 and agreed to implement relevant contract uplifts of 2.2% at a cost of £4.0m in 2021/22 and issue a Direction to the Council to implement the approved uplifts.

4. Main report

Real Living Wage in Adult Social Care – National Agreement 2021/22

- 4.1 On 24 March 2021 the Scottish Government and COSLA published a joint statement of intent which included funding confirmation of £64.5m to enable a standard national uplift of 2.2% on relevant contract hourly rates for the implementation of the Real Living Wage in Adult Social Care in 2021/22.
- 4.2 As part of the Scottish Budget for 2021/22, £34m was originally included for delivery of the Real Living Wage in Adult Social Care. Further analysis showed that to implement the commitment to a national uplift for 2021/22, there was a shortfall in funding of £30.5m. This additional funding has now been approved and distributed to local authorities. As a result of the GAE distribution methodology, the Scottish Government acknowledged that there may be some IJBS that would still face a funding shortfall and, in these cases, it was noted that it was expected that reserves held locally by IJBS would be used to address any such shortfall in 2021/22.

- 4.3 The agreement will apply for 2021/22 only and the Scottish Government has agreed to a full policy review to clarify future arrangements from 2022 onwards.

National Agreement 2021/22 – Implications for the EIJB

- 4.4 The EIJB considered a report on this matter on 27 April 2021.
- 4.5 The estimated cost of a national 2.2% uplift in 2021/22 is £4.001m (see Appendix 1). Edinburgh's share of the additional funding of £30.5m (see paragraph 4.2) is £2.5m. Allowing for this additional funding, it was estimated that the EIJB would face a funding shortfall of £0.6m in respect of the national uplift for 2021/22. Scottish Government officials have confirmed that the £0.6m shortfall in 2021/22 can be met from the EIJB's reserves.

National Agreement 2020/21 – Funding Shortfall

- 4.6 While the arrangements set out above provide the basis for funding the 2021/22 national uplifts it should be noted that this does not address a recurring shortfall in funding relating to the 2020/21 national uplifts. This shortfall is estimated at £3.5m and is a key factor within the EIJB's overall 2021/22 financial plan gap of £9.3m. In 2020/21 the £3.5m shortfall was addressed through EIJB Covid-19 funding. The EIJB's Chief Officer and Chief Finance Officer are discussing the potential for a similar resolution for this financial year with Scottish Government colleagues.

Future Planning

- 4.7 The use of EIJB reserves would be a non-recurring solution (as is the case with the additional funding allocation of £2.5m outlined at paragraph 4.5 above). The combined recurring impact of the national contract uplifts is £6.6m. However, as noted previously, both COSLA and Scottish Government have agreed to undertake a policy review as part of the commitment towards the Fair Work in Social Care agenda. Any future national approach will be fully considered and agreement sought by November 2021.

5. Next Steps

- 5.1 The proposed contract uplifts will be implemented and backdated to April enabling providers to action pay uplifts.
- 5.2 The EIJB Chief Officer and Chief Finance Officer will continue discussions with Scottish Government officials to seek a resolution to address the £3.5m funding gap relating to the 2020/21 national contract uplifts pending the outcome of the wider policy review.
- 5.3 Regular updates will be reported to the EIJB and partners.

6. Financial impact

- 6.1 The main report sets out the estimated financial implications of the proposed contract uplifts. The estimated funding gap on the 2020/21 national uplifts and the recurring budget implications from 2022/23 will be considered alongside progress in addressing the wider EIJB budget gap and delivery of the EIJB's approved savings programme. The EIJB Chief Officer and Chief Finance Officer will provide regular updates to the EIJB and partners.

7. Stakeholder/Community Impact

- 7.1 The scale of the identified funding gap will require extensive and continuing engagement as the EIJB and partners seek to identify a sustainable solution.

8. Background reading/external references

- 8.1 Relevant papers are hyperlinked within the main body of the report.

9. Appendices

Appendix 1 – Estimated Cost of Proposed Contract Uplifts 2021/22

Appendix 1 – Estimated Cost of Proposed Contract Uplifts 2021/22

Description of Service	Baseline Spend	Uplift %	Uplift 2021/22
Day Care	£8.26m	2.2%	£0.182m
Care at Home and Care and Support	£81.61m	2.2%	£1.795m
Direct Payments and Individual Service Funds	£35.12m	2.2%	£0.773m
Block Contracts	£18.58m	2.2%	£0.409m
Residential Care (outwith National Care Home Contract)	£38.31m	2.2%	£0.842m
	£181.88m		£4.001m

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Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Contract Award Recommendations Report in respect of 'Receipt and Composting of Garden Waste'

Executive/routine	Executive
Wards	All
Council Commitments:	25

1. Recommendations

- 1.1 It is recommended that Finance and Resources Committee:
- 1.1.1 approves the award of contract to Forth Resource Management Limited in respect of the 'Receipt and Composting of Garden Waste' and;
 - 1.1.2 approves the commencement of the contract on 1 July 2021 for an initial period of two years, with options to extend for up to two further periods of 12 months each, at a total estimated cost of £2,400,000.

Paul Lawrence

Executive Director of Place

Contact: Lesley Sugden, Contract Manager

E-mail: lesley.sugden@edinburgh.gov.uk | Tel: 0131 469 5764

Contract Award Recommendations Report in respect of 'Receipt and Composting of Garden Waste'

2. Executive Summary

- 2.1 This report seeks approval to award the contract for 'Receipt and Composting of Garden Waste' to Forth Resource Management Limited, to commence on 1 July 2021 for an initial period of two years, with options to extend for up to two further periods of 12 months each, at a total estimated cost of £2,400,000.

3. Background

- 3.1 The City of Edinburgh Council has a requirement for the receipt and composting of garden waste.
- 3.2 The Council has a statutory obligation to ensure all waste is processed in an efficient and ethical manner. The Council does not have the infrastructure to carry out the processing and recycling of this waste stream 'in house' and so an appropriately licenced contractor is required.
- 3.3 As part of the procurement process it was considered whether, as a longer-term plan, the Council could process their own, and perhaps other local authorities', garden waste into compost to generate income. This might be achieved by setting up an Arms Length External Organisation (ALEO) to run as a commercial operation, however further financial analysis would be required to evaluate the viability in terms of the potential returns versus infrastructure, setup and operating costs.
- 3.4 In the case of this procurement, the successful contractor will carry out receipt, processing and composting of garden waste with the purpose of extracting all compostable material. This is in line with Council policy and the Garden Waste scheme.

4. Main report

- 4.1 Rather than conducting a new 'Open' procurement exercise, Commercial and Procurement Services (CPS) utilised Scotland Excel's Organic Waste Framework Agreement for this procurement. This approach is expedient and cost effective.

- 4.2 The Organic Waste Framework was established in 2016 and is comprised of three lots, Lot 2 of which relates specifically to the treatment and processing of garden waste. At the point at which tenders were invited, Scotland Excel had appointed a total of eight contractors to Lot 2. Prior to their appointment, all contractors were 'pre vetted' in order to ensure they satisfy the requirements necessary for the delivery of these services, including licencing by the Scottish Environmental Protection Agency (SEPA) in respect of Planning Consents, Waste Management Licences, Waste Carrier Licences etc., and Police Scotland checks regarding any known associations with serious organised crime groups.
- 4.3 The Council has a requirement to limit the number of miles travelled to deliver the garden waste to a contractor for processing. On this basis, the proximity of the contractors' facility to Council Household Waste Recycling Centres (HWRCs) played a role in identifying their suitability, along with the rates for the processing the material. Of the eight contractors appointed to the Scotland Excel framework, only two are within 30 miles of the Edinburgh area with one contractor being 28.6 miles from the city centre and the other having not one but two reception points within seven miles of the city, the latter being the incumbent. The two reception points allow W&CS operations to optimise their routes city-wide with positive impact to miles travelled and the time taken to complete the routes. Thus, there would be significant impact to W&CS operations if Council vehicles do not have access to two reception points for garden waste deliveries.
- 4.4 The analysis carried out demonstrates that direct award to the geographically closer of the two, Forth Resources Management Limited, is appropriate as the only other option is operationally and financially non-viable. Direct award is permissible under the Scotland Excel framework on the basis of proximity. Additionally, the intended contractor also has lower processing rates for the garden waste material. It should be noted that Forth Resource Management Limited are the incumbent.
- 4.5 While the Scotland Excel framework documentation sets out wider requirements related to the processing of organic waste, a specification, tenderers submission and pricing schedule specific to the requirements of the Council were drawn up, along with instructions for completion, and issued to Forth Resource Management Limited via Public Contracts Scotland.
- 4.6 The evaluation exercise took account of both the Quality and the Price of Forth Resources Management Limited's tender submission. In the case of Quality, responses to a total of five questions/topics were evaluated on a pass/fail basis. In the case of Price, the submission was evaluated on the basis of proposed prices per tonne in respect of receipt and treatment of the waste, inclusive of any 'Gate Fees' chargeable. It should be noted that Forth Resource Management Limited achieved a pass on all set Quality criteria. Appendix 1 provides a breakdown of the Quality and Price criteria.
- 4.7 Increasingly stringent national and international environmental policies and legislation relating to the disposal and recycling of waste materials has put pressure upon the market and has inevitably impacted the costs involved.

- 4.8 As a result of the Household Recycling Charter developed jointly by the Scottish Government and COSLA, future policies may impose even stricter requirements in terms of the content and volume of disposable waste.

5. Next Steps

- 5.1 Subject to approval, the services will commence on 1 July 2021 and will enable the Council to meet its statutory obligations with regard to the treatment and disposal of this waste stream.
- 5.2 The Contracts and Grants Management team (CAGM) within CPS will engage with the Waste and Cleansing to ensure that effective contract management is delivered throughout the contract lifecycle. A Contract Management and Handover Report, detailing the necessary steps and measures, will be produced and agreed. It is envisaged that proactive contract management (to include robust monitoring of all appropriate management information, key performance indicators and budget tracking) will help deliver an effective and efficient service for the city throughout the duration of the contact.
- 5.3 As Forth Resource Management Limited are the current incumbent, a relatively seamless contract implementation is anticipated.

6. Financial impact

- 6.1 The contract value is estimated at £2,400,000 over the maximum contract period (i.e. including potential extensions). This can be met from the existing Waste and Cleansing budget.
- 6.2 The waste industry is heavily regulated and 'policed' by SEPA, ensuring only appropriately qualified organisations are permitted to operate in the market. All contractors have also successfully undergone a pre-vetting process prior to their appointment to the Organic Waste Framework by Scotland Excel. Furthermore, the financial analysis carried out demonstrates Forth Resource Management Limited are the only viable option both in terms of having the lowest rates and their proximity to the Council operations.
- 6.3 The costs associated with procuring the proposed contract are estimated to be up to £10,000.

7. Stakeholder/Community Impact

- 7.1 In common with all contractors in this market sector, Forth Resource Management Limited are regulated and licenced by the SEPA to ensure compliance with strict requirements on health and safety, environmental governance and regulatory requirements.

- 7.2 The award of contract will help ensure that Council Commitment 25 (to “increase recycling to 60% from 46% during the lifetime of the administration) is realised.
- 7.3 The Sustainable Procurement Policy was considered and applied through the request of community benefits. Forth Resource Management Limited will be required to deliver Community Benefits in line with the value of work awarded by the Council; benefits to be delivered will be agreed at the contract commencement and monitored throughout the life of the contract by the contract manager.
- 7.4 Forth Resource Management Limited, while not currently accredited, have stated they pay all staff the Real Living Wage and they will sign up to the Scottish Living Wage prior to contract commencement. They have also stated they do not use zero hours contracts, that they have and enforce an equal opportunities policy, train and develop their staff and are committed to protecting the environment.
- 7.5 The close proximity of Forth Resource Management Limited will be beneficial in minimising vehicular emissions.
- 7.6 The procurement process followed is compliant with all relevant regulations as well as the Council’s Contract Standing Orders. The risk of legal challenge relating to this procurement has therefore been minimised.

8. Background reading/external references

- 8.1 The proposed service will contribute to the success of [Council Commitments](#).

9. Appendices

- 9.1 Appendix 1 – Summary of the Procurement Process.

Appendix 1 - Summary of the Procurement Process

Contract	Receipt and Composting of Garden Waste - ref: CT0882		
Contract period (including any extensions)	Maximum of 4 years - initial period of 2 years, with options to extend for up to 2 additional periods of 1 year each.		
Estimated Net Contract Value (incl. extensions)	£2,400,000.		
Procurement Route Chosen	Direct Award utilising Lot 2 of the Scotland Excel Organic Waste Framework (ref: 0816)		
Tenders Returned	1		
Recommended Supplier	Forth Resource Management Limited		
Supplier Submission			
Price Criteria	A. Cost per tonne for the receipt and composting of garden waste	B. Cost per tonne for treatment of contaminated material	
Quality Question Criteria	1.	THE ENVIRONMENT	Pass/Fail Result: Pass
	2.	CONTRACT MANAGEMENT	Pass/Fail Result: Pass
	3.	LICENSING / REGULATION	Pass/Fail Result: Pass
	4.	COMMUNITY BENEFITS	Pass/Fail Result: Pass
	5.	FAIR WORK PRACTICES	Pass/Fail Result: Pass
	6.	BUSINESS CONTINUITY - COVID-19	Information only
	7.	FAIR WORK MANAGEMENT INFORMATION	Information only
Evaluation Team	3 officers from Waste & Cleansing Services		

Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Collection and reprocessing of communal glass

Executive/routine	Routine
Wards	All
Council Commitments	25

1. Recommendations

- 1.1 It is recommended that the Finance and Resources Committee:
- 1.1.1 approve a 117-week extension to current waiver to the Contract Standing Orders (CSO) (waiver number 2445) with Viridor Waste Management Ltd for the collection and reprocessing of mixed glass from communal glass banks and supermarket glass banks;
 - 1.1.2 note the value of the 117-week extension of the current waiver would be in the region of £505,000;
 - 1.1.3 note the total value of this waiver including the 117-week extension would be in the region of £745,000;
 - 1.1.4 note this will ensure the continuity of service provision until a new contract for collection and reprocessing can be procured; and
 - 1.1.5 note the potential impact at the commencement (anticipated to be July 2022) of the Deposit Return Scheme on volume of glass collected from households.

Paul Lawrence

Executive Director of Place

Lesley Sugden, Contracts Manager, Waste and Cleansing Services

E-mail: lesley.sugden@edinburgh.gov.uk Tel: 0131 469 5764

Collection and reprocessing of communal glass

2. Executive Summary

- 2.1 This report seeks approval for a 117-week extension to the current Contract Standing Orders (CSO) waiver (2445) with Viridor Waste Management Ltd for the collection and reprocessing of mixed glass from communal glass banks and supermarket glass banks. This new arrangement will be subject to updated contract Terms and Conditions and a revised performance management framework for Viridor Waste Management Ltd.
- 2.2 The current CSO waiver for the collection and reprocessing of communal glass expired on 1 May 2021. The waiver was previously approved via Delegated Authority for the period September 2020-May 2021 to allow time for an options appraisal of the service.
- 2.3 An options appraisal was conducted to investigate the opportunity to bring the collection of communal glass bins 'in house'. This entailed a routing exercise to ascertain how many vehicles and staff would be needed to service the bins in house.
- 2.4 The outcome of this appraisal identified that there would be no cost savings and there were Transfer of Undertakings (Protection of Employment) (TUPE) implications for City of Edinburgh Council if the service was to be delivered in-house. On that basis, it is recommended that the Council should continue to use an external contractor to deliver this service, and, as such it is necessary to extend the current CSO waiver until the Deposit Return Scheme (DRS) is in place and a future contract specification can be fully designed.

3. Background

- 3.1 The Council has a statutory obligation under Section 45 of the Environmental Protection Act 1990 to provide a collection and disposal service for domestic waste generated by residents. In addition, the Council has three Household Waste Recycling Centres (HWRCs) where residents can deposit recyclable and residual domestic waste.
- 3.2 The Waste (Scotland Regulations) 2012, require the Council to provide segregated collection services for a number of materials including glass.

- 3.3 The contract with Viridor Waste Management Ltd expired in May 2020 and was extended via CSO waiver until 1 May 2021 to allow time for an options appraisal to be carried out into bringing the collection of communal glass 'in-house'.
- 3.4 At the point in which the previous CSO waiver was extended it was anticipated the Scottish Government's DRS would be introduced around July 2021. However, due to COVID-19 the implementation has been delayed until July 2022 at the earliest.
- 3.5 The outcome of the appraisal has been completed and the conclusion reached that there would be no savings to be made by collecting glass 'in-house'.
- 3.6 The options appraisal also identified there would be TUPE implications for Viridor Waste Management Ltd staff currently working on this contract. This would result in an increase in staff numbers for the Waste and Cleansing service with potential future redundancy risks depending on the impact of DRS.

4. Main report

- 4.1 The contract for the collection and reprocessing of glass from communal glass banks was awarded to Viridor Waste Management Ltd in 2016. The contract was for two years with the option of two one-year extensions. The contract expired in May 2020.
- 4.2 CSO waiver 2445 was approved under Delegated Authority by the Executive Director of Place in September 2020, for a period of seven months and estimated value of £240,000.
- 4.3 An options appraisal was conducted during this period to identify savings by terminating the outsourcing of the collection of communal glass and bringing the service 'in-house'.
- 4.4 The option appraisal has concluded that there are no savings associated with bringing this service 'in-house'.
- 4.5 The operational cost of bringing the service in house was estimated to be at least £270,000 per annum based on two vehicles.
- 4.6 There were also TUPE implications for the Council, with at least four members of the contractor's staff potentially transferring over to the Council. This would increase the size of the existing workforce at an additional cost of at least £112,000 per annum.
- 4.7 The rollout of the new communal bin service commences in Summer 2021. As part of the new service 2,000 additional communal glass bins will be introduced.
- 4.8 The rollout of additional bins will lead to more vehicles and staff being needed to service them. It is essential that the impact of these additional bins on tonnages and collection resources is understood in order to design a future contract specification.
- 4.9 The current arrangement with Viridor Waste Management Ltd is based on tonnes collected, not the number of vehicles used to collect the glass or the number of bins.

- 4.10 Revised Terms and Conditions will be issued to the contractor on approval of the recommended Contract Standing Orders waiver. The revised Terms and Conditions will include a suite of Key Performance Indicators (KPIs) aimed at improving performance, with a focus on festive collections, which historically have been problematic.
- 4.11 Monthly contract meetings will be held to address any performance issues and improve the quality of the service.
- 4.12 Household waste and recycling collections are subject to a number of live policy changes at a national level which collectively have implications for how these collections, including glass collections, will be shaped going forward.
- 4.13 The introduction of the DRS, planned for July 2022, could have a significant impact on the tonnages the Council collects at the kerbside and communal glass bins.
- 4.14 Zero Waste Scotland estimate that up to 90% of glass containers will be covered by the DRS and that 90% of this will be diverted from household waste streams as a result of the DRS (i.e. 81% overall) although there is some concern that this may prove optimistic.
- 4.15 In addition, the development of revised extended producer responsibility legislation for packaging waste has significant implications for how the Council's waste collection services will be funded and how these will be delivered. This will result in the producers of the waste (manufacturers, importers and retailers) being required to pay most or all of the costs of collecting and managing these materials. These costs are likely to be subject to quality and performance standards which may require current collection systems to be reshaped.
- 4.16 The implementation of changes to the Waste Framework Directive is expected to still apply in the UK and may extend the range of materials collected at the kerbside.
- 4.17 There is significant uncertainty around the timing and detail of these changes at the current time, and the impact these will have on glass collections specifically. It is likely that dry mixed recycling collections could be phased out across the UK and replaced with separate collections of paper/cardboard, and cans, plastics and drinks cartons ("mixed containers" or "MPT").
- 4.18 Once these legislative changes are introduced, it could potentially be possible or appropriate to move to collecting glass jars and the remaining glass bottles alongside the mixed containers stream, but it is also possible that glass may need to remain as a stand-alone stream to avoid cross contamination of the other materials with broken glass.

5. Next Steps

- 5.1 Subject to approval of this waiver, a contract will be put in place and enhanced contract management arrangements will be implemented.

6. Financial impact

- 6.1 The cost of the contract extension (£505,000) will be met from the service area's waste disposal revenue budget for financial year 2021/22 and 2022/23.
- 6.2 Viridor Waste Management Ltd have agreed to hold the current price for the duration of the proposed extension.

7. Stakeholder/Community Impact

- 7.1 There is no impact to existing stakeholders as a result of the 117-week extension to this contract.
- 7.2 There are no equalities impact arising from this contract extension. The risk of successful procurement challenge is considered to be low.
- 7.3 The delivery of comprehensive recycling services helps to reduce the overall environmental impact of household waste and helps the Council to achieve its carbon reduction targets.

8. Background reading/external references

- 8.1 None.

9. Appendices

- 9.1 None.

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Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Fountainbridge development partner appointment recommendation

Executive/routine	Executive
Wards	Fountainbridge/Craiglockhart
Council Commitments	1, 2, 10, 11

1. Recommendations

- 1.1 It is recommended that the Finance and Resources Committee:
 - 1.1.1 approve the award of a pre-development contract to Cruden Homes (East) Limited for the development at Fountainbridge, Edinburgh following a procurement process to identify the most economically advantageous tenderer, at a total cost of £1,109,937 for a period of 38 weeks; and
 - 1.1.2 note that a further report will be brought to Committee following the completion of the pre-development period seeking approval of the final business case and authority to enter into a Development Agreement for delivery of the mixed-use development.

Paul Lawrence

Executive Director of Place

Contact: David Cooper, Service Manager

E-mail: david.cooper@edinburgh.gov.uk | Tel: 0131 529 6233

Fountainbridge development partner appointment recommendation

2. Executive Summary

- 2.1 In March 2018, the Housing and Economy Committee agreed to take forward the mixed use development on the Fountainbridge site. The masterplan for the site was informed by an extensive programme of Community engagement and originally approved in 2014. The community continue their support for the site and are represented through the Fountainbridge Sounding Board.
- 2.3 This report seeks approval for the award of a pre-development contract to Cruden Homes (East) Limited for a total cost of £1,109,937 for a 38-week period. Following successful completion of the pre-development period, a report seeking authority to proceed with the development of the site will be brought to a future Committee.

3. Background

Project history

- 3.1 “Fountainbridge” (formerly known to as “India Quay”) here refers to 4.7 hectares of cleared brownfield land in Fountainbridge acquired by the Council in 2012. The new Boroughmuir High School has been developed on 1.2 hectares leaving 3.5 hectares of surplus land comprising plots E1–E2 and plots W1–W4 (as shown in appendix 2).
- 3.2 Planning consent was granted in June 2016 for a mixed-use redevelopment of the site (reference: [14/02814/PPP](#)). An updated masterplan (reference: [19/03097/PPP](#)) is minded to grant subject to a legal agreement being concluded.
- 3.3 On 27 March 2018, the Finance and Resources Committee (B agenda) approved the disposal of plot E1 to Vastint Hospitality BV for a residential-led development. The residual site is approximately three hectares.
- 3.4 On 22 March 2018, the Housing and Economy Committee (B agenda) resolved to take forward a mixed-tenure housing development on plots W1-W4 and take forward a workspace-led development of plot E2.
- 3.5 On [28 June 2018](#), the City of Edinburgh Council agreed an increase in the number and proportion of social housing rented homes on the site and agreed in principle the proposed approach to the delivery of a workspace-led development on plot E2.

- 3.6 On [1 November 2018](#), the Housing and Economy Committee agreed the preferred procurement route was to partner with (or appoint) a single developer (or a single consortium of developers) to work with the Council to deliver development across the whole site rather than procuring partners for individual plots.
- 3.7 On 7 March 2019, the Finance and Resources Committee (B agenda) agreed an Outline Business Case for the Fountainbridge development and agreed to the initiation of a procurement process to appoint a development partner.
- 3.8 In late 2019, the Council appointed Barhale Limited to undertake a programme of enabling works in Fountainbridge to help facilitate its future development, including the diversion of the Lochrin Sewer. These works commenced in January 2020 and following COVID-19 related delays, were completed in late-2020.

Development strategy

- 3.9 The development proposals for the site (excluding plot E1 which, as set out above, has been sold) comprise of at least 436 homes (including 113 social rented homes and 64 mid-market rent and market rent homes) above 2,749 sqm (gross) of ground floor retail and professional services space along with approximately 10,333 sqm of office space above 1,603 sqm (net) of ground-floor retail space.
- 3.10 The development strategy is that the Council will bring forward the development of the site as a single package in conjunction with a development partner. The development partner will deliver the social homes and mid-market homes for a construction profit, while the office space, commercial space, and remaining residential units represent a development opportunity (with a projected value of £120-£140m) for which the partner will pay the Council a land receipt. The development partner will also be responsible for delivering an energy solution for the entire site.
- 3.11 The following elements of the development were fixed, and the Development Partner will be required to deliver them as set out by the Council:
- 3.11.1 Blocks W1 and W2 must be developed as residential accommodation;
 - 3.11.2 Blocks W3 and W4 must be developed in accordance with the Council's affordable housing design guidance;
 - 3.11.3 The proposals for plot W4 must deliver 113 homes for social rent for those in most pressing need; including homeless households All flats would have lift access, while up to 12 homes would be fully wheelchair accessible. The proposals for plot W3 would deliver 64 homes for Mid-Market and Market rent. On completion, these homes will be transferred to Edinburgh Living (the Council's Limited Liability Partnership) for rent to people on low to moderate incomes who struggle with housing costs but are unlikely to be prioritised for social housing;
 - 3.11.4 All residential buildings must be tenure blind;
 - 3.11.5 E2 must be developed as a workspace;
 - 3.11.6 The E2 building must offer space at a range of rents and lettable spaces;

- 3.11.7 A low carbon energy solution must be put in place for the site comprising renewables-fired district heating, micro-renewables, or another solution in line with the Council's net zero carbon ambitions;
 - 3.11.8 A new substation must be developed to SP Energy Networks' specification; and
 - 3.11.9 The overall layout and massing should remain broadly consistent with the masterplan.
- 3.12 The following elements of the development were flexible, and the Development Partner will now work with the community and the Council to provide detailed responses to each. In addition to the contractual controls, the Development Partner will be required to secure planning permission and other necessary approvals:
- 3.12.1 The construction programme and methods;
 - 3.12.2 The detailed design of buildings W1 and W2;
 - 3.12.3 The tenure of the residential accommodation in buildings W1 and W2;
 - 3.12.4 The final design of buildings W3 and W4;
 - 3.12.5 The detailed design of building E2;
 - 3.12.6 The operating model and letting strategy for building E2;
 - 3.12.7 The detailed design and use class of the ground-floor space (currently commercial units);
 - 3.12.8 The detailed design of the public realm;
 - 3.12.9 The nature of the low carbon energy solution for this site; and
 - 3.13.10 The branding of the development, including building naming rights.

4. Main report

- 4.1 A Prior Information Notice (PIN) was placed in the Official Journal of the European Union (OJEU) in May 2019 to commence market research for a development partner.
- 4.2 An OJEU contract notice was published on 18 October 2019. Parties interested in becoming the development partner were invited to complete a European single procurement document (ESPD) to assess the financial capacity, business probity, experience, capability and social, environmental and fair work practices employed by the tenderers.
- 4.3 To generate further interest in the Project, the Council held a Procurement Launch Event on 30 October 2019, to give interested parties them further information on the Project and allow for potential connections with other organisations within the sector and provide a platform for consortia and collaboration.
- 4.4 On 29 November 2019, 10 ESPDs were received and following evaluation the top scoring six parties were invited to the tender stage.

- 4.5 Following delays resulting from the Covid-19 pandemic, an invitation to submit an initial tender was issued on 11 August 2020, with a deadline for returns of 20 December 2020. The tender was based on award criteria of 70% quality and 30% cost. The award criteria ratios were selected as the higher the quality of the tenderers, the more income can be maximised from the development and more innovative ideas and solutions for Place making can be achieved.
- 4.6 The Project Team wanted to encourage collaboration and strong communication with the local community groups from the outset of the procurement process. To support this, members of the Fountainbridge Sounding board from Fountainbridge Canalside Initiative (FCI) were invited to help develop the question to bidders on community engagement. They also agreed to present their vision for the site to the tenderers, to allow them to take account of this when preparing their tender submissions. Feedback on the procurement process and communication to date from FCI have been very positive. At this event, the Council also took the opportunity to explain the procurement process, award criteria and present the procurement strategy and vision.
- 4.7 On 20 December 2020, all six tenderers returned initial tender returns which were evaluated by the evaluation panel. At the completion of this evaluation, the tenderers were ranked on the basis of their quality scores.
- 4.8 The quality criteria is identified in Appendix 1 The bidders were asked to respond to each of these requirements. Of particular importance was their team, their approach to the pre-development period, their proposals for enhancement of the masterplan and how they will work with the local community. On the latter point, this question was informed by the community and assessed accordingly.
- 4.9 The cost criteria contained evaluation of costs for the pre-development period, additional services which may be required to complete the pre-development period, management costs for managing the on-site construction for the Council's affordable homes and the percentage of costs which the Development Partner would share with the Council should they exceed the pre-set profit level.
- 4.10 Following this evaluation, the top three ranked tenderers were invited to participate in a negotiation period. The aim of the negotiation was to improve the content of the bids as it was felt that there were areas of all three bids which could give additional value to the Project.
- 4.11 An invitation to submit final tenders was published to the three tenderers on 18 March 2021 and the tenderers resubmitted their proposals on 25 March 2021.

4.12 On the basis of the final tender solutions, the result of the procurement process is below:

Tenderer	Cost Score	Quality Score	Overall Tender Score	Overall Rank
Cruden Homes (East) Ltd	24.91	57.75	82.66	1
Tenderer 2	27.64	53.38	81.02	2
Tenderer 3	21.32	56.53	77.84	3

4.13 As identified above, the tenderer who submitted the most economically advantageous tender is Cruden Homes (East) Ltd. While led by Cruden Homes (East) Ltd, the project team consists of Buccleuch Properties, Hart Builders, 7N Architects, Etive Consulting Engineers, Atelier Ten and Hardies. The team has a wide range of experience in designing and delivering mixed use developments and large-scale regeneration projects such as Shawfair in Midlothian; the Commonwealth Games Athletes Village, Glasgow and Westfield, Edinburgh. They also have a strong record of working with local communities. As the top scoring tenderer from the evaluation, Cruden Homes (East) Ltd is therefore recommended for appointment.

5. Next Steps

5.1 Subject to approval, the Council will award a pre-construction contract to Cruden Homes (East) Ltd. The pre-development period will commence on 1 July 2021 and run for approximately 38 weeks.

5.2 Over the course of the pre-development period, Cruden Homes (East) Ltd will work with the Council and the community to finalise plans for the site. This will include developing the greening plan originally developed by the community and finalising other key areas of work that the community has expressed an interest in such as the energy solution and the strategy for achieving vibrant and active ground floor units with a range of occupiers and services provided. Specific activities including the following will be carried out by the Council and Cruden Homes (East) Ltd:

5.2.1 Drafting a final business case for the Project;

5.2.2 Developing detailed designs for each of the five plots;

5.2.3 Agreeing the method and sequencing of construction;

5.2.4 Drafting and, where appropriate, submitting planning applications and other statutory consents;

5.2.5 Agreeing a funding strategy for the development;

- 5.2.6 Agreeing a low-carbon energy solution for the site;
 - 5.2.7 Agreeing the wording of a development agreement;
 - 5.2.8 Agreeing the wording of sale missives for plots E2, W1, and W2; and
 - 5.2.9 Agreeing the wording for a construction contract.
- 5.3 The following documents will be prepared in the pre-development period:
- 5.3.1 A finalised development agreement;
 - 5.3.2 Sale documents for plots E2, W1, and W2;
 - 5.3.3 A construction contract; and
 - 5.3.4 A final business case.
- 5.4 At the end of the pre-development period (should both parties wish to proceed) the Housing, Homelessness and Fair Work Committee will be asked to agree the final development strategy for the site and subsequently the Finance and Resources Committee will be asked to appoint Cruden Homes (East) Limited for the development period.

6. Financial impact

- 6.1 The Fountainbridge site was bought by the Council in 2012 for £13,850,000 in order to allow the new Boroughmuir High School to be delivered. The remaining land, not needed for the school, was earmarked as a development site and £10,000,000 of the debt associated with the purchase was allocated.
- 6.2 In 2017, an excambion of land was agreed with Vastint (the neighbouring landowner) in order to align ownership boundaries with the agreed masterplan. A net payment of £5,850,000 was received for the sale of Plot E1 as part of this transaction.
- 6.3 The tender submitted by the preferred tenderer contains a commitment to provide the Council with a minimum capital receipt of £13,200,000 should it enter into a Development Agreement at the end of the pre-development period. This receipt will more than repay the outstanding capital advances relating to the purchase of the Fountainbridge site. In addition, overage provisions will be put in place to ensure that any additional profit is shared with the Council.
- 6.4 The direct financial impact arising from this report is a cost of £1,109,937 to fund the predevelopment period. This amount will be repaid by the preferred tenderer at the point of entering into the Development Agreement and for the avoidance of doubt, this is in addition to the £13,200,000 capital receipt. If the preferred tenderer chooses not to proceed, they will be contractually required to refund this amount in any case. The only scenario where the money will not be refunded is if the Council chooses not to proceed, although the Council would own the rights to any work undertaken during this period.

- 6.5 Following the completion of the pre-development period, a further report will be brought to committee seeking approval of the final business case and the authority to enter into the Development Agreement.
- 6.6 It is recognised that there will be cash flow implications for the Council as pre-development costs will be incurred in advance of capital receipts. This will be managed within the Council's overall capital programme.
- 6.7 The delivery of affordable homes on the site is supported by both the Scottish Government's Affordable Housing Supply Programme (AHSP) with £6,670,000 allocated for new social rented homes as well as Housing Infrastructure Funding (HIF) of £1,100,000 which has supported enabling works.

7. Stakeholder/Community Impact

- 7.1 The Fountainbridge development will deliver the masterplan for the site which has enjoyed sustained strong support from the local community. The Fountainbridge Sounding Board has been regularly consulted on proposals for the site. They have had a specific focus on the public realm/greening plan and the ground floor uses of the blocks to ensure social enterprise and community uses are included in the mix to ensure the development has active frontages. All the tenderers were in agreement with these proposals.
- 7.2 The successful tenderer has committed to continuing working with the community to develop plans for the site and Council officers will also continue to support this process.
- 7.3 The successful tenderer has also committed to the following community benefits and fair work proposals as part of their tender proposal:
 - 7.3.1 Drafting a final business case for the Project;
 - 7.3.2 £100,000 community fund for projects to enhance the canal, tow path creating park spaces and commissioning of local arts projects;
 - 7.3.3 12 work experience placements for Boroughmuir High School pupils & long term unemployed (ranging from 1 week to 8 weeks);
 - 7.3.4 Five pre-apprenticeships from Boroughmuir High School with two gaining full-time apprenticeships;
 - 7.3.5 Two summer internships paid the Real Living wage for 12-week period;
 - 7.3.6 Woman in Construction campaign and meet the buyer events;
 - 7.3.7 Agreement to sign up to Council's Construction Charter;
 - 7.3.8 Real Living Wage for all employees and sub-contractors; and
 - 7.3.9 No zero-hour contracts.

8. Background reading/external references

- 8.1 Fountainbridge – District Heating and Procurement Strategy – [report to Housing and Economy Committee on 1 November 2018](#).
- 8.2 Fountainbridge Development – Outline Business Case – report to the Finance and Resources Committee on 7 March 2019 (B agenda).

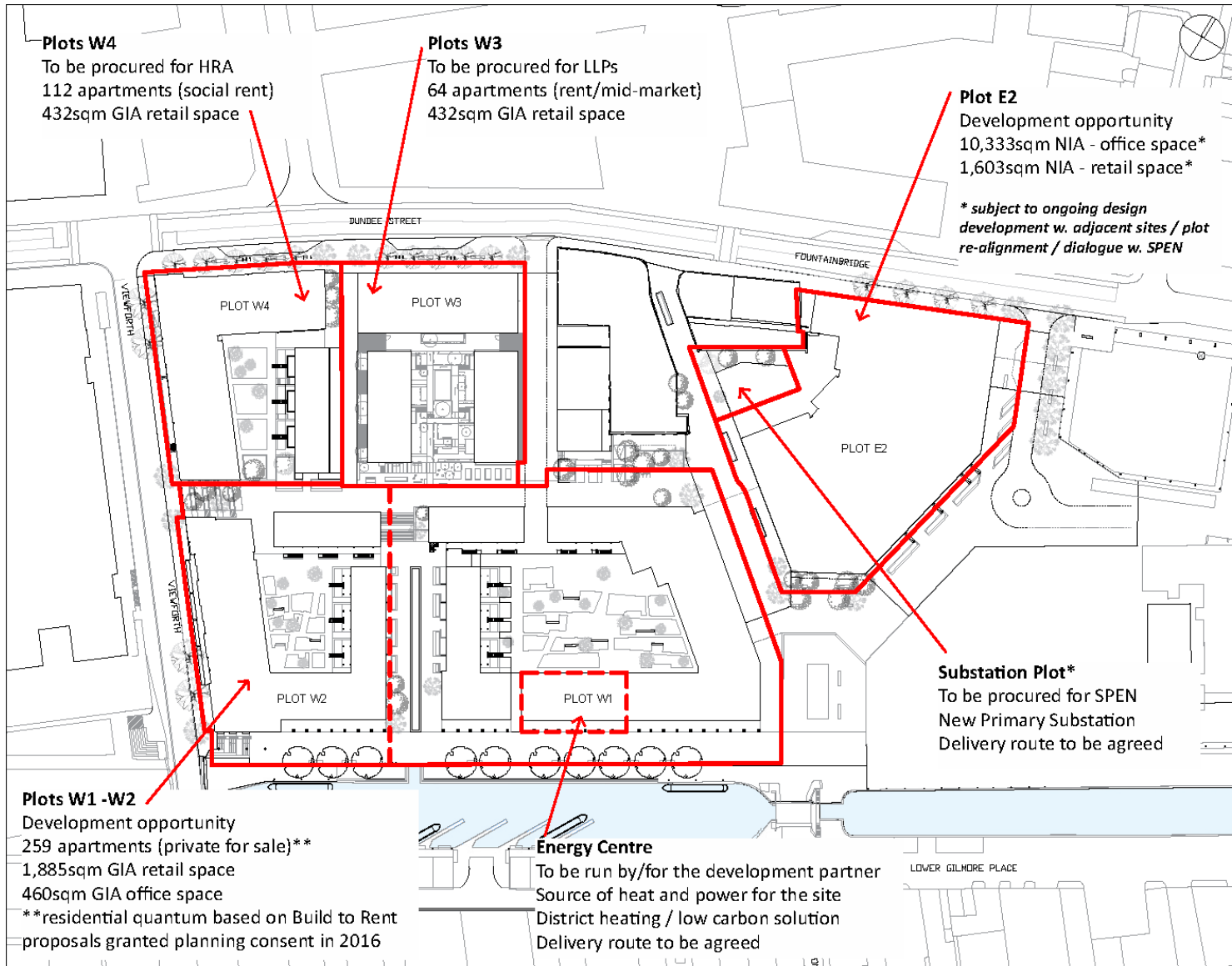
9. Appendices

- 9.1 Appendix 1 – Summary of Tendering and Tender Evaluation Process.
- 9.2 Appendix 2 – Fountainbridge site plan.

Appendix 1 – Summary of Tendering and Tender Evaluation Processes

Contract	Fountainbridge Development including Pre-Development Period	
Estimated Contract Value (including extensions)	£1,109,937 for the Pre-Development Period	
Procurement Route Chosen	Competitive Procedure with Negotiation	
Tenders Returned	6 Initial Tender Returns, 3 Final Tender Returns	
Name of Recommended Supplier(s)	Cruden Homes (East) Ltd	
Price / Quality Split	Price 30%	Quality 70%
Evaluation criteria and weightings and reasons for this approach	Pre-Development Costs	40%
	Additional Services	10%
	Development Management Fee	10%
	Overage	40%
	Project Delivery Team	17.5%
	Project Programme and Narrative	12.5%
	Approach to Pre-Development Period	20%
	Site Proposals	17.5%
	Procurement and Sub-Contractor Accreditation Process	5%
	Community Engagement and Consultation	12.5%
Community Benefits	5%	
Approach to Environmental Requirements	5%	
Fair Work Practices	5%	
Business Continuity	5%	
Contract Documents	Pass/Fail	
Evaluation Team	Senior Project Manager, Place Senior Responsible Officer, Place Investments Senior Manager, Resources	

Appendix 2 – Fountainbridge site plan



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Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Active Travel Investment Programme - Programme Management Office Support

Executive/routine	Routine
Wards	All
Council Commitments	16, 17, 18, 27

1. Recommendations

- 1.1 Finance and Resources Committee is asked to:
- 1.1.1 Approve the extension of the current waiver via of the Council's Contract Standing Orders (CSOs) with Turner and Townsend with support from Anturas Consulting, for the continuing provision of Programme Management Office (PMO) support for the Active Travel Investment Programme (ATINP);
 - 1.1.2 Note that this would include project and commercial management for the City Centre West East Link (CCWEL) scheme and for the development of prioritised transport actions within the Local Development Plan Action Programme (LDPAP); and
 - 1.1.3 Note that the value of this waiver would be £411,650.

Paul Lawrence

Executive Director of Place

Contact: Gavin Brown, Service Manager – Network Management & Enforcement

E-mail: gavin.brown@edinburgh.gov.uk | Tel: 0131 469 3823

Active Travel Investment Programme - Programme Management Office Support

2. Executive Summary

- 2.1 This report seeks approval for the extension of the current waiver via the Council's Contract Standing Orders (CSOs) with Turner and Townsend with support from Anturas Consulting (Anturas), for the continuing provision of Programme Management Office (PMO) support for the Active Travel Investment Programme (ATINP).

3. Background

- 3.1 The Council's ATINP 2019 – 2024 was approved by the Transport and Environment Committee in [June 2019](#).
- 3.2 To support the implementation of the Programme Delivery Plan, Turner and Townsend was initially commissioned via Lot 7 (Project Management Services) of the Scotland (SXL) Engineering and Technical Consultancy Services Framework.
- 3.3 The original remit was to provide additional capability and capacity for a number of infrastructure programmes including Active Travel, City Deal West Edinburgh Transport Improvements (CDWETI), Local Development Plan Action Programme (LDPAP) and Granton Waterfront Regeneration.
- 3.4 The original contract was approved by Finance and Resources Committee on [23 May 2019](#) and was expected to be in place until the end of December 2019. The value of this original appointment to Turner and Townsend (with Anturas Consulting) was £137,800 (for the Active Travel element only). This arrangement was subsequently extended, at no additional cost, until May 2020.
- 3.5 Turner and Townsend, with the support of Anturas, have developed all the current PMO procedures, governance and support structures across the ATINP. As a result of their collaborative work with the Council's Active Travel team, they have acquired an extensive knowledge and understanding of the particular requirements, aspirations and constraints around the Programme.
- 3.6 Given the importance of delivering safe schemes for walking and cycling in the short, medium and long-term to respond to Covid-19 and to ensure momentum was

maintained in the wider ATINP programme, an extension to this contract period was approved by Policy and Sustainability Committee on [14 May 2020](#) via a waiver of the CSOs) for a maximum value of £374,925 to March 2021. This arrangement has been extended, at no additional cost, until April 2021.

- 3.7 The extension approved in May 2020 also included the provision of project and commercial management services for CCWEL and project management for the development of prioritised transport actions within the LDPAP.

4. Main report

- 4.1 Working closely with the Council's Active Travel team, the support of Turner and Townsend, with Anturas Consulting, has enabled the four major schemes in the ATINP – City Centre West East Link (CCWEL), Roseburn Path – Union Canal, Meadows to George Street and West Edinburgh Link – to continue to progress towards construction, especially since the outbreak of COVID-19.
- 4.2 In order to support the on-going delivery of the ATIP in the short term, it is requested that the existing waiver to the Council's CSOs be extended up to a value of £386,450.
- 4.3 This extension will ensure that the Council maintains progress on the ATIP and ensures continuity of support for the programme while in-house capacity is put in place to take forward this programme in the future.
- 4.4 In addition, it is expected that the extension will support the team to develop the highest priority transport actions within the LDPAP according to the agreed governance and management protocols and will provide ongoing project and commercial management support for the CCWEL scheme to March 2022.

5. Next Steps

- 5.1 Subject to the Committee's approval, the contract with Turner and Townsend, with Anturas, will be extended, via a waiver of the CSOs, to support the delivery of the ATINP, including commercial and project management support for CCWEL, and the LDPAP up to a value of £411,650.
- 5.2 It is intended to increase the Council's in-house capacity to manage and deliver the ATIP and to have these resources in place by October 2021.
- 5.3 As part of the transition arrangements, the Council team will continue to work closely with Turner and Townsend and Anturas on the existing programme and on developing a transition plan for implementation from October 2021. It is hoped that the handover on the ATIP programme will be complete by the end of this calendar year, with support on CCWEL continuing until the end March 2022.

6. Financial impact

- 6.1 The total cost of this contract extension is £411,650.
- 6.2 These costs are based on SXL Framework rates at the beginning of the commission in May 2019. However, the rates have not been subject to inflation or salary related rises since then. This has been negotiated and agreed with the consultants.
- 6.3 The cost of this contract extension will be met from the ATINP budget for financial year 2021/22. This funding includes capital funding from the Council, Sustrans match funding from their Places for Everyone (PfE) programme and the Scottish Government's annual Cycling Walking Safer Routes (CWSR) grant.

7. Stakeholder/Community Impact

- 7.1 There are no equalities impacts arising from this contract extension. There is potential for procurement challenge, given the overall value/scope of the commission by Direct Award through the SXL Framework.
- 7.2 However, this risk is considered to be low and the extension is in the Council's best interests at this time giving cognisance to the current Covid-19 situation, the highly developed knowledge and experience of the individuals involved in relation to scoping the programme to date and understanding of the governance procedures moving forward.
- 7.3 As suppliers under the SXL Framework, Turner and Townsend produce quarterly Community Benefits (CB). A summary of these are outlined below, with fundraising and volunteering included in Appendix 1.
- 7.4 As suppliers under the SXL Framework, Turner and Townsend produce quarterly Community Benefits (CB) reports as part of their commitment to increase social value. KPIs associated with CBs may include:
 - 7.4.1 Delivery of/assistance with small scale community-based projects.
 - 7.4.2 Delivery of educational initiatives with schools / further / higher education establishments.
 - 7.4.3 Creation of opportunities training to local community.
 - 7.4.4 Provision of corporate support to the local community.
- 7.5 Specifically, in Scotland, Turner and Townsend are supporting #TT5000Futures as follows:
 - 7.5.1 With the National Literacy Trust they run workshops designed to instil a love of reading, and to raise children's aspirations. They are working with schools in Edinburgh, Glasgow and Stirling.
 - 7.5.2 With Action for Children, they have used their education fund to issue grants to purchase school essentials, to help children and young people overcome barriers to education.

7.5.3 Turner and Townsend embrace the Modern Apprenticeship programme and employ a number of apprentices in Scotland.

7.5.4 Their Science, Technology, Engineering and Mathematics (STEM) ambassador programme has a specific focus on encouraging women into these industries to stimulate a more diverse workforce.

7.6 As part of this commission, Turner and Townsend are collaborating with Anturas Consulting, an Edinburgh based SME, in this commission. All the team members of Anturas Consulting are part of the STEM ambassador programme and participate actively in STEM activities.

7.7 There are a range of recognised, evidence-based benefits resulting from increased investment in cycling and walking infrastructure.

8. Background reading/external references

8.1 None.

9. Appendices

9.1 Appendix 1 – Community Benefits

Appendix 1 – Community Benefits

Fundraising FY 2019/20		Fundraising FY 2020/21	
Organisation	Value	Organisation	Value
Action for Children	£1,646.54	Pancreatic Cancer Research (10k/365days)	£1,550
SANDs (Now Held in Your Hearts)	£183.00	Held in our Hearts	£280
Cash for Kids	£1,534.00		
The Earl Grey Saxes	£41.05		
Harmeny House	£2,455.92		
Movember for Men's Health	£3,000.00	Movember for Men's Health	£984.00
Volunteering FY 2019/20		Volunteering FY 2020/21 *	
Organisation	Time	Organisation	Time
Fairview School	232 hours		
Harmeny House			
Mission Christmas			
NLT at Canal View Primary			
ICE Reviewer	60 hours (2020)	ICE Reviewer	25 hours (2021)
Other Activities			
Milk Bottle Tops (collected for Cancer Research)	N/A		
Blood Donations (various)	N/A		

* Impacted by COVID-19

Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Design Engineering Services for Active Travel Schemes

Executive/routine	Executive
Wards	All
Council Commitments	17, 18, 19, 39

1. Recommendations

- 1.1 It is recommended that Finance and Resources Committee:
- 1.1.1 Notes that the Council commissioned design engineering suppliers for a number of active travel schemes utilising the Council's previous Professional Services Framework, which has now expired;
 - 1.1.2 Approves retention of these existing suppliers for the 14 projects listed in the report, via a new direct award commission under the Scotland Excel Framework (or alternative framework in the case of Capita Ltd); and
 - 1.1.3 Notes that a new procurement process will be undertaken to appoint new suppliers using the Council's new Professional Services Framework for three further projects which are at an earlier stage in the design lifecycle.

Paul Lawrence

Executive Director of Place

Contact: Gavin Brown, Network Management and Enforcement Manager

E-mail: gavin.brown@edinburgh.gov.uk | Tel: 0131 469 3823

Design Engineering Services for Active Travel Schemes

2. Executive Summary

- 2.1 This report proposes the retention of existing suppliers who are currently providing design engineering services for 14 active travel projects. These commissions are due to expire shortly, however these suppliers are not part of the Council's new Professional Services Framework and therefore it is proposed to appoint them via a direct award primarily under the Scotland Excel Framework, in the interests of continuity and to avoid abortive work.

3. Background

- 3.1 The Council previously commissioned design engineering support for a number of active travel projects utilising the Council's previous Professional Services Framework. This Framework expired in March 2021.
- 3.2 Projects awarded during the previous framework's lifetime may extend beyond the life of that framework. However, post framework expiry there is no mechanism for maintaining consistency of supplier for further Royal Institute of British Architects (RIBA) Stages that have yet to be commissioned.
- 3.3 Under this Framework, a number of design engineering commissions were awarded to AECOM Ltd and one was awarded to Capita Ltd. These commissions were awarded at various RIBA Stages.

4. Main report

- 4.1 The Finance and Resources Committee approved a new Professional Services Framework on [29 October 2020](#) to a number of suppliers however neither Capita Ltd nor AECOM Ltd were successful in being appointed.
- 4.2 A review of the existing Active Travel schemes shows that there are 14 commissions where AECOM Ltd and Capita Ltd are currently providing design engineering support and which the Council would wish to extend to completion of the RIBA Stages.
- 4.3 To provide continuity, it is proposed to retain AECOM Ltd for the project that they are working on, via a new direct award commission under the Scotland Excel Framework.

- 4.4 An alternative approach will be required to re-commission Capita Ltd as they are not currently on the Scotland Excel Framework. This will be progressed by the Active Travel team working closely with Commercial and Procurement Services.
- 4.5 The reasons for proposing extending these existing commissions is due to the suppliers' extensive knowledge of these projects to an advanced stage in their lifecycle and to ensure continuity in the design process, reducing the risk of abortive work, lost time and increased cost. Abortive work is particularly a risk as, if the re-tendering of a design engineer is required, the new supplier may not be willing to accept responsibility for any options appraisal or design work undertaken by the previous supplier.
- 4.6 The full list of projects affected are outlined in Appendix 1 and the total estimated value of the work to be procured in this way is £1,351,745.
- 4.7 There are a further three commissions which are due to expire at the conclusion of the current Stage of the project. It is proposed to undertake a new procurement process to appoint a new supplier under the Council's new Professional Services Framework, to progress these projects towards their conclusion. Although these projects are already underway, they are currently at an earlier stage or the risk of abortive work is lower.
- 4.8 These projects are listed in Appendix 2 and the total estimated value of the work to be procured in this way is £188,892.

5. Next Steps

- 5.1 Subject to the approval of the recommendations in this report, work will commence, in conjunction with Commercial and Procurement Services, on commissioning the relevant supplier for the projects listed in Appendix 1, through direct award via the Scotland Excel Framework (or an alternative framework in the case of Capita Ltd).
- 5.2 For the projects outlined in Appendix 2, work will continue until the end of the current commission. Sourcing of a new supplier for future stages will be via the Council's new Professional Services Framework.

6. Financial impact

- 6.1 The total estimated value of the future work that is proposed to be procured by direct awards to the current supplier under the Scotland Excel framework is £1,351,745.
- 6.2 The total estimated value of the future work that is proposed to be procured for future Stages through the Council's Professional Services Framework is £188,892.
- 6.3 The specified projects are receiving funding through Sustrans' Places for Everyone (PfE) programme. Under this programme, the projects will receive 100% funding from Sustrans for design costs, provided that the designs incorporate a series of design principles and outcomes.

7. Stakeholder/Community Impact

- 7.1 Scotland Excel have confirmed that the Engineering and Consultancy Framework can facilitate direct awards in this manner.
- 7.2 There are no equalities or sustainability impacts directly arising as a result of this report.

8. Background reading/external references

- 8.1 None.

9. Appendices

- 9.1 Appendix 1 – List of projects where it is proposed to continue with existing supplier
- 9.2 Appendix 2 – List of projects where it is proposed to source through the new Professional Services Framework

Appendix 1: Projects Proposed to continue with existing supplier

Project	Consultant	Stage 0	Stage 1	Stage 2	Stage 3	Stage 4	Stage 5	Totals
Morrison Street	AECOM		£84,987.00	£80,726.00	£86,000.00	£105,000.00		£356,713.00
NEAT Connections	AECOM		£94,313.00	£107,000.00	£150,000.00	£150,000.00		£501,313.00
A8 - Gogarstone to Middle Norton	AECOM		£5,804.00	£7,986.00	£54,068.88	£40,000.00	£15,000.00	£122,858.88
Davidsons Mains	AECOM		£14,532.00	£43,795.00	£31,398.00	£15,000.00	£8,000.00	£112,725.00
Meadows to Union Canal	Capita		£20,400.00	£80,482.87	£33,630.00	£71,820.00	£75,000.00	£281,332.87
CCWEL	AECOM				£256,590.37	£933,079.00	£312,400.00	£1,502,069.37
QuietRoute 9	AECOM			£26,430.17	£36,742.67	£32,866.67	£28,516.00	£124,555.51
QR30 Holyrood Park to RCT	AECOM				£57,610.00	£40,000.00		£97,610.00
Meadows to Bread St	AECOM			£56,355.00	£40,603.00	£45,000.00		£141,958.00
QR51 St Leonards to Canongate	AECOM				£51,756.00	£26,500.00		£78,256.00
Tram Safety Improvements	AECOM					£47,852.00	£38,329.00	£86,181.00
One-Way Street Exemptions	AECOM	£10,264.00	£1,274.50	£6,455.00	£74,378.00	£16,852.00	£10,000.00	£119,223.50
QR5 Holyrood Park	AECOM				£51,756.00	£50,000.00		£101,756.00
Leith Connections	AECOM		£32,374.56	£44,059.00	£229,155.50	£130,352.00	£50,000.00	£485,941.06
Committed		£10,264.00	£253,685.06	£346,289.04	£917,688.42	£1,232,821.67		£2,760,748.19
To be Procured				£107,000.00	£236,000.00	£471,500.00	£537,245.00	£1,351,745.00
Total		£10,264.00	£253,685.06	£453,289.04	£1,153,688.42	£1,704,321.67	£537,245.00	£4,112,493.19

To be procured

Committed through existing FW

Procurement completed prior to April 2019

Appendix 2: Projects Proposed to be sourced through the new Professional Services Framework (at the completion of the current commission)

Project	Consultant	Stage 0	Stage 1	Stage 2	Stage 3	Stage 4	Stage 5	Totals
Dropped kerbs (Tranche 2)	AECOM	No Data	No Data	£7,996.00	£33,672.00	£4,460.00	£22,764.00	£68,892.00
Cultins Road	AECOM	£2,906.00	£11,177.00	£20,000.00	£30,000.00	£30,000.00		£94,083.00
QR8 Balgreen to Edinburgh Park	AECOM		£25,136.00	£29,122.00	£20,000.00	£20,000.00		£94,258.00
Committed		£2,906.00	£36,313.00	£29,122.00				£68,341.00
To be Procured				£27,996.00	£83,672.00	£54,460.00	£22,764.00	£188,892.00
Total		£2,906.00	£36,313.00	£57,118.00	£83,672.00	£54,460.00		£234,469.00

To be procured
Committed through existing FW
Procurement completed prior to April 2019

Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Award of additional supply of Ticket Vending equipment – Edinburgh Trams

Executive/routine	Executive
Wards	All
Council Commitments	22

1. Recommendations

- 1.1 It is recommended that the Finance and Resources Committee:
- 1.1.1 approves the issue of an instruction to Edinburgh Trams (ET) to renew the obsolete Ticket Vending equipment for current line and purchase of the equipment required for the Newhaven extension through its contract with Flowbird Transport Limited; and
 - 1.1.2 notes the contract extension of the scope of the existing contract to update the ITSO certification awarded to Flowbird Transport Limited, through a waiver of the Contract Standing Orders, at an estimated total cost of £638,000. This contract extension was approved as an urgent decision in accordance with section 4.1 of the Council's Committee Terms of Reference and Delegated Functions by the Executive Director of Place, in consultation with the Convenor and Vice Convenor of Finance and Resources.

Paul Lawrence

Executive Director of Place

Contact: Hannah Ross, Senior Responsible Officer, Trams to Newhaven Project

E-mail: hannah.ross@edinburgh.gov.uk | Tel: 0131 529 4810

Award of contract for Ticket Vending equipment – Edinburgh Trams

2. Executive Summary

- 2.1 This report seeks approval to issue an instruction to ET to procure the renewal of the obsolete Ticket Vending equipment on the Edinburgh tram line and to procure new Ticket Vending equipment for the line to Newhaven by awarding a modification to the existing contract with Flowbird Transport Limited.
- 2.2 Finally, this report asks committee to note the contract extension of the scope of the existing contract to update the ITSO certification awarded to Flowbird Transport Limited, through a waiver of the Contract Standing Orders, at an estimated total cost of £638,000. This contract extension was approved as an urgent decision in accordance with section 4.1 of the Council's Committee Terms of Reference and Delegated Functions by the Executive Director of Place, in consultation with the Convenor and Vice Convenor of Finance and Resources. It should be noted that this contract extension was awarded prior to the novation of the Flowbird Transport Limited contract to Edinburgh Trams, and was therefore awarded by the Council to Flowbird Transport Limited.

3. Background

- 3.1 The Council owns the tram equipment and infrastructure required to operate the tram line from the Airport to York Place. ET operates that equipment and infrastructure to deliver tram services under an Operations and Maintenance contract between the Council and ET.
- 3.2 The Council is responsible for the renewal of the tram equipment and infrastructure, which takes place when required including when the equipment and infrastructure is beyond economic repair. The ticketing equipment for the tram line from the Airport to York Place has reached obsolescence and needs to be replaced. Ticketing equipment is also required for the section of line from York Place to Newhaven on opening. Therefore, the procurement of a single line solution has been developed.

4. Main report

Requirement for renewal

- 4.1 The Council approved the award of contract for provision of ticketing equipment on the tram line from the Airport to York Place to Flowbird Transport Limited (then known as Parkeon Transit Limited) (“Flowbird”) on [13 December 2012](#). The contract was for provision of ticketing equipment and for maintenance of the ticketing equipment for a period of five years. Since then maintenance has continued to be provided by Flowbird on an annual basis.
- 4.2 The current equipment including platform validators, handhelds and back office will be obsolete by 21st November 2021 due to expiry of the ITSO certification so will need to be upgraded. ITSO concessionary products are facilitate the Scottish National Concessionary Travel Scheme.
- 4.3 The line to Newhaven is scheduled to open for revenue service in Spring 2023. Ticketing equipment is needed to be available on that date and the same ticketing system should be available across the full line from Airport to Newhaven for ease of operation, maintenance and passenger use.

Objectives of renewal

- 4.4 A series of objectives were identified in developing the scope for the renewal of the Ticketing Vending equipment, working with ET. Those are:
- 4.4.1 resolve system obsolescence and achieve ITSO compliance so that concessionary ticketing is supported and revenues are not impacted;
- 4.4.2 support ET’s revised operating strategy to reflect usage through providing more platform validators. A separate exercise has already been undertaken to identify the number of Ticket Vending Machines (TVMs) and platform validators (PVs) required at each tram stop. The analysis, based on usage and expected demand, shows the number of TVMs and PVs to be relocated and the quantity of the new PVs to be procured and installed;
- 4.4.3 functionality of new systems must meet or exceed existing system performance requirements and enhanced features to offer better operational flexibility;
- 4.4.4 contactless Model 2 Pay-as-you-go (PAYG) Account Based Ticketing (Tap Tap Tram) to mirror existing capping functionality on Lothian Buses and integrate with Lothian Buses back office to provide capping across Edinburgh services;
- 4.4.5 ET accepts the Ridacard scheme which is a Flowbird product owned and hosted by Lothian Buses. Approximately 15% of ET patronage is through Ridacard, based on 2019 figures. The Ridacard product is a season ticket configured to provide concessionary fares for frequent and or multimodal use or students etc. This season ticket product will still be required by both Lothian Buses and ET moving forward and continued access to the Ridacard scheme is therefore an objective of the renewal; and

4.4.6 delivery timescales are driven by the need to address the obsolescence of the existing solution and to ensure systems are in place for the open for revenue service of the Trams to Newhaven project.

It should be noted that the objectives of renewal include interface with Lothian Buses both in terms of back office functionality and access to the Ridacard system. Lothian have projected that their ticketing system is likely to be due for replacement in 2024 or 2025. In order for an interface to be maintained they would also have to take account of the interface with ET as part of their future procurement.

Routes to market

- 4.5 Legal and technical advice was taken on how best to meet these objectives. A technical note was provided by Atkins which considered that an open procurement could introduce technical challenges and risk. They considered that to meet the needs of the Trams to Newhaven project and address the identified the Council objectives, the most appropriate package would be a single integrated back office solution that replaces the existing ET back office functionality, is ITSO compliant, supports contactless payments and has the capacity to be integrated with other modes, including Lothian Buses' back office solution. Using Flowbird as the supplier through single source, provides the most appropriate, short term technical option. They noted that the technical proprietary nature of the existing systems and products would require extension or integration which would have to be performed primarily by Flowbird. Therefore, the introduction of an alternate supplier could introduce technical and commercial complexity with significant delays, duplication of services and costs.
- 4.6 The Council took legal advice on the basis of the technical advice note, and a compliant route to market by modifying the existing Flowbird Contract pursuant to Regulation 86(1)(b) of the Utilities Contracts (Scotland) Regulations 2016 was identified.
- 4.7 Therefore, it is considered that a single source with Flowbird represents the optimal approach for this renewal.

Contractual position

- 4.8 The existing contract with Flowbird was novated to ET on 30 April 2021 in line with the transfer of maintenance responsibility for the tram line to ET. Therefore, the extension to the existing contract will be awarded to Flowbird by ET, with an identical instruction issued by the Council to ET under their operations and maintenance contract to procure the renewal. The Council will then manage ET under the operations and maintenance contract to ensure that the renewal is delivered.
- 4.9 It would be possible for the Council to award a contract directly to Flowbird for the renewals element (as opposed to instructing ET to utilise its contract with Flowbird). However, considering that would introduce an additional interface between the renewals work and the operational tramline, and also an additional interface between the renewals work and ongoing maintenance, that approach is not recommended.

Approval under urgency

- 4.10 Separately, in order to ensure that the timescale of 21 November 2021 for ITSO certification could be met, and taking into account the lead in timescales advised by Flowbird, a request was made to the Executive Director of Place under section 4.1 of the Council's Committee Terms of Reference and Delegated Functions, that the scope of the existing contract with Flowbird be extended to allow them to commence the work required to update the ITSO certificate by 21 November 2021. This approval was given in consultation with the Convener and Vice Convener of the Finance and Resources Committee and the contract amendment issued to Flowbird for the sum of £638,000. This award was made by the Council prior to the novation of the contract to ET and therefore the instruction was given by the Council direct to Flowbird, utilising the existing contract. Following completion of the novation ET will now manage delivery of this aspect of the works package, and ET will be managed by the Council as noted above.

5. Next Steps

- 5.1 Subject to committee approval, an instruction will be issued by the Council to ET instructing them to procure the required renewals from Flowbird.
- 5.2 Following the award of the contract, Council officers from the public transport team and the Trams to Newhaven Project will work with ET and Flowbird to implement the required renewals and maintenance packages.
- 5.3 The Public Transport team will ensure that effective contract management is delivered throughout the lifecycle of the Contract, in accordance with the Council's contract management framework and with the support of the Contracts and Grants Management Team, as necessary.

6. Financial impact

- 6.1 The cost of procuring the renewal totals £1,740,000 of this sum, £990,000 is paid for from the public transport tram renewal budget and £750,000 from the Trams to Newhaven project budget. This split represents the pro rata cost of delivering the renewal between the existing tram line and the line to Newhaven. The cost of the approval under urgency contained at 4.10 is included within this sum.
- 6.2 There is provision in each budget for the sums due to be paid and the renewal can be delivered without pressure on other budgets.
- 6.3 In procuring the renewal passengers will have access to a greater range of ticketing payment options, and the ability to cap their tram ticket costs in the same way currently available on Lothian Buses and ultimately would have the equipment to facilitate multimodal capping at a point in time. As noted above, this approach relies on Lothian Buses taking account of the ET system at the time of their renewal.

7. Stakeholder/Community Impact

- 7.1 The introduction of capped ticketing and ultimately an integrated multi modal solution removes barriers to travel and supports the City Mobility Plan.

8. Background reading/external references

- 8.1 None.

9. Appendices

- 9.1 None.

Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Award of contract: Support for People in Recovery from Drug and/or Alcohol Addiction

Routine	
Wards	All
Council Commitments	31

1. Recommendations

- 1.1 It is recommended that the Finance and Resources Committee:
- 1.1.1 Approves the award of a contract for Support for People in Recovery from Drug and/or Alcohol Addiction to Cyrenians.
 - 1.1.2 Approves the commencement of the contract on 1st September 2021 for an initial period of 5 years with the option to extend for a further 3 years, with a total estimated value of £1.4million.

Judith Proctor

Chief Officer, Edinburgh Health and Social Care Partnership

Contact: David Williams, EADP Joint Commissioning Officer

E-mail: David.Williams@edinburgh.gov.uk | Tel: 0131 553 8217

Award of Contract for Support for People in Recovery from Drug and/or Alcohol Addiction

2. Executive Summary

- 2.1 This report seeks approval to award a contract to Cyrenians to deliver support for people in recovery from drug and/or alcohol addiction. The service is to commence on 1st September 2021 for an initial period of 5 years with the option to extend for a further 3 years, at an estimated total cost of £1.4million.

3. Background

- 3.1 Edinburgh Alcohol and Drug Partnership (EADP) oversees the development and implementation of an alcohol and drug strategy for the city. It is a partnership between the City of Edinburgh Council, NHS Lothian, Police Scotland, the third sector and those with lived experience of addiction and recovery.
- 3.2 The Serenity café closed in 2018. This left a significant gap in the recovery orientated system of care which has been challenging to fill. In the period since the closure, the Council have worked with Edinburgh Voluntary Organisations' Council (EVOC) to gather the former users of Serenity café and other groups and to undertake a needs assessment to better describe the needs and expectations of the group.
- 3.3 After substantial consultation with the recovery community, EADP were seeking to create a service that would support the latter stages of people's recovery journey. This would be a community-based service, which is based in a single, focal building and which is led by the community (currently a board) which will deliver the following outcomes:
- 3.3.1 Reduced isolation and access to a mutually supportive community of people with a shared experience of addiction and recovery.
 - 3.3.2 Low threshold, normalised access to a safe space offering accessible leisure and social opportunities.
 - 3.3.3 Meaningful activity and skills development – elements of work training and personal development.

- 3.4 This commissioning intention was agreed with IJB and the Council is commissioning this service on their behalf

4. Main report

- 4.1 In early 2019, Edinburgh Alcohol and Drug Partnership provided funding for EVOC to carry out a needs assessment with the recovery community. The scope of the exercise was to explore ways that the recovery community can be effectively supported and identify the criteria for service development, particularly for those in or seeking long term, abstinent recovery. The exercise centred on consultation with the recovery community and concluded that the most desirable model of support was a single building operated in line with community development approaches.
- 4.2 The specification for the new service was further developed with the steering group consisting of users of Edinburgh Recovery Activities (ERA) (an interim project developed to provide support to the recovery community).
- 4.3 In January 2020 a Prior Information Notice (PIN) was published on Public Contracts Scotland (PCS) to invite providers with an interest to attend and discuss the support service for Edinburgh's recovery community.
- 4.4 The event was attended by 19 organisations on 12th February 2020, information was provided on the work and relationships achieved to date through Edinburgh Recovery Activities. The event was an opportunity to discuss achievements to date, the proposed service specification, the outcomes and the procurement process. The event enabled the Council to gain invaluable market research on location, contract length, approach to procurement to increase co development and reduce the tender cost pressures that can arise.
- 4.5 Upon completion of the co-production event feedback was fed into the procurement strategy. It was also noted the cost of writing a tender and therefore to reduce the cost and time it was agreed that a two-stage process with the option to negotiate would be best suited and a reduction to three providers moving to stage two. The length of the contract was also aligned to optimise rental agreements and agreed five years with the option to extend for three years.
- 4.6 A Contract Notice was published via PCS and the tender was run on PCS-tender.
- 4.7 As this is a Social Care service the tender was published in accordance with the Public Contracts (Scotland) Regulations 2015 with the Light Touch Regime applied.
- 4.8 The four tenders received were evaluated based on the most economically advantageous tender (MEAT), weighted 80/20 quality/price. Due to the nature of the tender and the vulnerable community group the quality provides for 80%. Details of the evaluation criteria can be found in appendix 1. The top three tenders were taken to the next stage.
- 4.9 To ensure tenders were considered by those who would use the service, the evaluation panel included professionals with lived experience, Council Officers and representatives of the recovery community ERA.

- 4.10 Stage two resulted in two responses and the tenders were evaluated on two quality elements, one by an evaluation panel based on written proposals and the other via presentation scored by the steering group made up of lived experience members. Both tenders came in within budget of £175,000 per annum for the 5 years as per the evaluation. Details of the evaluation criteria can be found in appendix 2.
- 4.11 Cyrenians achieved a total score of 86.95% and are recommended for award of contract.
- 4.12 As this is a building-based service The Scottish Government guidance for indoor gathering has an impact on the ability to run the community hub. The implications of the guidance mean that capacity to support people from a building base is greatly reduced in order to maintain physical distancing. Tenderer capacity to deliver during Covid-19 restrictions was addressed under business continuity questions.

5. Next Steps

- 5.1 Subject to approval, the services will commence on the 1st September, this will allow for start-up from award to 1st September 2021.
- 5.2 The contract will be handed over to the Edinburgh Health and Social Care Partnership Contracts team and will be added to PCS tender for contract monitoring and management.

6. Financial impact

- 6.1 The contract value is £175,000 per annum and is fixed for the first 5 years. The value of the contract for the extension period will be discussed in year 4 however it is anticipated a total increase of £48,800 may apply for year 6,7 and 8 if the extension period is utilised and funding allows. If the budget cannot increase at this time the service will be adjusted to ensure it is delivered for £175,000.
- 6.2 The costs associated with procuring this contract are estimated to be between £20,001 and £35,000.

7. Stakeholder/Community Impact

- 7.1 An Integrated Impact Assessment has been completed and all recommendations have been addressed throughout the tender process.
- 7.2 No significant adverse environmental impacts are expected to arise from this contract.
- 7.3 This procurement has been taken forward in accordance with the Council's Sustainable Procurement Strategy, including the objectives of making procurement spend more accessible to local small businesses/third sector, improving Fair Work practices adopted by suppliers and increasing community benefits delivered by

suppliers. In connection with this, the tenderer confirmed a number of community benefits which will add value to their service and the community, Covid measures allowing. These included local volunteering opportunities, increased community revenue through project fundraising and a recruitment drive from unemployed backgrounds.

- 7.4 Cyrenians have confirmed that they pay the Scottish Living Wage and above and are a Scottish Living Wage Accredited provider.
- 7.5 Cyrenians provided evidence of Fair Work Practice in line with the Scottish Government Fair Work Practice Framework of effective voice, opportunity, security, fulfilment and respect.
- 7.6 The success of this contract will be measurable against Key Performance Indicators which are detailed in the Specification.

8. Background reading/external references

[National principles for sustainability payments to social care providers during COVID 19, COSLA](#)

[Guidance for financial support for social care providers during COVID 19](#)

[Coronavirus \(COVID-19\): Guidance on adult social care building-based day services](#)

9. Appendices

Appendix 1 - Summary of Tendering and Tender Evaluation Processes (stage one)

Appendix 2 - Summary of Tendering and Tender Evaluation Processes (stage two)

Appendix 1 - Summary of Tendering and Tender Evaluation Processes (stage one)

Contract	Support for People in Recovery from Drug and/or Alcohol Addiction	
Contract period (including any extensions)	1 st September 2021 to 31 st August 2026 with the option to extend for a further 3 years.	
Estimated contract value	£1,400,000 (Total including extensions)	
Procurement Route chosen	Light touch with negotiations.	
Tenders returned	4	
Price / Quality ratio	20/80	
Evaluation criteria and weightings	Area	Max Score
	Organisational Experience	20%
	Fair Working Practices	4%
	COMMUNITY BENEFITS	8%
	BUSINESS CONTINUTY	8%
	Sub Total	40%
	Collaborative/ Community led/ autonomy of the project	20%
	Sub Total	20%
	Outline plan	28%
	Implementation	12%
	Sub Total	40%
	Total	100%
	Weighted	80%
Evaluation Team	Evaluated by Commissioner and Professionals from EHSCP, NHS, Voluntary Sector, Edinburgh's recovery community Representative.	

Appendix 2 - Summary of Tendering and Tender Evaluation Processes (stage two)

Contract	Support for People in Recovery from Drug and/or Alcohol Addiction		
Contract period (including any extensions)	1 st September 2021 to 31 st August 2026 with the option to extend for a further 3 years.		
Estimated contract value	£1,400,000 (Total including extensions)		
Procurement Route chosen	Light touch with negotiations.		
Tenderers invited	3		
Tenders returned	2		
Recommended supplier	Cyrenians		
Price / Quality ratio	20/80		
Evaluation criteria and weightings		Max score	
	Presentation	Reasons/interest	7%
		Vision: overview of the proposed project	14%
		Project is owned by the community	14%
	Sub Total		35%
	1. Safe Space		6.9%
	2. Programme of Activities		4.6%
	3. Meaningful activity and employability development		4.6%
	4. Strong identity/owned by the community		4.6%
	5. Whole family support		4.6%
	6. Sustain recovery		4.6%
	7. Use of technology		2.3%
	Management, staffing, and infrastructure		6.4%
	Individual experience		3.7%
	Equalities		3.7%
	Sub Total		46%
	Implementation plan		19%
	Sub Total		19%
Total		100%	
Weighted		80%	
Evaluation Team	Evaluated by Commissioner and Professionals from EHSCP, Voluntary Sector, Edinburgh's recovery community representatives.		

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Finance and Resources

10.00am, Thursday, 20 May 2021

Health and Social Care Contracting Update

Executive/routine
Wards
Council Commitments

1. Recommendations

- 1.1 This report seeks approval from the Finance and Resource Committee for the waiver of Contract Standing Orders to allow the award of contract extensions to the providers for the value and duration as set out in the appendix to this paper.

Judith Proctor

Chief Officer, Edinburgh Integration Joint Board

Contact: Moira Pringle, Chief Finance Officer, Edinburgh Integration Joint Board

E-mail: moira.pringle@nhslothian.scot.nhs.uk

Health and Social Care Contracting Update

2. Executive Summary

- 2.1 This report sets out the current Health and Social Care Partnership commissioning activity and how this impacts on contractual arrangements including the requirement to waive the requirement of Contract Standing Orders to allow contracts to be extended at the expiry of the current contract duration.

3. Background

- 3.1 In line with the strategic plan and direction from the Edinburgh Integration Joint, the Board Edinburgh Health and Social Care Partnership (the Partnership) was actively procuring a range of services when the COVID-19 pandemic struck. This impacted both on the ability of the partnership to progress the procurement activity according to initial timescales and the scope for providers to provide services in line with service specifications. Commissioning activities have now resumed albeit timescales have been extended with a consequent impact on contractual renewals.
- 3.2 This paper sets out, on a service by service basis, the proposed contractual arrangements with supporting rationale.

4. Main report

- 4.1 The contractual arrangements covered by this paper, annual values, contract end dates and recommendations are summarised in the table below:

Contract	Annual value (£m)	Contract end date	Recommendation – contracts to be extended until
a) Shared overnight support	3.8	30 th Sept 2021	30th Sept 2022
b) Disabilities complex care	1.5	31 st August 2021	31 st August 2024
c) Edinburgh crisis centre	0.4	31 st March 2021	31 st March 2022
d) Agency staffing	N/A	N/A	N/A

- 4.2 These are discussed individually in paragraphs 4.3 to 4.12 below.

Shared Overnight Support

- 4.3 Also referred to as “sleepovers”, these services provide access to support for people who live in their own tenancy but may require a responder throughout the night. The associated contracts are predominately for those with a learning disability with a smaller number for mental health. This provision includes 21 providers who between them have 61 block contracts to deliver shared night time support, equating to 367 sleepovers. Excluding direct payments, the total value of these contracts, which are due to expire on 30th September 2020, is £3.7 million.
- 4.4 A year ago there was an intention to review these contracts and, where possible, move them to an overnight responder service, either locally or through a procured provider. The timetable was impacted by the pandemic as developing the associated strategy requires a co-production exercise with service users and carers. We are now in a position to progress a city wide responder procurement process which was published in the last week of April 2021.
- 4.5 In parallel, we will review the top seven providers of overnight support to seek a 5% reduction in these contracts by reducing the number of sleepovers by transferring people to the new responder services. We will need the existing contracts to be in place until the review is complete and the responder service is in place. It is therefore recommended that the 61 block contracts for shared overnight support are renewed for 1 year i.e. from October 2021 until October 2022.

Disabilities complex care

- 4.6 Living Ambitions submitted the successful tender to build and staff a new service to support people with complex needs and a learning disability. The purpose of this tender was to provide homes for people moving from long stay hospital and young people becoming adults. This is a key strategic target for the Edinburgh Integration Joint Board and a major stepping stone in moving acute care to the community. The

process of finding land, purchasing the land and acquiring planning permission took just over 36 months. The build process was 18 months, but delayed by at least 6 months by the pandemic meaning the complex care service/building will become operational in May/June 2021. Therefore it is recommended that the contract be extended by three years to August 2024.

Edinburgh Crisis Centre

- 4.7 The Edinburgh Crisis Centre provides 24/7 support, including overnight stay capacity, for people in crisis. The current contract with the provider Penumbra expired on 31st March 2021. In 2019 two stakeholder events were held to discuss how a wider range of services could work together to improve the response for people in distress and crisis. This is a complex review process involving multiple statutory and third sector partners, perspectives and operational and planning structures, as a result progress was slower than originally anticipated. Added to this, the COVID 19 pandemic has resulted in significant changes in the way crisis response services are delivered including the accelerated national rollout of the distress brief interventions programme delivered by Penumbra through NHS 24. More recently the Scottish Government's requirement on systems to redesign unscheduled care pathways including mental health has required further dialogue with key partners, including the Crisis Centre, In the context of the points above, it is recommended that the current Penumbra contract for the provision of the Edinburgh Crisis Centre is extended until 31st March 2022. This will enable the service to continue whilst we finalise the revised care pathways and define fully the requirement for 24 /7 support.

Agency staffing

- 4.8 Currently Reed Specialist Recruitment is on the Scotland Excel framework, although not for the Lothian region. The framework was reopened to allow current providers to submit bids for areas they were not included in. Accordingly, Reed submitted tender documents over Christmas and New Year. The final paperwork is being reviewed by Scotland Excel's legal department and, following this, it is expected that the framework will be extended to cover Reed by the end of May.
- 4.9 In the meantime care homes have been using Reed on a non-contracted basis to meet demand where the other framework agencies are unable to. Until the framework is extended the associated payments are classed as non-contracted spend and is covered by a waiver of the Council's Contract Standing Orders. However, despite pressure from a number of partnerships, it is taking longer than anticipated to conclude the framework expansion and the limit of the waiver permitted by delegated authority has been exceeded.
- 4.10 Until Reed receive an award letter from Scotland Excel confirming its place on the framework the Committee is asked to approve spend with the agency up to a value of £250k for this financial year.
- 4.11 Additionally, due to the current climate and Coronavirus restrictions in care homes we are experiencing additional agency usage to cover staff who are self isolating.

Current contracted suppliers are struggling to provide the necessary numbers. As a result officers have been using JB Nursing's staff base to fill shifts for care home staff when none of the other agencies are able to. This spend had been covered by a waiver but the level supported by this waiver has since been exceeded. Accordingly, the Committee is asked to approved spend with the agency up to a value of £1.1m for 20/21.

- 4.12 Funding for both these items is available within the budget for care homes delegated by the Edinburgh IJB to the Council.

5. Next Steps

- 5.1 If the recommendations in this paper are accepted officers from the Partnership will work with colleagues in Commercial Procurement Services to make the appropriate contractual arrangements.

6. Financial impact

- 6.1 The financial value of each contract is summarised in the appendix to this report. All proposed arrangements are within existing budgetary provision levels.

7. Stakeholder/Community Impact

- 7.1 Each of the ongoing procurement exercises has been co-produced with service users, providers and other relevant stakeholders. Specific details of engagement for each contract has been detailed above.

8. Appendices

Appendix 1 - Health and Social Care - recommended contract extensions

HEALTH AND SOCIAL CARE - RECOMMENDED CONTRACT EXTENSIONS

Contract	Annual value £	Timescales
<i>Shared overnight sleepovers</i>		
Ark Housing Association	364,854	
Autism Initiatives	418,382	
Barony Housing Association	99,843	
Blackwood Housing Association	185,906	
Carr Gomm	220,129	
Community Integrated Care	387,248	
Crossreach	61,685	
Enable	35,386	
Freespace	488,414	
L'Arche	117,275	
Leonard Cheshire	79,498	
LIN (Life Is Normal)	30,879	
Mears Care	92,374	
Penumbra	65,318	
Real Life Options	111,033	
Redwoods Caring Foundation	35,381	
Richmond Fellowship	125,852	
Share	272,677	
The Action Group	294,796	
Thistle Foundation	33,275	
Visualise	125,633	
With You	120,261	
Sub total shared overnight support	3,766,098	<i>30th September 2022</i>
<i>Disabilities complex care</i>		
Living Ambition Ltd	1,490,000	<i>30th August 2024</i>
<i>Edinburgh Crisis Centre</i>		
Penumbra	413,000	<i>31st March 2022</i>
<i>Agency staffing</i>		
Reed Specialist Recruitment	250,000	pending framework
JB Nursing	1,100,000	

Finance and Resources Committee

10am, Thursday, 20 May 2021

Award of Edinburgh and Midlothian Offending Recovery and Support Service

Executive/routine
Wards
Council Commitments

1. Recommendations

- 1.1 It is recommended that the Finance and Resources Committee
 - 1.1.1 Notes the award of the contract for the Edinburgh and Midlothian Offending Recovery and Support Service (EMORSS) to Change Grow Live (CGL) by the Head of Safer and Stronger Communities in consultation with the Convener and Vice-Convenor of the Committee under urgency provisions set out in paragraph 4.1 of the Committee Terms of Reference and Delegated Functions.
 - 1.1.2 Notes the period of contract is from 26 April 2021 to 25 April 2024 with option to extend annually for a further two years. The estimated value of this contract is £2,076,835 (inclusive of extension options).

Jackie Irvine

Head of Safer and Stronger Communities and Chief Social Work Officer

Contact: Carey Fuller, Acting Community Justice Senior Manager

E-mail: carey.fuller@edinburgh.gov.uk | Tel: 0131 529 5321

Award of Edinburgh and Midlothian Offending Recovery and Support Service

2. Executive Summary

- 2.1 Due to delays in finalising the NHS Health Needs Assessment (HNA) report to inform the requirement, the timeline for this project was impacted.
- 2.2 The contract for EMORSS was awarded under urgency provisions, on Tuesday 13 April 2021, with the contract taking effect from 26 April 2021. This facilitated the NHS Lothian remand pilot project (Appendix 1) being implemented with minimal delay; and the Council achieving best value and savings identified in paragraph 6 with minimal delay.

3. Background

- 3.1 The first generation contract for this service was implemented following a review and extensive consultation with a broad range of partners (City of Edinburgh Council, Midlothian Council, NHS Lothian, Police Scotland, legacy Lothian and Borders Community Justice Authority, SPS (Scottish Prison Service) and third sector partners).
- 3.2 Following this consultation, the funding partners commissioned an Offender Recovery Service (EMORS) for people, over the age of 18, from Edinburgh and Midlothian, serving sentences in Scottish prisons.
- 3.3 The majority of those are released from HMP Edinburgh and HMYOI Polmont. This Service has provided continuity of care from community services, to inside prison and back into the community. It has brought together the following services under one contract:
 - 3.3.1 Arrest Referral;
 - 3.3.2 Prison treatment and support; and
 - 3.3.3 Voluntary Throughcare.
- 3.4 The model provides complete continuity of care across the three key areas identified in the justice pathway, as per 3.3.

- 3.5 The service works with men and women in the justice system assisting them to address their unmet needs including addictions, financial difficulties, poor mental and physical health, and supports them to move away from their offending behaviour.
- 3.6 The previous contract for EMORSS was put in place in April 2014 for a period of three years, with the option to extend for an additional two years. The successful supplier was Lifeline Project Ltd.
- 3.7 Lifeline Project Ltd provided this service from April 2014 until they went into administration (June 2017). To ensure continuity of service provision, CGL were appointed to continue providing the services.
- 3.8 A waiver was approved in November 2018 which extended the Contract with CGL from 1 April 2019 to 31 March 2020. The waiver was required due to uncertainty regarding funding for the service beyond 31 March 2020 from one of the contributing parties. The contract with CGL was subsequently extended to the 22 April 2021.
- 3.9 The service is funded by three commissioning partners; the Council, NHS Lothian and Midlothian Council. The Council's contribution is paid for by criminal justice services whose budget is funded by the Scottish Government through a ring-fenced grant under Sections 27A and 27B of the Social Work (Scotland) Act 1968.
- 3.10 Historically the funding contribution is broken down as follows (Per annum):
 - 3.10.1 The Council's Justice Services contribute £311,279;
 - 3.10.2 Midlothian Council Justice Services contribute £15,150; and
 - 3.10.3 NHS contribute £176,697.
- 3.11 Prior to the new contract being advertised, stakeholders identified opportunities to streamline and increase efficiencies with regards to service delivery. It was agreed that the changes identified would be included and implemented in the revised specification, as detailed in Appendix 3.

4. Main report

- 4.1 A prior information notice (PIN) was published via Public Contract Scotland (PCS) on 30 July 2020, which attracted eight notes of interest.
- 4.2 A briefing note was issued via the PIN on PCS on 23 November 2020 which advised the market of amendments in the specification for the new contract, as per Appendix 3.
- 4.3 These amendments were agreed by partners with the intention of producing a more efficient and streamlined service for both the service provider and service users. By operating a more streamlined and efficient service, the Council will seek to improve service delivery while realising savings through this contract.
- 4.4 A contract notice was issued via PCS on 2 February 2021, with a return date of the 3 March 2021. Ten bidders noted interest in the contract notice.

- 4.5 Two bids were received via PCS. Commercial and Procurement Services (CPS) then undertook due diligence checks on the bids received including financial stability checks and criminal history checks (undertaken in liaison with Police Scotland). Both bidders passed these checks.
- 4.6 The bidders were evaluated against a Quality/Cost ratio of 65/35. The project team decided it was appropriate to allocate a higher evaluation weighting to the quality aspect of the evaluation. This was due to the complex and specific nature of the Council’s requirements, as well as the importance of high-quality submissions being received to provide assurance with regards to effective service delivery and service user experience.

Contractor	Quality Score % (Max 65%)	Price Score % (Max 35%)	Overall Score %
CGL	51.19	35.00	86.19
Bidder B	39.33	35.00	74.33

- 4.7 Due to the reduction in funding, the Council chose to publish the available budget for this contract. This was to ensure that bidders were aware of the budgetary pressures and to facilitate the Council receiving bids within the available budget.
- 4.8 Both bidders provided the same pricing proposal, which were both within budget. Tenders were evaluated by suitably qualified Council Officers from Safer and Stronger Communities. The evaluation process was overseen by CPS. A summary of the Tendering and Tender Evaluation Processes is included in Appendix 2.

5. Next Steps

- 5.1 Representatives from CGL and the Council will agree an implementation and delivery plan for CGL’s proposed community benefits, summarised at section 7.2.
- 5.2 The Contracts and Grants Management team (CAGM) will engage with the Safer and Stronger Communities (SSC) Contract Manager to ensure that effective contract management is delivered throughout the contract lifecycle. A Contract Management and Handover Report, detailing the necessary steps and measures, will be produced and agreed. It is envisaged that proactive contract management by SSC (to include robust monitoring of all appropriate management information, key performance indicators) will help deliver an effective and efficient service for the city of Edinburgh throughout the duration of the contact.

6. Financial impact

6.1

Funding partner	Year 1 2021/22	Year 2 2022/23	Year 3 2023/24	Year 4 2024/25	Year 5 2025/26

City of Edinburgh Council	£207,520	£207,520	£207,520	£207,520	£207,520
Midlothian Council	£15,150	£15,150	£15,150	£15,150	£15,150
NHS Lothian	£216,697	£216,697	£176,697	£176,697	£176,697
	Total £439,367	Total £439,367	Total £399,367	Total £399,367	Total £399,367

- 6.2 The NHS is contributing an additional £40,000 per annum in year's one and two of the contract, to fund a pilot initiative providing additional health support to people on remand in HMP Edinburgh detailed in Appendix 1.
- 6.3 Anticipated savings due to this award total £518,795.

7. Stakeholder/Community Impact

- 7.1 CGL are an accredited living wage supplier and have committed to paying workers involved in the delivery of EMORSS the real living wage.
- 7.2 CGL have provided assurances with regards to the staff used on this contract, particularly with regards to zero hours contracts not being utilised. CGL have also evidenced a recruitment pathway which provides support and equal access for people with convictions.
- 7.3 A named representative from CGL will liaise with the Council's contract manager to ensure effective delivery of Community Benefits. The community benefits offered include opportunities for local employment, community engagement, use of local supply chain and increased use of sustainable waste management measures.

8. Background reading/external references

- 8.1 N/A.

9. Appendices

- 9.1 Appendix 1 – Pilot Information.
- 9.2 Appendix 2 – Summary of Tendering and Tender Evaluation Processes.
- 9.3 Appendix 3 – Summary of Contract Service Delivery Revisions.

Appendix 1 – Pilot Information

For the first two years of the contract, the service will provide a dedicated resource to people on remand in HMP Edinburgh to improve engagement and uptake of services. This will be in partnership with other agencies to develop effective pathways that better meet their needs. This will be piloted for two years funded by the Edinburgh Alcohol and Drugs Partnership. This is one of the recommendations from the 2019 NHS Lothian report which reviewed the addiction pathway for drug and alcohol treatment in HMP Edinburgh.

During the first two years of the contract, the Provider will pilot a service for people on remand to ensure that they are fully supported. The Service will appoint a dedicated worker and have access to a peer supporter to engage with the remand population; this will be an opportunistic, flexible and responsive resource to pro-actively and creatively support them.

As part of the two year pilot, the Service will work with SPS and the NHS to improve access to those on remand and establish consistency in supporting this group. Where high numbers of referrals are received, the Service will prioritise contacting and supporting those on remand to link them into community addictions services.

The Provider will review the Remand Pilot Project on a quarterly basis and report on the implementation, uptake and effectiveness.

Appendix 2 - Summary of Tendering and Tender Evaluation Processes

Contract	Edinburgh and Midlothian Offending and Recovery Support Service.		
Contract Period	Three years with the option to extend up to an additional two years.		
Estimated Total Contract Value	3 Years - £1,280,000 5 Years - £2,076,835 (If extension utilised).		
Procurement Route	Light Touch Procedure via Public Contract Scotland		
Tenders returned	Two		
Recommended Supplier	CGL		
Price / Quality Split	Price 35%	Quality 65%	
Quality Evaluation Criteria and Weightings	Implementation Plan and Staffing		15%
	Service Provision		20%
	Service Provision - Accessing the Service		15%
	Contract Delivery & Peer support		8%
	Partnership working and Interventions		15%
	Quality assurance		10%
	Business continuity		5%
	Fair Work Practices		5%
	Fair Work Management Information		For info Only
Community Benefits		7%	
Evaluation Team	Three Council Officers from Safer and Stronger Communities.		

Appendix 3 - Summary of Contract Service Delivery Revisions

	Current provision under EMORS	Amendments under new EMORSS contract
Arrest referral	EMORS offers support to those who have been arrested and are in custody both at Edinburgh Sheriff Court (Tuesday to Friday mornings), and at St. Leonard's Police Station (Wednesday, Thursday and Sunday afternoons). Referrals come from various sources including police custody staff and social work staff.	The Council's court, bail and diversion social work team will take over the offering of support to individuals in custody at Edinburgh Sheriff Court. The staff are already on-site Monday to Friday, conducting welfare checks with those in the cells therefore, incorporating arrest referral will streamline service provision in this area. EMORSS will provide the service at St. Leonards Police Station, and support the court, bail and diversion team as required on an ad hoc basis.
Prison treatment	EMORS provides psychosocial support to people in HMP Edinburgh who are receiving NHS treatment for addictions.	EMORSS will provide support to those with addictions and prioritise working with the most vulnerable. This will include supporting the NHS with delivery of the remand pilot working with people on remand who have been identified as a particularly vulnerable group. EMORSS will be part of a governance panel to be set up in HMP Edinburgh to ensure consistency in psychosocial supports across custody, prison, and community settings. EMORSS will take the lead role in conducting custody reviews for any unallocated young people aged 18 to 20 years in HMYOI Polmont; ensuing they receive timeous support.
Voluntary throughcare	EMORS offers assistance to those in prison to prepare for their release and supports their successful transition to the community on liberation. This could include support with housing, medication, mental health and linking into community-based services as required.	While the EMORSS will remain open for those who wish to access it, a more streamlined referral system will be introduced to allow greater targeting of the offer of support to the 'unallocated' (those who have no existing connection with a service). This will ensure that the most vulnerable are pro-actively offered a service and encouraged to engage with supports. This process will also reduce any duplication in referrals across the different services available to those in the justice system; supporting better outcomes for them.
Young people	EMORS supports people over the age of 18.	EMORSS target age group will continue to be those aged 18 and over however, it will pick up any 16 and 17 year olds who may not want to engage with the Council's Young People's Service, to assist with transition planning.

Remand pilot project	EMORS supports people on remand who are referred into the service, alongside the mainstream prison population.	An NHS led pilot project providing targeted treatment support to the remand population will be implemented at the start of the new contract and will operate for 2 years in the first instance.
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Finance and Resources Committee

10am, Thursday, 20 May 2021

Renewal of NHS Lothian Service Level Agreements

Executive/routine
Wards
Council Commitments

1. Recommendations

- 1.1 The Finance and Resources Committee is asked to:
- 1.1.1 Note the action taken by Finance and Resources Committee on 5th March 2020 and by Policy and Sustainability Committee on 25th June 2020 to extend the funding to NHS Lothian for twelve months.

The request was submitted to ensure the continuity of the service for the financial year 20/21.
 - 1.1.2 Approve the award of Service Level Agreement contracts to NHS Lothian for 24 months to the value of £1,912,605 listed at Appendix 1
 - 1.1.3 Approve the extension of the current arrangements with NHS Lothian for 12 months, to the value of £380,335, listed at Appendix 2

Jackie Irvine

Head of Safer and Stronger Communities

Contact: Anna Gray, Acting Senior Manager

E-mail: Anna.Gray@edinburgh.gov.uk | Tel: 0131 469 3960

Renewal of NHS Lothian Service Level Agreements

2. Executive Summary

- 2.1 This report details how the local authority proposes to deliver the services jointly with NHS Lothian for the financial years 21/22 and 22/23 and contains information pertaining to contracts the CEC has with the NHS as providers of Speech and Language Therapy and Occupational Therapy for pupils with Additional Support Needs.
- 2.2 The main focus of the reviews has been to ensure an improved service for children and their families and to ensure the best use of Council funds. Greater levels of accountability and outcomes monitoring mean more effective delivery for children and young people and a clearer point of access.
- 2.3 The current fluid situation will likely lead to further reviews when accurate monitoring will evidence the service delivered, the overall performance, the outcomes achieved and the emerging needs. We will continue to review these contracts further in a robust manner in light of post Covid-19 circumstances and specific needs of children and young people.
- 2.4 This report is to request approval for:
 - 2.2.1 the award of three Service Level Agreements for two years (one year + one year possible extension) to the value of £1,912,605 for NHS Speech and Language Therapy, Autistic Spectrum Disorder Occupational Therapy (ASD OT) in mainstream and special school provisions and Occupational Therapy in Early Years settings (OT EY);
 - 2.2.2 the extension of twelve months' funding arrangements to the value of £380,335 for NHS services supporting Looked After Children and Young People, Additional Support for Learning nurse and Prepare nurse.
- 2.5 This report is also to advise Education Committee of the action taken by Finance and Resources Committee and Policy and Sustainability Committee to award the funding to NHS Lothian for financial year 20/21.
- 2.6 The total value for the extension of the funding arrangements and the award of the contracts equates to £2,292,940.

3. Background

- 3.1 The Local Authority currently commissions the NHS to provide a number of enhanced services to children and young people as detailed in the main report. Some of these arrangements have been jointly reviewed during financial year 2020-21 to ensure that delivery and performance are considered fit for purpose and in line with the Scottish Government's strategic priorities for Getting it Right for Every Child. Committee Approval is being sought to formally award such Service Level Agreements.
- 3.2 Some arrangements are still under review. Due to the unprecedented times and the closure of schools, not all reviews have been completed. To ensure consistency and delivery of these services for children with high levels of complex needs, it is deemed appropriate to extend the current provisions until the end of 21/22 financial year, to allow sufficient time for a comprehensive review of the requirement. Committee Approval is therefore being sought to extend the current arrangements until the reviews are completed.

4. Main report

- 4.1 The Children and Young People (Scotland) Act 2014 places a duty on the Education authority to make appropriate arrangements for identifying those children for whose school education they are responsible, and who may have additional support needs. Appropriate agencies have a duty to help the education authority discharge their duties. NHS Lothian and the Education Authority (the Council) collaborate to meet children's additional support needs, promoting integrated working across agencies in assessment, intervention, planning, provision and review.
- 4.2 The Act requires Councils and the NHS to ensure that children's services are provided in ways which:
 - 4.2.1 best safeguard, support and promote the wellbeing of children
 - 4.2.2 ensure that any action to meet needs is taken at the earliest appropriate time
 - 4.2.3 take appropriate action to prevent needs arising.
- 4.3 Considering this, the Council commissions additional services to ensure that children have timely access to health services appropriate to their additional support needs at school and in Early Years settings. This also ensures that children can experience seamless support where they require a range of health and educational support for complex needs.
- 4.4 These services include:
 - 4.4.1 Allied Health Professional services, principally Speech and Language Therapy for children and young people in Early Years Settings and schools.

- 4.4.2 A contribution towards the Prepare team costs. Prepare is a multi-agency team providing social work and medical support to pregnant women with complex substance misuse issues. The team is highly successful in supporting women to stabilise their drug use leading to better health and long-term care outcomes for babies.
 - 4.4.3 Medical support for young people who are previously looked after by the local authority
 - 4.4.4 Mental health support for Looked After and Accommodated children and young people
 - 4.5 The additional funding for these services adds value to what is already being provided by NHS Lothian under statutory duties. The services are provided with the aim of enhancing pupils' access to the curriculum and maximising educational achievements, literacy and social development.
 - 4.6 School-based services have been reviewed following a fully comprehensive assessment of the requirement and the market, to fulfil our statutory duty to secure best value.
 - 4.7 With regards to the Speech and Language Therapy service the Local Authority engaged with the key stakeholders and the provider to redesign a service which was felt no longer fit for purpose. The changes to delivery were suggested by Head Teachers and a variety of stakeholders. These changes were agreed with the provider in the form of a new co-produced specification and are being implemented in partnership.
 - 4.8 To ensure and improve consistency and delivery of the integrated children's services, it is deemed appropriate by both partners to align services delivered in schools with the academic year. It is hoped that this will streamline reporting requirements, performance evaluation and evidence of improved outcomes.
 - 4.9 Robust evidence of the newly shaped service is being gathered, ensuring all clusters are allocated the required hours as discussed and negotiated. Over-usage and under-usage of time allocation will be analysed and redistributed as appropriate.
- Key performance indicators and achieved outcomes will be reviewed at the end of academic year and closely monitored to ensure previous concerns regarding the Speech and Language Therapy Service have been resolved.

5. Next Steps

- 5.1 The request for twelve months renewal for services listed in Appendix 2 is due to an ongoing review of the current arrangements that the Local Authority is undertaking in collaboration with the service provider, key stakeholders, including those who use the services, and the wider community, with a focus on improving wellbeing outcomes.
- 5.2 The primary focus is on the CAMHS services, which are currently being discussed by Senior Managers in NHS Lothian and City of Edinburgh Council. The partners are

exploring the requirement and shaping the mental health provisions to ensure they are fully accessible to children and young people.

- 5.3 Data, findings and recommendations will be submitted for consideration and approval prior to the beginning of financial year 2022-23.
- 5.4 Approval for a short-term extension is therefore being sought.

6. Financial impact

- 6.1 The total value of the awards listed in Appendix 1 is £1,912,605.
- 6.2 The total value of extensions to the current arrangements listed in Appendix 2 is £380,335. This includes the cost of individual care packages (HESS/LENS). In the light of the increase in the number of children with complex needs, this would be approximately £100k.
- 6.3 The total value of the Service Level Agreements and the extensions equates to £2,292,940. Details of the financial impact of each service provision are listed in Appendices 1 and 2.
- 6.4 Budgetary provision exists for these commitments.
- 6.5 There are no revenue or capital costs associated with the report
- 6.6 There were no procurement costs associated with awarding the Service Level Agreements.

7. Stakeholder/Community Impact

- 7.1 The services provided under these Service Level Agreements are responding to the need for effective integrated support and early intervention for children at school.
- 7.2 There are no adverse environmental outcomes arising from this report
- 7.3 The views of the Headteachers and the schools have been gathered through a strategy working group and implementation group. Parents' and carers' views will be sought through focus groups as part of the ongoing review.
- 7.4 The impact on the community will be to provide support more efficiently and locally, specifically in relation to children and young people with additional support needs and mental health difficulties.
- 7.5 With the aim of providing early co-ordinated supports locally, it is hoped that travel to access services will be reduced therefore having a positive impact on carbon reduction.

8. Background reading/external references

- 8.1 The Education (Additional Support for Learning) (Scotland) Act 2004
- 8.2 The Children and Young People (Scotland) Act 2014
- 8.3 Getting it Right for Looked After Children and Young People Strategy

9. Appendices

- 9.1 Appendix 1 Proposed NHS budget (Service Level Agreements)
- 9.2 Appendix 2 Proposed NHS budget (Extension)

Appendix 1

Proposed NHS Budgets 2021/23 – Service Level Agreements

- The cost of the Service Level Agreement for Speech and Language Therapy is £800,928 for 2021/22 financial year and £824,955 for 2022/23
- The cost of the Service Level Agreement for ASD Occupational Therapy is £87,249 for 2021/22 financial year and £91,129 for 2022/23.
- The cost for the Occupational Therapy post is £53,354 for 2021/2022 financial year and £54,990 for 2022/2023

Description	Budget	Award	
Speech and Language Therapy	£1,625,883	1 year + 1 year	1st July 2021 – 30 th June 2023
ASD Occupational Therapy	£178,378	1 year + 1 year	1st July 2021 – 30 th June 2023
Occupational Therapy - Early Years	£108,344	2 years	1 st April 2021 – 31 st March 2023
Total	£1,912,605		

Appendix 2

Proposed NHS Budgets 2021/22 – Extension of current arrangements

- The cost for CAMHS services is £160,440 per annum
- The cost for the Through Care and After Care Nurse is £50,247 per annum
- The cost for the ASL nurse is £24,778 per annum.
- The cost for the Prepare nurse is £44,870 per annum

Description	Budget	Extension	
CAMHS – Health and Wellbeing	£142,642	1 year	1 st April 2021 – 31 st March 2022
CAMHS - Young People's Service nurse	£17,798	1 year	1 st April 2021 – 31 st March 2022
TCAC Nurse	£50,247	1 year	1 st April 2021 – 31 st March 2022
ASL Nurse	£24,778		1 st April 2021 – 31 st March 2022
Prepare nurse	£44,870	1 year	1 st April 2021 – 31 st March 2022
HESS / LENS care packages	£100,00	1 year	1 st April 2021 – 31 st March 2022
Total	£380,335		

Finance and Resources Committee

10:00, Thursday, 20 May 2021

Early Years and Rising Rolls Programme Approvals

Executive/routine	Executive
Wards	
Council Commitments	32, 33

1. Recommendations

- 1.1 It is recommended that the Committee approves that delegated authority be granted to the Chief Executive, in consultation with the Convenor and Vice-Convenor of the Committee, to:
- 1.1.1 Award a contract to Robertson Construction Group Limited to a value of no more than £13.5m to allow the completion of Craigentiny, Granton, Nether Currie, St John Vianney RC and St Mark's RC primary school nursery buildings;
 - 1.1.2 Award a contract to the winning tenderer to a value of no more than £2.7m to allow the construction of the Community Hub at Ratho;
 - 1.1.3 Award a contract to the winning tenderer to a value of no more than £2.4m to allow the construction of an extension of the nursery at Carrick Knowe Primary School;
 - 1.1.4 Award a contract to the winning tenderer to a value of no more than £2.5m to allow the construction of an extension of the nursery at Spinney Lane Nursery School;
 - 1.1.5 Award a contract to the winning tenderer to a value of no more than £2.8m to allow construction of a new classroom building at Sciennes Primary School.

Andrew Kerr

Chief Executive

Contact: Robbie Crockatt, Learning Estate Planning Manager

E-mail: robbie.crockatt@edinburgh.gov.uk | Tel: 0131 469 3051

Early Years and Rising Rolls Programme Approvals

2. Executive Summary

- 2.1 This report seeks to mitigate further delays in the delivery of the City of Edinburgh Council (the Council)'s Early Years and Rising Rolls Infrastructure programmes. It seeks Finance and Resource Committee approval to delegate authority to the Chief Executive, in consultation with the Convenor and Vice-Convenor of the Committee, to authorise approval of spend once tender processes have been completed for Early Years and Rising Rolls projects which have been delayed due to the impact of the Covid-19 pandemic and may be further delayed due to internal reporting timescales and the scheduling of the Finance and Resources Committee.
- 2.2 In particular it seeks delegated authority for the Chief Executive, in consultation with the Convenor and Vice-Convenor of the Committee, to authorise approval of spend on behalf of the Council with Robertson Construction Group Limited to a value of no more than £13.5m to allow the completion of five nursery buildings at Craigentenny, Granton, Nether Currie, St John Vianney RC and St Mark's RC primary schools which have been delayed following the collapse of the appointed contractor (Central Building Contractors) due to the Covid pandemic. All costs associated with this project would continue to be covered by the Early Years grant provided by the Scottish Government and would not impact on the Council's Capital Investment Programme.
- 2.3 Delaying the delivery of these projects would not prevent the Council meeting its obligations to deliver 1140 hours of free Early Learning and Childcare but would mean the Council could not meet its commitment to "make early years' provision more flexible to fit families' needs..."

3. Background

- 3.1 'A Blueprint for 2020: The Expansion of Early learning and childcare in Scotland – Early Learning and Childcare Expansion Planning Guidance for Local Authorities' issued in March 2017 by the Scottish Government set out local authorities' responsibility for the implementation and delivery of an expanded entitlement of 1140 hours of free Early Learning and Childcare in their area. The vision for expansion is underpinned by the principles of Quality, Flexibility, Accessibility and Affordability.
- 3.2 The City of Edinburgh Council's Commitments 32 and 33 for this Council term reflect the vision in the Blueprint:

32. Double free early learning and child care provision, providing 1140 hours a year for all 3- and 4-year olds and vulnerable 2-year olds by 2020

33. Make early years' provision more flexible to fit families' needs and provide additional resources to families in difficulty so that no children are educationally disadvantaged when they start formal schooling

Details of the infrastructure programme required to support the expansion to 1140 were noted by the Finance and Resources Committee on 12 June 2018 in the paper entitled [“Expansion of Early Learning and Childcare from 600-1140 hours by 2020 - Current Progress and Next Steps”](#). Delivery of this programme is ongoing, however, the impact of the Covid-19 pandemic has stalled parts of the programme with the most significant impact being the loss of the contractor appointed to deliver five new nursery buildings.

4. Main report

Delegated Authority

- 4.1 The Early Years and Rising Rolls programmes contain a number of projects at different stages in their development. These projects range from small refurbishment works to entirely new learning and teaching establishments. Unlike other capital projects within the Council, the delivery of these projects is driven by a need to meet key points during the year to ensure that schools and nurseries have the accommodation they require to meet demand at the start of a school term or at an appropriate intake point for a nursery. Failure to meet these dates may result either in a delay in offering places, a new building remaining empty for several months and/or adaptations to existing accommodation or provision of temporary accommodation. In the case of Early Years projects, the late delivery of new infrastructure will not prevent the Council meeting its statutory obligations to deliver 1140 hours of nursery provision. However, it would restrict parental choice and the flexibility of the offering and therefore be contrary to the Council's Commitment 33 which is to “Make early years' provision more flexible to fit families' needs...”
- 4.2 This year there are a number of projects – particularly in the Early Years programme – that, due to their value, will require approval from Finance and Resource Committee before a contract can be entered into with a successful tenderer. The internal reporting timescales and the scheduling of the Finance and Resources Committee during the summer period means that it may not be possible to progress some these projects without incurring programme delays. Many of these projects have already been subject to significant delays due to the Covid pandemic which means accelerating their programme by limiting any unnecessary delays is desirable.
- 4.3 To mitigate the risk of further delay and allow projects to proceed swiftly on conclusion of tender processes it is proposed through this report that Committee delegate authority to the Chief Executive, in consultation with the Convenor and Vice-Convenor of the Committee, to award contracts for these particular projects at the appropriate time. It is proposed that that value of the delegated authority is capped at what is understood to reflect the maximum price the Council would consider accepting, on the basis of the information available at the time of this report being finalised.
- 4.4 Table 1 (below) sets out the projects that would be covered by this proposed approach.

Table 1: Projects with tender return dates scheduled during summer 2021

Project	Description	Status	Approval	Basis of Cost
Five New Nurseries	Project stalled due to collapse of original contractor and high costs associated with completion (further details in section 4.5)	Contract Sum agreed with Robertson Construction Group Limited to allow completion - Awaiting Committee Approval	To enter into a contract with Robertson Construction Group Limited to a value of no more than £13.5m.	Agreed Contract Sum
Ratho Library and Nursery	New building with Planning Approval to replace existing nursery and library in Ratho with a single hub building.	Tender to be issued 3 May 2021 for approval by 26 July 2021.	To delegate authority to the Chief Executive to enter into a contract with the winning tenderer to a value of no more than £2.7m	Stage 3 Cost Plan
Carrick Knowe Nursery Extension	New building with Planning Approval to extend existing nursery.	Tender programmed for issue 24 May 2021 for approval by 16 August 2021.	To delegate authority to the Chief Executive to enter into a contract with the winning tenderer to a value of no more than £2.4m	Stage 3 Cost Plan
Spinney Lane Nursery Extension	New building with Planning Approval to extend existing nursery.	Tender programmed for issue 21 June 2021 for approval by 13 September 2021.	To delegate authority to the Chief Executive to enter into a contract with the winning tenderer to a value of no more than £2.5m	Stage 3 Cost Plan
Sciennes Primary School Rising Rolls Building	New building awaiting Planning Approval to replace temporary units demolished or at end of life.	Tender programmed for issue 11 May 2021 for approval by 3 August 2021.	To delegate authority to the Chief Executive to enter into a contract with the winning tenderer to a value of no more than £2.8m	Stage 2 Cost Plan

Five New Nurseries Project

- 4.5 In April 2020, during the first Covid lockdown, Central Building Contractors (CBC) who had been appointed by the Council to construct new nursery buildings at Craigentenny, Granton, Nether Currie, St Mark's RC and St John Vianney RC Primary Schools went into receivership and ceased trading. The Council's Facilities Management Services secured the five sites but, due to the construction lockdown the Council was not able to appoint a contractor to make the incomplete buildings wind and watertight. Robertson Construction Group Limited were appointed under delegated authority via the Scape Framework in October 2020 to undertake a first phase of works:

- repair any damage caused to the building since the original contractor left the site;
 - repair any of the outstanding defects that the original contractor had not addressed prior to leaving the site;
 - make the buildings wind and watertight; and
 - prepare a scope for a second phase of works to bring the buildings to completion.
- 4.6 This first phase of work was completed in February 2021. Since their initial appointment negotiations with Robertson Construction Group Limited had been ongoing to reach a position whereby they could remain onsite and begin the second phase of the works which would see the buildings completed. However, the costs for phase two works provided by Robertson Construction Group Limited's in February 2021 were considerably greater than budgeted within the Early Years Programme. Accordingly, it was decided that further work was required by the Council's appointed cost consultants, Currie & Brown, and Robertson Construction Group Limited to demonstrate that the costs provided represented best value for the Council.
- 4.7 The original contract with CBC to complete the five nurseries was for £9.16m. Prior to their collapse £4.66m was paid to CBC for the work completed. The Council entered into a contract with Robertson Construction Group Limited valued at £1.13m to complete Phase 1 works. Additional works required have increased the Phase 1 works package value to £2.2m. Robertson Construction Group Limited have provisionally costed the Phase 2 works at £11.47m resulting in a gap of approximately £8m between the funding budgeted within the Early Years 1140 programme and the cost of completing these buildings. However, this capital shortfall can be met through the revenue funding provided as part of the Scottish Government's Grant funding for Early Years expansion.
- 4.8 The advice provided by the Council's cost consultants indicates that, while the costs may be considerably higher than the original contract, they are representative of market conditions and taking alternative procurement routes may not provide any significant degree of cost saving.
- 4.9 There are a number of factors that have influenced these conclusions:
- The works are unattractive to the market due to them being partially complete projects with greater risk inheriting a previous contractor's work;
 - The market is particularly buoyant at the moment where sub-contractors can pick and choose what works they tender for;
 - Volatility, including loss of companies to insolvency in key supply chain markets, particularly Mechanical and Electrical, make obtaining prices more challenging; and
 - Key materials appear to be above anticipated inflation levels e.g. steel.
- 4.10 It should be noted that an alternative procurement route would also delay the project well beyond January 2022 when the new nursery capacity is required.
- 4.11 At the time of this report being finalised, work to challenge and refine the costs provide by Robertson Construction Group Limited was ongoing. However, in order to deliver these new nurseries by Christmas 2021, a contract with Robertson Construction Group Limited must be entered into before the end of May 2021. For this reason and following

confirmation from our cost advisors that the costs provided by Robertson Construction Group Limited offer best value given the factors outlined above, Committee is asked to approve that delegated authority be given to the Chief Executive, in consultation with the Convenor and Vice-Convenor of the Committee, to award a contract with Robertson Construction Group Limited at a value of no more than £13.5m. This cost is for both the additional Phase 1 works and the Phase 2 works, which would see the five nurseries to completion..

Ratho, Carrick Knowe and Spinney Lane

- 4.12 The new nursery at Ratho and the extensions at Carrick Knowe Primary School and Spinney Lane Nursery are targeted for completion during the summer break in 2022. It is hoped that this will allow them to become operational for the start of the new school term in August 2022. Currently their programmed completion dates are 20 June 2022 (Ratho), 11 July 2022 (Carrick Knowe) and 8 August 2022 (Spinney Lane). Accordingly, there is little scope for slippage in these programmes and the approvals in this paper are sought to minimise delay and provide the best chance of meeting these dates.

Sciennes Primary School

- 4.13 The new classroom extension at Sciennes Primary School is currently programmed for completion during the school's October break in 2022. Pupils would transition to the new building following the October break. The site at Sciennes Primary School is restricted and delays to the project increase the time that playground space at the school is occupied by temporary classrooms. Accordingly, the approvals in this paper are sought to minimise the requirement for temporary classrooms and allow the move to take place over the October holiday period.

5. Next Steps

- 5.1 Should Committee approve recommendation 1.1.1, a contract to allow the completion of the five nurseries would be entered into within a week. This would allow the contractor to begin on site in June 2021 and complete all five buildings by Christmas 2021.
- 5.2 Should Committee approve recommendations 1.1.2 to 1.1.5, then these individual projects would progress immediately on completion of an appropriate tender process limiting any further delay to their delivery. The procurement strategy for these projects is in development.
- 5.3 If Committee does not approve the recommendations in this report then the programmes for these new facilities will be revised and measures put in place to mitigate the impact of any resulting delays. Delays would not prevent the Council meeting its statutory obligations to deliver 1140 hours of nursery provision but it would restrict parental choice and the flexibility of the offering and therefore be contrary to the Council's Commitment 33 which is to "Make early years' provision more flexible to fit families' needs..."

6. Financial Impact

Capital

- 6.1 The five new nurseries at Craigentenny, Granton, Nether Currie, St Mark's RC and St John Vianney RC Primary Schools are funded from the Scottish Government Early Years 1140

Grant. As the expansion has been delayed due to the Covid pandemic, there is surplus revenue funding which, under the terms of the grant, may be transferred to capital. The new community hub at Ratho and the extension of Carrick Knowe Nursery are also funded from the Early Years 1140 grant. Accordingly, none of these projects have an impact on the Council's Capital budgets.

- 6.2 The new classroom building at Sciennes PS is included within the Council's Capital Investment Programme as part of the Rising School Rolls budget.

Revenue

- 6.3 The additional Early Years revenue costs arising from these new and expanded facilities will be funded through the 1140 hours expansion funding provided by the Scottish Government.
- 6.4 The running costs associated with the new four classroom Passivhaus building at Sciennes Primary School are expected to be less than those of the four temporary unit classrooms it replaces and, as a new building the maintenance costs are also expected to be reduced. As a replacement for existing infrastructure rather than an expansion of school capacity, the new classroom building does not increase the numbers of pupils or classes meaning that there is no impact on staffing costs.

7. Stakeholder/Community Impact

- 7.1 The purpose of this paper is to mitigate the risk of delays that could be detrimental to the communities the projects are designed to benefit. Where delays have already been incurred due to the Covid pandemic the communities concerned have been made aware through letters distributed by the schools.
- 7.2 Failure to deliver these new facilities by their planned delivery dates would not prevent the Council meeting its statutory obligations to deliver 1140 hours of nursery provision. However, it would restrict parental choice and the flexibility of the offering and therefore be contrary to the Council's Commitment 33 which is to "Make early years' provision more flexible to fit families' needs..."
- 7.3 All new buildings delivered by these projects will be built to meet a wide range of environmental criteria in order to ensure the projects limit their environmental impact and maximise sustainability during construction and operation. This will include meeting higher energy performance ratings through the utilisation, among other things, of enhanced fabric and mechanical and electrical improvements.
- 7.4 In order to be awarded the Framework Agreement, Robertson's were assessed for compliance with Fair Works practices related legislation and pay the living wage to staff. Every project awarded from the Agreement carries within it a Community Benefits obligation. Community Benefits are set within pre-construction and will focus primarily on local employment supply chain engagement and utilisation. Contractual documentation aligns with the Council's construction charter and low energy targets.

8. Background reading/external references

- 8.1 Finance and Resources Committee, 12 June 2018 - ["Expansion of Early Learning and Childcare from 600-1140 hours by 2020 - Current Progress and Next Steps"](#)

Finance and Resources Committee

10:00, Thursday, 20 May 2021

Learning Estate Projects Procurement Update

Executive/routine Wards Council Commitments	Executive all 28
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1. Recommendations

1.1 It is recommended that the Committee:

- 1.1.1 Note the update on the new primary schools being delivered in line with the growth of the city attributable to major housing development in the Local Development Plan and that further reports will be submitted to Committee for consideration before main construction contracts are awarded.
- 1.1.2 Approve the appointment of Faithful & Gould Limited for full design services for the replacement Currie High School project, with an estimated value of £3.6m, noting this project will now progress into RIBA Stage 4 including progression of an exercise to appoint a contractor for preconstruction services and also noting that a further report will be submitted to Committee for consideration before the main construction contract is awarded.
- 1.1.3 Approve the appointment of Arcadis LLP for full design services for the replacement Liberton High School project, with an estimated maximum value of £5.3m, noting this project will progress through RIBA stages 3 and 4 including progression of an exercise to appoint a contractor for preconstruction services and also noting that a further report will be submitted to Committee for consideration before the main construction contract is awarded.
- 1.1.4 Note the update on the design process for Wester Hailes Education Centre (WHEC) phase 2 and that a further report on the next stages will be provided to Committee later this year once a review of the procurement options has been completed.
- 1.1.5 Approve the procurement route outlined in the report for progression of the Trinity Phase 2 project utilising multidisciplinary design lot 11 of the Council's new Professional Services Framework for the direct appointment of Faithful & Gould Ltd for full design services with an estimated value of £3.3m.

Andrew Kerr

Chief Executive

Contact: Crawford McGhie, Senior Manager – Estates and Operational Support

E-mail: crawford.mcghie@edinburgh.gov.uk | Tel: 0131 469 3149

Report

Learning Estate Projects Procurement Update

2. Executive Summary

- 2.1 Communities and Families are taking forward a significant number of learning estate capital investment projects across the city. As a result of the COVID-19 pandemic the on-site projects have been significantly delayed and those in the design development stage have slowed down due to challenges progressing the necessary engagement with school communities.
- 2.2 This report provides an update on projects where construction has recently commenced following Committee approval in December 2020 to award contracts under delegated authority. An update is also provided for the projects which have been progressing through the design phase during the pandemic.
- 2.3 Many of the projects in the design phase have progressed to a stage where the preferred procurement routes for construction have now been identified. This report requests the necessary approvals from Committee to ensure that the major projects which have approved budgets identified in the Communities and Families Capital Investment programme can continue to be progressed. For every project a further report will be submitted to Committee for consideration before the main construction contract is awarded.

3. Background

- 3.1 In December 2020 a report to the Finance and Resources Committee approved that contracts for the James Gillespie's High School Darroch Annexe, Trinity Academy (Bangholm Sports and Outdoor Learning Facility) and Wester Hailes Education Centre Phase 1 Improvements learning estate capital programme projects could be awarded by the Chief Executive under delegated authority following consultation with the Convenor and

Vice Convenor. All three of these projects have now been awarded on this basis and details of the contract awards are provided in the table below. All three of the construction contracts have been awarded at a value which was within the pre-construction cost estimate.

Project	Successful Contractor	Contract Value
James Gillespie's High School Darroch Annexe	McLaughlin and Harvey	£6,788,050.98
Trinity Academy (Bangholm Sports and Outdoor Learning Facility)	McLaughlin and Harvey	£9,111,461.89
Wester Hailes Education Centre Phase 1 Improvements	Morrison Construction	£ 6,959,238.36

- 3.2 During the COVID pandemic the Learning Estate team, supported by the Capital Programme Team has, wherever possible, been continuing to progress the design and development of other projects which had not yet reached the contract award stage. This has been challenging due to the requirement to engage with schools and the wider community not always being possible because of school closures and wider community lockdowns. However, several of the larger secondary and primary school projects have been progressed through various stages and estimated timescales for when these will move into the construction phase are now available.
- 3.3 This report provides an update on progress with these primary and secondary school projects so that Committee are aware of the design team appointments and can consider the approvals recommended in relation to the preferred procurement route for each project.

4. Main report

Local Development Plan Primary Schools

- 4.1 A [report](#) to the Finance and Resources Committee on 10 October 2019 approved the appointment of specialist design team to deliver three new primary schools to certified Passivhaus standards. Committee approved that the Crown Commercial Services (CCS) framework, Lot 1 Multidisciplinary Design Services, could be utilised for the procurement of the Design Team for the delivery of three new Primary Schools under the Local Development Plan (LDP) programme.
- 4.2 The primary schools are all related to the growth of the city through major housing developments which were included in the Local Development Plan. These are located within major new housing developments at Builyeon Road in South Queensferry; the new Brunstane site within Newcraighall Primary School's catchment area; and the Maybury site in West Edinburgh.

- 4.3 The Maybury Primary School project was the first of three projects to be progressed and the planning application for the new school has recently been submitted. The design process has moved on to RIBA stage 4 and a contractor has been added to the team through 2 stage Design and Build, to provide preconstruction services. The main outputs of RIBA stage 4 are preparation of the detailed design documents and working with the contractor to undertake a series of market tender exercises to arrive at the final contract proposal.
- 4.4 A report will be presented to Committee for consideration before the main contract for construction of the school is awarded. The estimated timescale for this report coming to Committee is December 2021. The current estimated timescale for the new school to open is August 2023.
- 4.5 The design of the other two LDP primary school projects are at the early stages. The proposed procurement route for construction is the same as what has been adopted for the Maybury project. Further reports will also be presented to Committee for consideration before the main contracts for construction of these schools are awarded.

Replacement Currie High School

- 4.6 The Currie High School project commenced its initial feasibility stage via an application for Enabling Funds from the Hub South East Territory Board which was approved. As the project progressed, and following consideration of different routes to market, it was concluded that appointment of the design team via the Crown Commercial Services (CCS) framework represented the best option for the Council.
- 4.7 Within delegated authority limits, the design team led by Faithful & Gould Limited was appointed through the CCS framework to take the project to RIBA Stage 3 which will be completed by early June 2021. This route enabled the replacement Currie High School project to proceed to plan in line with Scottish Government criteria for the Learning Estate Investment Programme (LEIP) as it was one of the successful Phase 1 projects for this funding stream. In order to remain on programme and meet the Scottish Government requirement for the new school to be delivered by summer 2024, the design process is due to move straight into RIBA stage 4 on completion of stage 3 in June. Due to the values involved going beyond delegated authority limits Committee approval is now required to move into RIBA stage 4. The final value of the commission is estimated to be £3.6m. The performance of the design team to date has been excellent and it is therefore recommended that Committee approves the progression to RIBA Stage 4. This project will be to Certified Passivhaus standard with low zero carbon heating plant.
- 4.8 The next stage of the procurement process during RIBA Stage 4 is to appoint a contractor to provide pre construction services (2 stage Design and Build), to help develop design buildability and undertake market testing exercises with the supply chain. The expected time for this initial contractor appointment is summer 2021 with a view to the final construction contract being ready to be progressed by April 2022. A report will be presented to Committee for consideration before the main contract for construction of the school is awarded.

Replacement Liberton High School and WHEC Phase 2

- 4.9 The projects to replace Liberton High School and to deliver Phase 2 of the WHEC refurbishment and replacement were successfully included in Phase 2 of the Scottish Government's Learning Estate Investment Programme.
- 4.10 The CCS framework has also been used to appoint a design team, led by Arcadis LLP, under delegated authority for the replacement Liberton High School project. The initial appointment is for RIBA stages 0-2 and the intention is to progress with the successful design team through RIBA stages 3-4 and into construction. Again, progressing into these further stages will take the value of expenditure beyond delegated limits and it is therefore recommended that Committee approve, subject to the client team being satisfied with the performance at the end of RIBA stage 2, the design team can be appointed for the remainder of the project and that during stage 4 a contractor will be brought on board to provide pre construction services. The estimated maximum value of the commission is £5.3m. A report will be presented to Committee for consideration before the main contract for construction of the school is awarded.
- 4.11 For the WHEC Phase 2 project the Council's internal architects have been appointed to lead on an initial feasibility study which will determine the overall strategic approach for the project. The Council's new professional services framework has been utilised to provide the wider design disciplines to make up the full design team to progress the feasibility design. It is recommended the design team continues to the end of RIBA stage 1 and options for the onward procurement route for the remaining design and construction phases are being considered. One of the options that will be considered is the Council's internal architects continuing to work on the project to completion. A report on the preferred procurement option will be returned to Committee for consideration later in the year.

Trinity Phase 2

- 4.12 Phase 1 of the Trinity Academy Wave 4 project, the construction of the Bangholm Sports and Outdoor Learning facility, is now on site and due to be completed by April 2022. The design team involved in Phase 1 have completed an initial feasibility study for Phase 2 which will see replacement and refurbishment of the remaining school situated on the main school site.
- 4.13 Due to the nature of the main school site, the number of different building types that currently make up the school facilities and the desire to keep the school operational while phase 2 is completed the project will be very complex. Therefore, it requires an experienced design team where the various consultants have experience of working together on such a complex project. The project will also benefit from early contractor engagement.
- 4.14 It is recommended the multidisciplinary design lot 11 of the Council's new Professional Services Framework is utilised for a direct appointment of the top-ranking design team for this project. This would be a multi-disciplinary team with Faithful and Gould as the lead consultant. As this design team would take the project to completion the value of the appointment is likely to exceed delegated limits and Committee approval is sought to proceed with this procurement route. The estimated value of the commission is £3.3m. Options to secure early contractor engagement will also be considered and progressed. A

further report will be presented to Committee for consideration before the main contract for construction of the Phase 2 is awarded.

5. Next Steps

- 5.1 Should Committee approve the recommendations then all the projects included will be progressed as detailed in the main section of this report.

6. Financial Impact

Capital

- 6.1 The capital budgets for all of the projects in this report were included in Communities and Families element of the [Sustainable Capital Budget Strategy 2021-2031](#) report submitted to Committee on 2 February 2021.

Revenue

- 6.2 A [report](#) to the Finance and Resources Committee on 23 May 2019 and referred to the Education Children and Families Committee on 16 August 2019 confirmed (in paragraph 6.3) that further property running cost funding has been included within the budget framework to reflect rising school rolls; Wave 4 school programme and additional or expanded facilities linked to the Local Development Plan.
- 6.3 The report includes details of the estimated running costs expected to be generated by the growth in the Council's operational estate and the projects in this report are included. Finance have confirmed that the budget framework makes provision for the associated additional running costs.
- 6.4 The other main revenue costs which require to be accounted for in future budgets are the school staffing costs. Finance colleagues are aware of the scale of investment over the next 10 years so that the staffing budget implications can be taken into account during future budget setting processes.
- 6.5 The costs associated with each procurement process is under £10,000

7. Stakeholder/Community Impact

- 7.1 For Communities and Families Learning Estate projects, where required engagement with all key stakeholders, including elected members and school communities is undertaken through both informal and statutory consultation. All statutory consultations will be conducted in line with the procedures set out in the Schools (Consultation) (Scotland) Act 2010 as amended by the Children and Young People (Scotland) Act 2014.

8. Background reading/external references

- 8.1 [Changes to the Operational Property Estate: Lifecycle Costs Forecast](#) Finance and Resources Committee 23 May 2019.
- 8.2 [Appointment of specialist design team to deliver three new primary schools to certified Passivhaus standards.](#) Finance and Resources Committee 10 October 2019.

- 8.3 Communities and Families Learning Estate – Project Contract Awards (B Agenda) Dec 2020, Finance and Resources Committee 3 December 2020.
- 8.4 [Sustainable Capital Budget Strategy 2021-2031](#), Finance and Resources Committee 2 February 2021.

9. Appendices

N/A

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Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Petition for Consideration: Remove all defunct Statutory Repair Notices

Executive/routine Wards Council Commitments	Executive All
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1. Recommendations

- 1.1 That the Finance and Resources Committee:
 - 1.1.1 Notes the terms of the petition ‘Remove all defunct Statutory Repair Notices’ as set out in Appendix one;
 - 1.1.2 Notes that while the petition is invalid, the report provides background to the introduction of the charge; and,
 - 1.1.3 Agrees that political groups will consider whether the charge should continue as part of the 2022-23 budget setting exercise.

Andrew Kerr
Chief Executive

Contact: Samuel Ho, Area Support Team Administrator,
Strategy and Communications Division, Chief Executive’s Service
E-mail: samuel.ho@edinburgh.gov.uk | Tel: 0131 529 4210

Remove all defunct Statutory Repair Notices

2. Executive Summary

- 2.1 The Council has received a petition relating to the current charge for information on outstanding statutory notices. Whilst the petition is invalid, Committee is recommended to note the background to the charge and consider whether it should continue when setting the Council's budget for 2022-23.

3. Background

- 3.1 On 22 June 2017, the Council approved that the Petitions Committee be discontinued and that petitions would be sent to the responsible executive committees or future locality committees for consideration.
- 3.2 A petition entitled 'Remove all defunct Statutory Repair Notices' has been received and is attached as Appendix 1. While the petition has received the level of signatures required for it to be considered, it is not considered valid for the reasons set out in this report.

4. Main report

The Statutory Charge

- 4.1 On 9 June 2016, the Council took the decision to cancel all Statutory Notices where works had not been carried out but where Notices were still active. Consequently, a comprehensive data cleansing exercise resulted in 11,293 statutory notices being removed from properties across the city. All 'defunct' notices have therefore been removed. This exercise left only live notices on the Property Enquiry Register where debt remains due to the Council.
- 4.2 On 20 February 2020, as part of the budget setting process, the Council introduced a charge to private property owners who request a report from the Council during the property conveyancing process. The report is prepared by the Edinburgh Shared Repairs Service (ESRS) and sent to the requester and includes details of all outstanding debt on individual properties where a statutory notice remains live.

- 4.3 The charge of £50 was first approved by the Council, on 20 February 2020, and reconfirmed on 18 February 2021, as part of the annual Budget setting process, with an income target in 2021/22 of £120,000.
- 4.4 The applied charge reimburses the Council for the cost of provision of Statutory Notice Debt Reports whereby it is entitled to levy a reasonable charge for the provision of this information under Section 20 of the Local Government in Scotland Act 2003.
- 4.5 Where a statutory notice has been enforced, the notice will remain active against the property until the associated charges have been paid by all liable property owners in the tenement. Thereafter, the notice is automatically lifted from the Council's financial systems. Notices which are not active are not disclosed on Statutory Notice Debt Reports. To ensure that property owners and conveyancers are aware of active notices against a property, ESRS produces a weekly register of active statutory notices. This register is available on the ESRS web page, this can be checked prior to commencing the chargeable request form. This process seeks to limit, as far as possible, the number of paid requests.
- 4.6 The weekly register lists all properties which have active statutory notices. Each statutory notice is served on the whole tenement, each flat or commercial property within the tenement receives the same statutory notice which includes a reference to the individual address liable for the works, as required by the City of Edinburgh District Council Order Confirmation Act 1991.
- 4.7 The charge is voluntary, and while the process is designed for customer convenience, it does not preclude owners, or their representatives, from requesting information under the Freedom of Information process. The response period for these requests is 20 working days. ESRS recognise that conveyancers often require this information quickly and in a tailored format, while there is no legal requirement for the Council to provide this information out-with standard timescales, ESRS process statutory notice enquiries within 10 working days. This information is outlined under the refund policy, available for viewing prior to commencing the chargeable request form.

The Petition

- 4.8 The petition criteria states that a petition will not be accepted "if it relates to a decision of the Council or a committee within the previous six month period" and/or "it is a matter already being considered or scheduled to be considered by the Council or a committee". Further, Council Standing Order 30 states that "A decision of the Council or committee cannot be changed by the Council or committee within six months.... unless there has been a material change of circumstances or the Council or committee agrees the decision was based on erroneous, incorrect or incomplete information".
- 4.9 In the circumstances of paragraph 4.8, the current petition is invalid, however, it is recommended that Committee notes the background to the statutory charge and considers whether the charge should continue as part of 2022-23 budget setting exercise.

5. Next Steps

- 5.1 Subject to Committee approval, members are requested to consider whether the charge should continue as part of the 2022-23 budget setting exercise.

6. Financial impact

- 6.1 The income generated to enable reimbursement of the costs incurred in preparation of the Statutory Notice Debt Reports by ESRS in 2020/21 amounted to £81,381 to prepare and send 1,953 reports. The budgeted forecast income for 2021/22 amounts to £120,000. This process also contributes to the collection of outstanding debt to the Council.

7. Stakeholder/Community Impact

- 7.1 There are no stakeholder/ community impacts arising from the consideration of the petition.

8. Background reading/external references

- 8.1 Minute of the City of Edinburgh Council 22 June 2017.
- 8.2 Item B1.1 Property Conservation - Unimplemented Statutory Notices [b_agenda - finance and resources committee - 090616.pdf \(edinburgh.gov.uk\)](#)
- 8.3 Minute of the City of Edinburgh Council 20 Feb 2020.

9. Appendices

- 9.1 Appendix 1 – Petition - Remove all defunct Statutory Repair Notices

Appendix 1 - Remove all defunct Statutory Repair Notices

Date made available for signatures	Date closed for signatures	Petitions Title and Petitions Statement	Wards affected
26 February 2021	26 May 2021	<p>Remove all defunct Statutory Repair Notices</p> <p>I would like to council to review the effect that the charge of £50 to search for SRN debt is having on citizens.</p> <p>SRNs are showing up in searches on tenement blocks and it is unclear on which flat any debt is outstanding. While I accept the council has a FOI service, the 20 working day timeframe is too long for house movers given the stage in the process where the SRN is picked up. This is putting people in a position of either pay the charge or hold up a sale.</p> <p>The notices should only be tied to the flats with debt outstanding rather than the tenement.</p> <p>The council should remove older notices (mine was from 2002)</p> <p>The council should refund people the charge where there was no debt outstanding</p>	All

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Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Upper Floors, 137 Dundee Street, Edinburgh – Proposed New Lease

Executive/routine	Routine
Wards	9 – Fountainbridge/Craiglockhart
Council Commitments	<u>2</u>

1. Recommendations

- 1.1 That Committee considers the request to grant a 3-year concessionary lease to NHS Lothian of the first, second and mezzanine floors above Fountainbridge Library, 137 Dundee Street, Edinburgh on the terms outlined in this report and on other terms and conditions to be agreed by the Executive Director of Resources.

Stephen S. Moir

Executive Director of Resources

Contact: Mark Bulloch, Portfolio Manager – Investments,

Property and Facilities Management Division, Resources Directorate

E-mail: mark.bulloch@edinburgh.gov.uk | Tel: 0131 529 5991

Upper Floors, 137 Dundee Street, Edinburgh – Proposed New Lease

2. Executive Summary

- 2.1 The subject property is currently leased to Carr Gomm on a lease that is holding over under tacit relocation (silent renewal). Carr Gomm no longer receive funding to permit their continued occupation of the property. This report seeks Committee's consideration of NHS Lothian's request for a new 3-year concessionary lease on the terms and conditions outlined in the report.

3. Background

- 3.1 137 Dundee Street is Grade B listed building comprising Fountainbridge Library on the ground floor with office accommodation on the upper floors, extending to 1,068 sq m (11,500 sq ft), as shown outlined in red on the plan attached as Appendix 1.
- 3.2 The first, second and mezzanine floors are currently leased to Carr Gomm, a social care and community development charity, following their unsuccessful bid for another Council owned property (The Engine Shed) in 2016. The lease was entered into on full repairing and insuring terms, from 17 November 2016 to 16 November 2019, at a passing rent is £40,000 per annum. The lease is currently holding over under tacit relocation (silent renewal).
- 3.3 Under the lease to Carr Gomm, the Rivers Centre (NHS Lothian's specialist psychological trauma service) and the Meadows Team (NHS Lothian's child and adolescent mental health trauma service, CAMHS) are currently co-located at the building together with a Citizens Advice Bureau.
- 3.4 The Rivers Centre is a public sector partnership set up with funding from the Scottish Government to work in collaboration with several community partners and collocated with the CAMHS trauma service with the ambition to ease the transition for clients accessing services across all ages. Carr Gomm is the Rivers Centre's principal partner. Recently, and as a response to Covid-19, the Here4U helpline was established. This is the psychological wellbeing helpline open to all health and social care staff across Lothian which also runs from the property.

- 3.5 The Rivers Centre and Meadows team continue to deliver their services, accessible to clients across Lothian, from the property. The location is easily accessible to clients with good access to bus routes, Haymarket Station and nearby parking. The building has been refurbished to create a safe and welcoming waiting area, large offices spaces as well as clinic and group rooms from which to deliver psychological treatments for children and adults affected by trauma. The location offers a safe space to clients attending a specialist trauma service embedded within the community.
- 3.6 The original funding from Scottish Government matched the initial lease period from November 2016 to November 2019. Carr Gomm have been unable to pay rent since November 2019 and, while initial discussions were entered into, there has been considerable delay in addressing the matter due to priority given to dealing with the Covid pandemic. This has now resulted in a request for a concessionary lease and a transfer of the tenant obligations to NHS Lothian who are better placed to act as legal tenant with an inhouse facilities management team who can maintain the property to an appropriate standard.

4. Main report

- 4.1 The original funding from Scottish Government matched the initial lease period from November 2016 to November 2019. With no funding, Carr Gomm have been unable to pay rent since November 2019. NHS Lothian are prepared to take on the lease liability for the building in to allow the service provision to continue. However, there is no NHS funding to allow a rent to be paid. It has therefore been requested that the property be leased on a concessionary basis at a nominal rent.
- 4.2 The following terms have been provisionally proposed:
- Subjects First, second and mezzanine floors;
 - Tenant: NHS Lothian
 - Lease: 3-year lease from 1st April 2021;
 - Rent: £1;
 - Use: Clinical, office, citizens advice bureau;
 - Repairs: Full repairing and maintaining obligation;
 - Other Terms: As contained in the Council's standard full repairing and insuring lease;
 - Costs: Both parties to meet own costs.

5. Next Steps

- 5.1 Should Committee approve the request, Legal Services will be instructed to progress the lease documentation. This will relieve Carr Comm from any financial or other obligations in terms of the existing lease.
- 5.2 Should the Committee reject the proposal, the Council would seek vacant possession and remarket the property for let. In addition, the current occupiers would need to find alternative premises to continue their service provision. This would have a significant adverse impact on the ability of the partner organisations to provide continuity of service.

6. Financial impact

- 6.1 A rent of £40,000 per annum was payable up to November 2019, however, no rent has been paid since. This will reduce to a nominal rental income position and any outstanding sums from November 2019 to March 2021 will need to be written off.
- 6.2 If the concessionary lease is approved, the NHS will meet their share of property cost including utilities.
- 6.3 If the proposal is not approved, the Council will have holding costs whilst another tenant is sought.

7. Stakeholder/Community Impact

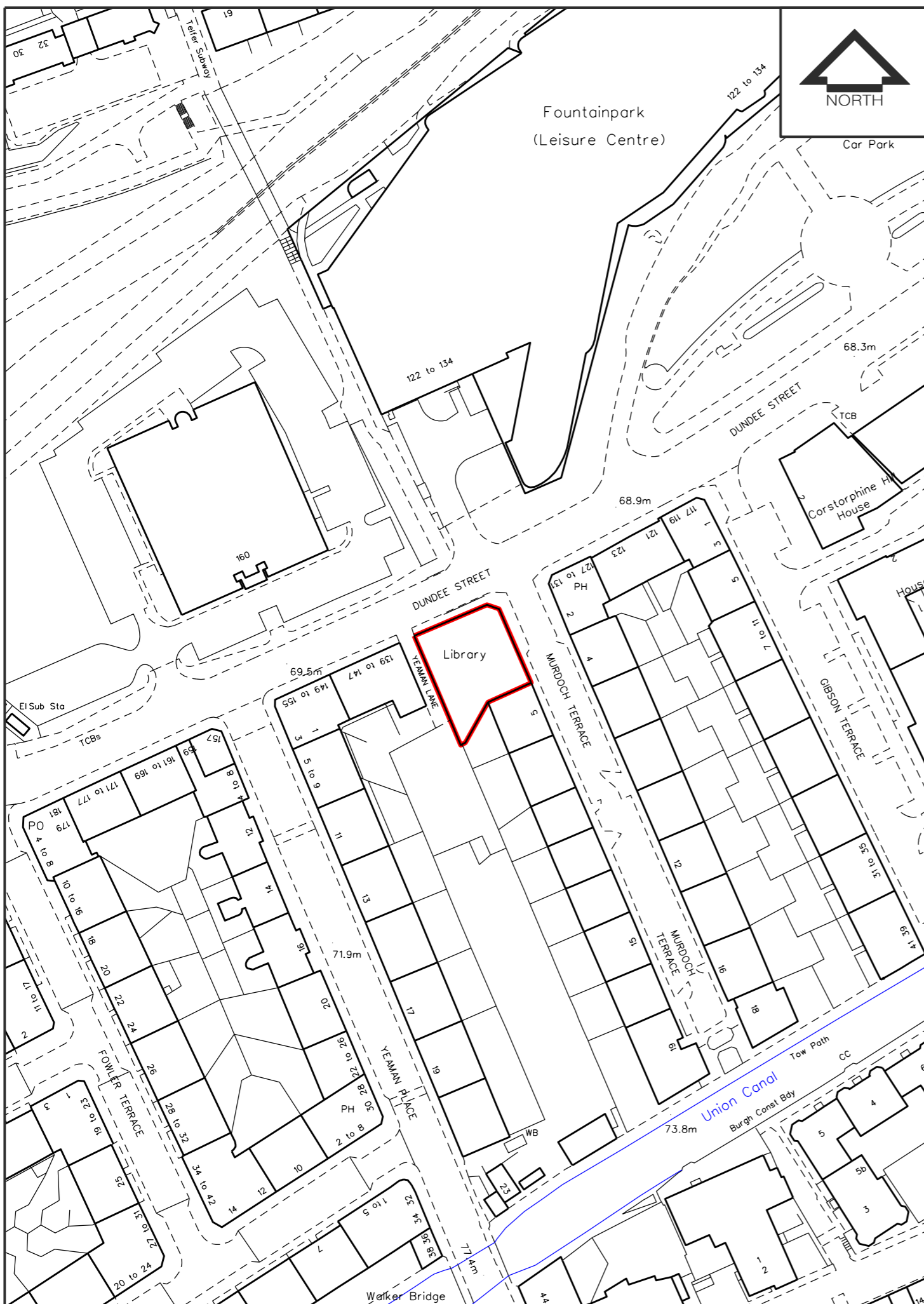
- 7.1 Ward members have been made aware of the recommendations of the report.

8. Background reading/external references

- 8.1 N/A.

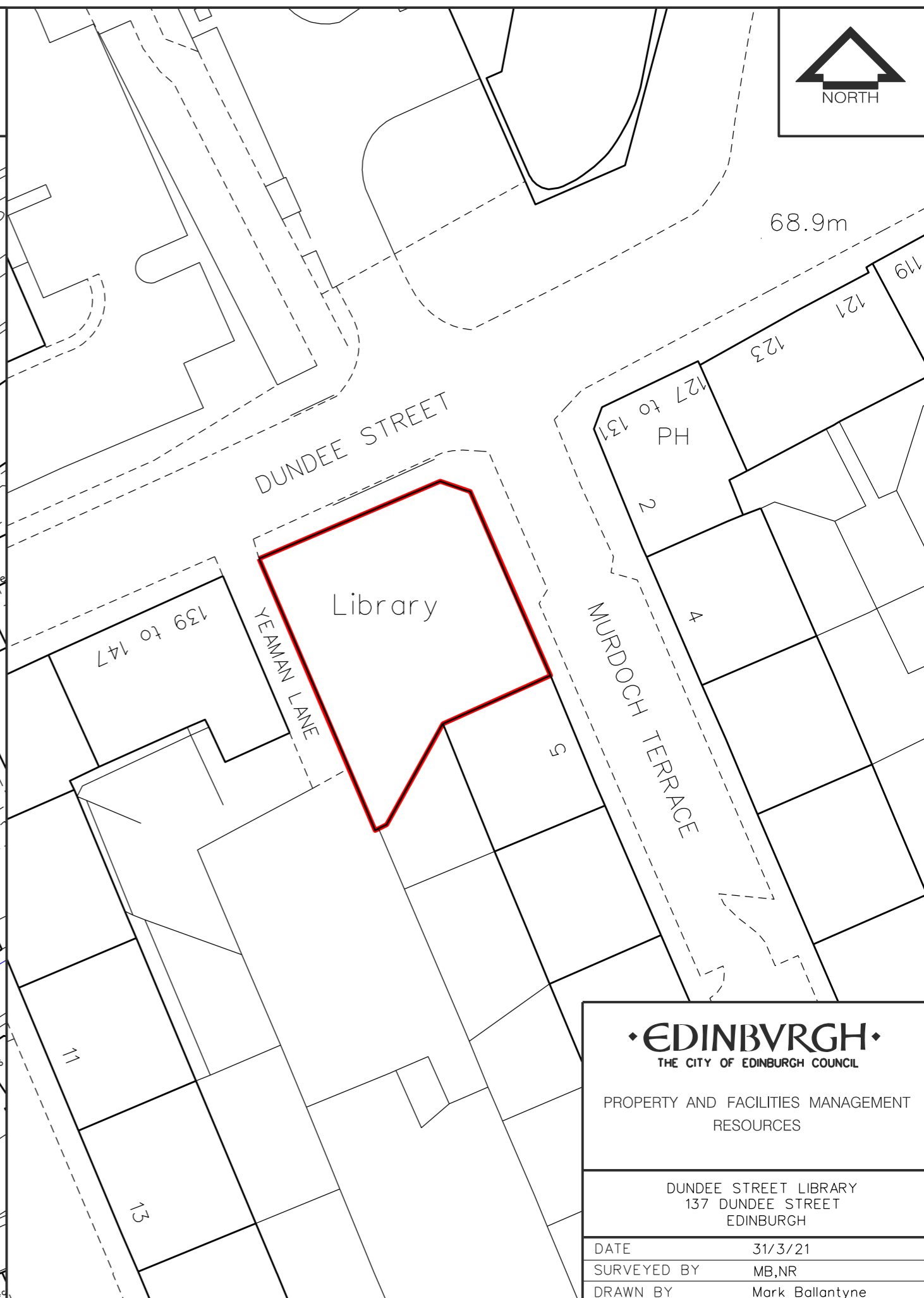
9. Appendices

- 9.1 Appendix 1 – Location Plan



LOCATION PLAN

SCALE 1:1250



SITE PLAN

SCALE 1:500

• EDINBURGH • THE CITY OF EDINBURGH COUNCIL	
PROPERTY AND FACILITIES MANAGEMENT RESOURCES	
DUNDEE STREET LIBRARY 137 DUNDEE STREET EDINBURGH	
DATE	31/3/21
SURVEYED BY	MB,NR
DRAWN BY	Mark Ballantyne
SCALE	1:200 @ A3 SIZE
NEG. NO.	A3/1663a

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Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Lauriston Farm, Edinburgh – Proposed Lease

Executive/routine	Executive
Wards	Ward 1 - Almond
Council Commitments	2.44

1. Recommendations

- 1.1 That Committee approves a 25-year lease of the land at Lauriston Farm to Edinburgh Agroecology Co-op CIC on the terms outlined in this report and on other terms and conditions to be agreed by the Executive Director of Resources.

Stephen S. Moir

Executive Director of Resources

Contact: Graeme McGartland, Investments Senior Manager,

Property and Facilities Management Division, Resources Directorate

E-mail: graeme.mcgartland@edinburgh.gov.uk | Tel: 0131 529 5956

Lauriston Farm, Edinburgh – Proposed Lease

2. Executive Summary

- 2.1 The Council own the land known as Lauriston Farm, near Cramond, which until 2020 was leased for grazing purposes. The Council has received a proposal from Edinburgh Agroecology Co-op CIC for a community farm to be established on the land. This report seeks approval to lease the land to Edinburgh Agroecology Co-op CIC on the terms and conditions outlined in the report.

3. Background

- 3.1 In [March 2018](#), the Housing and Economy Committee agreed the high-level objectives for the regeneration of Granton Waterfront including the intention to work collaboratively with the public-sector partners and the local community to develop a vision for Granton. This included agreement to undertake work to update frameworks and studies to support future development.
- 3.2 Later the same year, the Council purchased the Forthquarter site with other land in Granton Waterfront, owned by in Waterfront Edinburgh Limited (WEL/EDI), also transferred to the Council. A multi-disciplinary team was appointed to prepare a Development Framework and a high-level programme delivery plan for Granton Waterfront.
- 3.3 The Development Framework, which will guide future development within Granton Waterfront, was approved by the Planning Committee on 26 February 2020. This guidance sets out the ambition to transform this former industrial site into a new vibrant, healthy and sustainable city quarter which will, with time, redefine Edinburgh into one of Europe's top Waterfront destinations to live, learn, work and visit.
- 3.4 The Council now owns approximately 120 acres of developable land within the Granton Waterfront area, creating a unique opportunity for the Council to take an infrastructure first approach and work in collaboration with key partners and the community to deliver exemplar regeneration. In addition, there is around 200 Ha of existing open space located on the north shore stretching between Cramond to the west and Gypsy Brae to the east. The area currently contains farmland, a golf course, Lauriston Castle and includes the 3.5km coastline and promenade edge. As part of the regeneration, the Council have set out a vision which will optimise the use of this green space with the aim of creating one of Europe's largest coastal

parks. A strategy and action plan to deliver on this vision will be developed over time in line with key stakeholders and the wider community.

- 3.5 The land currently known as Lauriston Farm, is located towards Cramond and extends to approximately 40.92 hectares (101 acres) as shown outlined in red on the plan attached as Appendix 1. Until 2020 the land was let on annual basis for grazing purposes.
- 3.6 The Council has been approached by Edinburgh Agroecology Co-op CIC (EAC), a community interest company, to take a lease over the land on which to establish an urban farm. The aim is to create an exemplar model of urban agroecology farming, habitat creation and multifunctional land use that benefits, supports and regenerates the environment and those connected to it. At the heart of the approach is the concept of regenerative land management, food production and healthy communities. This proposal aligns with the overall vision of the Framework to create a new vibrant, healthy and sustainable city quarter.

4. Main report

- 4.1 EAC has submitted a business plan to the Council which outlines the vision for the land, including:
- Increasing biodiversity;
 - Use of Agroforestry systems (land use management system in which trees/shrubs are grown amongst crops);
 - Organic food growing – no dig method with zero chemical use;
 - Habitat enhancement;
 - Work towards becoming carbon negative;
 - Job creation; and,
 - Working with communities.
- 4.2 The project will initially focus on creating a market garden, building the project's infrastructure, including its hedgerows, rewilding areas and agroforestry systems; instigating a diverse and soil-building crop rotation on a field scale; setting up the community area and engagement activities and researching the second stage of business opportunities, which may include some of the following: cut-flowers business, herbal medicine garden, seed business and plant nursery.
- 4.3 Adopting the agroecological farming practices, both short and longer term food production will be established, beginning with soft fruit and vegetables and expanding to include top fruit, grains and pulses. The aim is to create a sustainable source of produce to assist with alleviating food poverty.
- 4.4 Community involvement will include the creation of allotments, a community orchard and a community education hub.

4.5 EAC are seeking an initial 25-year lease of the land and the following provisional terms have been agreed:

- Subjects Land at Lauriston Farm;
- Tenant Edinburgh Agroecology Co-op CIC;
- Term 25 years from date of entry;
- Rent: £8,000 per annum;
- Rent Review 10 yearly on an upwards only basis;
- Break Option: The tenant will have the benefit of a break option at any time during the lease on serving not less than 6 months written notice on the Council to this effect; The landlord will be entitled to bring the lease, or part thereof in respect of land to be leased, to an end should the tenant fail to meet the Key Performance Indicators (as agreed by both parties) for 2 successive years;
- Use: The land will be used as a Community Urban Farm and will include, but not be limited to, the following- Crop Growing, Market Garden, Allotments;
- Repair The tenant will accept a full repairing liability for the land and walls/fences which enclose the perimeter (subject to a schedule of condition);
- Conditions
 - i) The tenant obtaining all relevant permissions and licences relevant with the proposed use of the land;
 - ii) The tenant securing funding for at least set up/infrastructure/operational costs for the first two years after the date of entry;
 - iii) Evidence that the tenant will establish a communications and marketing strategy to the satisfaction of the Council;
 - iv) The tenant setting up a committee of individuals with relevant expertise and community representation to the satisfaction of the Council;
 - v) Evidence that the tenant will work to establish research and academic partnerships and community organisation/local school partnerships to the satisfaction of the Council;
 - vi) A commitment on the part of the tenant to provide an annual report to the Council on progress over the preceding 12 months set against the agreed Key Performance Indicators;
 - vii) The tenant agreeing to a right of access to the Council throughout the period of the lease to undertake works in connection with the Open Space development plan, such works not to have an adverse impact on the land being suitable for the permitted use

- 4.6 Through the use of agreed Key Performance Indicators, Lauriston Farm's performance will be reviewed against an agreed baseline. This will ensure that the Council has a mechanism to reduce the overall area of land to be leased to the group should there be a risk that this would remain unutilised.

5. Next Steps

- 5.1 Subject to Committee approval, the Legal Services will be instructed to progress with the lease documentation, which will be concluded when the conditions have been purified.

6. Financial impact

- 6.1 A rent of £8,000 per annum will be payable to the General Fund. This reflects the rental that was previously received from the land when it was used for grazing purposes.

7. Stakeholder/Community Impact

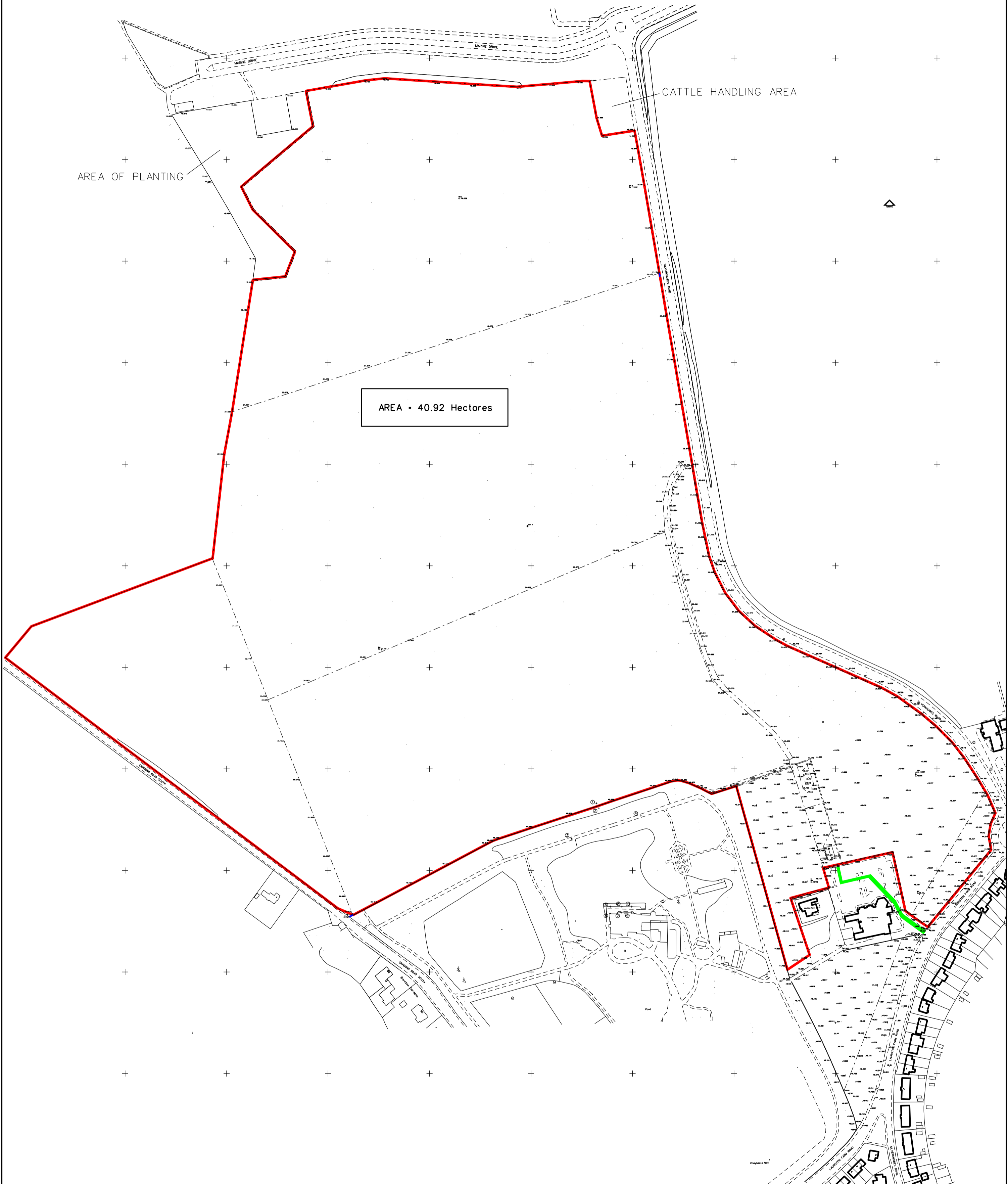
- 7.1 Ward members have been made aware of the recommendations of the report.

8. Background reading/external references

- 8.1 Report to Housing and Economy Committee 22 March 2018 - [Granton Waterfront Regeneration Strategy](#)

9 Appendices

- 9.1 Appendix 1 – Location Plan



AREA - 40.92 Hectares

AREA OF PLANTING

CATTLE HANDLING AREA

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PROPERTY AND FACILITIES MANAGEMENT
 RESOURCES

Agricultural Grazing Land
 Lauriston Farm Road
 AREA - 40.92Ha
 EDINBURGH

DATE	21/3/2019	SCALE	1:2500
SURVEYED BY	F McDonald/M Ballantyne		
DRAWN BY	Mark Ballantyne		
SCALE	1:2500 @ A2 SIZE		
NEG. NO.	NT 2076/A0/19 a		

Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Land at 80 Niddrie Mains Road, Craigmillar – Proposed Acquisition

Executive/routine	Routine
Wards	17– Portobello/Craigmillar
Council Commitments	

1. Recommendations

- 1.1 That Committee approves the purchase of the land at 80 Niddrie Mains Road, Craigmillar on the terms outlined in this report and on other terms and conditions to be agreed by the Executive Director of Resources.

Stephen S. Moir

Executive Director of Resources

Contact: Graeme McGartland, Investments Senior Manager,

Property and Facilities Management Division, Resources Directorate

E-mail: graeme.mcgartland@edinburgh.gov.uk | Tel: 0131 529 5956

Land at 80 Niddrie Mains Road, Craigmillar – Proposed Acquisition

2. Executive Summary

- 2.1 The land at 80 Niddrie Mains Road is adjacent to the Council owned building formerly used as the East Local Office. This report seeks approval to acquire the land to assist with the redevelopment of the wider site for a mix of affordable housing and ground floor commercial uses in line with wider regeneration objectives.

3. Background

- 3.1 The Council owns the majority of an area of land on the South side of Niddrie Mains Road, opposite the new locality office building. The main building on this land, which used to be the East Local Office Building, is owned by the council and currently leased out to commercial businesses and there is one unit within the building, 84 Niddrie Mains Road, which is in private ownership. The Council ownership is shaded blue on the plan attached as Appendix 1.
- 3.2 There is an area of land, extending to approximately 0.1 hectares (0.25 acres) as shown outlined in red on the plan, located to the south-west of the former East Local Office Building, which is also in private ownership.
- 3.3 The regeneration of Craigmillar has taken place over several years based on the principles of the Craigmillar Urban Design Framework which sets out the strategy and desire to see this area redeveloped in a cohesive way. Whilst a number of new housing developments have been delivered by the Council, housing associations and private developers, further development is needed to complete the regeneration of the area around the “high street”.
- 3.4 The owner of the land at 80 Niddrie Mains Road initially indicated a desire to develop 8 flats but planning permission was refused for a residential scheme on the site in isolation. After discussions with the landowner, a plan has been developed in partnership that would enable the practical phased redevelopment of the former local office site and surrounding land. The Council now has an opportunity to acquire the third-party interest to achieve that outcome.

4. Main report

- 4.1 To assist with the negotiations to purchase the land, the Council instructed an independent valuation of the site based on the landowners revised development plans for 8 residential units.
- 4.2 The valuation produced a land value of £300,000 noting that given “the Council’s wider landholdings in the immediate vicinity and the Council’s ongoing involvement in the wider regeneration of Craigmillar, we have given consideration to the potential for a special purchaser situation to arise should the Council attempt to purchase the site”.
- 4.3 An independent valuation instructed by the purchaser has reported a figure of £350,000. Subsequently the landowner made an offer to sell the land to the Council at this level. Based on the strategic sense in acquiring the site and the special purchaser interest of the Council it is recommended to pursue a purchase at this level
- 4.1 The purchase has been agreed on the following terms:
- Subjects Land at 80 Niddrie Mains Road;
 - Vendor: Private individual;
 - Price: £350,000 (plus LBTT);
 - Costs: CEC to meet the seller’s reasonable legal costs

5. Next Steps

- 5.1 Subject to Committee approval, the Council Solicitor will be instructed to progress the purchase of the property.

6. Financial impact

- 6.1 The purchase price, including LBTT, will be funded by the Housing Revenue Account.

7. Stakeholder/Community Impact

- 7.1 Ward members have been made aware of the recommendations of the report.

8. Background reading/external references

- 8.1 Not applicable.

9. Appendices

9.1 Appendix 1 – Location Plan

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Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Land at 50 Marine Drive, Cramond - Proposed Sale and New Lease

Executive/routine	Routine
Wards	1- Almond
Council Commitments	<u>2</u>

1. Recommendations

- 1.1 That Committee approves the sale of a small area of land along with a new ground lease at 50 Marine Drive, Cramond to Boardwalk Beach Club Ltd, on the terms outlined in this report and on other terms and conditions to be agreed by the Executive Director of Resources.

Stephen S. Moir

Executive Director of Resources

Contact: Andrew McCurrach, Investment Portfolio Officer,

Property and Facilities Management Division, Resources Directorate

E-mail: andrew.mccurrach@edinburgh.gov.uk | Tel: 0131 529 4682

Land at 50 Marine Drive, Cramond - Proposed Sale and New Lease

2. Executive Summary

- 2.1 The café premises including the public conveniences at 50 Marine Drive was sold by the Council in 2004. None of the surrounding land was included within the sale, although access rights were provided. This report seeks approval to grant a new 20-year ground lease of land surrounding the premises as well as the sale of the small patio area and walkway around the property, immediately adjacent, on the terms and conditions outlined in the report.

3. Background

- 3.1 In March 2018, the Housing and Economy Committee agreed the high-level objectives for the regeneration of Granton Waterfront including the intention to work collaboratively with the public-sector partners and the local community to develop a vision for Granton. This included agreement to undertake work to update frameworks and studies to support future development.
- 3.2 The Development Framework, which will guide future development within Granton Waterfront, was approved by the Planning Committee on 26 February 2020. This guidance sets out the ambition to transform this former industrial site into a new city quarter which will, with time, redefine Edinburgh into one of Europe's top Waterfront destinations to live, learn, work and visit. The café and surrounding land at 50 Marine Drive forms part of the Granton / Cramond Waterfront which is identified as a Strategic Development Area in the adopted Edinburgh Local Development Plan.
- 3.3 The café premises, including the public conveniences, was sold by the Council in 2004. At that time, the footprint only of the building was included in the sale with access rights, over Council land, permitted through a Deed of Conditions.
- 3.4 The established café, Boardwalk Beach Club, has been using the adjacent land for additional seating, particularly in the summer months. Some permanent structures (gazebo's etc) have also been installed on land out with their ownership. This encroachment has been allowed to continue while negotiations on a proposed ground lease / sale of patio area were undertaken.

3.5 Negotiations have now taken place with the owner of the café to address these issues.

4. Main report

4.1 Agreement has been reached for the disposal of a small area of land, used as a patio and hardstanding around the perimeter of the building, shown shaded pink on the plan attached as Appendix 1. In addition, a larger area of land will be leased to the owner, shown shaded blue on the plan.

4.2 The following terms have been provisionally agreed:

- Subjects: Land Surrounding 50 Marine Drive, Granton (as per attached Plan);
- Lease Term: 20-year term and annually thereafter for the area shaded blue;
- Break option: Mutual break options will be available on each 5th anniversary;
- Rent: £3,000 per annum;
- Rent Reviews: On each 5th anniversary, on normal commercial terms;
- Sale Price: A price (for patio area around the building shaded pink) has provisionally been agreed at £13,000;
- Repairs: Tenant Full Repairing and Insuring;
- Tenant Works: Any ground works or installations to be undertaken by the tenant are subject to advance approval from the Council (as both landlord and local authority). This includes the erection or any boundary fences or markers;
- Use: Ground to be used for additional seating and events (with the appropriate prior Council approval);
- Events: As part of the ground lease, the tenant will be obliged to provide advance notice to of events to the Council's Estates and Park's service areas. For the avoidance of any doubt, this is in addition to obtaining any necessary events licence / planning consents.
- Costs: Each party to meet their own costs;
- Other terms: As contained in standard commercial ground lease / sale.

4.3 This proposed new lease / sale would allow for expansion of the limited amenities in the local area and attract additional visitors / events to the area, subject to the relevant approvals of the Council as Landlord.

4.4 The land value for the lease is based on ground lease rental levels in the area, capitalised for the area to be sold.

5. Next Steps

- 5.1 Subject to Committee approval, legal services will be instructed to conclude the necessary documentation.

6. Financial impact

- 6.1 A rental income (£3,000 per annum) will be obtained from the ground lease and a capital receipt (£13,000) will be generated from the sale of the small patio area perimeter. All running costs and maintenance obligations associated with this site will be passed to the tenant, resulting in a small revenue saving to the council.

7. Stakeholder/Community Impact

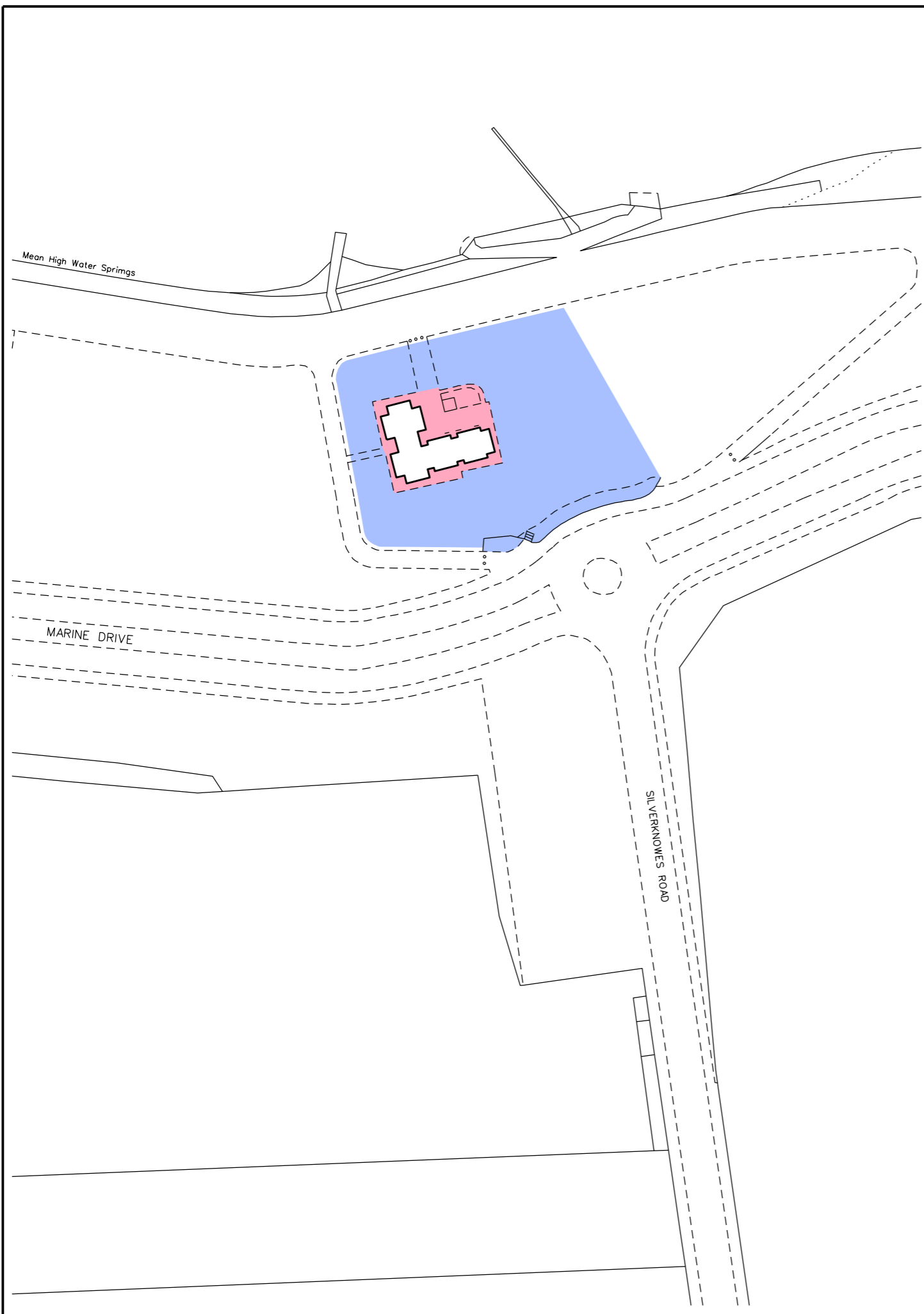
- 7.1 Elected members have been made aware of the recommendations of the report.

8. Background reading/external references

- 8.1 Not applicable.

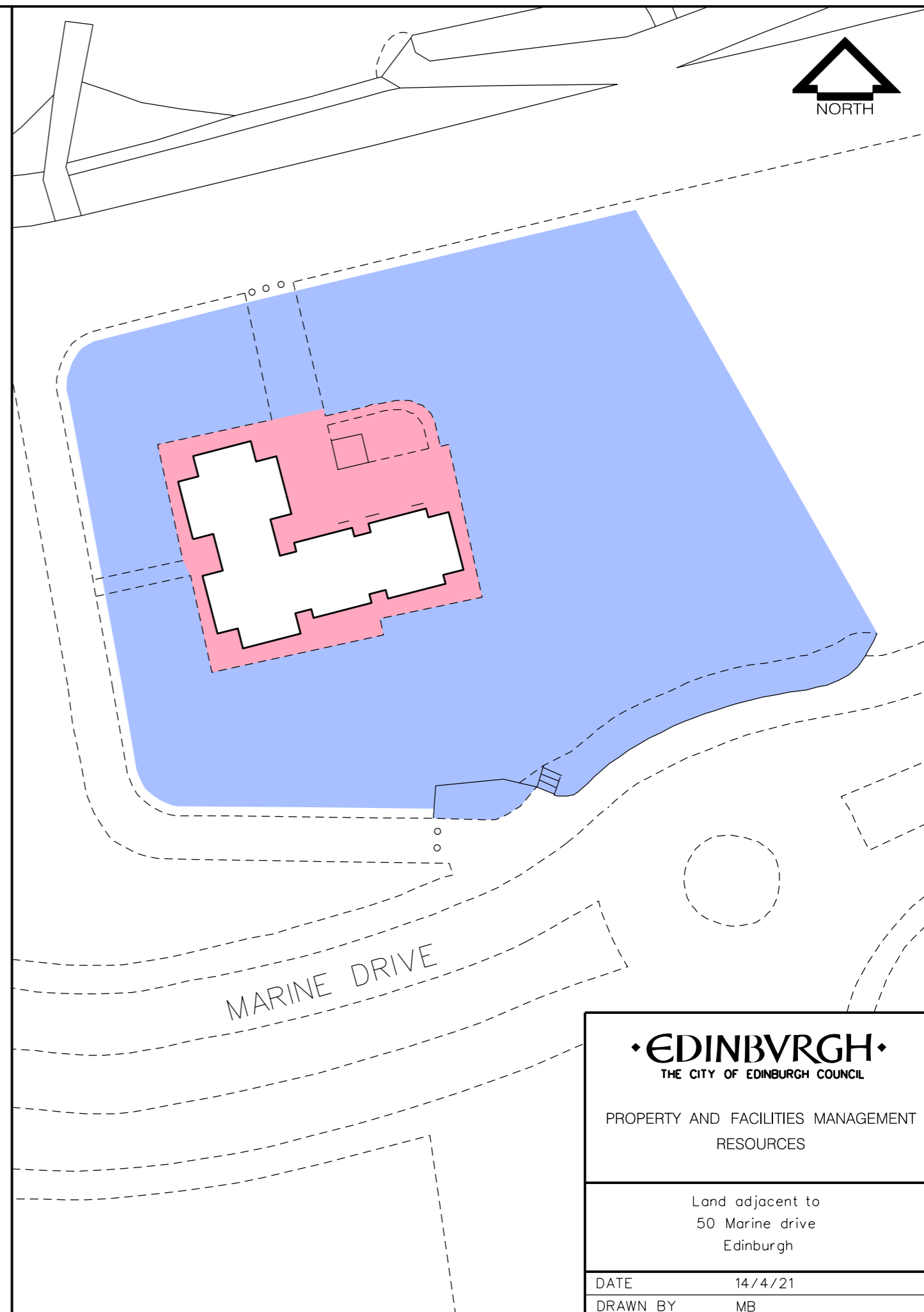
9. Appendices

- 9.1 Appendix 1- Location Plan.



LOCATION PLAN

SCALE 1:1250



SITE PLAN

SCALE 1:500

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PROPERTY AND FACILITIES MANAGEMENT
RESOURCES

Land adjacent to
50 Marine drive
Edinburgh

DATE	14/4/21
DRAWN BY	MB
SCALE	1:500 @ A3 SIZE
NEG. NO.	A3/325B

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Finance and Resources Committee

10.00am, Thursday, 20 May 2021

49 North Fort Street, Edinburgh - Proposed New Lease

Executive/routine	Routine
Wards	13- Leith
Council Commitments	2

1. Recommendations

- 1.1 That Committee approves a 10-year to lease to Sodexo Limited of premises at 49 North Fort Street, Leith, Edinburgh on the terms outlined in this report and on other terms and conditions to be agreed by the Executive Director of Resources.

Stephen S. Moir

Executive Director of Resources

Contact: Iain Lamont, Investment Portfolio Officer,

Property and Facilities Management Division, Resources Directorate

E-mail: iain.lamont@edinburgh.gov.uk | Tel: 0131 529 7610

49 North Fort Street, Edinburgh - Proposed New Lease

2. Executive Summary

- 2.1 The ground at 49 North Fort Street is currently let to Scotmid on a ground lease expiring on 28 May 2022. Scotmid developed a supermarket/warehouse property which is currently occupied by Sodexo Limited on a co-terminus sub lease. Sodexo wish to remain in occupation and this report seeks approval to grant a new 10-year lease on the terms and conditions outlined in the report.

3. Background

- 3.1 The ground at 49 North Fort Street extends to 0.157 Hectares (0.39 Acres) as shown outlined in red on the attached plan at Appendix 1. The current ground rent paid to the Council is £8,500 per annum.
- 3.2 Scotmid has leased the ground since May 1962 and constructed a supermarket / warehouse type building, extending to 965 sq m (10,393 sq ft) on the site to suit their requirements. The ground and building eventually became surplus to Scotmid's requirements and were sub-let out to various tenants, the most recent being Sodexo.
- 3.3 The ground lease from the Council to Scotmid expires on 28 May 2022. Sodexo's sub-lease from Scotmid expires on the same date. Sodexo are keen to remain in occupation beyond this date and have made direct contact with the Council in order to agree a new lease for the buildings and site effective from 29 May 2022.

4. Main report

- 4.1 Sodexo has requested the Council grant a new 10-year lease effective from 29 May 2022 in order to maintain business continuity by enhanced security of tenure and in turn facilitate longer term financial planning.
- 4.2 The following terms have been provisionally agreed:
- Subjects: 49 North Fort Street, Leith, Edinburgh;
 - Lease: 10-years from 29 May 2022 until 28 May 2032;

- Rent: £73,000 per annum;
- Rent Review: 29 May 2027;
- Use: Food production kitchen with ancillary stores and offices;
- Repairs: Tenant full repairing liability
- Costs: The tenant shall be responsible for all Council's legal costs;
- Other Terms: As contained in the Councils standard full repairing and insuring lease.

4.3 Sodexo has previously leased other property from the Council and fulfilled all their legal and financial obligations in terms of their agreement.

4.4 The proposed rent is reflective of current market levels for a building and site of this nature. As ownership of the building reverts to the Council at the end of the original ground lease it has allowed it to be factored into the proposed rent for the new lease. This explains the significant uplift in rent, i.e., the original rent was for the land only.

5. Next Steps

5.1 Following approval, solicitors will be instructed to conclude the legal documentation.

6. Financial impact

6.1 An increase in rent from £8,500 per annum to £73,000 per annum payable to the General Fund.

7. Stakeholder/Community Impact

7.1 Elected members have been made aware of the recommendations of the report.

8. Background reading/external references

8.1 Not applicable.

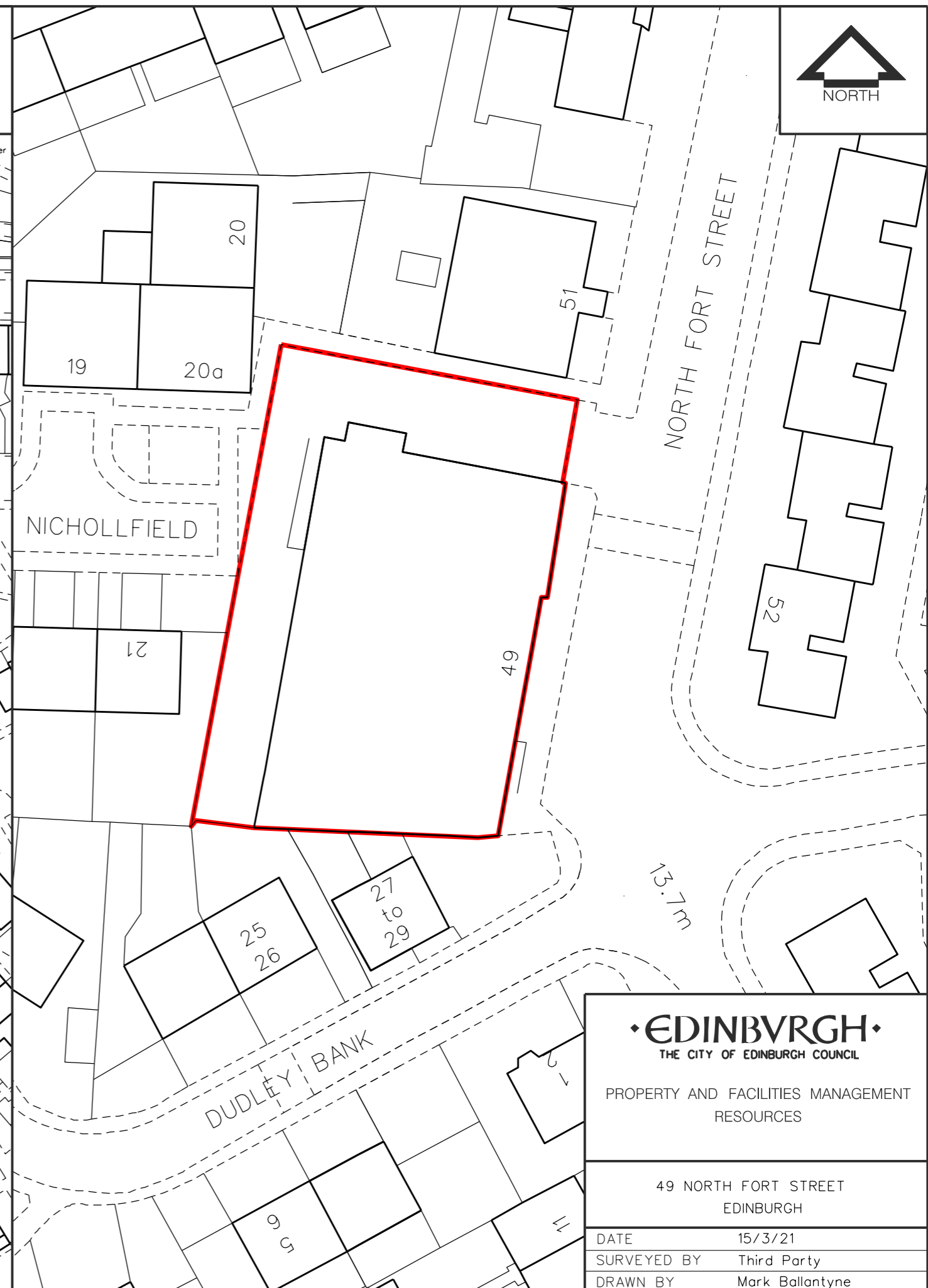
9. Appendices

9.1 Appendix 1- Location Plan.



LOCATION PLAN

SCALE 1:1250



SITE PLAN

SCALE 1:500

• EDINBURGH • THE CITY OF EDINBURGH COUNCIL	
PROPERTY AND FACILITIES MANAGEMENT RESOURCES	
49 NORTH FORT STREET EDINBURGH	
DATE	15/3/21
SURVEYED BY	Third Party
DRAWN BY	Mark Ballantyne
SCALE	1:500 @ A3 SIZE
NEG. NO.	A3/2331

Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Kingsknowe Park Pavilion and Football Pitches, 25 Dovecot Road, Edinburgh – Proposed New Lease

Executive/routine	Routine
Wards	2 – Pentland Hills
Council Commitments	2

1. Recommendations

- 1.1 That Committee approves a new 25-year lease of the clubhouse and grounds, Kingsknowe Park Pavilion and Football Park, Dovecot Road, Edinburgh to Currie Star Football Club on the terms outlined in this report and on other terms and conditions to be agreed by the Executive Director of Resources.

Stephen S. Moir

Executive Director of Resources

Contact: Alan Simpson, Portfolio Investment Officer,

Property and Facilities Management Division, Resources Directorate

E-mail: alan.simpson2@edinburgh.gov.uk | Tel: 0131 529 6693

Clubhouse and Grounds, Kingsknowe Park Pavilion and Football Pitches, 25 Dovecot Road, Edinburgh – Proposed New Lease

2. Executive Summary

- 2.1 Currie Star Football Club have leased the Kingsknowe Park Pavilion and football pitches at Dovecot Road since 1997. The Club has requested a new 25-year lease of the asset to provide security of tenure and to allow investment in the facilities. This report seeks approval to grant a new lease on the terms and conditions outlined in the report.

3. Background

- 3.1 The clubhouse and grounds known as Kingsknowe Park Pavilion and grounds, extending to 2.75 acres, or thereby, is located at Dovecot Road, as shown shaded green on the plan as Appendix 1.
- 3.2 The clubhouse and grounds have been leased to Currie Star Football Club since 1997 with the lease continuing on an annual basis at a current rent of £500 per annum, which is considered concessionary.
- 3.3 To allow the Club to plan for the future and invest in the pavilion and football pitches, a longer lease has been requested.

4. Main report

- 4.1 The following main terms have been provisionally agreed:
- Subjects: Clubhouse and grounds extending to 2.75 acres or thereby;
 - Tenant: Currie Star Football Club;
 - Rent: £2,750 per annum (market rent);
 - Term: 25 years;

- Rent Reviews: The rent will be reviewed on the 5th anniversary, upwards only, linked to the increase in the RPI;
- Repairs: Full repairing and insuring liability on the tenant;
- Use: The tenant shall use the premises as a football clubhouse and associated football pitches;
- Costs: Each party will meet their own costs with tenant responsible for any LBTT and registration dues; and
- Other terms: As contained in a standard commercial lease.

5. Next Steps

- 5.1 Following approval of the terms, solicitors will be instructed to conclude the transaction.

6. Financial impact

- 6.1 The Council will receive an increased rent of £2,750 per annum.

7. Stakeholder/Community Impact

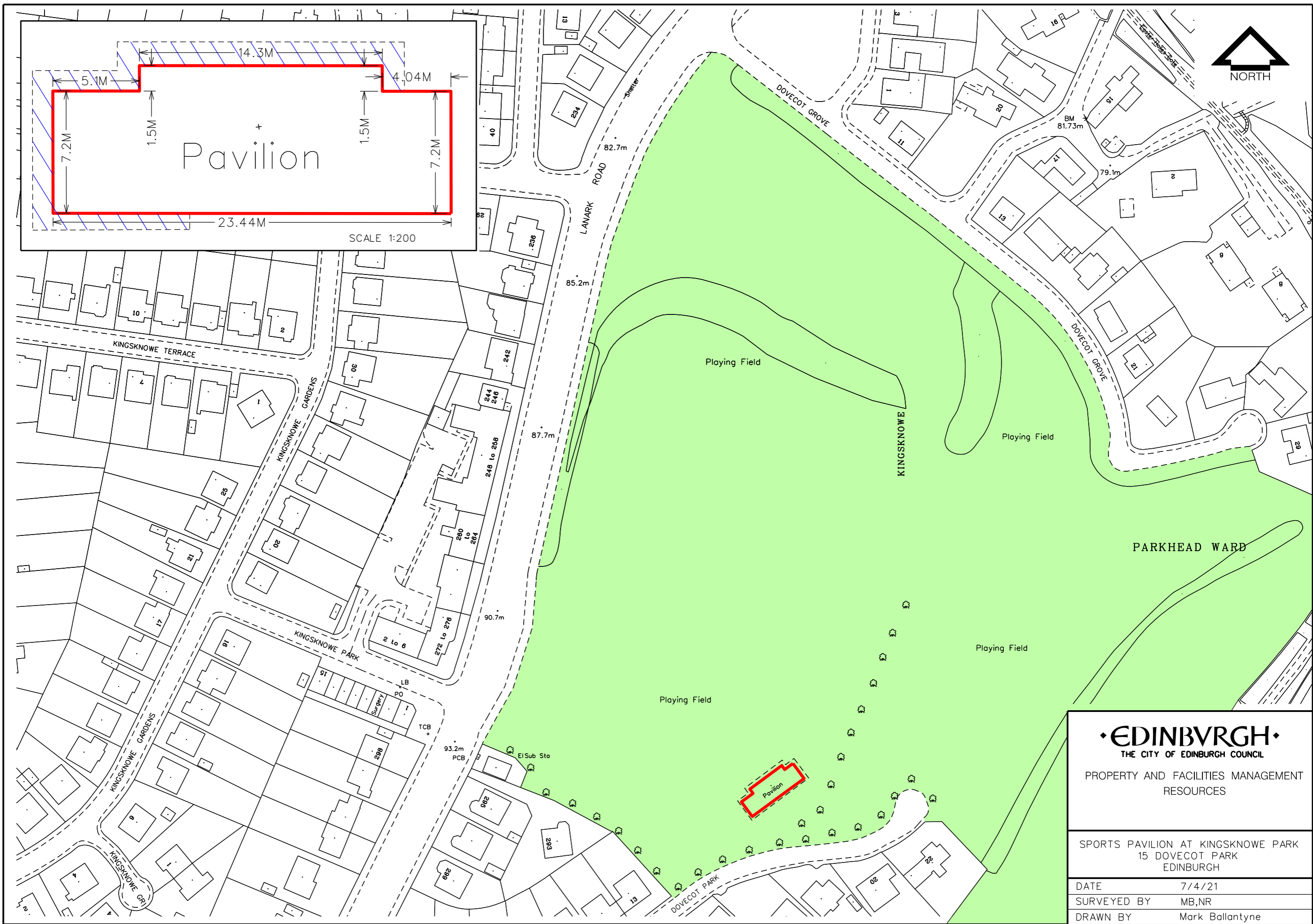
- 7.1 Ward members have been made aware of the recommendations of the report.

8. Background reading/external references

- 8.1 Not applicable.

9. Appendices

- 9.1 Appendix 1 – Location Plan



SITE PLAN

SCALE 1:1250

• EDINBURGH • THE CITY OF EDINBURGH COUNCIL	
PROPERTY AND FACILITIES MANAGEMENT RESOURCES	
SPORTS PAVILION AT KINGSKNOWE PARK 15 DOVECOT PARK EDINBURGH	
DATE	7/4/21
SURVEYED BY	MB,NR
DRAWN BY	Mark Ballantyne
SCALE	1:1250 @ A3 SIZE
NEG. NO.	A3/1089

Finance and Resources Committee

10.00am, Thursday, 20 May 2021

23 Union Street, Edinburgh - Proposed New Lease

Executive/routine	Routine
Wards	11- City Centre
Council Commitments	2

1. Recommendations

- 1.1 That Committee approves a new 10-year lease to Santu Coffee at 23 Union Street, Edinburgh, on the terms outlined in this report and on other terms and conditions to be agreed by the Executive Director of Resources.

Stephen S. Moir

Executive Director of Resources

Contact: Alan Simpson, Investment Officer,

Property and Facilities Management Division, Resources Directorate

E-mail: alan.simpson2@edinburgh.gov.uk | Tel: 0131 529 6693

23 Union Street Edinburgh - Proposed New Lease

2. Executive Summary

- 2.1 Following a closing date in December 2020, the bid from Santu Coffee has been selected as the preferred bidder for the property at 23 Union Street. This report seeks approval to grant a new lease to Santu Coffee, on the terms and conditions outlined in the report.

3. Background

- 3.1 The premises at 23 Union Street extends over ground first and basement, with a gross floor area of 818 sqm (8,805 sq ft) as shown outlined in red on the plan attached as Appendix 1.
- 3.2 The property had previously been occupied by Edinburgh Printmakers from 1984 and was vacated in summer 2019 when they relocated to their new premises at Fountainbridge. The previous rent achieved for the property was £9,204 per annum by the expiry of the lease.
- 3.3 The property was initially marketed in early 2020 however this was put on hold due to Covid restrictions. When restrictions were eased the marketing continued with a closing date set in December 2020.
- 3.4 At the closing date, two offers were received. The offers have been evaluated with the preferred bidder, Santu Coffee Limited, selected. This was initially agreed on a 5-year missive, however following further discussions, the tenant has requested a longer 10-year lease.

4. Main report

- 4.1 The following main terms have been provisionally agreed:
- Subjects: 23 Union Street, Edinburgh;
 - Lease: 10-years from June 2021;
 - Rent: £33,000 per annum;

- Rent Free: A 9 month rent free period will be granted in year 1, with 6 months in year 2 (i.e.15 month rent free period);
- Use: Coffee roasting and ancillary services;
- Rent Review: The rent will be reviewed on the 5th anniversary on an upwards only basis;
- Repairs: Tenant full repairing liability
- Costs: The tenant shall be responsible for all Council's legal costs;
- Other Terms: As contained in the Councils standard full repairing and insuring lease.

4.2 In return for rent free period, the tenant has committed to undertake substantial repairs to the roof and other investment in the property such as a complete re-wiring.

5. Next Steps

5.1 Following approval, solicitors will be instructed to conclude the legal documentation.

6. Financial impact

6.1 A rental income of £33,000 generated to the General Fund which is an increase of £23,976 on the previous rent of £9,204 per annum. Allowing for the rent free period, a total of £24,750 will be received over the first two years of the lease.

7. Stakeholder/Community Impact

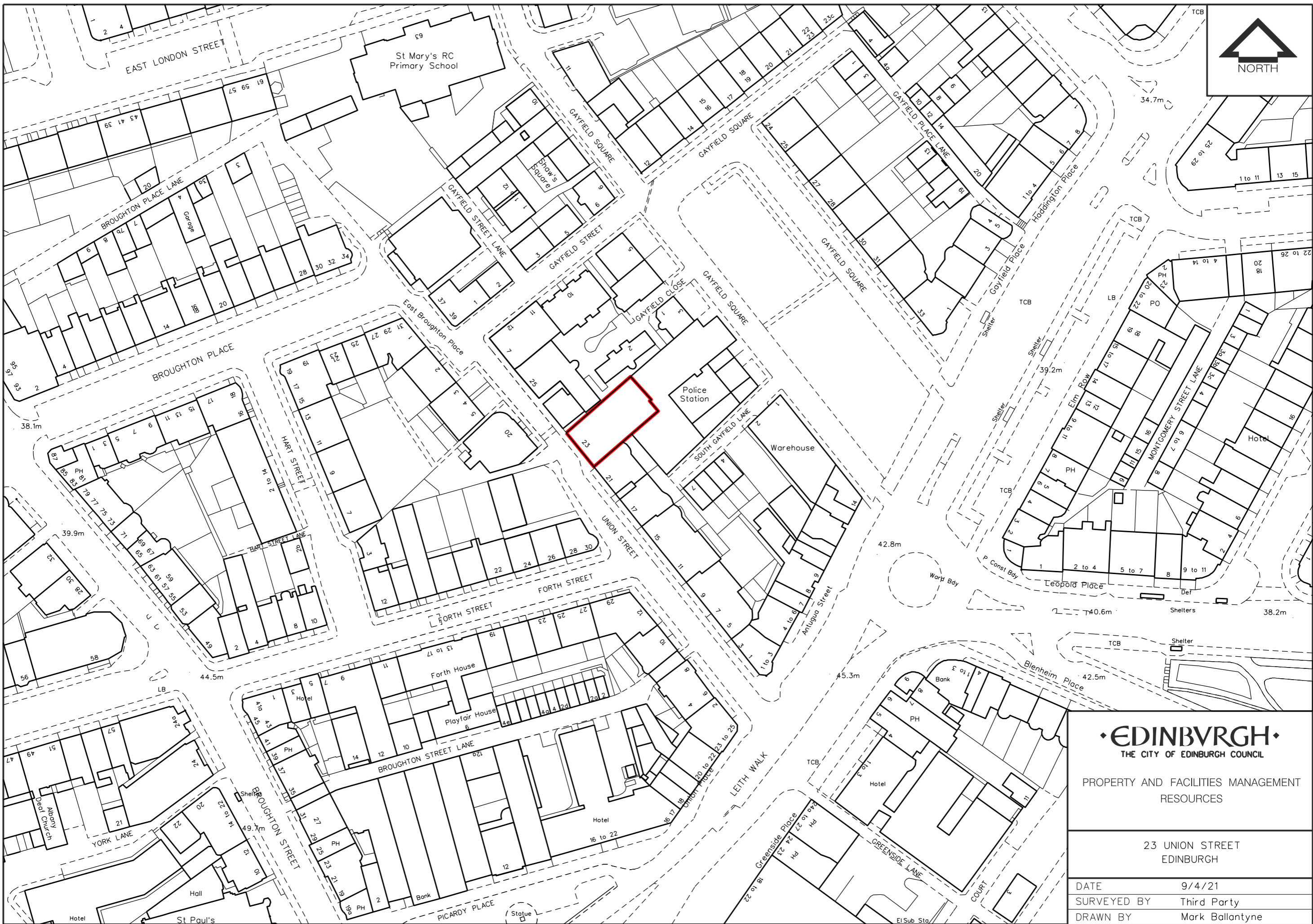
7.1 Elected members have been made aware of the recommendations of the report.

8. Background reading/external references

8.1 Not applicable.

9. Appendices

9.1 Appendix 1 - Location Plan.



• EDINBURGH •
THE CITY OF EDINBURGH COUNCIL

PROPERTY AND FACILITIES MANAGEMENT
RESOURCES

23 UNION STREET
EDINBURGH

DATE	9/4/21
SURVEYED BY	Third Party
DRAWN BY	Mark Ballantyne
SCALE	1:1250 @ A3 SIZE
NEG. NO.	A3/2300

LOCATION PLAN

SCALE 1:1250

THIS MAP IS REPRODUCED FROM ORDNANCE SURVEY MATERIAL WITH PERMISSION OF ORDNANCE SURVEY ON BEHALF OF THE CONTROLLER OF HER MAJESTY'S STATIONARY OFFICE CROWN COPYRIGHT. UNAUTHORISED REPRODUCTION INFRINGES CROWN COPYRIGHT LICENCE NUMBER 100023420. CITY OF EDINBURGH 2013 AND MAY LEAD TO PROSECUTION OR CIVIL PROCEEDINGS.

Finance and Resources Committee

10.00am, Thursday, 20 May 2021

Bingham Park Pavilion – Proposed New Lease

Executive/routine	Routine
Wards	17 – Portobello / Craigmillar
Council Commitments	39

1. Recommendations

- 1.1 That Committee approves a 5-year lease of the sports pavilion at Bingham Park to Portobello Community Football Academy on the terms outlined in this report and on other terms and conditions to be agreed by the Executive Director of Resources.

Stephen S. Moir

Executive Director of Resources

Contact: Mark Bulloch, Portfolio Manager – Investments,

Property and Facilities Management Division, Resources Directorate

E-mail: mark.bulloch@edinburgh.gov.uk | Tel: 0131 529 5991

Bingham Park Pavilion – Proposed New Lease

2. Executive Summary

- 2.1 The pavilion at Bingham Park is currently occupied by Portobello Community Football Academy. This report seeks approval to grant the existing tenant a new 5-year lease on the terms and conditions outlined in the report.

3. Background

- 3.1 The property is a small sports pavilion within Bingham Park as shown outlined in red on the plan attached as Appendix 1.
- 3.2 The current lease is in the name of “Edina Hibs Boys Club” per two named individuals who previously acted as treasurer and secretary for that entity when the lease was granted. The term of the original lease was from 1 October 2009 to 31 October 2012 which has continued from year to year thereafter at a passing rent of £50 per annum.
- 3.3 In October 2012, the two individuals named in the lease contacted the Council by email to inform that there had been a split within the club and that they would no longer have any involvement in the club remaining at Bingham Park and requested that their names be removed from the lease. That club remaining at Bingham Park were renamed Edina Hibs Community Soccer School who later became Portobello Community Football Academy (Portobello CFA). The element that vacated and set up a separate club retained the name Edina Hibs Boys Club.
- 3.4 Due to an administrative oversight the lease was not updated or amended at that time; however, Portobello CFA remained in occupation and have paid the rent due and met their other contractual obligations under the lease agreement. Portobello CFA also have the Sports Pitch Extended Let agreement for the pitch adjacent to the pavilion since 2013.
- 3.5 In June 2019, the original named individuals on the lease contacted the Council to seek clarification around the lease and stated that they believed they were still legal tenant of the pavilion.
- 3.6 The Council’s position on this claim was clear and followed advice from Legal Services. The named individuals in the lease contacted the Council in 2012 asking

for their names to be removed from the lease. They have not been in occupation nor paid rent since 2012. Neither the original Edina Hibs Boys Club nor the named individuals in the lease could be considered legal tenants.

- 3.7 Edina Hibs did not accept the Council's position and submitted a request for information under the FOI legislation and then raised a Stage 1 and subsequent Stage 2 complaint.
- 3.8 As part of the outcome of the Stage 2 complaint, and in order to resolve the lease position, the Council allowed both the incumbent occupier (Portobello CFA) and Edina Hibs Boys Club to make proposals for a new lease of the pavilion.
- 3.9 In late 2020, the Council was separately approached by representatives of Bingham Athletic, a local amateur team who wished to make use of the pavilion. Bingham Athletic had approached Portobello CFA with a view to sharing the facility, however, no agreement could be reached as there are child protection concerns around amateur teams and youth football teams sharing the pavilion.
- 3.10 On 24 February 2021, to bring the matter to a conclusion, representatives from Portobello CFA, Edina Hibs Boys Club and Bingham Athletic were contacted by email and invited to submit proposals for sole use of the pavilion by 3 pm on 22 March 2021. The email set out the criteria required within the proposal as follows:
- Rent offer and confirmation of funding in place;
 - Lease length required;
 - Confirmation of repairing obligation to be taken by tenant;
 - Details of any works carried out to pavilion to date (if applicable);
 - Details of any refurbishment or improvement work proposed and details of funding;
 - Evidence of a sound governance structure with a strong Club Development Plan and Governing Body support;
 - Confirmation that the club follows appropriate Child Wellbeing and Protection policies and procedures; and
 - Provide details of opportunities to participate at all stages of their respective sports player pathway, in both the male and female game (or working towards providing).
- 3.11 The above criteria were agreed and set by officers from Property and Facilities Management, Parks and Greenspace and Lifelong Learning Development (Sports and Physical Activity) who all had an interest albeit from different perspectives. The same officers reviewed and assessed the submitted proposals after the closing date passed.

4. Main report

- 4.1 The proposals submitted by the three parties were of a high standard and met the criteria required. Rental offers ranged from £500 to £1,000 per annum with different lease lengths proposed. Officers who reviewed the proposals were of the view that there was nothing contained in the proposals which justified the removal of the existing occupier.
- 4.2 Committee is asked to confirm approval of a new lease on the following terms:
- Subjects Sports pavilion, Bingham Park Edinburgh;
 - Tenant: Portobello Community Football Academy;
 - Lease: 5-year term;
 - Rent: £500 per annum;
 - Use: Changing facilities with ancillary storage;
 - Repairs: Tenant full repairing and maintaining obligation;
 - Other terms: As contained in the Council's standard full repairing and insuring lease.

5. Next Steps

- 5.1 Following Committee approval, the Legal Services will be instructed to progress the lease documentation.

6. Financial impact

- 6.1 An increase in rental income from £50 to £500 per annum payable to Parks and Greenspace Account.

7. Stakeholder/Community Impact

- 7.1 Ward members have been made aware of the recommendations of the report.

8. Background reading/external references

- 8.1 Not applicable.

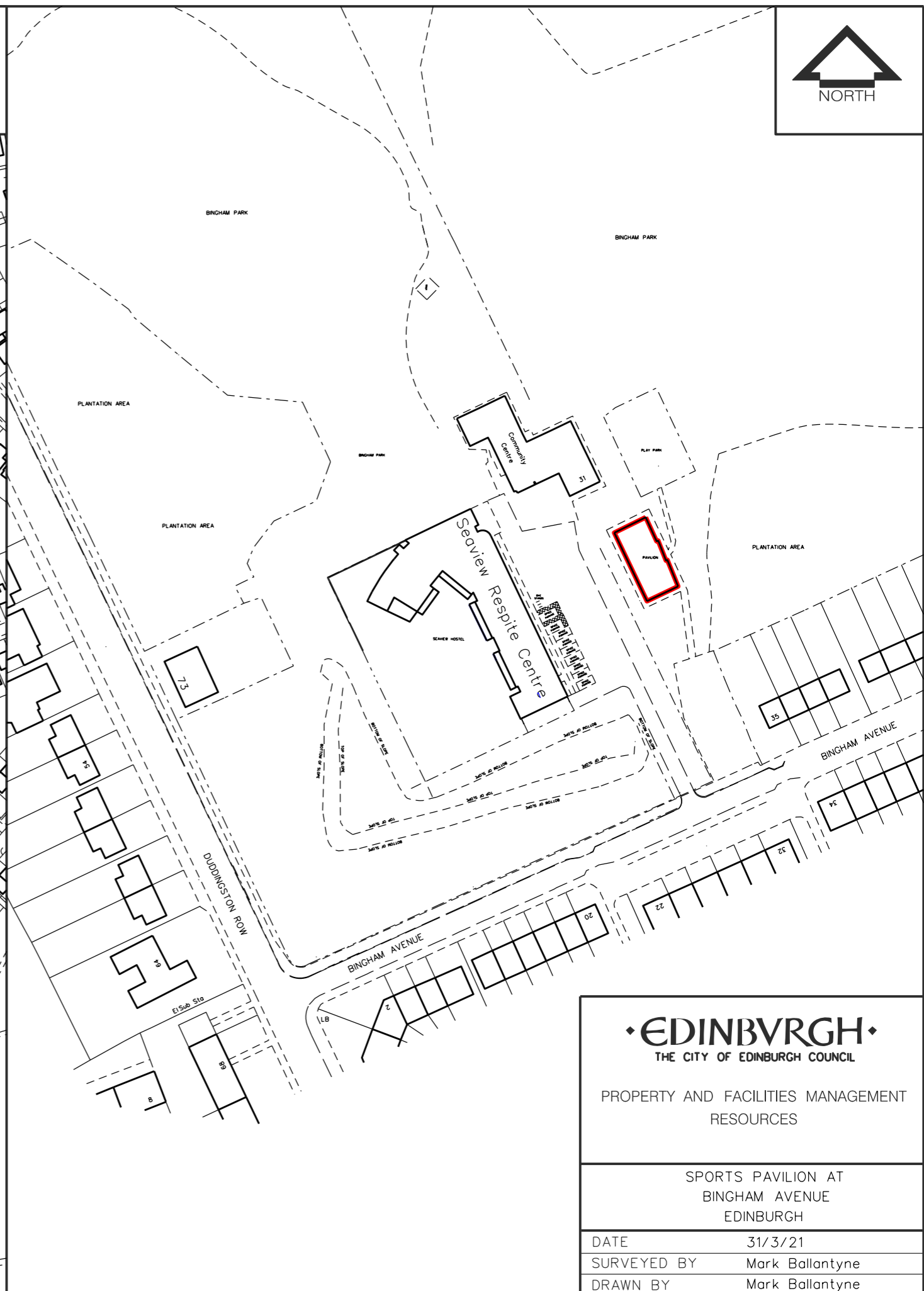
9. Appendices

- 9.1 Appendix 1 – Location Plan.



LOCATION PLAN

SCALE 1:2500



SITE PLAN

SCALE 1:1250

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 THE CITY OF EDINBURGH COUNCIL

PROPERTY AND FACILITIES MANAGEMENT
 RESOURCES

SPORTS PAVILION AT
 BINGHAM AVENUE
 EDINBURGH

DATE	31/3/21
SURVEYED BY	Mark Ballantyne
DRAWN BY	Mark Ballantyne
SCALE	1:1250 @ A3 SIZE
NEG. NO.	A3/1514a

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Finance and Resources Committee

10.00am, Thursday, 20 May 2021

137 Lauriston Place, Edinburgh - Proposed Lease Extension

Executive/routine	Routine
Wards	11- City Centre
Council Commitments	2

1. Recommendations

- 1.1 That Committee approves a 20-year lease extension to Dragon Fly Edinburgh Limited of the premises at 137 Lauriston Place, Edinburgh on the terms and conditions outlined in this report and on other terms and conditions to be agreed by the Executive Director of Resources.

Stephen S. Moir

Executive Director of Resources

Contact: Seli McVittie, Investment Officer,

Property and Facilities Management Division, Resources Directorate

E-mail: seli.mcvittie@edinburgh.gov.uk Tel: 0131 529 5781

137 Lauriston Place, Edinburgh- Proposed Lease Extension

2. Executive Summary

- 2.1 The lease to Dragon Fly Edinburgh Limited, commenced in October 2019, following a successful open market bid for the property, for a 5-year term. The tenant has requested a 20-year lease extension and this report seeks approval for the extension, on the terms and conditions outlined in the report.

3. Background

- 3.1 The retail property at 137 Lauriston Place, extends to 189 sq. m (2,204 sq. ft) over ground and basement floors as shown outlined in red on the plan at Appendix 1.
- 3.2 Following a previous marketing exercise, Dragon Fly Edinburgh Limited entered a 5-year lease of the property from October 2019, at a rent of £11,000 per annum, to open a restaurant. Due to governmental restrictions during 2020, the tenant has been unable to complete the renovations required to allow trading to commence.
- 3.3 The tenant is now seeking an extension to the original lease term to provide greater security of tenure for the proposed business and allow access to funding opportunities whilst the renovations are finished, and the business launched.

4. Main report

- 4.1 The following main terms have been provisionally agreed:-
- Subjects: Ground and basement level floor retail unit, 137 Lauriston Place, Edinburgh;
 - Tenant: Dragon Fly Edinburgh Limited;
 - Term: 20-year extension to 30 September 2044;
 - Rent: £11,000 per annum (as existing);
 - Use: Class 3 Restaurant;

- Rent Review: Five yearly upwards only to market rental value;
- Repair: Tenant full repairing liability;
- Break Option: Tenant only break option at fifth anniversary;
- Costs: Each party will be responsible for their own costs associated with the preparation of the lease. The tenant shall be responsible for any Land and Building Transaction Tax and Registration Dues; and
- Other Terms: As contained in a standard lease.

5. Next Steps

- 5.1 Following approval of the terms, solicitors will be instructed to conclude the legal documentation.

6. Financial impact

- 6.1 A rental income £11,000 per annum to the General Fund is secured for a longer term, with potential to increase at future rent reviews.

7. Stakeholder/Community Impact

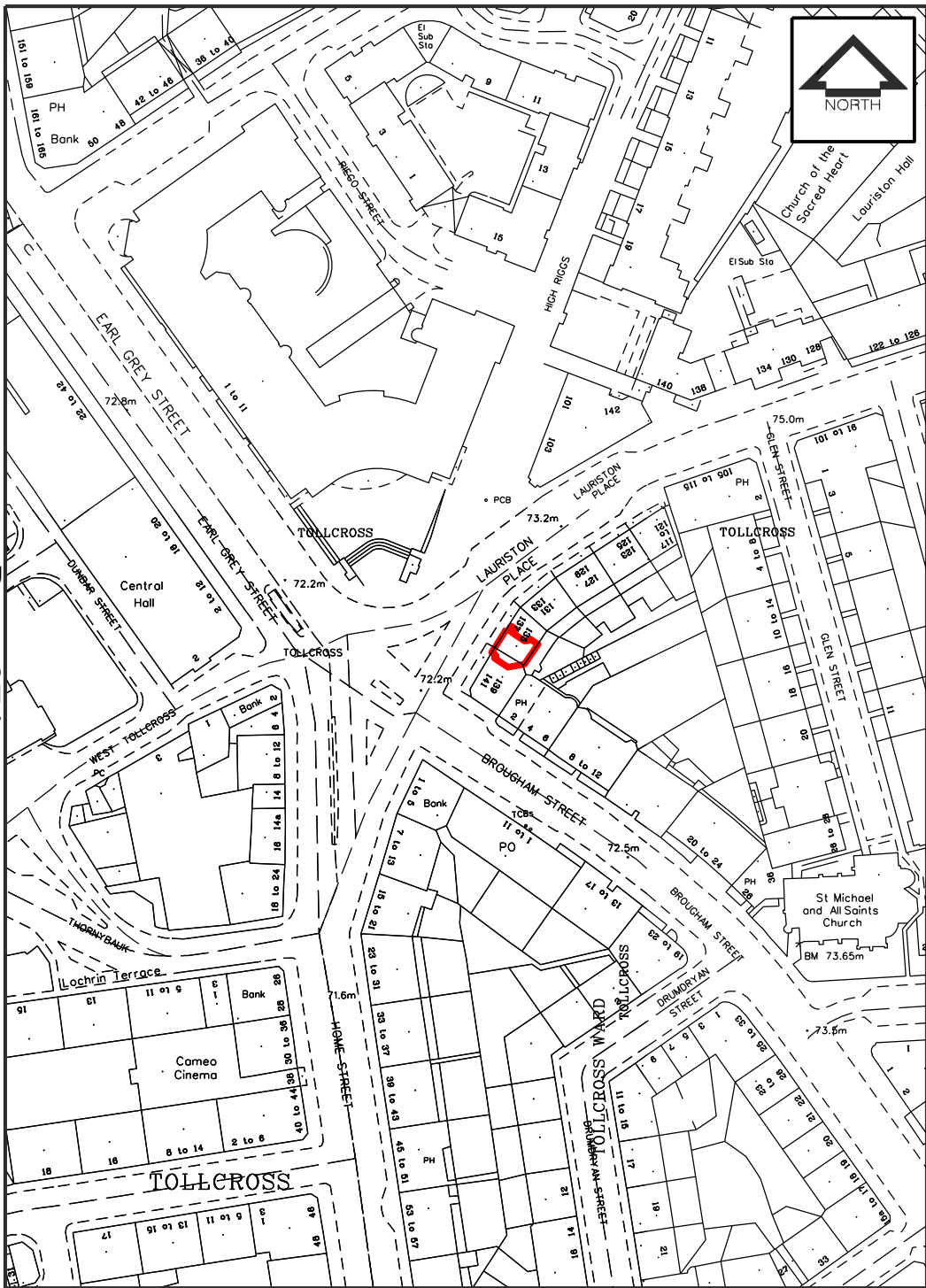
- 7.1 Ward members have been made aware of the recommendations of the report.

8. Background reading/external references

- 8.1 Not applicable

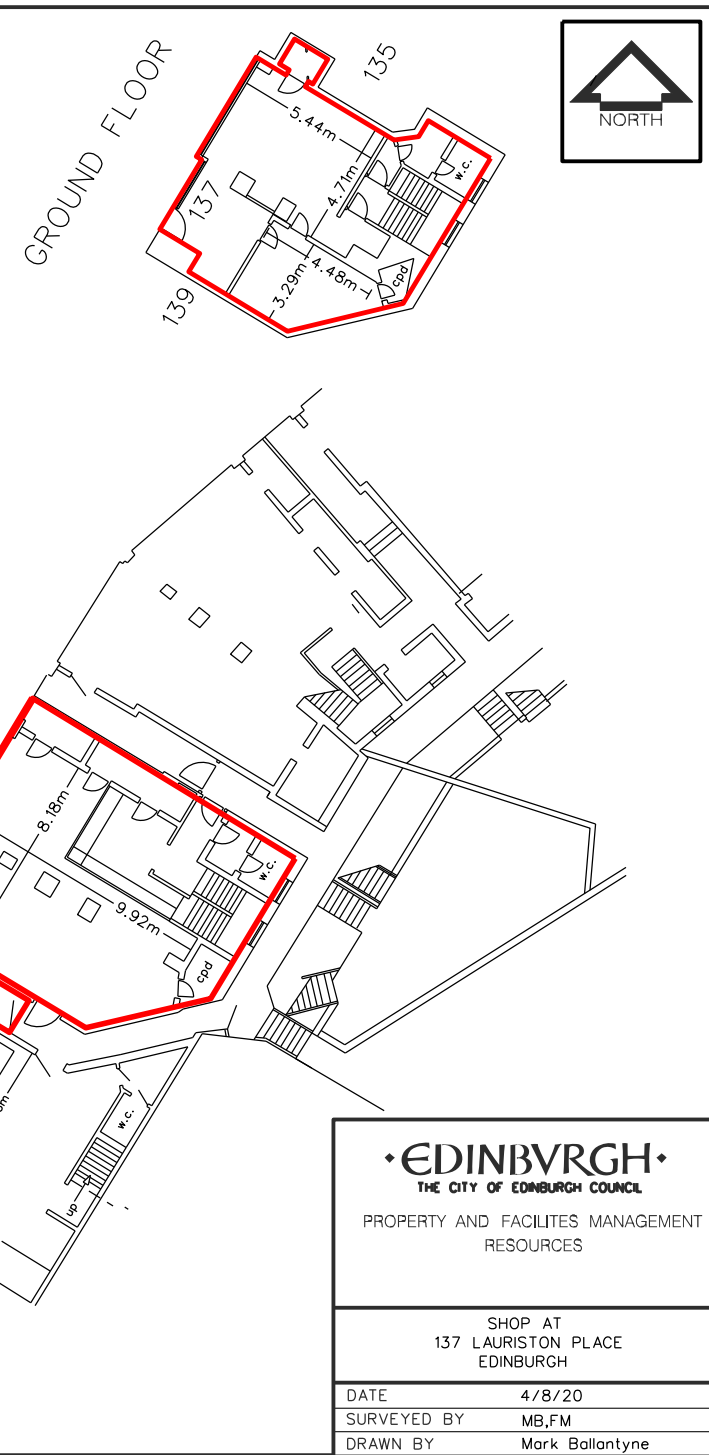
9. Appendices

- 9.1 Appendix 1- Location Plan



LOCATION PLAN

PHOTOGRAPHICALLY REDUCED NOT TO SCALE



FLOOR PLAN

• EDINBURGH • THE CITY OF EDINBURGH COUNCIL	
PROPERTY AND FACILITIES MANAGEMENT RESOURCES	
SHOP AT 137 LAURISTON PLACE EDINBURGH	
DATE	4/8/20
SURVEYED BY	MB,FM
DRAWN BY	Mark Ballantyne
SCALE	N.T.S.
NEG. NO.	A3/900

Finance and Resources Committee

10.00am, Thursday, 20 May 2021

328 and 330 West Granton Road, Granton – Proposed Acquisition

Executive/routine	Executive
Wards	4 – Forth
Council Commitments	2 , 10

1. Recommendations

- 1.1 That Committee approves the purchase of the retail units at 328 and 330 West Granton on the terms outlined in this report and on other terms and conditions to be agreed by the Executive Director of Resources.

Stephen S. Moir

Executive Director of Resources

Contact: Craig Dalgliesh, Development and Disposals Manager

Property and Facilities Management Division, Resources Directorate

E-mail: craig.dalgliesh@edinburgh.gov.uk | Tel: 0131 529 3173

328 and 330 West Granton Road, Granton – Proposed Acquisition

2. Executive Summary

- 2.1 The Council own part of the block at 324 – 330 West Granton Road. An opportunity has arisen to acquire vacant retail units to consolidate the Council's ownership and to assist with the wider Granton regeneration. This report seeks approval to purchase the units at 328 and 330 West Granton Road on the terms and conditions outlined in the report.

3. Background

- 3.1 The Granton Waterfront Development Framework approved by Planning Committee, in February 2020, sets out key principles and guidance for all those wishing to develop in the area. Over the next 10-15 years, this area will be transformed from a post-industrial brownfield site into a vibrant new coastal town.
- 3.2 It is anticipated that the Outline Business Case for Granton Waterfront will be presented to Committee in Autumn 2021, with gateway sites being earmarked to form part of phase one of redevelopment to create the 'heart of Granton', strengthening links between existing and new communities and providing a strong entrance to what will become a key route down to the waterfront.
- 3.2 The properties 328-330 West Granton Road sit beneath vacant and derelict residential units, in Council ownership, which have lain empty for over a decade. The acquisition of these units forms a key component of what will become a future gateway site into the regeneration area, providing for up to 140 net zero carbon homes with commercial on the ground floor.
- 3.4 The properties are shown shaded blue on the attached plan. The adjoining land, in Council ownership is shown shaded pink.

4. Main report

- 4.1 Initial negotiations commenced several years ago, by the former Council owned ALEO Waterfront Edinburgh Ltd, during the preliminary stages of the Granton Waterfront Development. Outline terms had been agreed to acquire the properties for a purchase price of £82,500, however the transaction was deferred until the Granton Waterfront Development Framework was approved by the Planning Committee.
- 4.2 Following further discussions with the owner of the property it has been agreed to proceed based on the previously agreed price.
- 4.3 Committee is asked to confirm approval of a new lease on the following terms:
- Subjects 328 and 330 West Granton Road;
 - Owner: L & G D'Inverno Ltd;
 - Price: £82,500 plus LBTT;
 - Costs: CEC to meet the seller's reasonable legal costs;
- 4.4 The agreed purchase price has been assessed against an independent valuation of the property which confirms that the Council are achieving best value through this transaction.
- 4.5 Acquisition of the two properties will complete the Council ownership of a derelict building and will facilitate the wider redevelopment of the adjoining Council owned land.

5. Next Steps

- 5.1 Following Committee approval, Legal Services will be instructed to progress the lease documentation.

6. Financial impact

- 6.1 The purchase price of £82,500 plus LBTT will be funded by the Housing Revenue Account.

7. Stakeholder/Community Impact

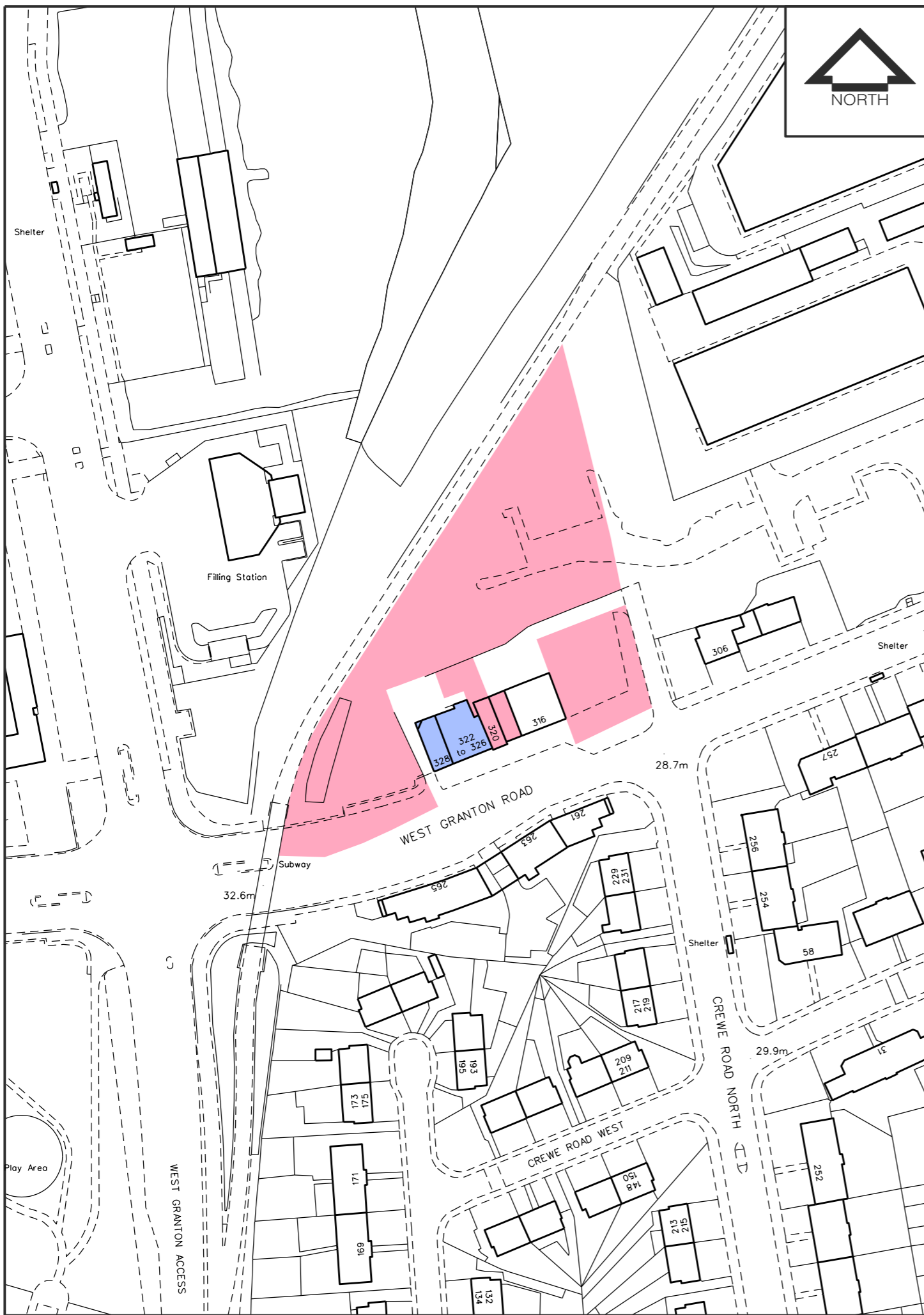
- 7.1 Ward members have been made aware of the recommendations of the report.

8. Background reading/external references

8.1 Not applicable. .

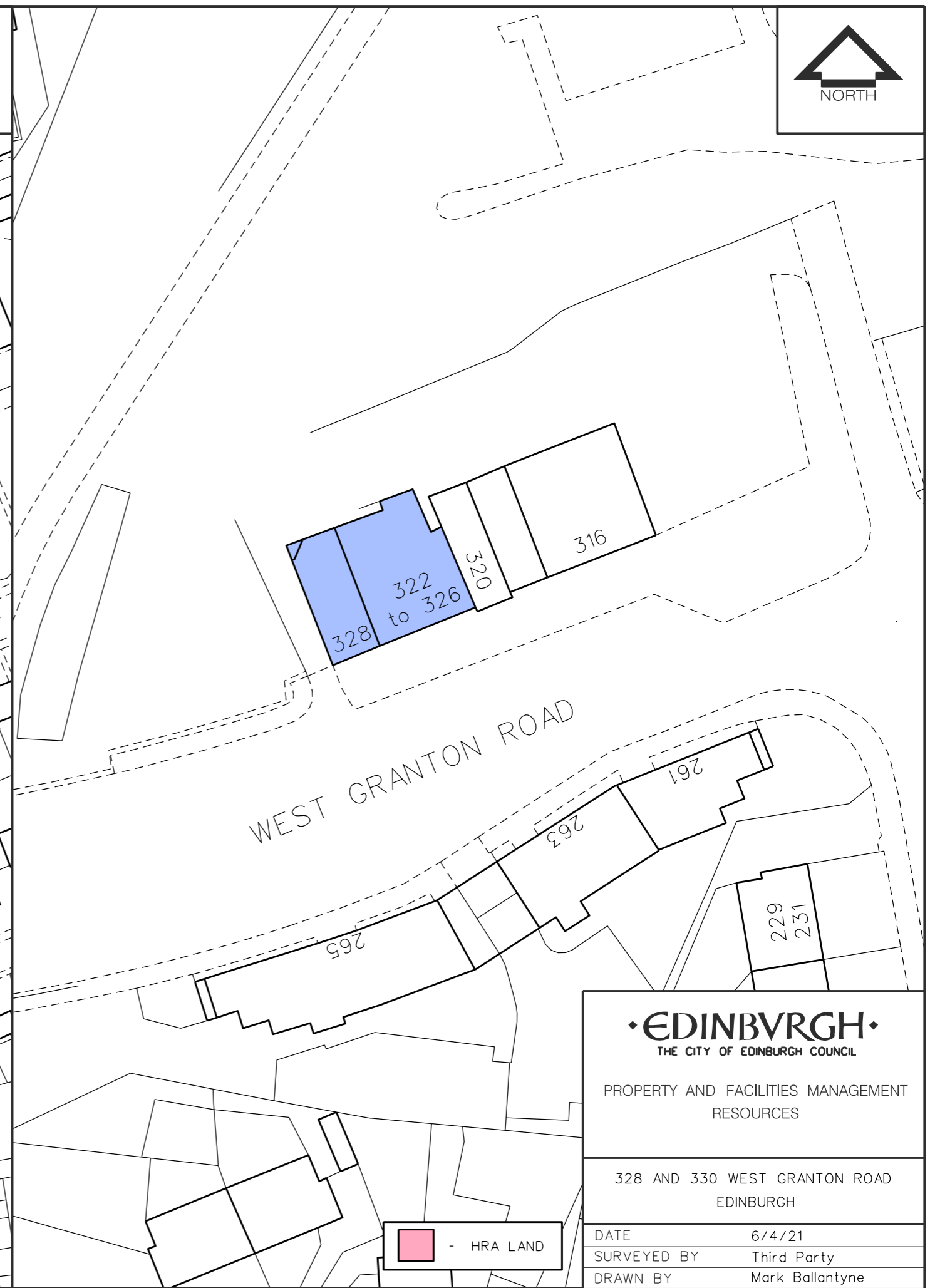
9. Appendices

9.1 Appendix 1 – Location Plan




LOCATION PLAN

SCALE 1:1250



SITE PLAN

SCALE 1:200

 - HRA LAND

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PROPERTY AND FACILITIES MANAGEMENT RESOURCES	
328 AND 330 WEST GRANTON ROAD EDINBURGH	
DATE	6/4/21
SURVEYED BY	Third Party
DRAWN BY	Mark Ballantyne
SCALE	1:500 @ A3 SIZE
NEG. NO.	A3/2341

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Finance and Resources Committee

10am, Thursday, 20 May 2021

Internal Audit: Overdue Findings and Key Performance Indicators as at 10 February 2021 – referral from the Governance, Risk and Best Value Committee

Executive/routine
Wards
Council Commitments

1. For Decision/Action

- 1.1 The Governance, Risk and Best Value Committee has referred the attached report to the Finance and Resources Committee for information.

Andrew Kerr

Chief Executive

Contact: Martin Scott / Natalie Le Couteur, Committee Services, Strategy and Communications Division, Chief Executive's Service

E-mail: martin.scott@edinburgh.gov.uk / Natalie.le.couteur@edinburgh.gov.uk

Referral Report

Internal Audit: Overdue Findings and Key Performance Indicators as at 10 February 2021 – referral from the Governance, Risk and Best Value Committee

2. Terms of Referral

- 2.1 On the 23 March 2021 the Governance, Risk and Best Value (GRBV) Committee considered a report on Internal Audit Overdue Findings and Key Performance Indicators as at 10 February 2021, which provided an overview of the status of the overdue Internal Audit (IA) findings as at 10 February 2021. A total of 115 open IA findings remained to be addressed across the Council as at 10 February 2021. This included the one remaining historic finding and excluded open and overdue Internal Audit findings for the Edinburgh Integration Joint Board and the Lothian Pension Fund.
- 2.2 The Governance, Risk and Best Value Committee agreed:
- 2.2.1 To note the status of the overdue Internal Audit (IA) findings as at 10 February 2021.
- 2.2.2 To refer the report to the relevant Council Executive committees and the Edinburgh Integration Joint Board Audit and Assurance Committee for information in relation to the current Health and Social Care Partnership position.
- 2.2.3 To agree to revise the timescale on outstanding action 107 which had a 2024 close date to an earlier date.
- 2.2.4 To agree that the 30 outstanding actions which were over a year old would return to GRBV for scrutiny in May 2021 or later subject to the Chief Internal Auditor and Convenor of GRBV's discussion

3. Background Reading/ External References

- 3.1 [Governance, Risk and Best Value Committee – 23 March 2020– Webcast](#)
- 3.2 Minute of the Governance, Risk and Best Value Committee - 23 March 2021

4. Appendices

Appendix 1 – report by the Chief Internal Auditor

Governance, Risk and Best Value Committee

10:00am, Tuesday, 23 March 2021

Internal Audit: Overdue Findings and Key Performance Indicators as at 10 February 2021

Item number	
Executive/routine	Executive
Wards	
Council Commitments	

1. Recommendations

- 1.1 It is recommended that the Committee:
- 1.1.1 notes the status of the overdue Internal Audit (IA) findings as at 10 February 2021; and,
 - 1.1.2 refers this paper to the relevant Council Executive committees and the Edinburgh Integration Joint Board Audit and Assurance Committee for information in relation to the current Health and Social Care Partnership position.

Lesley Newdall

Chief Internal Auditor

Legal and Risk Division, Resources Directorate

E-mail: lesley.newdall@edinburgh.gov.uk | Tel: 0131 469 3216

Internal Audit: Overdue Findings and Key Performance Indicators as at 10 February 2021

2. Executive Summary

Open and overdue Internal Audit findings

- 2.1 Following the Corporate Leadership Team (CLT) decision to temporarily reallocate capacity within directorates to prioritise focus on the closure of IA findings in November 2021, IA has noted a consistent increase in the number of overdue findings and management actions now proposed for closure by management, mainly driven by the Place and Resource Directorates. However, this is offset by an ongoing increase in the overall number of findings and management actions becoming overdue.
- 2.2 During the period 30 October 2020 to 10 February 2021 a total of 29 findings (14 open and 15 overdue) and 72 management actions have been closed following review by IA, within a positive monthly trend evident in the number of management actions closed.
- 2.3 There has been no significant change in the historic ageing profile of overdue findings, although there is a consistent increase evident in the number of findings less than 90 days overdue and the number of management actions where the latest implementation date has been missed. This confirms that ongoing focus is required to ensure that future implementation dates are achieved and not missed.
- 2.4 Further detail on the monthly trends in open and overdue findings is included at Appendix 1.

Ownership

- 2.5 Ownership of open IA findings previously owned by the former Executive Director of Communities and Families and Head of Strategy and Communications have now been reallocated to relevant Senior Managers.

Current position as at 10 February 2021

- 2.6 A total of 115 open IA findings remain to be addressed across the Council as at 10 February 2021. This includes the one remaining historic finding and excludes open

and overdue Internal Audit findings for the Edinburgh Integration Joint Board and the Lothian Pension Fund.

- 2.7 With regard to resolution of the 26 historic overdue findings reopened in June 2018, only one overdue finding remains and validation of this is in progress.
- 2.8 During the period a total of 29 findings (14 open and 15 overdue) and 72 management actions have been closed across the Council following review by IA.
- 2.9 Of the 115 currently open IA findings:
 - 2.9.1 a total of 47 (41%) are open, but not yet overdue;
 - 2.9.2 68 (59%) are currently reported as overdue as they have missed the final agreed implementation dates. This reflects an increase of 11% in comparison to the October 2020 position (48%).
 - 2.9.3 68% of the overdue findings are more than six months overdue, reflecting a decrease of 4% in comparison to October 2020 (72%) with 24% aged between six months and one year and 44% more than one year overdue.
 - 2.9.4 evidence in relation to 20 of the 68 overdue findings is currently being reviewed by IA to confirm that it is sufficient to support closure; and
 - 2.9.5 48 overdue findings still require to be addressed.
- 2.10 The number of overdue management actions associated with open and overdue findings where completion dates have been revised more than once since July 2018 is 74, reflecting a decrease of 4 when compared to the October 2020 position. This excludes the four-month date extension that was applied to reflect the impact of Covid-19.

Key Performance Indicators

- 2.11 Recognising the impacts of Covid-19, IA key performance indicators (KPIs) have not been applied to audits completed by IA during the current plan year, however IA has noted an increase in the time required to agree and finalise IA reports.
- 2.12 It is also acknowledged that IA is currently taking longer to respond to increased volumes of requests to validate closure of management actions whilst progressing delivery of the 2020/21 annual plan.

3. Background

- 3.1 Overdue findings arising from IA reports are reported monthly to the Corporate Leadership Team (CLT) and quarterly to the GRBV Committee.
- 3.2 This report specifically excludes open and overdue findings that relate to the Edinburgh Integration Joint Board (EIJB) and the Lothian Pension Fund (LPF). These are reported separately to the EIJB Audit and Assurance Committee and the Pensions Audit Sub-Committee respectively.

- 3.3 Findings raised by IA in audit reports typically include more than one agreed management action to address the risks identified. IA methodology requires all agreed management actions to be closed in order to close the finding.
- 3.4 The IA definition of an overdue finding is any finding where all agreed management actions have not been evidenced as implemented by management and validated as closed by IA by the date agreed by management and IA and recorded in relevant IA reports.
- 3.5 The IA definition of an overdue management action is any agreed management action supporting an open IA finding that is either open or overdue, where the individual action has not been evidenced as implemented by management and validated as closed by IA by the agreed date.
- 3.6 Where management considers that actions are complete and sufficient evidence is available to support IA review and confirm closure, the action is marked as 'implemented' by management on the IA follow-up system. When IA has reviewed the evidence provided, the management action will either be 'closed' or will remain open and returned to the relevant owner with supporting rationale provided to explain what further evidence is required to enable closure.
- 3.7 A 'started' status recorded by management confirms that the agreed management action remains open and that implementation progress ongoing.
- 3.8 A 'pending' status recorded by management confirms that the agreed management action remains open with no implementation progress evident to date.
- 3.9 An operational dashboard has been designed to track progress against the key performance indicators included in the IA Journey Map and Key Performance Indicators document that was designed to monitor progress of both management and Internal Audit with delivery of the Internal Audit annual plan. The dashboard is provided monthly to the Corporate Leadership Team to highlight any significant delays that could potentially impact on delivery of the annual plan.

4. Main report

- 4.1 The 115 open IA findings across the Council have been split into the following two categories to enable separate monitoring and reporting of the historic findings that were reopened in June 2018:
 - 4.1.1 Current findings (114 in total) shows progress with findings raised, tracked, and reported on as part of the routine IA assurance cycle; and
 - 4.1.2 Historic overdue findings (1 in total) highlight progress with closure of the 26 historic findings that were reopened in June 2018.
- 4.2 A total of 68 open IA findings (67 current and 1 historic) are overdue.
- 4.3 The movement in open and overdue IA findings during the period 30 October 2020 to 10 February 2021 is as follows:

Analysis of changes between 30/10/20 and 10/02/2021					Analysis at 10/02/2021	
	Position 30/10/20	Added	Closed	Position 10/02/21	Current	Historic reopened
Open	126	3	(14)	115	114	1
Overdue	61	15	(8)	68	67	1

Current Overdue Findings

- 4.4 Of the 115 currently open findings, 68 (59%) comprising 19 High; 39 Medium; and 10 Low rated findings are now 'overdue'.
- 4.5 However, IA is currently reviewing evidence to support closure of 20 of these findings (6 High, 10 Medium and 4 Low), leaving a balance of 48 overdue findings (13 High; 29 Medium; and 6 Low) still to be addressed.

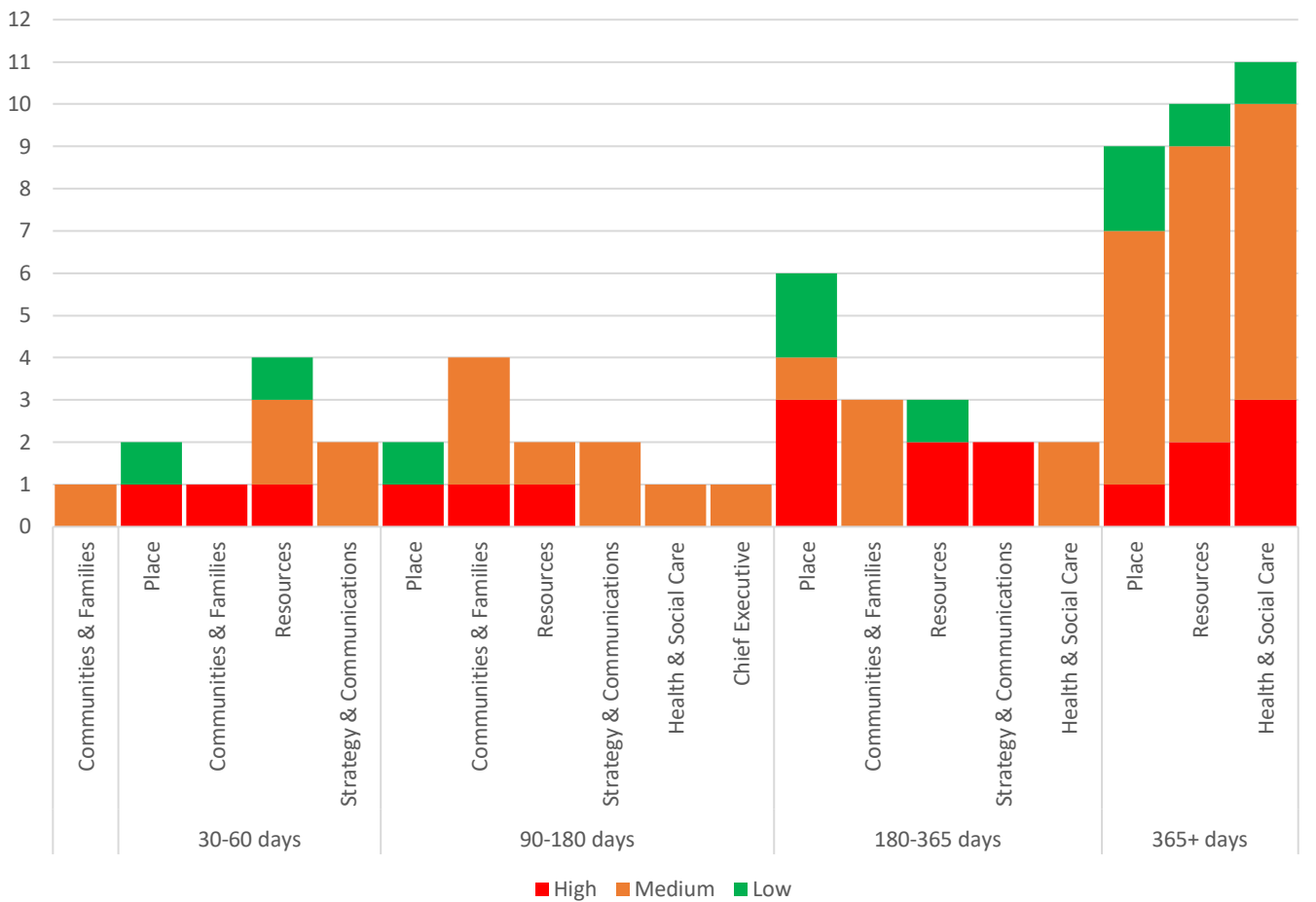
Historic Overdue Findings

- 4.6 IA is currently reviewing evidence recently provided to support closure of the one final remaining medium rated historic finding. This work will be completed by March 2021.

Overdue findings ageing analysis

- 4.7 Figure 1 illustrates the ageing profile of all 68 current and historic overdue findings by rating across directorates as at 10 February 2021.

Figure 1: Aged Overdue Findings by Ratings across Directorates



4.8 This analysis of the ageing of the 68 overdue findings outlined below highlights that Directorates continue to make good progress with resolving findings between six months and one-year overdue, as the proportion of those findings, has decreased. However, this is offset by an increase in the proportion of findings less than six months overdue across the quarter.

- 10 (14%) are less than 3 months (90 days) overdue, in comparison to 13% as at October 2020;
- 12 (18%) are between 3 and 6 months (90 and 180 days) overdue, in comparison to 15% as at October 2020;
- 16 (24%) are between 6 months and one year (180 and 365 days) overdue, in comparison to 28% as at October 2020; and,
- 30 (44%) are more than one year overdue, with no change in comparison to the position as at October 2020.

4.9 It should be noted that findings more than 180 days old include the one remaining medium rated historic finding to be closed (see 4.6 above) that is currently being reviewed by IA.

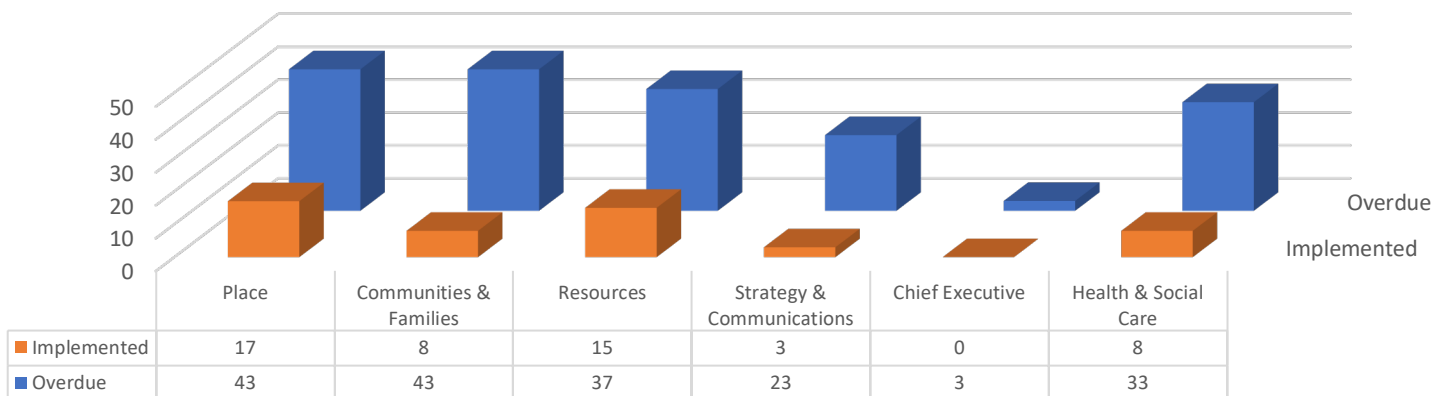
Findings Closed Based on Management's Risk Acceptance

- 4.10 One Low rated finding originally raised in the Waste and Cleansing Performance Management Framework audit completed in August 2019 has been closed by IA during the period where management has accepted a low of risk associated with the original IA finding.

Agreed Management Actions Analysis

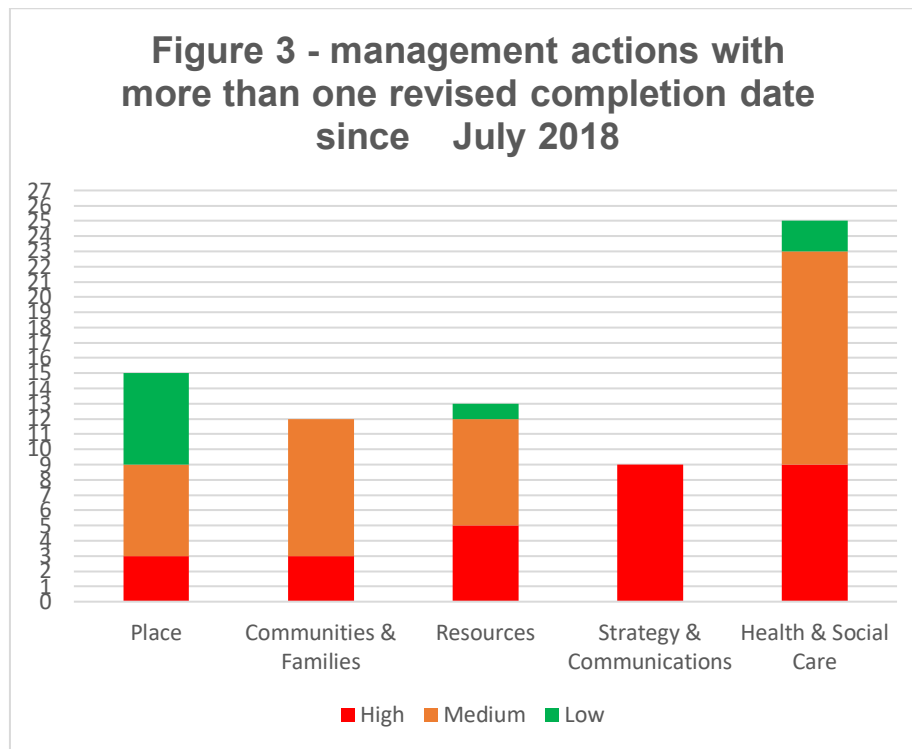
- 4.11 The 115 open IA findings are supported by a total of 315 agreed management actions. Of these, 182 (58%) are overdue as the completion timeframe agreed with management when the report was finalised has not been achieved. This reflects a 10% increase from the October 2019 position (48%).
- 4.12 Of the 182 overdue management actions, 51 have a status of 'implemented' and are currently with IA for review to confirm whether they can be closed, leaving a balance of 131 to be addressed.
- 4.13 Appendix 2 provides an analysis of the 182 overdue management actions highlighting:
- their current status as at 10 February 2021 with:
 - 51 implemented actions where management believe the action has been completed and it is now with IA for validation;
 - 102 started where the action is open, and implementation is ongoing; and
 - 29 pending where the action is open with no implementation progress evident to date.
 - 76 instances (42%) where the latest implementation date has been missed; and
 - 74 instances (41%) where the implementation date has been revised more than once.
- 4.14 Figure 2 illustrates the allocation of the 182 overdue management actions across Directorates, and the 51 that have been passed to IA for review to confirm whether they can be closed.

Figure 2: Overdue and Implemented Management Actions by Directorate



Revised Implementation Dates

- 4.15 Figure 3 illustrates that there are currently 74 open management actions (including those that are overdue) across directorates where completion dates have been revised between one and five times since July 2018. This number excludes the automatic extension applied by IA to reflect the impact of Covid-19.
- 4.16 This reflects a decrease of 4 in comparison to the position reported in October 2020 (78).
- 4.17 Of these 74 management actions, 29 are associated with High rated findings; 36 Medium; and 9 Low, with the majority of date revisions in Health and Social Care Partnership.



Key Performance Themes Identified from the IA Dashboard

- 4.18 The IA dashboard has not been applied in the current plan year as the Council continues to focus on its Covid-19 resilience response.

5. Next Steps

- 5.1 IA will continue to monitor the open and overdue findings position, providing monthly updates to the CLT and quarterly updates to the Governance, Risk and Best Value Committee.

6. Financial impact

- 6.1 There are no direct financial impacts arising from this report, although failure to close findings and address the associated risks in a timely manner may have some inherent financial impact.

7. Stakeholder/Community Impact

- 7.1 If agreed management actions supporting closure of Internal Audit findings are not implemented, the Council will be exposed to the service delivery risks set out in the relevant Internal Audit reports. Internal Audit findings are raised as a result of control gaps or deficiencies identified during reviews therefore overdue items inherently impact upon effective risk management, compliance and governance.
















8. Background reading/external references

- 8.1 [Internal Audit report - Historic Internal Audit Findings - May 2018 Committee - Item 7.3](#)
- 8.2 [Internal Audit: Overdue Findings and Key Performance Indicators at 30 October 2020 – Paper 8.3](#)

9. Appendices

- 9.1 Appendix 1 – Monthly Trend Analysis of IA Overdue Findings and Management Actions
- 9.2 Appendix 2 – Internal Audit Overdue Management Actions as at 10 February 2021

Appendix 1 – Monthly Trend Analysis of IA Overdue Findings and Management Action

	<u>30/10/2020</u>		<u>07/12/2020</u>		<u>11/01/2021</u>		<u>10/02/21</u>		<u>Trend</u>
IA Findings									
Open findings	126	100%	123	100%	119	100%	115	100%	Not applicable
Not yet due	65	52%	59	48%	45	38%	47	41%	Not applicable
Overdue findings	61	48%	64	52%	74	62%	68	59%	
Findings Closed (open and Overdue)	6	N/A	3	N/A	4	N/A	7	N/A	
Overdue - IA Validating	10	16%	12	19%	17	23%	20	30%	
High Overdue	18	30%	19	30%	23	31%	19	28%	
Medium Overdue	33	54%	36	56%	41	55%	39	57%	
Low Overdue	10	16%	9	14%	10	14%	10	15%	
<90 days overdue	8	13%	11	17%	16	22%	10	15%	
90-180 days overdue	9	15%	7	11%	9	12%	12	18%	
180-365 days overdue	17	28%	21	33%	20	27%	16	23%	
>365 days overdue	27	44%	25	39%	29	39%	30	44%	
Management Actions									
Open actions	376	100%	364	100%	340	100%	315	100%	Not applicable
Not yet due	197	52%	175	48%	138	41%	133	42%	Not applicable
Overdue actions	179	48%	189	52%	202	59%	182	58%	
Actions Closed (Open and Overdue)	10	N/A	12	N/A	27	N/A	33	N/A	
Overdue - IA Validating	20	11%	39	21%	52	26%	51	28%	
Latest date missed	44	25%	60	32%	73	36%	76	42%	
Date revised more than once	76	42%	86	46%	82	41%	74	41%	

Trend Analysis - key

	Adverse trend - action required
	Stable with limited change
	Positive trend with progress evident

No trend analysis is performed on open findings and findings that are not yet due as these numbers will naturally increase when new IA reports are finalised

Appendix 2 - Internal Audit Overdue Management Actions as at 10 February 2021

Glossary of terms

1. Project – This is the name of the audit report.
2. Owner – The Executive Director responsible for implementation of the action.
3. Issue Type – This is the priority of the audit finding, categorised as Critical; High; Medium; or Low
4. Issue – This is the name of the finding.
5. Status – This is the current status of the management action. These are categorised as:
 - Pending (the action is open and there has been no progress towards implementation),
 - Started (the action is open, and work is ongoing to implement the management action), and
 - **Implemented** (the service area believes the action has been implemented and this is with Internal Audit for validation).
6. Agreed Management action – This is the action agreed between Internal Audit and Management to address the finding.
7. Estimated date – the original agreed implementation date.
8. Revised date – the current revised date. **Red** formatting in the dates field indicates the last revised date is overdue.
9. Number of revisions – the number of times the date has been revised since July 2018. **Amber** formatting in the dates field indicates the date has been revised more than once.
10. Contributor – Officers involved in implementation of an agreed management action.

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Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
1	<p>Policy Management Framework</p> <p>CE1902 Policy Management Framework Issue 1: Completeness and accuracy of Council policies and the online policy register</p> <p>Gavin King, Democracy, Governance and Resilience Senior Manager</p>	High	<p>CE1902 - 1.2c Policy Register review: Ongoing review of policy register – Strategy and Communications</p> <p style="background-color: green; color: black; text-align: center;">Implemented</p>	<p>A working group led by Strategy and Communications with representation from Internal Audit and each Directorate will be established to identify and implement a process to support timely review and upload of approved policies, and Integrated Impact Assessments (IIA) for inclusion within the online register. Following this, further actions to meet the recommendations will be communicated to all Directorates and Divisions.</p>	<p>Estimated Date: 30/11/2020 Revised Date: 31/12/2020 No of Revisions 1</p>	<p>Chris Peggie Donna Rodger Laura Callender Ross Murray</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
2	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	High	<p>CF1901: Issue 1.1(a) - Review of Schools Admissions Policy</p> <p>Implemented</p>	<p>Following review, the policy will be presented to the Education, Children and Families committee for review and approval. The Executive Director of Communities & Families will be the policy owner, with the Senior Education Officer responsible for operational review and oversight.</p>	<p>Estimated Date: 30/04/2020</p> <p>Revised Date: 31/12/2020</p> <p>No of Revisions 1</p>	<p>Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie</p>
Page 396	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	High	<p>CF1901: Issue 1.2 - Review & Update of School Websites</p> <p>Implemented</p>	<p>A communication will be issued to all schools to request a review of their school website to ensure: current academic year handbooks are published; links to relevant content on the Council website remain current; only standard approved Council forms are published; and all privacy notices published on School websites are directly linked to the Council's statement.</p>	<p>Estimated Date: 31/12/2020</p> <p>Revised Date: 01/05/2021</p> <p>No of Revisions 0</p>	<p>Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
4	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions & Appeals</p> <p>Gavin King, Democracy, Governance and Resilience Senior Manager</p>	High	<p>CF1901 Issue 2.1(b): Committee on Pupil Student Support Remit, Review & Recording of Outcomes</p> <p>Implemented</p>	<p>Decisions and outcomes of the annual meeting of the Committee on Pupil Student Support will be documented, and a process implemented to ensure that the outcomes are addressed by the Council. Consideration will be given to reviewing and updating the remit of the Committee. Committee members will be provided with training and support to enable them to fulfil their role in line with the agreed remit.</p>	<p>Estimated Date: 30/06/2020 Revised Date: 30/11/2020 No of Revisions 1</p>	<p>Andy Gray Arran Finlay Donna Rodger Hayley Barnett Lesley Birrell Nickey Boyle Ruth Currie</p>
<p>Page 397</p> <p>5</p>	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 5: Provision of Training & Support</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	Medium	<p>CF1901 Issue 5: Induction and annual refresher training programme</p> <p>Implemented</p>	<p>Following conclusion of the working group, Communities and Families will develop a programme of training which includes input across all services areas involved will be designed and delivered to schools' senior leadership teams to ensure that they are aware of and understand: Revised policy and procedures where relevant Applicable legislative and regulatory requirements and Council policies The end to end capacity planning, admissions and appeals process, including management of waiting lists Roles, responsibilities and accountabilities of all teams involved in the process Data access, security, and retention requirements Conflicts of interest requirements Parent and carer engagement guidance Details of ongoing support and information available to manage capacity planning in relation to late placing requests and</p>	<p>Estimated Date: 31/10/2020 Revised Date: 01/03/2021 No of Revisions 0</p>	<p>Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
				upheld appeals, including timetabling and accommodation adjustments		
6	Records Management - LAAC CW1705 Issue 1: Project file review process Bernadette Oxley, Head of Children's Services	Medium	CW1705 Issue 1.1: Review and Refresh of the project file review process. Implemented	Agreed actions will be implemented as recommended by Internal Audit. The project team will work to an end of January date for implementation of the quality assurance within the project team with an end of February date for Internal Audit to review the process applied.	Estimated Date: 28/02/2020 Revised Date: 31/12/2020 No of Revisions 3	Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed Gillie Severin John Arthur Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir
Page 398	Records Management - LAAC CW1705 Issue 1: Project file review process Bernadette Oxley, Head of Children's Services	Medium	CW1705 Issue 1.2: Process communication and training Implemented	Agreed actions will be implemented as recommended by Internal Audit. The project team will work to an end of January date for implementation of quality assurance within the project team with an end of February date for Internal Audit to review the process applied.	Estimated Date: 28/02/2020 Revised Date: 31/12/2020 No of Revisions 2	Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed Gillie Severin John Arthur Louise McRae Nickey Boyle Nicola Harvey Stephen Moir
8	Historic Unimplemented Findings MIS1601 - issue 1 Budgetary Impact Stephen Moir, Executive Director of Resources	Medium	Recommendation 1 - Budgetary Impact Implemented	The R&M budget for 2016/17 will be closely monitored as services are now procured direct from suppliers and an imbedded due diligence process has been developed. This will inform the budget setting process, but it should, however, be noted that this has historically been based on availability and not need.	Estimated Date: 31/03/2017 Revised Date: 29/06/2018 No of Revisions 0	Audrey Dutton Gohar Khan Layla Smith Michelle Vanhegan Murdo MacLeod Peter Watton

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
9	Emergency Prioritisation & Complaints CW1806 Issue 1: ATEC 24 Operational Framework Judith Proctor, Chief Officer	Medium	CW1806 Issue 1.1(2): ATEC 24 Review of Operational Processes - Call Prioritisation Implemented	2. Call prioritisation procedures will be designed and implemented, including recording the rationale for call prioritisation and delivery of training to staff. A review schedule for these procedures will be implemented with the last review date and date of next scheduled review clearly identifiable i.e. every 3 years.	Estimated Date: 29/11/2019 Revised Date: 01/02/2021 No of Revisions 2	Angela Ritchie Craig O'Donnell Tom Cowan
10	Emergency Prioritisation & Complaints CW1806 Issue 1: ATEC 24 Operational Framework Judith Proctor, Chief Officer	Medium	CW1806 Issue 1.4(1): ATEC 24 Quality Assurance Framework - Methodology Implemented	1. A documented quality assurance process aligned to Technology Enabled Care Services Association (TSA) guidelines will be developed and communicated for call handling and response visits. The process will include quality assurance roles and responsibilities, frequency and scope of quality assurance checks, sampling methodologies to be applied.	Estimated Date: 30/04/2020 Revised Date: 01/02/2021 No of Revisions 2	Angela Ritchie Craig O'Donnell Tom Cowan
11	Emergency Prioritisation & Complaints CW1806 Issue 1: ATEC 24 Operational Framework Judith Proctor, Chief Officer	Medium	CW1806 Issue 1.4(2): ATEC 24 Quality Assurance Framework - Application Implemented	2. Quality assurance outcomes will be linked to supervision and training and performance objectives, with regular one to ones scheduled to ensure action is taken to address any competence issues or gaps identified.	Estimated Date: 30/04/2020 Revised Date: 01/02/2021 No of Revisions 2	Angela Ritchie Craig O'Donnell Tony Duncan

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
12	Emergency Prioritisation & Complaints CW1806 Issue 2: ATEC 24 Customer Engagement Judith Proctor, Chief Officer	Low	CW1806 Issue 2.1(1): ATEC 24 Customer Feedback - Implementation of Process Implemented	1. Feedback processes to obtain input from service users will be implemented. These should be incorporated into a continuous improvement programme for service delivery, with improvement actions appropriately allocated and monitored.	Estimated Date: 31/01/2020 Revised Date: 01/02/2021 No of Revisions 2	Angela Ritchie Craig O'Donnell Tom Cowan
13	Emergency Prioritisation & Complaints CW1806 Issue 2: ATEC 24 Customer Engagement Judith Proctor, Chief Officer	Low	CW1806 Issue 2.1(2): ATEC 24 Customer Feedback - Tracking and Communication Implemented	2. Benefits and service improvements made as a result of customer feedback will be tracked and communicated both externally to customers, and internally to the service.	Estimated Date: 31/01/2020 Revised Date: 01/02/2021 No of Revisions 2	Angela Ritchie Craig O'Donnell Tom Cowan
14	ICT System Access Rights CW1809 Financial Systems Access Controls - Development of Overarching Action plan Stephen Moir, Executive Director of Resources	High	CW1809 - Development of Overarching Action plan Implemented	Digital Services has confirmed that they will own the findings raised from this review and will work (in conjunction with other divisions such as information governance; finance; and human resources) to create an appropriate action plan to address the risks identified. The action plan will initially focus only on the Council's key financial systems and will consider all of the recommendations made by Internal Audit in this report. It is also acknowledged that the risks that have been highlighted are not exclusively limited to financial systems and could also extend to the Health and Social Care Partnership (the Partnership). Consequently, the action plan will include guidance to be applied by all system administrators across the	Estimated Date: 28/02/2020 Revised Date: 01/07/2020 No of Revisions 0	Alison Roarty Heather Robb Layla Smith Michelle Vanhegan Nicola Harvey

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
Page 401				<p>Council. This will be communicated and shared with the expectation that it will be applied across all systems and divisions, including those that deliver services on behalf of and provide support to the Partnership. Following distribution of the guidance, discussions will be held with Internal Audit to determine whether the remaining systems used across the Council should be subject to a separate audit to confirm whether the user administration guidance is being consistently applied. Once the plan has been prepared and resources to support implementation identified and agreed with relevant divisions, timeframes for implementation of individual system plan actions will be discussed and agreed with Internal Audit. The plan will be prepared by March 2020.</p>		

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
<p style="text-align: center;">15 Page 402</p>	<p>Digital Services Change Initiation</p> <p>CW1901 Change Initiation: Issue 1 - Inconsistencies in the change management processes</p> <p>Stephen Moir, Executive Director of Resources</p>	<p style="text-align: center;">Medium</p>	<p>CW1901: Recommendation 1.2.1 - Review of service levels for CGI review and response to change requests</p> <p style="text-align: center;">Implemented</p>	<p>Service levels for CGI review of and responses to change requests will be reviewed and consideration given to implementing the following changes where this is possible within the terms of the current contract: creating bespoke service levels for individual complex change requests with any additional costs associated with bespoke service levels incorporated into the cost of the change request. Where bespoke service levels are agreed, a process will be established to ensure that these are communicated to both Digital Services and the change requestor. CGI and the Council will also consider and implement (if appropriate) an initial review of change requests to confirm that they are of an acceptable level of quality and include sufficient information to support an initial assessment of the requirement for a Data Privacy Impact Assessment prior to acceptance. Progress against delivery of both standard and bespoke service levels for CGI review of and response to change requests will continue to be monitored by both the Council and CGI via established governance processes.</p>	<p>Estimated Date: 31/12/2020</p> <p>Revised Date:</p> <p>No of Revisions 0</p>	<p>Alison Roarty Derek Masson Heather Robb Jackie Galloway Layla Smith Michelle Vanhegan Nicola Harvey</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
16	<p>Digital Services Change Initiation</p> <p>CW1901 Change Initiation: Issue 1 - Inconsistencies in the change management processes</p> <p>Stephen Moir, Executive Director of Resources</p>	Medium	<p>CW1901: Recommendation 1.2.2 - Defined point for assessment for DPIAs for simple changes</p> <p>Implemented</p>	<p>A clearly defined point for assessment of the requirement for Data Privacy Impact Assessments (DPIAs) for simple changes will be agreed; incorporated within the change request process (Remedy submission forms); and consistently applied.</p>	<p>Estimated Date: 31/12/2020 Revised Date:</p> <p>No of Revisions 0</p>	<p>Alison Roarty Derek Masson Heather Robb Jackie Galloway Layla Smith Michelle Vanhegan Nicola Harvey</p>
Page 7 403	<p>Brexit impacts - supply chain management</p> <p>CW1905 Issue 1: Divisional and Directorate Brexit supply chain management risks</p> <p>Judith Proctor, Chief Officer</p>	Medium	<p>CW1905 Rec. 1.1d: Health and Social Care Partnership - Divisional and directorate supply chain management</p> <p>Implemented</p>	<p>As discussed and agreed at the Corporate Leadership Team (CLT) on 29th July 2020, these findings will be implemented as recommended by Internal Audit and in line with an earlier CLT decision (8 July 2020) that the most significant corporate concurrent risks (including Brexit supply chain risks) that could potentially impact the Council will be identified by October 2020. It is acknowledged that divisional and directorate supply chain risks will need to be identified to support this process.</p>	<p>Estimated Date:30/10/2020 Revised Date: No of Revisions0</p>	<p>Angela Ritchie Moir Pringle Tom Cowan Tony Duncan</p>
18	<p>Validation Review 2019/20</p> <p>CW1909 Issue 2: Communities and Families – Complaints received by Helpline</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	Medium	<p>CW1909 Recommendation 2.1.1 - Roles and Responsibilities for managing complaints helpline</p> <p>Implemented</p>	<p>Access to the complaints database will be arranged for all team members involved in the complaint handling process with supporting files saved in secured shared drives. Contingency access arrangements will also be developed and implemented.</p>	<p>Estimated Date: 31/01/2021 Revised Date:</p> <p>No of Revisions 0</p>	<p>Claire Thompson Michelle McMillan Nickey Boyle</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
19	<p>Validation Review 2019/20</p> <p>CW1909 Issue 2: Communities and Families – Complaints received by Helpline</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	Medium	<p>CW1909 Recommendation 2.1.2 - Transferring temporary complaints records and updating performance statistics</p> <p>Implemented</p>	<p>The complaints cases that were recorded on the temporary spreadsheet will be transferred to the complaints database and the performance statistics retrospectively updated. Management will also be advised of any significant changes in performance statistic resulting from the retrospective update.</p>	<p>Estimated Date: 31/01/2021</p> <p>Revised Date:</p> <p>No of Revisions 0</p>	<p>Claire Thompson Michelle McMillan Nickey Boyle</p>
Page 404	<p>Life Safety</p> <p>CW1910 - Life safety: Issue 4 Housing Property Services – fire and water safety processes</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Low	<p>CW1910 Rec. 4.1.2 Housing Property Services – fire safety inspections in low rise properties</p> <p>Implemented</p>	<p>Housing Property Services will investigate the feasibility of implementing a technology solution to enable recording of the outcomes of fire inspections in low rise buildings where the Council has responsibility with Digital Services. If a solution is feasible, a change request for implementation of the new system will be prepared and submitted to CGI, the Council's technology partner.</p>	<p>Estimated Date: 18/12/2020</p> <p>Revised Date:</p> <p>No of Revisions 0</p>	<p>Alison Coburn Alistair Latona Michael Thain Patricia Blore Willie Gilhooly</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
Page 405	<p>Drivers - findings only report</p> <p>1: Completion of Driver Licence checks</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>1.2 - Agreed Management Action – Establish an accurate population of Council drivers</p> <p style="background-color: green; color: black; text-align: center;">Implemented</p>	<p>1. An e mail will be prepared and issued by the Executive Director of Place. This will include an explanation of the requirement for Council vocational and grey fleet drivers to complete and return the DVLA driver licence check permissions forms to Fleet Services and include a date for completion. The e mail will also reinforce the escalation process to be applied where that driving permission forms are not received and will confirm that driver permits will be revoked where completed forms are not returned on time. 2. Fleet services will engage with the Business Hub team within Strategy and Communications and to determine what support can be provided to enable effective resolution of the current position and the nature of ongoing support required. 3. This action is already in progress as a number of leavers have now been removed from the Fleet Services Tranman driver database. Once all permission forms have been received, a full reconciliation will be performed. Subsequent reconciliations will then be performed monthly and will be moved to quarterly if no significant issues are experienced. 4. Reports are currently received monthly from the Business Hub (Strategy and Communications) and Per Temps for agency workers, but these include all leavers and do not specifically highlight those who are drivers. As part of our engagement with the Strategy and Communications</p>	<p>Estimated Date: 01/11/2020</p> <p>Revised Date: 01/03/2021</p> <p>No of Revisions 0</p>	<p>Alison Coburn David Givan Gareth Barwell George Gaunt Graeme Hume Nicole Fraser Scott Millar</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
Page 406				<p>Business Hub, we will determine whether leaver reports can be provided that include details of vocational and grey fleet drivers. If this is not possible, we will engage with Continuous Improvement to determine whether it is possible to design and implement an electronic process that compares the employee data in the leavers reports with the data retained in the Fleet Services Tranman driver database to identify those leavers who are drivers. If this is not possible, a manual comparison will continue to be performed and leavers who are drivers will be removed from the Tranman database and advised to Davis</p> <p>5 and 6 - Once the data cleanse and reconciliation has been performed, the Council will have an accurate record of all known vocational, grey fleet, and agency drivers that details where checks have been performed and permits issued. The ongoing reconciliation to be performed at 2 above will ensure that this remains complete and accurate 7. E Davis will perform the licence checks as soon as permission forms are received by them. Davis also provides management information in relation to permissions that are due to expire. MI re permissions that are due to expire.</p>		

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
22	<p>Drivers - findings only report</p> <p>1: Completion of Driver Licence checks</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>1.3 - Driver permit revocation</p> <p>Implemented</p>	<p>1. A standard reminder e mail will be prepared by the Head of Place Development and issued to employees and their line managers where permission forms have not been received 10 days prior to their expiry. 2. The e mail will highlight that driver permits will be revoked if they are not received by the required date, and employees and line managers will be made aware that they are no longer eligible to drive for the Council and 9for vocational and agency drivers) that they are no longer covered by Council insurance. 3. and 4 Permits will be revoked where permission forms are not received on time and e mail confirmation provided to employees and line managers reminding them that they can no longer drive on behalf of the Council.</p>	<p>Estimated Date: 04/05/2020</p> <p>Revised Date: 29/01/2021</p> <p>No of Revisions 1</p>	<p>Alison Coburn David Givan Gareth Barwell George Gaunt Graeme Hume Nicole Fraser Scott Millar</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
23	<p>Unsupported Technology (Shadow IT) and End User Computing</p> <p>CW1914 Issue 1: Digital strategy and governance</p> <p>Stephen Moir, Executive Director of Resources</p>	Medium	<p>CW1914 Rec 1.3 - Architectural roadmap</p> <p>Implemented</p>	<p>The digital strategy will be supported by a digital roadmap. The roadmap will be designed to understand both existing and future technology system requirements across Council directorates and divisions, including existing shadow IT systems and the potential future use of shadow IT to support ongoing service delivery. This road map will be prepared in consultation with divisions and directorates. A process will be established to ensure that all new technology procurement requests are considered by the enterprise architecture governance forum together with the register of shadow IT to inform final procurement / system development decisions. This will include a RACI document that clearly defines who should be responsible; accountable; consulted; and informed for all relevant aspects of enterprise architecture governance between the Council and its technology partners CGI.</p>	<p>Estimated Date: 17/12/2020</p> <p>Revised Date:</p> <p>No of Revisions 0</p>	<p>Alison Roarty Heather Robb Layla Smith Michelle Vanhegan Mike Bell Nicola Harvey</p>
24	<p>Edinburgh Alcohol and Drug Partnership (EADP) – Contract Management</p> <p>Risk and Supplier Performance Management</p> <p>Judith Proctor, Chief Officer</p>	High	<p>Rec 1 - Risk Management</p> <p>Implemented</p>	<p>A contracts management risk register will be developed describing, prioritising, and addressing risks to delivery. The risk register will be shared with and approved by the Core group by January 2018. The risk register will be refreshed quarterly and reviewed by the Core Group.</p>	<p>Estimated Date:30/03/2018</p> <p>Revised Date:01/03/2021</p> <p>No of Revisions 4</p>	<p>Angela Ritchie David Williams Tony Duncan</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
25	Edinburgh Alcohol and Drug Partnership (EADP) – Contract Management Key Person Dependency and Process Documentation Judith Proctor, Chief Officer	Medium	Rec 5 - Records Management Policy Implemented	Records retention policy: Direction will be requested from the Information Governance team in relation to Records Management Policy requirements and how they should be applied to retention, archiving and destruction of contract management information. Any lessons learned will be shared with the Health and Social Care contracts management team.	Estimated Date: 30/03/2018 Revised Date: 01/02/2021 No of Revisions 5	Angela Ritchie David Williams Tony Duncan
26	Non-Housing Invoices Schedule of Rates Stephen Moir, Executive Director of Resources	Medium	New non-housing contractor framework Implemented	The non-Housing contractor framework will be re-tendered during 2017. The inclusion of detailed best-value and due-diligence options will be considered as part of the process. This may include schedule of rates, gain share, penalties etc or a combination.	Estimated Date: 31/08/2017 Revised Date: 31/03/2019 No of Revisions 2	Audrey Dutton Gohar Khan Layla Smith Mark Stenhouse Michelle Vanhegan Murdo MacLeod Peter Watton
Page 409	Non-Housing Invoices Availability of documentation Stephen Moir, Executive Director of Resources	Medium	CAFM Implemented	It is anticipated that CAFM will be in operational use (services being implemented on a rolling programme thereafter) in early 2017 with a non-Housing R&M implementation process in place for FY 2017/18	Estimated Date: 01/04/2017 Revised Date: 31/08/2018 No of Revisions 1	Audrey Dutton Gohar Khan Layla Smith Michelle Vanhegan Murdo MacLeod Peter Watton
28	Local Development Plan Financial Modelling Paul Lawrence, Executive Director of Place and SRO	High	Funding Implemented	Challenge of infrastructure proposals will be performed at the LDP Action Programme oversight group. Complete and agree Financial Model of 2018 LDP Action Programme Annual Report to CLT and F&R Committees Prepare update to Financial Model in line with next LDP project plan.	Estimated Date: 31/03/2018 Revised Date: 01/10/2020 No of Revisions 2	Alison Coburn Claire Duchart David Leslie David Givan George Gaunt Kate Hopper Michael Thain Sandra Harrison

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
29	<p>Planning and S75 Developer Contributions</p> <p>Ongoing management of developer contributions</p> <p>Stephen Moir, Executive Director of Resources</p>	High	<p>PL1802 Iss 3 Rec 3.2</p> <p>Ongoing maintenance of developer contributions</p> <p>Implemented</p>	All recommended actions will be implemented as set out above (in IA recommendations).	<p>Estimated Date: 30/09/2020</p> <p>Revised Date: 01/02/2021</p> <p>No of Revisions 0</p>	<p>Alison Henry</p> <p>Annette Smith</p> <p>Hugh Dunn</p> <p>Layla Smith</p> <p>Michelle Vanhegan</p> <p>Rebecca Andrew</p>
30	<p>HMO Licensing</p> <p>PL1803 Issue 1 Licensing system - Data Integrity and Performance Issues</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>PL1803 Issue 1.2</p> <p>Escalation of system issues</p> <p>Implemented</p>	The Place Directorate has previously reported on operational performance issues to the Regulatory Committee in 2018. The Place Directorate will include a full assessment of system issues with APP within a wider performance report due to be submitted to Regulatory Committee in the last quarter of 2019/20. This report will include an update on proposed project plan for APP Cx	<p>Estimated Date: 31/03/2020</p> <p>Revised Date: 31/03/2021</p> <p>No of Revisions 1</p>	<p>Alison Coburn</p> <p>Andrew Mitchell</p> <p>David Givan</p> <p>George Gaunt</p> <p>Grace McCabe</p> <p>Isla Burton</p> <p>Michael Thain</p> <p>Sandra Harrison</p>
31	<p>HMO Licensing</p> <p>PL1803 Issue 3 - Operational Performance and Reporting</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Medium	<p>PL1803 Issue 3.6</p> <p>HMO Key Performance Indicators and Performance Reporting</p> <p>Implemented</p>	The Regulatory Committee were previously advised that HMO performance data would be excluded whilst the Licencing introduced the significant change of moving towards a three-year licensing system. Performance reports therefore only included Civic and Taxi data in the period 2015-2018. Licencing will be reporting to Regulatory Committee on the first cycle of three-year licencing for HMO's prior to the setting of Licensing Fees for 2020/21 in early 2020. The Directorate will include within that report relevant performance data and make recommendations for	<p>Estimated Date: 31/01/2020</p> <p>Revised Date: 01/06/2020</p> <p>No of Revisions 0</p>	<p>Alison Coburn</p> <p>Andrew Mitchell</p> <p>David Givan</p> <p>George Gaunt</p> <p>Grace McCabe</p> <p>Isla Burton</p> <p>Michael Thain</p> <p>Sandra Harrison</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
				approval for performance targets ongoing performance targets.		
32	<p>Waste & Cleansing Services - Performance Management Framework</p> <p>PL1807 Issue 1: Waste and Cleansing Performance Management Framework</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Low	<p>PL1807 1.3 Waste and Cleansing Policy</p> <p>Implemented</p>	The Policy Handbook will not be updated to reflect items suitable for inclusion in residual waste bins as it is not updated frequently enough to ensure that this information would be up to date and accurate. A clearer link to the Scottish Government's Code of Practice on Litter and Refuse guidance will be included in all customer communications and on the website.	<p>Estimated Date: 27/12/2019</p> <p>Revised Date: 01/11/2020</p> <p>No of Revisions 1</p>	<p>Alison Coburn</p> <p>Andy Williams</p> <p>David Givan</p> <p>Gareth Barwell</p> <p>George Gaunt</p>
Page 33 411	<p>Road Services Improvement Plan</p> <p>PL1808 Issue 4. Roads - Management of public liability claims</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Low	<p>PL1808 - 4.1 Management of public liability claims</p> <p>Implemented</p>	A new process will be developed within the Confirm system which requires reconciliation between accident claim enquiries and those logged on the Local Authority Claims Handling System (LACHS) system.	<p>Estimated Date: 28/05/2020</p> <p>Revised Date: 31/12/2020</p> <p>No of Revisions 1</p>	<p>Alison Coburn</p> <p>Cliff Hutt</p> <p>David Givan</p> <p>Gareth Barwell</p> <p>Gavin Brown</p> <p>George Gaunt</p> <p>Jamie Watson</p> <p>Jordan Walker</p> <p>Nicole Fraser</p> <p>Sean Gilchrist</p>
34	<p>Road Services Improvement Plan</p> <p>PL1808 Issue 4. Roads - Management of public liability claims</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Low	<p>PL1808 - 4.2 Management of public liability claims</p> <p>Implemented</p>	Quarterly meetings will be arranged between the Safety Inspection team and the Insurance team to identify trends and areas of focus. This process will be designed and implemented by the Team Leader, Safety Inspections to be appointed as part of the ongoing restructure.	<p>Estimated Date: 30/04/2020</p> <p>Revised Date: 31/12/2020</p> <p>No of Revisions 1</p>	<p>Alison Coburn</p> <p>Cliff Hutt</p> <p>David Givan</p> <p>Gareth Barwell</p> <p>Gavin Brown</p> <p>George Gaunt</p> <p>Jamie Watson</p> <p>Nicole Fraser</p> <p>Sean Gilchrist</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
<p style="text-align: center;">35</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 412</p>	<p>Street Lighting and Traffic Signals</p> <p>Street Lighting - Inventory and Maintenance</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	<p>Medium</p>	<p>PL1810 Issue 2: Rec 1 - Street lighting inventory completeness and electrical testing results</p> <p style="background-color: #00FF00; display: inline-block; padding: 2px;">Implemented</p>	<p>Clear processes will be designed and implemented to ensure that: all street lighting additions and removals are accurately recorded on Confirm; electrical testing outcomes are completely and accurately recorded on Confirm; and progress with testing is accurately monitored and reconciled. These processes will be included in the Street Lighting Operational Guide (developed under Finding No 3 below). With this action being inextricably linked with the ongoing Energy Efficient Street Lighting Programme, implementation will be phased (on a Ward by Ward basis) within six months of completion of each Ward within the Programme, with full completion by 30 June 2022. It has been agreed with Internal Audit that an implementation date of 20 December 2019 has been agreed with Internal Audit, enabling them to perform sample testing across the wards that have been completed at that time.</p>	<p>Estimated Date:20/12/2019</p> <p>Revised Date:01/02/2021</p> <p style="background-color: #FFFF00; display: inline-block; padding: 2px;">No of Revisions</p> <p style="background-color: #FFFF00; display: inline-block; padding: 2px;">3</p>	<p>Alan Simpson Alison Coburn Claire Duchart Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Lindsey McPhillips Nicole Fraser Robert Mansell Tony Booth</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
36	<p>Street Lighting and Traffic Signals</p> <p>Street Lighting - Inventory and Maintenance</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Medium	<p>PL1810 Issue 2: Rec 2 - Street Lighting Inventory Checks</p> <p>Implemented</p>	<p>The processes (designed and implemented above) will include a monitoring arrangement, with quarterly checks made to confirm the completeness and accuracy of the inventory in Confirm. With this action being inextricably linked with the ongoing Energy Efficient Street Lighting Programme, implementation will be phased (on a Ward by Ward basis) within six months of completion of each Ward within the Programme, with full completion by 30 June 2022. It has been agreed with Internal Audit that an implementation date of 20 December 2019 has been agreed with Internal Audit, enabling them to perform sample testing across the wards that have been completed at that time.</p>	<p>Estimated Date: 20/12/2019</p> <p>Revised Date: 01/02/2021</p> <p>No of Revisions 3</p>	<p>Alan Simpson Alison Coburn Claire Duchart Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Lindsey McPhillips Nicole Fraser Robert Mansell Tony Booth</p>
37	<p>Property Maintenance</p> <p>Monitoring of outstanding jobs</p> <p>Stephen Moir, Executive Director of Resources</p>	Medium	<p>Monitoring of outstanding jobs</p> <p>Implemented</p>	<p>The AS400 system does not allow recoding or reporting on completion until invoice stage. Contractors are already confirming when jobs complete to agreed SLAs (M&E in particular). This includes outstanding jobs. New contracts being procured will require all contracts to report on performance, but this is not anticipated to be complete until end 2017 by which time CAFM will also be in place. CAFM will support monitoring of outstanding works orders. In the meantime, as noted in Finding 2, an interim monitoring/tracking process has been developed for condition survey high risk/urgent items</p>	<p>Estimated Date: 31/12/2017</p> <p>Revised Date: 31/05/2019</p> <p>No of Revisions 3</p>	<p>Audrey Dutton Gohar Khan Layla Smith Mark Stenhouse Michelle Vanhegan Murdo MacLeod Peter Watton</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
38	<p>Drivers</p> <p>Management and use of Driver Permits and fuel FOB cards</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Medium	<p>Management and use of Driver Permits and Fuel FOB cards Rec 4</p> <p>Implemented</p>	Fleet Services will perform an exercise to remove all historic leavers from their database and advise the external third party who performs the annual licence checks to ensure that no subsequent checks are performed on former employees;	<p>Estimated Date: 01/02/2019</p> <p>Revised Date: 01/03/2021</p> <p>No of Revisions 3</p>	<p>Alison Coburn Claire Duchart David Givan Gareth Barwell George Gaunt Katy Miller Martin Young Nicole Fraser Scott Millar Steven Wright</p>
Page 414	<p>Drivers</p> <p>Recording and addressing driving incidents</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Medium	<p>Recording and addressing driving incidents Rec 3</p> <p>Implemented</p>	Quarterly analysis of driving incidents will be performed and provided to Service Areas with a request that any recurring themes or root causes are incorporated into ongoing driver training;	<p>Estimated Date: 01/02/2019</p> <p>Revised Date: 01/12/2020</p> <p>No of Revisions 2</p>	<p>Adam Fergie Alison Coburn Claire Duchart David Givan Gareth Barwell George Gaunt Katy Miller Martin Young Nicole Fraser Scott Millar Steven Wright</p>
40	<p>Cyber Security - Public Sector Action Plan</p> <p>RES1808: Issue 1: Critical Operational Cyber Security Controls</p> <p>Stephen Moir, Executive Director of Resources</p>	Medium	<p>RES1808: Issue 1: Recommendation 4.1 - User access controls</p> <p>Implemented</p>	CGI indicated that the full recommendations made by the external auditor could not be implemented without significant change to the contract and at a notable additional cost. CGI provided the Council and the External Auditors with details of the current oversight of the CGI Wintel and UNIX password policies. Current ongoing evidence of this oversight via the Security Working Group will be provided to external audit, a statement confirming the risk acceptance by the Executive Director of Resources will be prepared,	<p>Estimated Date: 31/05/2019</p> <p>Revised Date: 01/10/2019</p> <p>No of Revisions 0</p>	<p>Alison Roarty Heather Robb Layla Smith Michelle Vanhegan Mike Brown Nicola Harvey</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
				approved, signed, and provided to Scott Moncrieff.		
41	<p>Supplier Management Framework and CIS Payments</p> <p>RES1809 Issue 1: Contract Management by Directorates and Service Areas</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>RES1809 Issue 1.1(4): Completeness and accuracy of the contract register - Place</p> <p>Implemented</p>	Place A recent review of the contracts register was carried out. However, an annual review of the contracts register will be undertaken to ensure that the Council's contracts register is completely and accurately populated for all Place contracts, with contract tiering assessments and accurate contract manager details included.	<p>Estimated Date: 31/03/2020</p> <p>Revised Date: 31/12/2020</p> <p>No of Revisions 1</p>	<p>Alison Coburn</p> <p>David Givan</p> <p>Gareth Barwell</p> <p>George Gaunt</p> <p>Lynne Halfpenny</p> <p>Michael Thain</p>
Page 2 of 15	<p>Supplier Management Framework and CIS Payments</p> <p>RES1809 Issue 1: Contract Management by Directorates and Service Areas</p> <p>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities</p>	High	<p>RES1809 Issue 1.4(3): Review of contract waivers - C&F</p> <p>Implemented</p>	Communities and Families Recommendations accepted. We have reduced the need for waivers through the development of framework arrangements and contracts that are in place. However, we will review the waivers currently in place and report this to Communities and Families Directorate Senior Management Team meeting with the Corporate and Procurement Services commercial partner.	<p>Estimated Date: 27/03/2020</p> <p>Revised Date: 01/11/2020</p> <p>No of Revisions 1</p>	<p>Anna Gray</p> <p>Claire Thompson</p> <p>David Hoy</p> <p>Michelle McMillan</p> <p>Nichola Dadds</p> <p>Nickey Boyle</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
43	<p>New Facilities Management Service Level Agreement</p> <p>RES1814 - Facilities Management SLA: Janitorial Services Governance Framework</p> <p>Stephen Moir, Executive Director of Resources</p>	High	<p>RES1814 - Facilities Management SLA: Issue 1.1 Key Performance Indicators</p> <p>Implemented</p>	<p>A suite of KPI's is currently being developed in conjunction with the Communities & Families. While an element of these are service led, Facilities Management are keen to ensure a customer led component to these. These KPI's will be based on industry standards and will be linked to Facilities Management performance data and the outcomes of quality assurance reviews. Once agreed, KPI's will be communicated through training sessions, web updates and included in the SLA and janitorial handbook which is distributed both to staff and to our customers and key stakeholders. Monthly dashboards will be produced highlighting performance against indicators. These will be both for internal service use and for customer reporting.</p>	<p>Estimated Date:31/03/2020</p> <p>Revised Date:01/08/2020</p> <p>No of Revisions</p> <p>0</p>	<p>Audrey DuttonGohar KhanLayla SmithMark StenhouseMichelle VanheganPeter Watton</p>
44	<p>New Facilities Management Service Level Agreement</p> <p>RES1814 - Facilities Management SLA: Janitorial Services Governance Framework</p> <p>Stephen Moir, Executive Director of Resources</p>	High	<p>Facilities Management SLA: Issue 1.3 Ongoing quality assurance reviews</p> <p>Implemented</p>	<p>Ongoing quality assurance reviews will be established as described above. In addition to using these to measure the efficacy of our SLA delivery, these are required as part of the ISO 9001/45001 certification process and designed to give us comfort over the robustness of our policies, procedures and supporting documentation.</p>	<p>Estimated Date: 31/03/2020</p> <p>Revised Date: 01/08/2021</p> <p>No of Revisions</p> <p>1</p>	<p>Audrey Dutton Gohar Khan Layla Smith Mark Stenhouse Michelle Vanhegan Peter Watton</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
45 Page 417	<p style="text-align: center;">CGI Subcontract Management C/f 2018/19</p> <p>1 Council oversight of CGI subcontract management</p> <p>Stephen Moir, Executive Director of Resources</p>	Medium	<p>1.1 Assessment of the criticality of CGI sub-contractors</p> <p style="text-align: center; background-color: #00FF00;">Implemented</p>	<p>Digital Services will: Perform a review, with the assistance of CGI where appropriate, of the remaining population of 65 sub-contractors that are not currently classified as key sub-contractors to determine whether they should be reclassified as 'key sub-contractors' based on the criticality of their role in supporting delivery of Council services, or the value of their contracts in comparison to the aggregate charges forecast included in the CGI contract. This review will consider the criticality of Council applications and infrastructure supported by these sub-contractors in comparison to divisional application and system recovery requirements and will ensure that the gaps noted in the CNT spreadsheet in relation to missing contractors; expired purchase orders; and criticality of applications have been addressed. Where the review highlights any significant changes, the outcomes will be provided to the relevant Council and CGI partnership governance forums together with a request that CGI implements the supplier management arrangements specified in the contract to any new key sub-contractors. Review of CGI sub-contractors will be scheduled for completion annually, and the process outlined above applied.</p>	<p>Estimated Date: 30/04/2020</p> <p>Revised Date: 01/01/2021</p> <p>No of Revisions 1</p>	<p>Alison Roarty Heather Robb Jackie Galloway Layla Smith Michelle Vanhegan Nicola Harvey</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
46	Digital Services Incident and Problem Management RES1907 Incident and Problem Management: Issue 1 - Next steps for incident resolution Stephen Moir, Executive Director of Resources	Low	RES1907 Recommendation 1.1.1 - Incident Reports Implemented	Agreed – updates will be provided into the problem management records that feed into the Problem Review Board.	Estimated Date: 31/12/2020 Revised Date: No of Revisions 0	Alison Roarty Heather Robb Jackie Galloway Layla Smith Michelle Vanhegan Nicola Harvey Richard Burgess
47	Digital Services Incident and Problem Management RES1907 Incident and Problem Management: Issue 1 - Next steps for incident resolution Stephen Moir, Executive Director of Resources	Low	RES1907 Recommendation 1.1.2 - Partnership Board and Client Service Reports Implemented	Agreed – the Client Service reports, and Partnership Board documents will be amended in relation to problem records to make reference to updates of the problem records being recorded in the Problem Review Board input.	Estimated Date: 31/12/2020 Revised Date: No of Revisions 0	Alison Roarty Heather Robb Jackie Galloway Layla Smith Michelle Vanhegan Nicola Harvey Richard Burgess
48	Social Media - Controls over access to SM Accounts 3. Social media training Michael Pinkerton, Media Manager	Medium	CE1901 Rec3.3 Ongoing delivery of social media training Implemented	Strategy and Communications will engage with Human Resources to ask that face to face social media training is advertised through the Council's e learning (CECil) programme with courses made available at an appropriate frequency, and confirm whether there is scope for courses within the available budget.	Estimated Date: 29/01/2021 Revised Date: No of Revisions 0	David Ure Donna Rodger

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
49	Local Development Plan Governance arrangements over infrastructure appraisals Paul Lawrence, Executive Director of Place and SRO	Medium	Infrastructure Governance arrangements Implemented	Establish and agree appropriate roles, resources and the responsibilities for delivery the above matters as an early action in the project plan for LDP 2. Oversight will be provided by the Project Board to ensure that all individual appraisals performed across Service Areas have applied these recommendations. (sept 18)	Estimated Date: 31/03/2018 Revised Date: 01/10/2020 No of Revisions 2	Alison Coburn Claire Duchart David Leslie David Givan George Gaunt Kate Hopper Michael Thain Sandra Harrison
Page 419	Planning and S75 Developer Contributions End to end developer contribution processes, procedures, and training Paul Lawrence, Executive Director of Place and SRO	High	PL 1802 Iss 2 Rec 2.1 process documentation, guidance, and standardised documentation Implemented	Planning is working with Finance and Legal Service on a number of key areas of the end to end process. Significant progress has been made including; the pilot and use of a transport officer proforma, to identify and detail infrastructure requirements; and the introduction of standard legal agreements. Planning continues to work with legal services to finalise developer contribution templates for planning officers and this will inform a standardised approach to key consultee infrastructure requests. All Internal Audit recommendations will be implemented as detailed above (with the exception of 3), with Planning leading the process. As an alternative to IA recommendation 3, the rationale detailing why either no agreement; or a section 69 or 75 agreement has been developed and applied, will be documented.	Estimated Date: 31/03/2020 Revised Date: 01/08/2020 No of Revisions 0	Alison Coburn Alison Henry Annette Smith Bruce Nicolson David Leslie David Givan George Gaunt Graham Nelson Hugh Dunn Kevin McKee Michael Thain Michelle Vanhegan Nick Smith Rebecca Andrew

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
51	<p>Drivers</p> <p>Recording and addressing driving incidents</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Medium	<p>Recording and addressing driving incidents</p> <p>Implemented</p>	Six monthly reporting will be provided to the Corporate Leadership Team together with details of relevant actions taken.	<p>Estimated Date:01/10/2019</p> <p>Revised Date:01/12/2020</p> <p>No of Revisions</p> <p>1</p>	<p>Adam FergieAlison CoburnClaire DuchartDavid GivanGareth BarwellGeorge GauntKaty MillerMartin YoungNicole FraserScott MillarSteven Wright</p>
52	<p>Portfolio Governance Framework</p> <p>CE1801 Issue 1: Project and portfolio management and scrutiny</p> <p>Gillie Severin, Strategic Change Delivery Manager</p>	High	<p>CE1801 Issue 1.4: Whole of life toolkit</p> <p>Pending</p>	Strategic Change and Delivery will include guidance for project managers on whole life costing based on the approach adopted by finance	<p>Estimated Date: 29/05/2020</p> <p>Revised Date: 01/10/2020</p> <p>No of Revisions</p> <p>0</p>	<p>Alison Henry</p> <p>Annette Smith</p> <p>Donna Rodger</p> <p>Hugh Dunn</p> <p>Rebecca Andrew</p> <p>Simone Hislop</p>
53	<p>Social Media - Controls over access to SM Accounts</p> <p>1. Social media operational framework</p> <p>Michael Pinkerton, Media Manager</p>	High	<p>CE1901 Rec1.5 Social Media Risks</p> <p>Pending</p>	The risks associated with the ongoing use of social media that are highlighted in this report will be assessed and recorded in the Strategy and Communications risk register together with details of mitigating actions to ensure that they are addressed.	<p>Estimated Date: 30/10/2020</p> <p>Revised Date:</p> <p>No of Revisions</p> <p>0</p>	<p>David Ure</p> <p>Donna Rodger</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
54	<p>Social Media - Controls over access to SM Accounts</p> <p>3. Social media training</p> <p>Michael Pinkerton, Media Manager</p>	Medium	<p>CE1901 Rec3.2 Refresh of social media training materials</p> <p>Pending</p>	<p>1. Existing training materials and the e learning module content will be reviewed and refreshed with support from Human Resources (where required) to ensure that it is aligned with applicable legislation and regulations. 2. The e learning module will be updated to ensure that sufficient information is provided prior to testing and that correct answers are provided to incorrect responses. 3. Ownership of the content of the social media e learning model will be agreed between Strategy and Communications and Human Resources.</p>	<p>Estimated Date: 25/01/2021</p> <p>Revised Date:</p> <p>No of Revisions 0</p>	<p>David Ure Donna Rodger</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
Page 422 5	<p>Policy Management Framework</p> <p>CE1902 Policy Management Framework Issue 1: Completeness and accuracy of Council policies and the online policy register</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>CE1902 - 1.2b Policy Register review: Initial review of online policy register – Place</p> <p>Pending</p>	<p>Following receipt of the Directorate policy register extract provided by Strategy and Communications, each Directorate will perform an initial review of their section of the policy register to identify out of date and draft documents. A status update will be provided to Strategy and Communications for each document currently published online, to confirm whether the published version is the most up to date approved version and no immediate action is required. is out of date but has been recently reviewed and reported to Committee in the annual policy assurance statement – a copy of the most recent version held by the Directorate or Division will then be sent to by Strategy and Communications for publication on the current online register. is out of date or in draft with no recently approved version available. Strategy and Communications will then remove the current online version from the online policy register and note that the document is being reviewed. Strategy and Communications will update the current online policy register on the basis of returns and Directorates will commence their wider policy review set out at 1.2d.</p>	<p>Estimated Date: 31/01/2021</p> <p>Revised Date:</p> <p>No of Revisions 0</p>	<p>Alison Coburn David Givan Gareth Barwell George Gaunt Lynne Halfpenny Michael Thain Veronica Wishart</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
56	<p>Policy Management Framework</p> <p>CE1902 Policy Management Framework Issue 3: Policy framework guidance</p> <p>Gavin King, Democracy, Governance and Resilience Senior Manager</p>	Medium	<p>CE1902 3.1a Policy framework – definitions for policies, procedures, and guidance</p> <p>Pending</p>	<p>Clear definitions will be established for policies; procedures; and guidance and will reflect that policies outline the Council's response to legislation; regulations and statutory requirements, specifying what the Council will do to ensure compliance, whilst procedures and guidance detail how policy objectives will be achieved. The definitions will be agreed by the Corporate Leadership Team and The Policy and Sustainability Committee and will be communicated across all Council Directorates and Divisions.</p>	<p>Estimated Date: 31/10/2020</p> <p>Revised Date: 01/03/2021</p> <p>No of Revisions 0</p>	<p>Beth Hall Donna Rodger Kevin Wilbraham Laura Callender</p>
Page 423	<p>Policy Management Framework</p> <p>CE1902 Policy Management Framework Issue 3: Policy framework guidance</p> <p>Gavin King, Democracy, Governance and Resilience Senior Manager</p>	Medium	<p>CE1902 3.1b Policy framework - First- and second-lines roles and responsibilities</p> <p>Pending</p>	<p>Following the outcomes of the Working Group (see recommendation 1.2c), First line (directorate) and second line (Strategy and Communications) roles and responsibilities in relation to the policy management framework and confirmation of its ongoing application will be communicated across Directorates and Divisions and included in the guidance published on the Orb.</p>	<p>Estimated Date: 31/10/2020</p> <p>Revised Date: 01/03/2021</p> <p>No of Revisions 0</p>	<p>Donna Rodger Laura Callender</p>
58	<p>Policy Management Framework</p> <p>CE1902 Policy Management Framework Issue 3: Policy framework guidance</p> <p>Gavin King, Democracy, Governance and</p>	Medium	<p>CE1902 3.1c Policy framework - review of guidance, templates and orb pages</p> <p>Pending</p>	<p>Guidance and supporting templates on the Orb will be reviewed and refreshed to include links to agreed policy definitions and templates and the policy register and checks performed to confirm that these can be accessed.</p>	<p>Estimated Date: 31/10/2020</p> <p>Revised Date: 01/03/2021</p> <p>No of Revisions 0</p>	<p>Laura Callender</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	Resilience Senior Manager					
59	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	High	<p>CF1901: Issue 1.3(a) - Review of Operational Forms</p> <p>Pending</p>	<p>The remit of the working group led by the Communities and Families Senior Education Officer will include a review of all admissions forms published on the Council website and Orb to ensure that they remain fit for purpose and include all necessary accessibility and privacy statements.</p>	<p>Estimated Date: 31/12/2020</p> <p>Revised Date: 01/05/2021</p> <p>No of Revisions 0</p>	<p>Alison Roarty Arran Finlay Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>
60	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	High	<p>CF1901: Issue 1.3(b) - Online Application Form</p> <p>Pending</p>	<p>Development of a single online application form will be led by Customer Transactions Team as discussions already underway with internal automation team and Transactions have successfully introduced online applications in other areas of the business.</p>	<p>Estimated Date:31/12/2020</p> <p>Revised Date:01/05/2021</p> <p>No of Revisions 0</p>	<p>Alison Roarty Arran Finlay Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
61	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	High	<p>CF1901: Issue 1.3(c) - Issue of 'Request Granted' Letters</p> <p>Pending</p>	<p>The working group remit led by the Communities and Families Senior Education Officer will include consideration of continued need for formal 'request granted template letters or whether an email to parents / guardians is an acceptable alternative option. Where emails are the preferred option, guidance will be provided to schools to ensure that the terms and limitations of the placement offer are included.</p>	<p>Estimated Date: 31/12/2020</p> <p>Revised Date: 01/05/2021</p> <p>No of Revisions 0</p>	<p>Alison Roarty Arran Finlay Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>
Page 425 62	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	High	<p>CF1901: Issue 1.3(d) - Issuing Standard Letters & Forms</p> <p>Pending</p>	<p>A communication will be issued by Schools and Life Long Learning management to all schools reminding them to comply with placing request processes as outlined on the Orb, including the requirement to: issue a standard request refusal letter for all application refusals which includes all required paragraphs and is supported by a copy of the frequently asked questions document; and use standard Council forms only. The communication will advise schools to provide feedback where standard forms are not considered to meet the needs of the school, for example, if an additional section for course subjects studied at secondary school is required. Feedback from schools will be considered as part of the working group's review of operational forms.</p>	<p>Estimated Date: 31/12/2020</p> <p>Revised Date: 01/05/2021</p> <p>No of Revisions 0</p>	<p>Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
63	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions & Appeals</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	High	<p>CF1901 Issue 2.1(a): Committee on Pupil Student Support Recording of Officer Review</p> <p>Pending</p>	<p>Communities and Families, Committee Services and Transactions will ensure the officer review of the annual placing request list and the rationale supporting recommendations made to the Committee on Pupil Student Support from 2020 onwards is formally documented.</p>	<p>Estimated Date: 30/06/2020</p> <p>Revised Date: 22/02/2021</p> <p>No of Revisions 1</p>	<p>Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>
Page 426	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions & Appeals</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	High	<p>CF1901 Issue 2.3(a): Validation of Registration & Enrolment Applications</p> <p>Pending</p>	<p>A reminder will be sent to all schools to reinforce the requirement to confirm that adequate and valid evidence is provided to support all registrations and enrolments, including two matching proofs of address aligned with the address provided in the application.</p>	<p>Estimated Date: 30/06/2020</p> <p>Revised Date: 22/02/2021</p> <p>No of Revisions 1</p>	<p>Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie</p>
65	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions & Appeals</p> <p>Andy Gray, Head of</p>	High	<p>CF1901 Issue 2.3(b): Quality Assurance Checks in Schools</p> <p>Pending</p>	<p>Schools business managers will be instructed to undertake sample quality assurance checks of evidence obtained from parents to support applications to ensure compliance with procedures. This will include completion of checks prior to completion of enrolment processes. Checking of completion will form part of the Communities and Families Self-</p>	<p>Estimated Date: 30/06/2020</p> <p>Revised Date: 22/02/2021</p> <p>No of Revisions 1</p>	<p>Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	Schools & Lifelong Learning			Assurance Framework from 2021 onwards.		
66	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions & Appeals</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	High	<p>CF1901 Issue 2.4: Managing Conflicts of Interest</p> <p>Pending</p>	<p>Guidance will be developed for use in all schools to ensure any conflicts of interest are recorded and managed appropriately. This will include Business Manager review and Head Teacher sign off where necessary.</p>	<p>Estimated Date: 30/06/2020</p> <p>Revised Date: 22/02/2021</p> <p>No of Revisions 1</p>	<p>Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie</p>
Page 427 67	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 4: Data Access, Security & Retention</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	Medium	<p>CF1901: Issue 4.1: Access to Personal Data</p> <p>Pending</p>	<p>Files and shared folders will be reviewed, and appropriate access permissions and password controls implemented.</p>	<p>Estimated Date: 31/07/2020</p> <p>Revised Date: 22/02/2021</p> <p>No of Revisions 1</p>	<p>Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
68	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 4: Data Access, Security & Retention</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	Medium	<p>CF1901: Issue 4.2: Secure Email Transmission</p> <p>Pending</p>	<p>The Information Governance Unit and Digital Services will be engaged to discuss the recipients; nature and sensitivity of information transmitted via email to establish whether the current method is appropriately secure or whether additional steps are required. This will include consideration of email data classification labels where deemed appropriate.</p>	<p>Estimated Date: 30/09/2020</p> <p>Revised Date: 01/02/2021</p> <p>No of Revisions 0</p>	<p>Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>
Page 428	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 4: Data Access, Security & Retention</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	Medium	<p>CF1901: Issue 4.4(b): Document Retention & Disposal; Schools</p> <p>Pending</p>	<p>A communication will be issued to schools to request that retention schedules and destruction logs are established to ensure records are managed and disposed of in line with the Council's retention schedule.</p>	<p>Estimated Date:30/06/2020</p> <p>Revised Date:22/02/2021</p> <p>No of Revisions 1</p>	<p>Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie</p>
70	<p>PVG and Disclosures</p> <p>CF1904: Issue 1 - PVG membership for individuals in schools</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	High	<p>CF1904: Rec 1.2c - Monitoring volunteers who are employees</p> <p>Pending</p>	<p>A communication will be issued by Communities and Families to Active Schools to advise that a 'Short Scheme Record' is required for all volunteers who are City of Edinburgh employees. In addition, Communities and Families seek written assurance from Active Schools, on a six-monthly basis to confirm that all volunteers who carry out regulated work within schools</p>	<p>Estimated Date: 31/12/2020</p> <p>Revised Date:</p> <p>No of Revisions 0</p>	<p>Claire Thompson Michelle McMillan Nickey Boyle</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
				have a current PVG scheme membership.		
71	Emergency Prioritisation & Complaints CW1806 Issue 1: ATEC 24 Operational Framework Judith Proctor, Chief Officer	Medium	CW1806 Issue 1.1(7): ATEC 24 Review of Operational Processes - Key Safes Pending	7. The key safe business case, or an alternative approach, will be progressed and an installation programme implemented to allow the numbers of individual safes to be maximised.	Estimated Date: 30/04/2020 Revised Date: 01/05/2021 No of Revisions 1	Angela Ritchie Craig ODonnell Tom Cowan
72	Emergency Prioritisation & Complaints CW1806 Issue 1: ATEC 24 Operational Framework Judith Proctor, Chief Officer	Medium	CW1806 Issue 1.4(3): ATEC 24 Quality Assurance Framework - Review Pending	3. Where systemic themes or trends are identified from quality assurance reviews, management will consider whether existing operational processes should be revisited.	Estimated Date: 30/04/2020 Revised Date: 01/05/2021 No of Revisions 1	Angela Ritchie Craig ODonnell Tom Cowan
73	Brexit impacts - supply chain management CW1905 Issue 1: Divisional and Directorate Brexit supply chain management risks Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities	Medium	CW1905 Rec. 1.1c: Communities and Families - Divisional and directorate supply chain management Pending	As discussed and agreed at the Corporate Leadership Team (CLT) on 29th July 2020, these findings will be implemented as recommended by Internal Audit and in line with an earlier CLT decision (8 July 2020) that the most significant corporate concurrent risks (including Brexit supply chain risks) that could potentially impact the Council will be identified by October 2020. It is acknowledged that divisional and directorate supply chain risks will need to be identified to support this process.	Estimated Date: 30/10/2020 Revised Date: No of Revisions 0	Andy Gray Bernadette Oxley Crawford McGhie Michelle McMillan Nichola Dadds Nickey Boyle

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
74	<p>Brexit impacts - supply chain management</p> <p>CW1905 Issue 1: Divisional and Directorate Brexit supply chain management risks</p> <p>Gavin King, Democracy, Governance and Resilience Senior Manager</p>	Medium	<p>CW1905 Rec. 1.1e: Strategy and Communications - Divisional and directorate supply chain management</p> <p>Pending</p>	<p>As discussed and agreed at the Corporate Leadership Team (CLT) on 29th July 2020, these findings will be implemented as recommended by Internal Audit and in line with an earlier CLT decision(8 July 2020) that the most significant corporate concurrent risks (including Brexit supply chain risks) that could potentially impact the Council will be identified by October 2020. It is acknowledged that divisional and directorate supply chain risks will need to be identified to support this process.</p>	<p>Estimated Date: 30/10/2020</p> <p>Revised Date:</p> <p>No of Revisions 0</p>	<p>Andy Nichol Donna Rodger Gillie Severin Michael Pinkerton Paula McLeay</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
75	<p>Brexit impacts - supply chain management</p> <p>CW1905 Issue 2: Brexit governance and risk management</p> <p>Andrew Kerr, Chief Executive</p>	Medium	<p>CW1905- Recom. 2.1a: Resilience team - Adequacy & effectiveness of the Brexit risk management & governance process</p> <p>Pending</p>	<p>Resilience presented a report on Brexit planning, preparedness and governance to the Corporate Leadership Team on 8 July and will subsequently be presented to the Policy and Sustainability Committee. This includes proposals for the cessation of the cross-party Brexit working group, with all Brexit resilience planning taken forward through the Council resilience group. The paper also proposes that the Council Incident Management Team (CIMT) considers Brexit alongside Covid-19 and includes Brexit as a standing item on CIMT agendas from September 2020. Once approved by the Policy and Sustainability Committee, these new governance arrangements will be implemented. Resilience will coordinate review of the corporate Brexit risk register, in conjunction with the Commercial and Procurement Service and Corporate Risk Management teams for consideration at the CLT risk committee.</p>	<p>Estimated Date: 30/09/2020</p> <p>Revised Date:</p> <p>No of Revisions 0</p>	<p>Donna Rodger</p> <p>Gavin King</p> <p>Mary-Ellen Lang</p>
76	<p>Validation Review 2019/20</p> <p>CW1909 Issue 2: Communities and Families – Complaints received by Helpline</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	Medium	<p>CW1909 Recommendation 2.1.3 - Development and communication of complaints handling guidance</p> <p>Pending</p>	<p>3. Complaint handling procedures and guidance will be developed and maintained and shared with all relevant team members as recommended.</p>	<p>Estimated Date: 31/01/2021</p> <p>Revised Date:</p> <p>No of Revisions 0</p>	<p>Claire Thompson</p> <p>Michelle McMillan</p> <p>Nickey Boyle</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
77	<p>Road Services Improvement Plan</p> <p>PL1808 Issue 1. Roads Improvement Plan financial operating model and project governance</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>PL1808 - 1.3 Roads Service Improvement Plan project governance</p> <p>Pending</p>	<p>Accepted. The re-based plan will be managed in line with the Project Management Toolkit for Major Projects. The plan will be managed by the Roads service Performance Coordinator once appointed in the revised structure.</p>	<p>Estimated Date: 20/12/2020</p> <p>Revised Date: 01/05/2021</p> <p>No of Revisions 0</p>	<p>Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Nicole Fraser</p>
Page 432	<p>Supplier Management Framework and CIS Payments</p> <p>RES1809 Issue 1: Contract Management by Directorates and Service Areas</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>RES1809 Issue 1.3(3): Contract manager support and guidance - Place</p> <p>Pending</p>	<p>Place This recommendation is accepted, and this will be added as appropriate to the Place mandatory training matrix at the next review.</p>	<p>Estimated Date: 31/08/2020</p> <p>Revised Date: 01/01/2021</p> <p>No of Revisions 0</p>	<p>Alison Coburn David Givan Gareth Barwell George Gaunt Lynne Halfpenny Michael Thain</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
79	<p>Budget Setting and Management</p> <p>RES 1903 Issue 1: Savings proposals documentation and risk assessments</p> <p>Gillie Severin, Strategic Change Delivery Manager</p>	Medium	<p>RES 1903 Issue 1.1: Savings proposals documentation and risk assessments</p> <p>Pending</p>	<p>1. Savings plan and business case templates will both be reviewed to ensure that they align to major projects documentation. In addition, a procedural document will be created which details the amount and depth of documentation, which is required to support savings plans, based on outcomes of the prioritisation matrix assessment. 2. The Finance budget monitoring RAG (Red, Amber, Green) delivery risk assessment categories will each be formally defined, and consistently applied to all savings delivery progress updates provided to Directorate management teams, CLT, and service committees.</p>	<p>Estimated Date:30/09/2020</p> <p>Revised Date:01/02/2021</p> <p>No of Revisions</p> <p>0</p>	<p>Alison HenryAnnette SmithDonna RodgerEmma BakerHugh DunnJohn ConnartyLayla SmithMichelle Vanhegan</p>
Page 433 ₈₀	<p>Budget Setting and Management</p> <p>RES 1903 Issue 3: Continuous improvement: Lessons learned and customer feedback.</p> <p>Paula McLeay, Policy and Insight Senior Manager</p>	Medium	<p>RES 1903 Issue 3.1: Annual budget setting lessons learned methodology</p> <p>Pending</p>	<p>A methodology for the lessons learned process will be developed and stated in a procedure document. This work will be performed through liaison between the Change Strategy Team and Finance. The methodology will include the requirements stated above.</p>	<p>Estimated Date: 31/05/2020</p> <p>Revised Date: 01/10/2020</p> <p>No of Revisions</p> <p>0</p>	<p>Alison Henry Annette Smith Donna Rodger Emma Baker Hugh Dunn John Connarty Layla Smith Michelle Vanhegan</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
81	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	High	<p>CF1901: Issue 1.1(b) - Review of Admissions Operational Procedures</p> <p>Started</p>	<p>A working group led by the Communities and Families Senior Education Officer with representation from all service areas involved in school admissions, appeals and capacity planning, will be established to undertake a review of all procedural documents. This will include consideration of amalgamation of existing procedures where appropriate and implementation of a review schedule and version control.</p>	<p>Estimated Date: 31/08/2020</p> <p>Revised Date: 22/02/2021</p> <p>No of Revisions 1</p>	<p>Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>
Page 434 82	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	High	<p>CF1901: Issue 1.1(c) - Placing Appeals Procedures</p> <p>Started</p>	<p>As part of the working group led by the Communities and Families Senior Education Officer, appeals procedures which detail end to end processes to be applied across all areas involved in placing requests will be established and this will include clear roles and responsibilities.</p>	<p>Estimated Date: 31/08/2020</p> <p>Revised Date: 22/02/2021</p> <p>No of Revisions 1</p>	<p>Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
83	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	High	<p>CF1901: Issue 1.1(d)/(e) - Communicating Guidance on Website & Orb</p> <p>Started</p>	<p>Following review and completion of working group actions, all policies and procedures will be published on the Council's website and Orb, and communicated to all relevant officers, with changes highlighted.</p>	<p>Estimated Date: 30/09/2020</p> <p>Revised Date: 01/02/2021</p> <p>No of Revisions 0</p>	<p>Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>
Page 434 435	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions & Appeals</p> <p>Stephen Moir, Executive Director of Resources</p>	High	<p>CF1901 Issue 2.3(d): Sharing Outcomes of Annual Checks</p> <p>Started</p>	<p>Outcomes of annual checks that highlight any significant and systemic weaknesses will be shared with Schools and Lifelong Learning with a request that findings identified from the review are addressed and processes updated to ensure that they do not recur in subsequent years.</p>	<p>Estimated Date: 30/11/2020</p> <p>Revised Date: 01/04/2021</p> <p>No of Revisions 0</p>	<p>Alison Roarty Andy Gray Arran Finlay Jane MacIntyre Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
85	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 3: Process Documentation & Delivery Responsibilities</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	Medium	<p>CF1901 Issue 3.1(a): Development & Communication of end to end processes and role/responsibilities</p> <p>Started</p>	<p>The remit of the working group led by the Communities and Families Senior Education Officer, will include reviewing and documenting end to end processes for the annual school admissions, appeals, and capacity planning process. A matrix describing divisional roles and responsibilities for processes, which details who will be responsible; accountable; consulted; and informed for each stage will also be developed. The end to end procedures and matrix will be discussed and agreed with all divisional teams involved in the process, communicated, and published on the Council's intranet (the Orb) with training provided where required.</p>	<p>Estimated Date: 31/08/2020 Revised Date: 22/02/2021 No of Revisions 1</p>	<p>Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
86	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 3: Process Documentation & Delivery Responsibilities</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	Medium	<p>CF1901 Issue 3.1(b): Internal Partnership Protocols</p> <p>Started</p>	<p>Internal partnership protocols will be prepared and implemented for services delivered by other divisions on behalf of Schools and Lifelong Learning, incorporating the scope of services and roles and responsibilities defined in the new end to end process documentation. Where relevant, current internal charging arrangements will be reviewed to ensure that it accurately reflect the levels of support provided. Partnership protocols and associated key performance measures / indicators will be reviewed at least every two years to ensure they remain aligned with service delivery, operational processes and relevant regulatory and professional standards. Governance arrangements to support ongoing performance monitoring will be designed and implemented to ensure that both Schools and Lifelong Learning and the service areas that support them are satisfied with the quality of services provided.</p>	<p>Estimated Date:31/08/2020</p> <p>Revised Date: 22/02/2021</p> <p>No of Revisions</p> <p>1</p>	<p>Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>
87	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 3: Process Documentation & Delivery Responsibilities</p> <p>Andy Gray, Head of</p>	Medium	<p>CF1901 Issue 3.1(c): Annual Process - Debrief & Lessons Learned</p> <p>Started</p>	<p>Following completion of the annual process, a debrief meeting will be held with all teams involved to understand what worked well and what areas need to be improved. The outcomes should be recorded in a 'lessons learned' document that is used to implement the improvement opportunities identified and address any process issues in advance of the next annual process.</p>	<p>Estimated Date: 31/08/2020</p> <p>Revised Date: 22/02/2021</p> <p>No of Revisions</p> <p>1</p>	<p>Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	Schools & Lifelong Learning					Sheila Haig Stephen Moir
88	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 3: Process Documentation & Delivery Responsibilities</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	Medium	<p>CF1901 Issue 3.1(d): Roles & Responsibilities Outwith Annual Process</p> <p>Started</p>	The working group will review the roles and responsibilities for any tasks performed outwith the annual P1/S1 admissions, appeals and capacity planning process. These will be documented and communicated to all teams involved in the process. The review will include identifying key contacts for common non-annual admissions queries, for example, home schooling; private schooling; dealing with refugees; and requests for current or future capacity information, to ensure that they can be appropriately redirected and resolved.	<p>Estimated Date: 31/08/2020</p> <p>Revised Date: 22/02/2021</p> <p>No of Revisions 3</p>	<p>Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>
89	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 4: Data Access, Security & Retention</p> <p>Andy Gray, Head of Schools & Lifelong Learning</p>	Medium	<p>CF1901: Issue 4.4(a): Document Retention & Disposal; All Services</p> <p>Started</p>	The Information Governance Unit will be engaged to confirm data retention and disposal requirements. Where necessary the data retention schedule will be updated. Document retention and disposal requirements will be reinforced across all services processing admissions and appeals including schools. All appeals information currently retained outwith the relevant period will be destroyed in line with the Council's disposal guidelines and a retention schedule and destruction log maintained.	<p>Estimated Date: 30/06/2020</p> <p>Revised Date: 22/02/2021</p> <p>No of Revisions 1</p>	<p>Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
90	Resilience BC Resilience responsibilities Judith Proctor, Chief Officer	High	Rec 3.3 H&SC - Defining and allocating operational resilience duties Started	Operational resilience responsibilities for completion and ongoing maintenance of Directorate and Service Area Business Impact Assessments; Resilience plans; and coordination of resilience tests in conjunction with the Resilience team will be clearly defined and allocated. The total number of employees with operational resilience responsibilities will be determined with reference to the volume of business impact assessments and resilience plans that require to be completed and maintained to support recovery of critical services.	Estimated Date: 20/12/2018 Revised Date: 30/06/2021 No of Revisions 6	Angela Ritchie Jacqui Macrae
Page 439 91	Resilience BC Resilience responsibilities Judith Proctor, Chief Officer	High	Rec 4.3 H&SC - Objectives for operational Resilience responsibilities Started	Corporate; management; and team member objectives for operational resilience responsibilities (for example completion of Service Area Business Impact Assessments; Resilience Plans; and coordination of Resilience tests) will be established, with ongoing oversight performed by Directors and Heads of Service to confirm that these are being effectively delivered to support the resilience responses included in both the Directorate and Council's annual governance statements.	Estimated Date: 31/07/2019 Revised Date: 30/06/2021 No of Revisions 2	Angela Ritchie Jacqui Macrae
92	Resilience BC Completion and adequacy of service area business impact assessments and resilience arrangements	High	Rec 3.1 a) Place - Development of Resilience Plans/protocols for statutory and critical services	Rebased action October 2020 Following a refresh of Business Impact Assessments and the new organisational structure, resilience plans/protocols will be developed, with support and training from Resilience, for high-risk essential services. A list of	Estimated Date: 19/06/2020 Revised Date: 31/12/2022 No of Revisions 1	Alison Coburn Claire Duchart David Givan Gareth Barwell Gavin King George Gaunt Lynne Halfpenny

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	Paul Lawrence, Executive Director of Place and SRO		Started	these services is to be provided by Resilience for approval by CLT. Date revised to 31 December 2022.		Mary-Ellen Lang Michael Thain
93	Resilience BC Completion and adequacy of service area business impact assessments and resilience arrangements Stephen Moir, Executive Director of Resources	High	Rec 3.1b Resources - Development of Resilience Plans/protocols for statutory and critical services Started	Rebased action October 2020 Following a refresh of Business Impact Assessments and the new organisational structure, resilience plans/protocols will be developed, with support and training from Resilience, for high-risk essential services. A list of these services is to be provided by Resilience for approval by CLT. Date revised to 31 December 2022.	Estimated Date: 19/06/2020 Revised Date: 31/12/2022 No of Revisions 1	Annette Smith Gavin King Hugh Dunn Katy Miller Layla Smith Mary-Ellen Lang Michelle Vanhegan Nick Smith Nicola Harvey Peter Watton
Page 4 of 40	Resilience BC Completion and adequacy of service area business impact assessments and resilience arrangements Judith Proctor, Chief Officer	High	Rec 3.1c H&SC - Development of Resilience Plans/protocols for statutory and critical services Started	Rebased action October 2020 Following a refresh of Business Impact Assessments and the new organisational structure, resilience plans/protocols will be developed, with support and training from Resilience, for high-risk essential services. A list of these services is to be provided by Resilience for approval by CLT. Date revised to 31 December 2022.	Estimated Date: 19/06/2020 Revised Date: 31/12/2022 No of Revisions 1	Angela Ritchie Jacqui Macrae
95	Resilience BC Completion and adequacy of service area business impact assessments and resilience arrangements Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities	High	Rec 3.1d C&F - Development of Resilience Plans/protocols for statutory and critical services Started	Rebased action October 2020 Following a refresh of Business Impact Assessments and the new organisational structure, resilience plans/protocols will be developed, with support and training from Resilience, for high-risk essential services. A list of these services is to be provided by Resilience for approval by CLT. Date revised to 31 December 2022.	Estimated Date: 19/06/2020 Revised Date: 31/12/2022 No of Revisions 1	Donna Rodger Gavin King Mary-Ellen Lang Michelle McMillan Nichola Dadds Nickey Boyle Ruth Currie

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
96	<p>Resilience BC</p> <p>Completion and adequacy of service area business impact assessments and resilience arrangements</p> <p>Gavin King, Democracy, Governance and Resilience Senior Manager</p>	High	<p>Rec 3.1e S&C - Development of Resilience Plans/protocols for statutory and critical services</p> <p>Started</p>	<p>Rebased action October 2020 Following a refresh of Business Impact Assessments and the new organisational structure, resilience plans/protocols will be developed, with support and training from Resilience, for high-risk essential services. A list of these services is to be provided by Resilience for approval by CLT. Date revised to 31 December 2022.</p>	<p>Estimated Date: 19/06/2020</p> <p>Revised Date: 31/12/2022</p> <p>No of Revisions 1</p>	<p>Donna Rodger Mary-Ellen Lang</p>
Page 447	<p>Resilience BC</p> <p>Completion and adequacy of service area business impact assessments and resilience arrangements</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>Rec 6.1a Place - Review of third-party contracts to confirm appropriate resilience arrangements</p> <p>Started</p>	<p>Existing third-party contracts supporting critical services should be reviewed by Directorates in consultation with contract managers / owners to confirm that they include appropriate resilience arrangements. Where gaps are identified, Procurement Services should be engaged to support discussions with suppliers regarding inclusion of appropriate resilience clauses requiring third parties to establish adequate resilience arrangements for both services and systems that are tested (at least annually) with the outcomes shared with / provided to the Council. Where these changes cannot be incorporated into existing contracts, they should be included when the contracts are re tendered.</p>	<p>Estimated Date: 20/12/2019</p> <p>Revised Date: 31/03/2021</p> <p>No of Revisions 3</p>	<p>Alison Coburn Annette Smith Claire Duchart David Givan Gareth Barwell George Gaunt Hugh Dunn Iain Strachan Lynne Halfpenny Mary-Ellen Lang Michael Thain Mollie Kerr</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
98 Page 442	Resilience BC Completion and adequacy of service area business impact assessments and resilience arrangements Stephen Moir, Executive Director of Resources	High	Rec 6.1b Resources - Review of third-party contracts to confirm appropriate resilience arrangements Started	Existing third-party contracts supporting critical services should be reviewed by Directorates in consultation with contract managers / owners to confirm that they include appropriate resilience arrangements. Where gaps are identified, Procurement Services should be engaged to support discussions with suppliers regarding inclusion of appropriate resilience clauses requiring third parties to establish adequate resilience arrangements for both services and systems that are tested (at least annually) with the outcomes shared with / provided to the Council. Where these changes cannot be incorporated into existing contracts, they should be included when the contracts are re tendered.	Estimated Date: 20/12/2019 Revised Date: 31/03/2021 No of Revisions 2	Annette Smith Hugh Dunn Iain Strachan Katy Miller Layla Smith Mary-Ellen Lang Michelle Vanhegan Mollie Kerr Nick Smith Nicola Harvey Peter Watton

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
99	Resilience BC Completion and adequacy of service area business impact assessments and resilience arrangements Judith Proctor, Chief Officer	High	Rec 6.1c H&SC - Review of third-party contracts to confirm appropriate resilience arrangements Started	Existing third-party contracts supporting critical services should be reviewed by Directorates in consultation with contract managers / owners to confirm that they include appropriate resilience arrangements. Where gaps are identified, Procurement Services should be engaged to support discussions with suppliers regarding inclusion of appropriate resilience clauses requiring third parties to establish adequate resilience arrangements for both services and systems that are tested (at least annually) with the outcomes shared with / provided to the Council. Where these changes cannot be incorporated into existing contracts, they should be included when the contracts are re tendered.	Estimated Date: 20/12/2019 Revised Date: 31/03/2021 No of Revisions 2	Angela Ritchie Jacqui Macrae

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
<p style="text-align: center;">100</p> <p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 444</p>	<p style="text-align: center;">Resilience BC</p> <p>Completion and adequacy of service area business impact assessments and resilience arrangements</p> <p>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities</p>	<p>High</p>	<p style="text-align: center;">Rec 6.1d C&F - Review of third-party contracts to confirm appropriate resilience arrangements</p> <p style="text-align: center;">Started</p>	<p>Existing third-party contracts supporting critical services should be reviewed by Directorates in consultation with contract managers / owners to confirm that they include appropriate resilience arrangements. Where gaps are identified, Procurement Services should be engaged to support discussions with suppliers regarding inclusion of appropriate resilience clauses requiring third parties to establish adequate resilience arrangements for both services and systems that are tested (at least annually) with the outcomes shared with / provided to the Council. Where these changes cannot be incorporated into existing contracts, they should be included when the contracts are re tendered.</p>	<p style="text-align: center;"> Estimated Date: 20/12/2019 Revised Date: 31/03/2021 No of Revisions 2 </p>	<p style="text-align: center;"> Annette Smith Hugh Dunn Iain Strachan Mary-Ellen Lang Michelle McMillan Mollie Kerr Nichola Dadds Nickey Boyle Ruth Currie </p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
101	<p>Resilience BC</p> <p>Completion and adequacy of service area business impact assessments and resilience arrangements</p> <p>Gavin King, Democracy, Governance and Resilience Senior Manager</p>	High	<p>Rec 6.1e S&C - Review of third-party contracts to confirm appropriate resilience arrangements</p> <p>Started</p>	<p>Existing third-party contracts supporting critical services will be reviewed by Directorates in consultation with contract managers / owners to confirm that they include appropriate resilience arrangements. Where gaps are identified, Procurement Services will be engaged to support discussions with suppliers regarding inclusion of appropriate resilience clauses requiring third parties to establish adequate resilience arrangements for both services and systems that are tested (at least annually) with the outcomes shared with / provided to the Council. Where these changes cannot be incorporated into existing contracts, they will be included when the contracts are re tendered and critical service plans should be documented and communicated by Corporate Resilience.</p>	<p>Estimated Date:20/12/2019</p> <p>Revised Date:31/03/2021</p> <p>No of Revisions: 2</p>	<p>Annette Smith Donna Rodger Hugh Dunn Lain Strachan Mary-Ellen Lang Mollie Kerr</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
<p>102</p> <p>Page 446</p>	<p>Resilience BC</p> <p>Completion and adequacy of service area business impact assessments and resilience arrangements</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	<p>High</p>	<p>Rec 6.2a Place - Annual assurance from Third Party Providers</p> <p>Started</p>	<p>Following receipt of initial assurance from all third-party providers for statutory and critical services (as per rec 6.1), annual assurance that provider resilience plans remain adequate and effective should be obtained. This should include confirmation from the provider that they have tested these plans and recovery time objectives for systems and recovery time and point objectives for technology systems agreed with the Council were achieved. It is recommended that contract managers include this requirement as part on ongoing contract management arrangements. Where this assurance cannot be provided, this should be recorded in Service Area and Directorate risk registers. Date revised to reflect that following receipt of initial assurance by 31 March 2021, annual assurance should be obtained by 31 March 2022.</p>	<p>Estimated Date: 28/06/2019</p> <p>Revised Date: 31/03/2022</p> <p>No of Revisions 3</p>	<p>Alison Coburn Claire Duchart David Givan Gareth Barwell George Gaunt Lynne Halfpenny Mary-Ellen Lang Michael Thain</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
<p>103</p> <p>Page 447</p>	<p>Resilience BC</p> <p>Completion and adequacy of service area business impact assessments and resilience arrangements</p> <p>Stephen Moir, Executive Director of Resources</p>	<p>High</p>	<p>Rec 6.2b Resources - Annual assurance from Third Party Providers</p> <p>Started</p>	<p>Following receipt of initial assurance from all third party providers for statutory and critical services (as per rec 6.1), annual assurance that provider resilience plans remain adequate and effective should be obtained. This should include confirmation from the provider that they have tested these plans and recovery time objectives for systems and recovery time and point objectives for technology systems agreed with the Council were achieved. It is recommended that contract managers include this requirement as part on ongoing contract management arrangements. Where this assurance cannot be provided, this should be recorded in Service Area and Directorate risk registers. Date revised to reflect that following receipt of initial assurance by 31 March 2021, annual assurance should be obtained by 31 March 2022.</p>	<p>Estimated Date: 28/06/2019 Revised Date: 31/03/2022 No of Revisions 2</p>	<p>Annette Smith Hugh Dunn Iain Strachan Katy Miller Layla Smith Mary-Ellen Lang Michelle Vanhegan Mollie Kerr Nick Smith Nicola Harvey Peter Watton</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
104	<p>Resilience BC</p> <p>Completion and adequacy of service area business impact assessments and resilience arrangements</p> <p>Judith Proctor, Chief Officer</p>	High	<p>Rec 6.2c H&SC - Annual assurance from Third Party Providers</p> <p>Started</p>	<p>Assurance will be obtained annually for statutory and critical services from third party service providers that their resilience plans remain adequate and effective; and have been tested to confirm that the recovery time objectives for systems and recovery time and point objectives for technology systems agreed with the Council were achieved. Where this assurance cannot be provided, this will be recorded in Service Area and Directorate risk registers.</p>	<p>Estimated Date: 21/06/2019</p> <p>Revised Date: 31/03/2022</p> <p>No of Revisions 2</p>	<p>Angela Ritchie Jacqui Macrae</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
105 Page 449	<p>Resilience BC</p> <p>Completion and adequacy of service area business impact assessments and resilience arrangements</p> <p>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities</p>	High	<p>Rec 6.2d C&F - Annual assurance from Third Party Providers</p> <p>Started</p>	<p>Following receipt of initial assurance from all third party providers for statutory and critical services (as per rec 6.1), annual assurance that provider resilience plans remain adequate and effective should be obtained. This should include confirmation from the provider that they have tested these plans and recovery time objectives for systems and recovery time and point objectives for technology systems agreed with the Council were achieved. It is recommended that contract managers include this requirement as part on ongoing contract management arrangements. Where this assurance cannot be provided, this should be recorded in Service Area and Directorate risk registers. Date revised to reflect that following receipt of initial assurance by 31 March 2021, annual assurance should be obtained by 31 March 2022.</p>	<p>Estimated Date: 28/06/2019</p> <p>Revised Date: 31/03/2022</p> <p>No of Revisions 2</p>	<p>Anna Gray Mary-Ellen Lang Michelle McMillan Nichola Dadds Nickey Boyle</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
106	Resilience BC Completion and adequacy of service area business impact assessments and resilience arrangements Gavin King, Democracy, Governance and Resilience Senior Manager	High	Rec 6.2e S&C - Annual assurance from Third Party Providers Started	Following receipt of initial assurance from all third party providers for statutory and critical services (as per rec 6.1), annual assurance that provider resilience plans remain adequate and effective should be obtained. This should include confirmation from the provider that they have tested these plans and recovery time objectives for systems and recovery time and point objectives for technology systems agreed with the Council were achieved. It is recommended that contract managers include this requirement as part on ongoing contract management arrangements. Where this assurance cannot be provided, this should be recorded in Service Area and Directorate risk registers. Date revised to reflect that following receipt of initial assurance by 31 March 2021, annual assurance should be obtained by 31 March 2022.	Estimated Date: 28/06/2019 Revised Date: 31/03/2022 No of Revisions 2	Donna Rodger Mary-Ellen Lang
107	Resilience BC Adequacy, maintenance and approval of Council wide resilience plans Gavin King, Democracy, Governance and Resilience Senior Manager	Medium	Rec 4) Update of Council Business Continuity Plan to include key elements from Business Area Resilience Plans/Protocols Started	The Council Business Continuity Plan (BCP) was developed and signed off the Chief Executive in May 2019. Following Directorate review and update of Business Area Resilience Plans and protocols, the Council BCP will be updated to include key elements of Directorate plans.	Estimated Date: 18/12/2020 Revised Date: 31/03/2024 No of Revisions 1	Donna Rodger Mary-Ellen Lang

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
Page 451	<p>Records Management - LAAC</p> <p>CW1705 Issue 1: Project file review process</p> <p>Bernadette Oxley, Head of Children's Services</p>	Medium	<p>CW1705 Issue 1.3: Quality assurance checks</p> <p>Started</p>	<p>Project management information will be monitored weekly to identify the volume of files that have been reviewed by the project team and an independent risk based quality assurance approach developed and implemented that focuses on files that have not been 'split' by the project team, to confirm that they have been accurately classified as files that have not been merged prior to their return to Iron Mountain for archiving. Quality assurance sample sizes will be selected at the start of each week and will depend on the volumes of files reviewed by the project team and the relevant proportion of non-merged and merged files. Where merged files have been identified and split by the project team, a lighter touch approach involving peer reviews will be adopted to ensure that the project file review process has been consistently applied and appropriate actions implemented. Quality assurance outcomes will be recorded and all significant errors (for example failure to identify merged files), areas of good practices, and areas for improvement will be shared with the project team. Availability of quality resource will be monitored throughout the project to ensure that it remains adequate to complete an appropriate number of QA reviews based on file outcomes. A retrospective sample of cases already reviewed by the project team will also be selected for retrospective review</p>	<p>Estimated Date: 31/03/2020</p> <p>Revised Date: 31/03/2022</p> <p>No of Revisions 4</p>	<p>Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed Gillie Severin John Arthur Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
				based on the approach outlined above. The project team will work to an end of February date for implementation of quality assurance within the project team with an end of March date for Internal Audit to review the process applied.		
109	Records Management - LAAC CW1705 Issue 2: Review of additional files Bernadette Oxley, Head of Children's Services	Medium	CW1705 Issue 2.1: Review of additional files Started	The total volume of files at Westerhailes will be quantified. Once this has been completed, a risk based sample approach will be applied to review the files and identify any that may have been merged.	Estimated Date: 31/03/2020 Revised Date: 31/03/2021 No of Revisions 3	Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed Gillie Severin John Arthur Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
110	Records Management - LAAC CW1705 Issue 2: Review of additional files Bernadette Oxley, Head of Children's Services	Medium	CW1705 Issue 2.2: Impact analysis Started	The outcomes of the review of additional files (as detailed at recommendation 2.1) will be shared with the Senior Responsible Officers together with an impact analysis detailing the resourcing and associated costs of including the files within the project scope, and recommendations made as to whether the scope of the project should be extended to include these files, or whether reliance should be placed on the new business as usual process to be implemented as detailed at Finding 3. Where the decision is taken to include the potentially merged files within the scope of the project, they will be transferred across to the project team and logged for review. The project team will work to a completion 29 May with a date of 26 June for validation by Internal Audit.	Estimated Date: 26/06/2020 Revised Date: 31/03/2021 No of Revisions 4	Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed Gillie Severin John Arthur Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir
111	Records Management - LAAC CW1705 Issue 3: Pre destruction business as usual file review process Bernadette Oxley, Head of Children's Services	Medium	CW1705 Issue 3.1: Pre destruction business as usual file review process Started	The pre destruction business as usual file review process is currently being developed and will cover all the points recommended by Internal Audit. The process will be prepared by the end January 2020 and agreed with the Health and Social Care and Communities and Families Directorates by the end of February 2020.	Estimated Date: 28/02/2020 Revised Date: 31/03/2021 No of Revisions 4	Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed Gillie Severin John Arthur Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
112	<p>Records Management - LAAC</p> <p>CW1705 Issue 3: Pre destruction business as usual file review process</p> <p>Bernadette Oxley, Head of Children's Services</p>	Medium	<p>CW1705 Issue 3.2a (C&F): Communication and training</p> <p>Started</p>	<p>Children's Practice team managers have already been briefed regarding the outcomes of the audit and a refreshed process will soon be implemented. The process will be co-produced with Business Support Team Managers, communicated and uploaded to the Orb. Given the scale of training to be provided, a CECiL based approach will be applied with support provided by Business Support and requested from Learning and Organisational Development (Human Resources), with divisions requested to track completion of the CECiL module. Locality Management teams will also receive face to face training on the new process.</p>	<p>Estimated Date: 30/06/2020</p> <p>Revised Date: 31/08/2021</p> <p>No of Revisions 3</p>	<p>Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed Gillie Severin John Arthur Louise McRae Nickey Boyle Nicola Harvey Stephen Moir</p>
113	<p>Records Management - LAAC</p> <p>CW1705 Issue 3: Pre destruction business as usual file review process</p> <p>Judith Proctor, Chief Officer</p>	Medium	<p>CW1705 Issue 3.2b (H&SCP): Communication and training</p> <p>Started</p>	<p>Health and Social Care will adopt a similar approach to Communities and Families with the new process communicated and uploaded to the Orb. A CECiL based approach will also be applied with support provided by Business Support and requested from Learning and Organisational Development (Human Resources), with completion of the CECiL module by the relevant teams tracked. Locality Management teams will also receive face to face training on the new process.</p>	<p>Estimated Date:30/06/2020</p> <p>Revised Date:31/08/2021</p> <p>No of Revisions 1</p>	<p>Alison Roarty Angela Ritchie Louise McRae</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
114	<p>Records Management - LAAC</p> <p>CW1705 Issue 3: Pre destruction business as usual file review process</p> <p>Bernadette Oxley, Head of Children's Services</p>	Medium	<p>CW1705 Issue 3.3a (C&F): Quality assurance process</p> <p>Started</p>	<p>A joint risk-based quality assurance process will be established between Business Support and Team Managers in Localities. Quality assurance outcomes will be recorded, and learnings shared with team managers at Children's Practice Team meetings, enabling city wide service improvement actions to be identified and implemented where appropriate.</p>	<p>Estimated Date: 30/06/2020</p> <p>Revised Date: 31/08/2021</p> <p>No of Revisions 1</p>	<p>Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed Gillie Severin John Arthur Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir</p>
Page 455	<p>Records Management - LAAC</p> <p>CW1705 Issue 3: Pre destruction business as usual file review process</p> <p>Judith Proctor, Chief Officer</p>	Medium	<p>CW1705 Issue 3.3b (H&SCP): Quality Assurance Process</p> <p>Started</p>	<p>A joint quality assurance process will be established between Business Support and Team Managers in Localities. The new Health and Social Care Partnership Chief Nurse and Head of Quality will be responsible for managerial oversight of the quality assurance processes, ensuring that lessons learned are fed back to the Localities and outcomes reported to the Clinical and Care Governance Committee for scrutiny and oversight.</p>	<p>Estimated Date: 30/06/2020</p> <p>Revised Date: 31/08/2021</p> <p>No of Revisions 1</p>	<p>Alison Roarty Angela Ritchie Louise McRae</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
116	<p>Payments and Charges</p> <p>CW1803 Payments and Charges Issue 4: Processing and recording Licensing Fees</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Medium	<p>CW1803 Rec. 4.1 - Procedures supporting processing and recording licencing fees</p> <p>Started</p>	<p>The Licensing Service processes approximately 21,000 applications per annum and the Internal Audit sample reviewed represents approximately 1% of the overall number of applications. Internal procedures will be reviewed to ensure that that they adequately cover the issues raised and all staff will receive refresher training to reinforce the importance of consistent application of the procedures. Longer term upgrades to the APP Civica Licensing system should also offer enhanced capability with mandatory sections for each licence type processed.</p>	<p>Estimated Date: 20/12/2019 Revised Date: 01/05/2020 No of Revisions 0</p>	<p>Alison Coburn Andrew Mitchell David Givan Gavin Brown George Gaunt Michael Thain Sandra Harrison</p>
117	<p>Payments and Charges</p> <p>CW1803 Payments and Charges Issue 4: Processing and recording Licensing Fees</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Medium	<p>CW1803 Rec. 4.2 - Quality checking</p> <p>Started</p>	<p>Licensing has existing assurance procedures for monitoring noncompliance with core procedures and processes. These will be reviewed to identify whether additional quality assurance is required proportionate to the level of risk. Any revision of the procedures will be focused on those aspects of the processes which present higher levels of legal risk and will use existing assurance data to identify areas that would benefit from more robust scrutiny. Longer term upgrades to the APP Civica Licensing should reduce the risks in this area. The review and proposed revision of assurance procedures will be agreed with Internal Audit to ensure that this risk is fully addressed.</p>	<p>Estimated Date: 20/12/2019 Revised Date: 01/05/2020 No of Revisions 0</p>	<p>Alison Coburn Andrew Mitchell David Givan Gavin Brown George Gaunt Grace McCabe Michael Thain Sandra Harrison</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
118	<p>Payments and Charges</p> <p>CW1803 Payments and Charges Issue 5: Processing and recording of Parking Permit fees</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Medium	<p>CW1803 Rec. 5.2 - Procedure for authorising payments</p> <p>Started</p>	<p>NSL Apply offers improved control mechanisms by automating many processes and tasks, including payments. These are currently not being used. Implementations of these controls, along with a formalised payment acceptance procedure will ensure correct payments are received and further reduce any anomalies. The payment acceptance procedure will confirm that the Council does not accept part payment for parking permits and only reduces the price when the applicant is a disabled persons' blue badge holder. The procedure will establish a quality assurance payment sampling processes for implementation across Business Support teams who administer parking permits.</p>	<p>Estimated Date: 31/03/2020</p> <p>Revised Date: 01/08/2020</p> <p>No of Revisions 0</p>	<p>Alison Coburn David Givan Ewan Kennedy Gavin Brown Gavin Graham George Gaunt Michael Thain Sandra Harrison</p>
119	<p>Payments and Charges</p> <p>CW1803 Payments and Charges Issue 5: Processing and recording of Parking Permit fees</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Medium	<p>CW1803 Rec. 5.3 - Ongoing risk-based quality assurance</p> <p>Started</p>	<p>A quality assurance payment acceptance procedure will be developed to ensure the accuracy of parking permit payments. This process will be based on the Internal Audit recommendations.</p>	<p>Estimated Date: 31/03/2020</p> <p>Revised Date: 01/08/2020</p> <p>No of Revisions 0</p>	<p>Alison Coburn David Givan Ewan Kennedy Gavin Brown Gavin Graham George Gaunt Michael Thain Sandra Harrison</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
120	<p>Payments and Charges</p> <p>CW1803 Payments and Charges Issue 5: Processing and recording of Parking Permit fees</p> <p>Stephen Moir, Executive Director of Resources</p>	Medium	<p>CW1803 Rec. 5.4 - NSL income reconciliation</p> <p>Started</p>	<p>The recommendation is accepted. Financial reconciliations between the systems have commenced reinstatement. Work is underway to build a management information suite which will augment the control attributes of the reconciliation as a standalone mechanism.</p>	<p>Estimated Date: 28/02/2020</p> <p>Revised Date: 30/06/2021</p> <p>No of Revisions 3</p>	<p>Annette Smith Dougie Linton Gavin Graham Hugh Dunn John Connarty Layla Smith Michelle Vanhegan Susan Hamilton</p>
121	<p>Emergency Prioritisation & Complaints</p> <p>CW1806 Issue 1: ATEC 24 Operational Framework</p> <p>Judith Proctor, Chief Officer</p>	Medium	<p>CW1806 Issue 1.2(3): ATEC 24 Service Level Agreements - Partnership Protocol</p> <p>Started</p>	<p>3. A partnership protocol will be approved and implemented for the Fallen Uninjured Person Service to reflect the current operations, funding arrangements and any planned process improvements.</p>	<p>Estimated Date: 29/11/2019</p> <p>Revised Date: 01/03/2021</p> <p>No of Revisions 3</p>	<p>Angela Ritchie Craig O'Donnell Tom Cowan</p>
122	<p>Emergency Prioritisation & Complaints</p> <p>CW1806 Issue 1: ATEC 24 Operational Framework</p> <p>Judith Proctor, Chief Officer</p>	Medium	<p>CW1806 Issue 1.1(6): ATEC 24 Review of Operational Processes - Response Recording</p> <p>Started</p>	<p>6. Roll out of handheld devices to allow automated reporting will be progressed.</p>	<p>Estimated Date:30/04/2020</p> <p>Revised Date:01/03/2021</p> <p>No of Revisions 1</p>	<p>Angela Ritchie Craig O'Donnell Tom Cowan</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
123	<p>Emergency Prioritisation & Complaints</p> <p>CW1806: Issue 2: Third Party Service Provision - Health & Social Care Partnership</p> <p>Judith Proctor, Chief Officer</p>	Medium	<p>CW1806: Issue 2(1): SLAs - Third Party Service Provision</p> <p>Started</p>	<p>A review of the SLA for the ESCS is underway. It is likely the detail of the arrangements will differ considerably from what is currently included within the SLA. The review will, however, take into consideration the points noted above. The review of the SLA will include contributions from City of Edinburgh Council, Midlothian Council and East Lothian Council, and will be presented to the Edinburgh Health and Social Care Partnership Executive Management Team for review and approval.</p>	<p>Estimated Date: 30/11/2019</p> <p>Revised Date: 31/08/2021</p> <p>No of Revisions 4</p>	<p>Angela Ritchie Brian Henderson Colin Beck Tony Duncan</p>
Page 24 459	<p>Emergency Prioritisation & Complaints</p> <p>CW1806: Issue 2: Third Party Service Provision - Health & Social Care Partnership</p> <p>Judith Proctor, Chief Officer</p>	Medium	<p>CW1806: Issue 2(2): Partnership Protocol HSCP/Contact Centre</p> <p>Started</p>	<p>Agreed, once the SLA is finalised, a Partnership Protocol will be developed in conjunction with Customer Contact Centre colleagues.</p>	<p>Estimated Date: 28/02/2020</p> <p>Revised Date: 01/03/2021</p> <p>No of Revisions 2</p>	<p>Alison Roarty Angela Ritchie Craig ODonnell Tom Cowan</p>
125	<p>Homelessness Services</p> <p>CW1808 Issue 2: Homelessness data quality and performance reporting</p> <p>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities</p>	High	<p>CW1808 Recommendation 2.1.5 - HIS alignment to Council's records retention policy and schedule.</p> <p>Started</p>	<p>2.1.5 - Records held within HIS will be managed within the Council's Records Retention Policy and Schedule. The ongoing management and deletion of historical records will form part of the data cleansing project as HIS migrates to Northgate.</p>	<p>Estimated Date: 31/10/2020</p> <p>Revised Date: 01/03/2021</p> <p>No of Revisions 0</p>	<p>Debbie Herbertson Emma Morgan Nichola Dadds Nicky Brown</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
126	Homelessness Services CW1808 Issue 2: Homelessness data quality and performance reporting Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities	High	CW1808 Recommendation 2.2.3 - Performance Reporting Started	2.2.3 - We will report performance information through a dashboard to the Housing and Economy Committee, officers are currently working with elected members to finalise the key performance indicators required.	Estimated Date: 31/01/2020 Revised Date: 31/03/2021 No of Revisions 2	Emma Morgan Nichola Dadds Nicky Brown
Page 27 460	Homelessness Services CW1808 Issue 3: Provision of homelessness advice and information Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities	Medium	CW1801 Recommendation 3.1.2: Updating homelessness information on website Started	3.1.2 - Following the engagement events with key stakeholders, the Council's website will be updated to include the information set out within the recommendation, and any other information relevant to key stakeholders. Webpages will be subject to regular review to ensure the information remains up to date and in line with policies and legislation.	Estimated Date: 30/04/2020 Revised Date: 31/03/2021 No of Revisions 3	Debbie Herbertson Nichola Dadds Nicky Brown
128	Homelessness Services CW1808 Issue 3: Provision of homelessness advice and information Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities	Medium	CW1801 Recommendation 3.1.3: Homelessness information leaflet Started	3.1.3 - Following the engagement events with key stakeholders, we will develop a leaflet for applicants based on the information set out above, and any other relevant information. The leaflet will be made available in all Council offices, locality offices, libraries, health centres, Citizen Advice Bureaus, charities and other local support and advice agencies.	Estimated Date: 30/04/2020 Revised Date: 30/06/2021 No of Revisions 1	Debbie Herbertson Nichola Dadds Nicky Brown

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
129	<p>Assurance Actions and Annual Governance Statements</p> <p>CW1903 Issue 1: Assurance Management Framework</p> <p>Andrew Kerr, Chief Executive</p>	High	<p>CW1903 Issue 1.1a: Develop and implement an assurance management framework</p> <p>Started</p>	Discussions will be held with Directors on the outcomes of the Internal Audit report, and they will be requested to establish their own processes to ensure that the risks associated with all open assurance findings are completely and accurately reflected in their 2020/21 divisional and directorate annual assurance statements.	<p>Estimated Date: 31/12/2020</p> <p>Revised Date: 28/02/2021</p> <p>No of Revisions 1</p>	<p>Chris Peggie Donna Rodger Gavin King Hayley Barnett Laura Callender Mirka Vybiralova</p>
Page 8 of 161	<p>Assurance Actions and Annual Governance Statements</p> <p>CW1903 Issue 1: Assurance Management Framework</p> <p>Andrew Kerr, Chief Executive</p>	High	<p>CW1903 Issue 1.1c: Develop and implement an assurance management framework</p> <p>Started</p>	An assurance management framework will be developed and implemented that covers the points raised by Internal Audit and includes: liaison with directorates to assess current and best practice; clearly defined roles and responsibilities for first line directorates and the second line Corporate Governance team; process flow; monitoring / reporting / closure requirements; an assessment of existing automated tools to determine whether they can support the process; issue guidance; The framework will be implemented and rolled out across Council divisions and directorates to support completion of the 2021/22 annual governance statement for inclusion in the Council's 31 March 2022 annual financial statements.	<p>Estimated Date: 31/12/2020</p> <p>Revised Date: 31/03/2021</p> <p>No of Revisions 1</p>	<p>Chris Peggie Donna Rodger Gavin King Hayley Barnett Laura Callender Mirka Vybiralova</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 31 162</p>	<p>Life Safety</p> <p>CW1910 - Life safety: Issue 4 Housing Property Services – fire and water safety processes</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	<p>Low</p>	<p>CW1910 Rec. 4.1.1 Housing Property Services – water risk assessments</p> <p>Started</p>	<p>1. The Scientific Services team have reviewed the comment above against current legislation and will implement the following refreshed approach: Rather than a rolling programme covering all 20,000 Housing Property Services (HPS) properties equally, different types of property are classed in different priority risk categories. The Council has responsibility for 44 multi storey blocks and 33 Sheltered Housing complexes. These properties are all classed as high risk and assessments will be carried out within the stated two-year period currently specified in the Council’s water policy, and then every two years going forward. The remaining properties on the Housing estate are considered low level priority and legislation states that these surveys should be undertaken over a five-year period. Risk assessments will be carried out on sample properties for these low risk properties. For example, in a street of 100 homes with 20 different house types, only 20 surveys would be required. 2. Providing that Housing Property Services as the risk owner allocate sufficient budget resource, Scientific Services are comfortable that this work will not put a strain on their current resources and as the approach adopted is in line with the Council’s Water Safety Policy and applicable regulations, there is no need to record completion in relevant divisional and directorate risk registers.</p>	<p>Estimated Date:31/12/2020</p> <p>Revised Date:</p> <p>No of Revisions</p> <p>0</p>	<p>Alison CoburnGareth BarwellJemma TennantRobbie Beattie</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
132	<p>Unsupported Technology (Shadow IT) and End User Computing</p> <p>CW1914 Issue 1: Digital strategy and governance</p> <p>Stephen Moir, Executive Director of Resources</p>	Medium	<p>CW1914 Rec 1.1 - Digital strategy development</p> <p>Started</p>	<p>The Council's digital strategy is currently being refreshed as part of the Adaptation and Renewal Programme and will include consideration of use of both networked and cloud-based systems solutions that are aligned with the Council's strategic and service delivery objectives and applicable security and compliance requirements. A separate cloud strategy will also be prepared as part of the overarching digital strategy that outlines the opportunities and risks associated with ongoing and future use of cloud-based shadow IT systems. The digital strategy will be developed following engagement and consultation with Council directorates; divisions; citizens; and other organisations (where required).</p>	<p>Estimated Date: 31/12/2020 Revised Date: 30/06/2021 No of Revisions 1</p>	<p>Alison Roarty Heather Robb Layla Smith Michelle Vanhegan Nicola Harvey</p>
133	<p>H&SC Care Homes - Corporate Report</p> <p>A1.1: Care Homes Self Assurance Framework</p> <p>Judith Proctor, Chief Officer</p>	Medium	<p>A1.1: Care Homes Self Assurance Framework</p> <p>Started</p>	<p>A self-assurance framework will be designed and implemented that will validate effective operation of controls in place to manage these risks. The Health and Social Care Partnership Operations Manager will be accountable for development; implementation and ongoing operation of the framework. Development and implementation support will be requested from Business Support and Quality Assurance and Compliance.</p>	<p>Estimated Date: 30/06/2019 Revised Date: 01/05/2021 No of Revisions 1</p>	<p>Angela Ritchie Jacqui Macrae</p>
134	<p>H&SC Care Homes - Corporate Report</p> <p>A2.3: Welfare Fund and Outings Funds</p>	Medium	<p>A2.3(2) Establishment of welfare fund committees</p>	<p>A working group has been established that will focus on welfare. The remit of the group will focus on welfare committees; constitutions; accounts; criteria and donations. 2 officers from</p>	<p>Estimated Date: 31/07/2018 Revised Date: 01/05/2021</p>	<p>Angela Ritchie Jacqui Macrae</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	Judith Proctor, Chief Officer		Started	the working group have been assigned responsibility to write and implement welfare guidelines.	No of Revisions 5	
135	H&SC Care Homes - Corporate Report A2.3: Welfare Fund and Outings Funds Judith Proctor, Chief Officer	Medium	A2.3(3) Production of annual accounts and review by welfare fund committee Started	A working group has been established that will focus on welfare. The remit of the group will focus on welfare committees; constitutions; accounts; criteria and donations. 2 officers from the working group have been assigned responsibility to write and implement welfare guidelines Task assigned to Business Officer for annual accounts and daily bookkeeping. Guidelines to be written for consistency.	Estimated Date: 31/07/2018 Revised Date: 01/05/2021 No of Revisions 4	Angela Ritchie Jacqui Macrae
Page 36 464	H&SC Care Homes - Corporate Report A3.1: Training Judith Proctor, Chief Officer	Medium	A3.1(1) Manager review of training Started	This will be included as part of a new monthly controls process to be implemented and monitored via completion of a monthly spreadsheet. A working group has been established to document all processes to be included.	Estimated Date: 30/06/2019 Revised Date: 01/05/2021 No of Revisions 3	Angela Ritchie Jacqui Macrae
137	H&SC Care Homes - Corporate Report A3.3: Performance & Attendance Management Judith Proctor, Chief Officer	Medium	A3.3(2) Health & Social Care Teams - 6 monthly and annual performance conversations Started	Health and Social Care Teams Will ensure that annual performance conversations (once completed) are recorded on the iTrent system.	Estimated Date: 30/06/2018 Revised Date: 01/05/2021 No of Revisions 5	Angela Ritchie Jacqui Macrae

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
138	H&SC Care Homes - Corporate Report A3.3: Performance & Attendance Management Judith Proctor, Chief Officer	Medium	A3.3(4) Health & Social Care Teams - quarterly review of absence and performance management Started	This is the responsibility of the Unit manager for their direct reports. The Business Support Officer will ensure that the Unit Manager is aware on a monthly basis for Domestic and Handymen reporting to them. The Business Support Officer is required to monitor and report through the Customer process on a monthly basis. The staff nurse / charge nurse to be appointed at Gylemuir will ensure that this is performed for all NHS staff.	Estimated Date: 30/06/2018 Revised Date: 01/05/2021 No of Revisions 3	Angela Ritchie Jacqui Macrae
139	H&SC Care Homes - Corporate Report A3.4: Agency Staffing Judith Proctor, Chief Officer	Medium	A3.4(2) Analysis of the agency staff and hours worked charges Started	The BSO will assist the UM (See A2.1). A paper is being presented to the Health and Social Care Senior Management Team week commencing 15th January 2018 that proposes a solution where information will be provided to Locality Managers who will prepare reports for Care Homes. If this solution is agreed, it will be implemented immediately.	Estimated Date: 31/03/2018 Revised Date: 01/05/2021 No of Revisions 4	Angela Ritchie Jacqui Macrae
140	H&SC Care Homes - Corporate Report A3.5: Adequacy of Resources Judith Proctor, Chief Officer	Medium	A3.5(1) Care Inspectorate Dependency Assessments requirements Started	Unit managers submit monthly reports to Cluster manager and Locality management team. Locality management team responsible for ensuring resource meets the demand based on dependency scoring.	Estimated Date: 31/01/2019 Revised Date: 01/05/2021 No of Revisions 5	Angela Ritchie Jacqui Macrae

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
41 Page 466	Social Work Centre Bank Account Reconciliations Corporate Appointee Client Fund Management Judith Proctor, Chief Officer	High	Recommendation 1a - Health & Social Care Started	<p>1. Health and Social Care: Given the considerable business support and social worker resources implications, the above recommendations will take time to design, implement and maintain. Business Support is resolving problem appointee arrangements as we go along, however, the backlog of reviews will need a programme management approach to rectify errors and support the governance required. In the meantime, associated risks will be added to the Partnership's risk register to monitor controls and progress on a monthly basis, given its high finding rating. Following the Care Home Assurance Review, the Partnership is developing a self-assurance control framework. Locality Managers have agreed for corporate appointee arrangements to be included in the assurance framework – which if found to be successful and useful, can be mirrored by the other applicable services in this report. Business Support is working on new guidelines for the administration of Corporate Appointeeship (e.g. new procedures, monthly checklists, etc.), which will support the effective delivery of the framework.</p>	Estimated Date: 28/06/2019 Revised Date: 01/08/2021 No of Revisions 2	Alison Roarty Angela Ritchie Colin Beck Louise McRae Tony Duncan

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
142	<p>Social Work Centre Bank Account Reconciliations</p> <p>Corporate Appointee Client Fund Management</p> <p>Judith Proctor, Chief Officer</p>	High	<p>2.2. Updating procedures to include an annual review of Corporate Appointee contracts</p> <p>Started</p>	<p>2. New guidelines will be written to ensure clarity of responsibilities. Sections will be included detailing Social Work; Business Support; and Transactions team responsibilities. The objective is to create and implement an end to end process that includes eligibility criteria, DWP processes and a full administrative process that will be applied centrally and across Locality offices; clusters; and hubs.</p>	<p>Estimated Date: 30/04/2018</p> <p>Revised Date: 01/08/2021</p> <p>No of Revisions 2</p>	<p>Alison Roarty Angela Ritchie Colin Beck Louise McRae Tony Duncan</p>
143	<p>Social Work Centre Bank Account Reconciliations</p> <p>Corporate Appointee Client Fund Management</p> <p>Judith Proctor, Chief Officer</p>	High	<p>Rec. 8 Business Support and Senior Social Worker - refresher training closing and reallocation of client fund accounts</p> <p>Started</p>	<p>8. Refresher training will be offered as part of the implementation of the new guidelines to all staff involved in the process, and recorded on staff training records. The training will also be incorporated into the new staff induction process.</p>	<p>Estimated Date: 31/05/2018</p> <p>Revised Date: 01/08/2021</p> <p>No of Revisions 3</p>	<p>Alison Roarty Angela Ritchie Colin Beck Louise McRae Tony Duncan</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
<p>144</p> <p>Page 468</p>	<p>Social Work Centre Bank Account Reconciliations</p> <p>Corporate Appointee Client Fund Management</p> <p>Judith Proctor, Chief Officer</p>	<p>High</p>	<p>Rec 1b - Business Support - review of Corporate Appointee processes</p> <p>Started</p>	<p>1. Business Support: Business Support will enable the review of current processes and guidelines in conjunction with Hub and Cluster Managers with sign off at the Locality Managers Forum. Business support will review all Corporate Appointee accounts and contact the relevant social worker, support worker or hub where the funds are over £16K for immediate review. Business support will advise social work when the funds exceed £16K where there is not a valid reason (for example, client deceased and social worker discussing estate with solicitor). Clarity on contact with DWP is being progressed and will be written into the new guidelines. Regular reporting will be introduced from the revised systems being implemented. This will be provided monthly at Senior Social Work level and annually for H&SC management</p>	<p>Estimated Date: 31/05/2018</p> <p>Revised Date: 01/08/2021</p> <p>No of Revisions 2</p>	<p>Alison Roarty Angela Ritchie Colin Beck Louise McRae Tony Duncan</p>

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<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 45 Page 469</p>	<p>Localities Operating Model</p> <p>1. Localities Governance and Operating Model</p> <p>Gillie Severin, Strategic Change Delivery Manager</p>	<p>High</p>	<p>1.1 Recommendation - Localities Operating Model Post Implementation Review</p> <p>Started</p>	<p>Management response from the Place Directorate and Strategy and Communications It is recognised the Council's localities operating model has not been fully effective and that oversight of locality performance and delivery of locality improvement plan actions could be improved. This is mainly attributable to the ambitious and complex design of the original localities operating model. The Localities operating model is in the process of being redesigned following dissolution of the Localities Committees as in February 2019, and the Internal Audit recommendations included in the first finding below will be considered and implemented (where appropriate) in the design of the new model and incorporated within reporting provided to established Council executive committees that are responsible for oversight of service delivery across the localities and monitoring progress with delivery of LIP actions. Once the new locality model has been designed, details of the new design and implementation plan will be shared with Internal Audit by 31 March 2020 to demonstrate how their recommendations will be addressed and implemented. It has been agreed with Internal Audit that new management actions will be raised at that time to track implementation progress.</p>	<p>Estimated Date: 31/03/2020</p> <p>Revised Date: 31/03/2023</p> <p>No of Revisions 2</p>	<p>Alison Coburn David Givan Donna Rodger Evelyn Kilmurry George Gaunt Jackie Irvine mike Avery Nichola Dadds Peter Strong Ruth Currie Sarah Burns</p>

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<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 46 470</p>	<p>Localities Operating Model</p> <p>1. Localities Governance and Operating Model</p> <p>Gillie Severin, Strategic Change Delivery Manager</p>	<p>High</p>	<p>1.2 Recommendation – Development and Delivery of Council Locality Improvement Plan Actions</p> <p>Started</p>	<p>Management response from the Place Directorate and Strategy and Communications It is recognised the Council’s localities operating model has not been fully effective and that oversight of locality performance and delivery of locality improvement plan actions could be improved. This is mainly attributable to the ambitious and complex design of the original localities operating model. The Localities operating model is in the process of being redesigned following dissolution of the Localities Committees as in February 2019, and the Internal Audit recommendations included in the first finding below will be considered and implemented (where appropriate) in the design of the new model and incorporated within reporting provided to established Council executive committees that are responsible for oversight of service delivery across the localities and monitoring progress with delivery of LIP actions. Once the new locality model has been designed, details of the new design and implementation plan will be shared with Internal Audit by 31 March 2020 to demonstrate how their recommendations will be addressed and implemented. It has been agreed with Internal Audit that new management actions will be raised at that time to track implementation progress.</p>	<p style="text-align: center;"> Estimated Date:31/03/2020 Revised Date:31/03/2023 No of Revisions2 </p>	<p>Alison Coburn Alison Henry David Givan Donna Rodger Evelyn Kilmurry George Gaunt Michele Mulvaney Mike Avery Paul Lawrence Paula McLeay Peter Strong Sarah Burns</p>

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Page 471	<p>Localities Operating Model</p> <p>1. Localities Governance and Operating Model</p> <p>Gillie Severin, Strategic Change Delivery Manager</p>	High	<p>1.3 Recommendation - Locality Service Delivery Performance Measures</p> <p>Started</p>	<p>Management response from the Place Directorate and Strategy and Communications It is recognised the Council's localities operating model has not been fully effective and that oversight of locality performance and delivery of locality improvement plan actions could be improved. This is mainly attributable to the ambitious and complex design of the original localities operating model. The Localities operating model is in the process of being redesigned following dissolution of the Localities Committees as in February 2019, and the Internal Audit recommendations included in the first finding below will be considered and implemented (where appropriate) in the design of the new model and incorporated within reporting provided to established Council executive committees that are responsible for oversight of service delivery across the localities and monitoring progress with delivery of LIP actions. Once the new locality model has been designed, details of the new design and implementation plan will be shared with Internal Audit by 31 March 2020 to demonstrate how their recommendations will be addressed and implemented. It has been agreed with Internal Audit that new management actions will be raised at that time to track implementation progress.</p>	<p>Estimated Date: 31/03/2020</p> <p>Revised Date: 31/03/2023</p> <p>No of Revisions 2</p>	<p>Alison Coburn Donna Rodger Evelyn Kilmurry Michele Mulvaney mike Avery Paula McLeay Peter Strong Sarah Burns</p>

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Page 48 472	<p style="text-align: center;">Localities Operating Model</p> <p>1. Localities Governance and Operating Model</p> <p>Gillie Severin, Strategic Change Delivery Manager</p>	High	<p>1.4 Recommendation - Engagement with Council centralised divisions</p> <p style="text-align: center;">Started</p>	<p>Management response from the Place Directorate and Strategy and Communications It is recognised the Council's localities operating model has not been fully effective and that oversight of locality performance and delivery of locality improvement plan actions could be improved. This is mainly attributable to the ambitious and complex design of the original localities operating model. The Localities operating model is in the process of being redesigned following dissolution of the Localities Committees as in February 2019, and the Internal Audit recommendations included in the first finding below will be considered and implemented (where appropriate) in the design of the new model and incorporated within reporting provided to established Council executive committees that are responsible for oversight of service delivery across the localities and monitoring progress with delivery of LIP actions. Once the new locality model has been designed, details of the new design and implementation plan will be shared with Internal Audit by 31 March 2020 to demonstrate how their recommendations will be addressed and implemented. It has been agreed with Internal Audit that new management actions will be raised at that time to track implementation progress.</p>	<p style="text-align: center;">Estimated Date: 31/03/2020</p> <p style="text-align: center;">Revised Date: 31/03/2023</p> <p style="text-align: center;">No of Revisions 2</p>	<p style="text-align: center;">Alison Coburn David Givan Donna Rodger Evelyn Kilmurry George Gaunt mike Avery Peter Strong Sarah Burns</p>

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<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 473</p>	<p>Localities Operating Model</p> <p>1. Localities Governance and Operating Model</p> <p>Gillie Severin, Strategic Change Delivery Manager</p>	<p>High</p>	<p>PL1801 1.5 Recommendation - Locality budget planning and financial management</p> <p>Started</p>	<p>Management response from the Place Directorate and Strategy and Communications It is recognised the Council's localities operating model has not been fully effective and that oversight of locality performance and delivery of locality improvement plan actions could be improved. This is mainly attributable to the ambitious and complex design of the original localities operating model. The Localities operating model is in the process of being redesigned following dissolution of the Localities Committees as in February 2019, and the Internal Audit recommendations included in the first finding below will be considered and implemented (where appropriate) in the design of the new model and incorporated within reporting provided to established Council executive committees that are responsible for oversight of service delivery across the localities and monitoring progress with delivery of LIP actions. Once the new locality model has been designed, details of the new design and implementation plan will be shared with Internal Audit by 31 March 2020 to demonstrate how their recommendations will be addressed and implemented. It has been agreed with Internal Audit that new management actions will be raised at that time to track implementation progress.</p>	<p>Estimated Date: 31/03/2020</p> <p>Revised Date: 31/03/2020</p> <p>No of Revisions 2</p>	<p>Alison Coburn Annette Smith Donna Rodger Evelyn Kilmurry Hugh Dunn John Connarty Michelle Vanhegan mike Avery Peter Strong Sarah Burns Susan Hamilton</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
Page 50 474	<p style="text-align: center;">Localities Operating Model</p> <p>1. Localities Governance and Operating Model</p> <p>Gillie Severin, Strategic Change Delivery Manager</p>	High	<p>1.6 Recommendation - Risk Management</p> <p style="text-align: center;">Started</p>	<p>Management response from the Place Directorate and Strategy and Communications It is recognised the Council's localities operating model has not been fully effective and that oversight of locality performance and delivery of locality improvement plan actions could be improved. This is mainly attributable to the ambitious and complex design of the original localities operating model. The Localities operating model is in the process of being redesigned following dissolution of the Localities Committees as in February 2019, and the Internal Audit recommendations included in the first finding below will be considered and implemented (where appropriate) in the design of the new model and incorporated within reporting provided to established Council executive committees that are responsible for oversight of service delivery across the localities and monitoring progress with delivery of LIP actions. Once the new locality model has been designed, details of the new design and implementation plan will be shared with Internal Audit by 31 March 2020 to demonstrate how their recommendations will be addressed and implemented. It has been agreed with Internal Audit that new management actions will be raised at that time to track implementation progress.</p>	<p style="text-align: center;">Estimated Date:31/03/2020</p> <p style="text-align: center;">Revised Date:31/03/2023</p> <p style="text-align: center;">No of Revisions</p> <p style="text-align: center;">2</p>	<p>Alison CoburnDavid GivanDonna RodgerEvelyn KilmurryGeorge Gauntmike AveryPeter StrongSarah Burns</p>

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<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 1 475</p>	<p>Localities Operating Model</p> <p>1. Localities Governance and Operating Model</p> <p>Gillie Severin, Strategic Change Delivery Manager</p>	<p>High</p>	<p>1.7 Recommendation - Succession Planning</p> <p>Started</p>	<p>Management response from the Place Directorate and Strategy and Communications It is recognised the Council's localities operating model has not been fully effective and that oversight of locality performance and delivery of locality improvement plan actions could be improved. This is mainly attributable to the ambitious and complex design of the original localities operating model. The Localities operating model is in the process of being redesigned following dissolution of the Localities Committees as in February 2019, and the Internal Audit recommendations included in the first finding below will be considered and implemented (where appropriate) in the design of the new model and incorporated within reporting provided to established Council executive committees that are responsible for oversight of service delivery across the localities and monitoring progress with delivery of LIP actions. Once the new locality model has been designed, details of the new design and implementation plan will be shared with Internal Audit by 31 March 2020 to demonstrate how their recommendations will be addressed and implemented. It has been agreed with Internal Audit that new management actions will be raised at that time to track implementation progress.</p>	<p>Estimated Date: 31/03/2020</p> <p>Revised Date: 31/03/2023</p> <p>No of Revisions 2</p>	<p>Alison Coburn David Givan Donna Rodger Evelyn Kilmurry George Gaunt mike Avery Peter Strong Sarah Burns</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
152 Page 476	Localities Operating Model 2. Oracle Financial System – Authorised Approval Limits Stephen Moir, Executive Director of Resources	Low	PL1801 2.1 - Authorisation Limits Review Started	A large-scale exercise, involving over 500 changes to the structure, was undertaken during the winter months realigning Place, taking into account changes relating to Transformation. A review of all Oracle Requisition Approvers for the department of Place has been initiated and is currently underway. More fundamentally, a rolling programme of all Oracle Requisition Approvers, across all divisions, has been reinstated. Prior to 2015 this was business as usual (BAU), however due to the proposed introduction of the enterprise resource planning solution and other budget cuts and staff reductions this was suspended. The significance of this regular review was recognised and reinstated in 2018. This will be rigorously implemented until firmly re-embedded as part of BAU across the business	Estimated Date: 26/06/2020 Revised Date: 31/05/2021 No of Revisions 1	Alison Henry Annette Smith Brenda Brownlee David Camilleri Hugh Dunn Layla Smith Michelle Vanhegan

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
153 Page 477	<p>Planning and S75 Developer Contributions</p> <p>End to end developer contribution processes, procedures, and training</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>PL1802 Iss 2 Rec 2.2 Quality Assurance</p> <p>Started</p>	<p>Planning has made significant progress on specific parts of the contributions process, and will deliver other improvements to this process to address the recommendations. The capture and tracking of the financial contributions will be performed using the Council's PPSL accounts receivable system. The Planning team's existing quality assurance process will be extended to include the end to end developer contributions process to be designed and applied as per recommendation 1. The quality assurance process will cover the areas recommended by Internal Audit at 1 to 4 above, including use of the Council's PPSL accounts receivable system to record and monitor financial contributions received ISO accreditors will also be requested to include the Developer contributions quality assurance process within the scope of their review which is scheduled for completion by October 2020.</p>	<p>Estimated Date: 31/12/2020</p> <p>Revised Date: 01/05/2021</p> <p>No of Revisions 0</p>	<p>Alison Coburn Alison Henry Annette Smith Bruce Nicolson David Leslie David Givan George Gaunt Graham Nelson Hugh Dunn Kevin McKee Michael Thain Michelle Vanhegan Nick Smith Rebecca Andrew</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
154	HMO Licensing PL1803 Issue 1 Licensing system - Data Integrity and Performance Issues Stephen Moir, Executive Director of Resources	High	PL1803 Issue 1.1 Project Plan Started	Response from Digital Services Digital Services resources have now been allocated to work with both the Licencing team and CGI to progress the change request for the upgrade to APP Civica CX, and this will involve developing a plan to support implementation of the system upgrade that includes details of all relevant activities to be completed and implementation timeframes. Response from Licencing The Place Directorate and Digital Services have made change requests for CGI to provide analysis on the business benefits, costs and risks of moving to the APP. These change requests are outstanding from CGI from 2018. Upon receipt of this analysis the Directorate will agree with the Resource Directorate a project plan for approval by senior managers,	Estimated Date: 20/12/2019 Revised Date: 31/03/2021 No of Revisions 3	Alison Roarty Grace McCabe Heather Robb Isla Burton Julie Rosano Layla Smith Michelle Vanhegan Nicola Harvey
155	HMO Licensing PL1803 Issue 2 - Collection and processing of HMO licence fees Paul Lawrence, Executive Director of Place and SRO	High	PL1803 Issue 2.1 BACs payment reference Started	It should be noted that measure is in place to ensure that no application is progressed without the required fee being reconciled. This reflects the statutory process and the need to ensure that the Council treats applications for a renewal lawfully unless the reconciliation process can evidence a payment has not been made. There is no evidence from directorate monitoring the level of income from HMOs licence applications which would demonstrate that fees are not being collected. Any unmatched fee not identified will in effect contribute to the Council's	Estimated Date: 30/03/2020 Revised Date: 05/10/2020 No of Revisions 1	Alison Coburn Andrew Mitchell David Givan George Gaunt Grace McCabe Isla Burton Michael Thain Sandra Harrison

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
Page 479				<p>general revenue account and therefore there is no financial loss to the Council. The Internal Audit recommendation outlined above is not accepted as it not believed to be achievable. Therefore Licencing; Customer; and Finance will investigate potential solutions re the BACS issue, (including any potential scope for a technology solution) to address this risk. These options will be reviewed with Internal Audit and a longer-term solution identified and implemented. It has been agreed with Internal Audit that (once the solution has been identified) another audit finding will be raised that will monitor implementation of the solution to confirm that it is operating effectively. In the meantime, a statement will be added to the Licencing pages on the Council's external website and application forms advising customers of what reference must be used to successfully make a BACs payment.</p>		
156	<p>Road Services Improvement Plan</p> <p>PL1808 Issue 1. Roads Improvement Plan financial operating model and project governance</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>PL1808 - 1.1 Roads Service Improvement Plan review (including financial operating model)</p> <p>Started</p>	<p>Accepted. The Roads Service Improvement Plan (the Plan) will be reviewed following completion of the organisational restructure and will consider the points noted in the recommendation. A review of the financial operating model will also be undertaken with the aim of embedding a new budget structure for the service. Once completed the Plan business case will be refreshed to reflect any significant changes.</p>	<p>Estimated Date: 30/04/2020 Revised Date: 01/09/2020 No of Revisions 0</p>	<p>Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Nicole Fraser</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
157	Road Services Improvement Plan PL1808 Issue 1. Roads Improvement Plan financial operating model and project governance Paul Lawrence, Executive Director of Place and SRO	High	PL1808 - 1.2 Roads Service Improvement Plan approval Started	On appointment of the tier 3 and 4 management team, a re-base of the improvement plan will take place and the revised plan will be submitted to the Council's Change Board and the Transport and Environment Committee for approval, with ongoing progress updates provided to both forums.	Estimated Date: 31/07/2020 Revised Date: 01/12/2020 No of Revisions 0	Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Nicole Fraser
Page 480	Road Services Improvement Plan PL1808 Issue 2. Roads services performance monitoring and quality assurance Paul Lawrence, Executive Director of Place and SRO	High	PL1808 - 2.1 Service Delivery Performance Monitoring Started	One of the roles included in the new Roads structure is a Roads Service Performance Coordinator. The team member appointed to this role will be responsible for designing; implementing; and maintaining a performance and quality assurance framework that will incorporate the recommendations made to support ongoing monitoring and management of the Roads service. This will involve ensuring that all Roads teams develop team plans that include key performance measures; outline their respective roles and responsibilities for delivery; and are aligned with overall Council's commitments that are relevant to Roads.	Estimated Date: 31/07/2020 Revised Date: 30/06/2021 No of Revisions 1	Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Jordan Walker Nicole Fraser

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
Page 59 Page 481	<p>Road Services Improvement Plan</p> <p>PL1808 Issue 2. Roads services performance monitoring and quality assurance</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>PL1808 - 2.2 Roads services quality assurance framework</p> <p>Started</p>	<p>1. The existing Transport Design and Delivery quality framework will be revised to reflect the new Roads and Transport Infrastructure Service and rolled out across the service. As part of this review, the recommendations highlighted above will be considered and incorporated where appropriate. The Design, Structures and Flood Prevention Manager will be responsible for refreshing the quality framework once appointed. 2. A sampling regime will be designed and embedded for safety inspections to ensure that defects are being categorised properly. This process will be designed and implemented by the Team Leader for Safety Inspections to be appointed as part of the ongoing restructure. 3. A sampling regime will be designed and embedded for road defect repairs to ensure that repairs are fit for purpose and effective. 4. Key performance indicators for each team will be included in the target setting for each 4th tier manager and their direct reports to ensure focus on these measures. Emerging themes from Team Plans and quality assurance reviews will also be shared with Roads teams, and individual and team training needs will be considered based on the themes identified. This process will be designed and implemented by the Service Performance Coordinator to be appointed as part of the ongoing restructure.</p>	<p>Estimated Date: 30/06/2020</p> <p>Revised Date: 31/03/2021</p> <p>No of Revisions 1</p>	<p>Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Jordan Walker Nicole Fraser Sean Gilchrist</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
160	Road Services Improvement Plan PL1808 Issue 3. Roads inspection, defect categorisation, and repairs Paul Lawrence, Executive Director of Place and SRO	Low	PL1808 - 3.2a) Inspector training and qualifications Started	1. Design and implement a training framework for all relevant Inspectors in line with the newly adopted 'Road Safety Inspection and Defect Categorisation Procedure'	Estimated Date: 31/01/2020 Revised Date: 01/06/2020 No of Revisions 0	Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Nicole Fraser Sean Gilchrist
161	Road Services Improvement Plan PL1808 Issue 3. Roads inspection, defect categorisation, and repairs Paul Lawrence, Executive Director of Place and SRO	Low	PL1808 - 3.2b) Inspector training and qualifications Started	2. Ensure all relevant Inspectors are accredited by an appropriately accredited professional body.	Estimated Date: 31/08/2020 Revised Date: 01/01/2021 No of Revisions 0	Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Nicole Fraser Sean Gilchrist
162	Road Services Improvement Plan PL1808 Issue 3. Roads inspection, defect categorisation, and repairs Paul Lawrence, Executive Director of Place and SRO	Low	PL1808 - 3.3 Management information for planned inspections Started	On appointment, the new Service Performance Coordinator and Team Leader – Safety Inspections will work with Pitney Bowes (the supplier of the Confirm system) to develop a new process to plan and monitor safety inspection performance	Estimated Date: 31/03/2020 Revised Date: 01/04/2021 No of Revisions 3	Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Nicole Fraser Sean Gilchrist
163	Street Lighting and Traffic Signals Street Lighting and Traffic Signals: Process and quality assurance	Low	PL1810 Issue 3 - Rec 1 Operation and maintenance procedures Started	Street Lighting and Traffic Signals Operational Guides will be developed, implemented, and reviewed to ensure that processes align with current regulatory requirements. Operational Guides will be implemented within six months of implementation of the Roads Improvement Plan, or by 30	Estimated Date: 30/09/2019 Revised Date: 01/03/2021 No of Revisions 3	Alan Simpson Alison Coburn Claire Duchart David Givan Gareth Barwell Gavin Brown George Gaunt Lindsey McPhillips Mark

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	documentation and training Paul Lawrence, Executive Director of Place and SRO			September 2019, whichever comes first.		LoveNicole FraserRobert MansellTony Booth
164	Street Lighting and Traffic Signals Street Lighting and Traffic Signals: Process and quality assurance documentation and training Paul Lawrence, Executive Director of Place and SRO	Low	PL1810 Issue 3: Rec 2 - Refresher training for existing employees Started	An essential Learning Matrix that specifies the refresher training that the team requires to complete on an ongoing basis has been developed and provided to Learning and Organisational Development for their review and feedback, with no response received as yet. The matrix will now be implemented, and employee training requirements will be assessed (and agreed) as part of the Annual Conversations.	Estimated Date: 20/12/2019 Revised Date: 01/04/2021 No of Revisions 6	Alan Simpson Alison Coburn Claire Duchart Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Lindsey McPhillips Mark Love Nicole Fraser Robert Mansell Tony Booth
165	Street Lighting and Traffic Signals Traffic Signals: Evidence of pre installation design and acceptance testing Paul Lawrence, Executive Director of Place and SRO	Low	PL1810 Issue 4: Rec 1 - Paperless testing checklist Started	A checklist will be introduced to record all factory and site acceptance testing and uploaded onto InView against the appropriate asset. The checklist will record engineer acceptance and review.	Estimated Date: 31/03/2020 Revised Date: 01/02/2021 No of Revisions 2	Alan Simpson Alison Coburn Claire Duchart Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Lindsey McPhillips Mark Love Nicole Fraser Robert Mansell Tony Booth

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
166	<p>Street Lighting and Traffic Signals</p> <p>Traffic Signals: Evidence of pre installation design and acceptance testing</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Low	<p>PL1810 Issue 4: Rec 2 - Guidance supporting testing checklist</p> <p>Started</p>	Workshop to be arranged to guide all relevant team members on the processes for completion and retention of the checklist.	<p>Estimated Date: 31/12/2019</p> <p>Revised Date: 01/02/2021</p> <p>No of Revisions 3</p>	<p>Alan Simpson</p> <p>Alison Coburn</p> <p>Claire Duchart</p> <p>Cliff Hutt</p> <p>David Givan</p> <p>Gareth Barwell</p> <p>Gavin Brown</p> <p>George Gaunt</p> <p>Lindsey McPhillips</p> <p>Mark Love</p> <p>Nicole Fraser</p> <p>Robert Mansell</p> <p>Tony Booth</p>
Page 484 487	<p>Street Lighting and Traffic Signals</p> <p>Traffic Signals: Evidence of pre installation design and acceptance testing</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Low	<p>PL1810 Issue4: Rec 3 - Checklist retention procedures</p> <p>Started</p>	Processes for the completion and retention of the checklist to be included in appropriate Operational Guide.	<p>Estimated Date: 31/03/2020</p> <p>Revised Date: 01/02/2021</p> <p>No of Revisions 2</p>	<p>Alan Simpson</p> <p>Alison Coburn</p> <p>Claire Duchart</p> <p>Cliff Hutt</p> <p>David Givan</p> <p>Gareth Barwell</p> <p>Gavin Brown</p> <p>George Gaunt</p> <p>Lindsey McPhillips</p> <p>Mark Love</p> <p>Nicole Fraser</p> <p>Robert Mansell</p> <p>Tony Booth</p>
168	<p>Drivers</p> <p>Recording and addressing driving incidents</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Medium	<p>Recording and addressing driving incidents Rec 2</p> <p>Started</p>	A monthly reconciliation between the incidents reported to Fleet Services and those recorded on SHE will be performed, with line managers advised re any gaps on the SHE system that need to be addressed;	<p>Estimated Date: 01/04/2019</p> <p>Revised Date: 31/12/2020</p> <p>No of Revisions 2</p>	<p>Adam Fergie</p> <p>Alison Coburn</p> <p>Claire Duchart</p> <p>David Givan</p> <p>Gareth Barwell</p> <p>George Gaunt</p> <p>Katy Miller</p> <p>Martin Young</p> <p>Nicole Fraser</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
						Scott Millar Steven Wright
169	<p>Asset Management Strategy</p> <p>Issue 1: Visibility and Security of Shared Council Property</p> <p>Stephen Moir, Executive Director of Resources</p>	Medium	<p>Review of existing shared property</p> <p>Started</p>	A review of the office estate is underway by the Operational Estates team to identify third party users and approach them to seek appropriate leases or licences to allow them to occupy the premises and ensure the Council is appropriately reimbursed.	<p>Estimated Date: 31/10/2018</p> <p>Revised Date: 01/03/2026</p> <p>No of Revisions 3</p>	<p>Audrey Dutton</p> <p>Gohar Khan</p> <p>Layla Smith</p> <p>Lindsay Glasgow</p> <p>Michelle Vanhegan</p> <p>Peter Watton</p>
Page 485	<p>Certifications and Software Licenses</p> <p>RES1805 Licenses and Certificates: Issue 1 - Governance and Oversight</p> <p>Stephen Moir, Executive Director of Resources</p>	Medium	<p>RES1805 CDS 1.1 Council - Governance and Oversight of Certificates and Licenses</p> <p>Started</p>	<p>Council: Both Digital Services Management and CGI agree that the issues relating to Certificates and Licenses must be addressed. Digital Services Management will: ensure improved Governance of the processes around this are undertaken, reporting any issues through the Executive Board; and ensure licenses are reduced/savings are realised where reduction or improved management of licenses is practicable.</p> <p>2. Although not directly part of this action, more explicit requirements and governance around certificates and licenses will form part of any new or revised outsourcing contract.</p>	<p>Estimated Date: 31/01/2020</p> <p>Revised Date: 01/11/2020</p> <p>No of Revisions 2</p>	<p>Alison Roarty</p> <p>Heather Robb</p> <p>Jackie Galloway</p> <p>Julie Rosano</p> <p>Laura Millar</p> <p>Layla Smith</p> <p>Michelle Vanhegan</p> <p>Nicola Harvey</p> <p>Stuart Skivington</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
171	<p>Certifications and Software Licenses</p> <p>RES1805 Licenses and Certificates: Issue 1 - Governance and Oversight</p> <p>Stephen Moir, Executive Director of Resources</p>	Medium	<p>RES1805 CDS 1.2 CGI - Reporting and monitoring - Licenses and Certificates</p> <p>Started</p>	<p>CGI will Provide improved reporting on licenses and usage to Council Asset meetings. This will start no later than October 2019; At these meetings, also provide updates on certificate management, highlighting any service impact/incident reports caused by certificate issue; and Work with Council to provide a relevant update for the Partnership Board/Executive meeting on certificate and license management.</p>	<p>Estimated Date: 31/01/2020</p> <p>Revised Date: 01/11/2020</p> <p>No of Revisions 2</p>	<p>Alison Roarty Heather Robb Jackie Galloway Laura Millar Layla Smith Michelle Vanhegan Nicola Harvey Stuart Skivington</p>
Page 486 172	<p>Certifications and Software Licenses</p> <p>RES1805 Licenses and Certifications: Issue 2 - Ongoing management</p> <p>Stephen Moir, Executive Director of Resources</p>	High	<p>RES1805 - CDS 2.1 Completeness and accuracy of license inventory reports</p> <p>Started</p>	<p>CGI will: Use the Microsoft SCCM Product to ensure that all software installed in appropriately licensed Ensure that the license report is reconciled back to source system data (where applicable) and gain Council confirmation that they are satisfied with the completeness and accuracy of the license inventory. Update the Council at the fortnightly asset meetings of any differences between installed and licensed software and agree a course of action e.g. removal, reduction in licenses, discussion with Services on usage This should start by the end of October 2019.</p>	<p>Estimated Date:31/01/2020</p> <p>Revised Date:01/11/2020</p> <p>No of Revisions 2</p>	<p>Alison Roarty Heather Robb Jackie Galloway Julie Rosano Laura Millar Layla Smith Michelle Vanhegan Nicola Harvey Stuart Skivington</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
173 Page 487	<p>Out of Support Technology and Public Sector Network Accreditation</p> <p>RES1807 - Issue 1: Public Services Network governance framework</p> <p>Stephen Moir, Executive Director of Resources</p>	Low	<p>RES1807 - 1.1 Public Services Network governance arrangements</p> <p>Started</p>	<p>Digital Services Management has recognised the need to review governance arrangements around PSN /Cybersecurity. This will include Adapting the Security Working Group (SWG) Assurance report, in conjunction with CGI, to be the single report for all security assurance and accreditation matters encompassing PNS, Cyber Essentials/Cyber Essentials Plus, PSCAP and progress against Internal Audit findings. Working with CGI to change the Security Management Plan to have separate fortnightly SWG meetings to cover Operations and Assurance: SWG Operations Group will review the Security Operations Centre (SOC) and Security Operations Reports (SOR)SWG Assurance Group will review Assurance, PSN, Cyber Essentials/Cyber Essentials Plus and Audit Actions. To enable this approach, we will work with the Commercial teams from CGI and the Council to ensure that this approach is acceptable under the terms of the Contract Ensuring that PSN risks are included and highlighted in the Public Sector Network Plan B report. These risks will also be added to the Council/CGI partnership security risk log and reviewed as part of this.</p>	<p>Estimated Date: 31/01/2020 Revised Date: 30/06/2021 No of Revisions 2</p>	<p>Alison Roarty Heather Robb Julie Rosano Layla Smith Michelle Vanhegan Mike Brown Nicola Harvey</p>

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174	<p>Cyber Security - Public Sector Action Plan</p> <p>RES1808: Issue 1: Critical Operational Cyber Security Controls</p> <p>Stephen Moir, Executive Director of Resources</p>	Medium	<p>RES1808: Issue 1: Recommendation 1.2 - Cyber Essentials Accreditation</p> <p>Started</p>	<p>CGI completed a complete manual vulnerability scan of the estate in November 2018 Vulnerabilities identified from this scan are being resolved as part of the Public Services Network remediation action plan. CGI have been formally requested to implement automated vulnerability scanning as a service. To ensure this is in place in time for Cyber Essentials Plus accreditation this automated vulnerability scanning is targeted to be implemented by end of June 2019.</p>	<p>Estimated Date: 30/09/2019</p> <p>Revised Date: 01/05/2021</p> <p>No of Revisions 2</p>	<p>Alison Roarty Heather Robb Layla Smith Michelle Vanhegan Mike Brown Nicola Harvey</p>
Page 488 175	<p>Supplier Management Framework and CIS Payments</p> <p>RES1809 Issue 2: Contracts and Grants Management Strategic Direction</p> <p>Stephen Moir, Executive Director of Resources</p>	High	<p>RES1809 Issue 2.2: Contract Management Compliance Reviews</p> <p>Started</p>	<p>The C&GM team will design and implement a rolling programme of compliance reviews, focused on the Tier 1 and 2 contracts, this programme to take account of the limited resources in the team, and other ongoing work. The scope of these reviews will, as appropriate, include the recommendations above. Again, this work will be dependent upon active service area engagement and responsiveness, including for service areas to implement identified actions. It is to be noted, however, that the staffing resources in the C&GM team may not be sufficient to include all aspects referred to above, including follow-up and monitoring of implementation.</p>	<p>Estimated Date: 31/12/2020</p> <p>Revised Date: 01/05/2021</p> <p>No of Revisions 0</p>	<p>Annette Smith Gavin Brown Hugh Dunn Iain Strachan Layla Smith Michelle Vanhegan Mollie Kerr</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
Page 76 Page 489	<p>Supplier Management Framework and CIS Payments</p> <p>RES1809 Issue 2: Contracts and Grants Management Strategic Direction</p> <p>Stephen Moir, Executive Director of Resources</p>	High	<p>RES1809 Issue 2.3: Project Governance supporting implementation of the Public Contracts Scotland Tendering technology system</p> <p>Started</p>	<p>This system is already well-established in other public sector partners, and supported by the Scottish Government, and has been identified by Scotland Excel as an appropriate e-solutions system to support contract and supplier management. Training sessions have already been held, including a day session focussed entirely on contract management functionality. All members of the team have had access to the system for a suitable period of time, to allow for learning on a test system and have built up a thorough knowledge of the system's capability to upload contract documentation. The mass upload of contract documentation is a key factor in the successful roll out of the system, and the team continues to get support from contemporary teams in Scottish Government and other public sector partners who have carried this out. Training sessions have been held with a number of contract managers across 4 directorates, focussing on 6 Tier 1 contracts, some with cross-directorate delivery. 40 suppliers have also been involved in the trial to date. The team are continuing to monitor the trial, with regular updates from contract managers and will use all lessons learned to prepare the project plan for full roll out of the system. The C&GM team will design and apply a suitable project management and governance framework to support PCS-T implementation. This will include</p>	<p>Estimated Date: 31/12/2020 Revised Date: 01/05/2021 No of Revisions 0</p>	<p>Annette Smith Gavin Brown Hugh Dunn Iain Strachan Layla Smith Michelle Vanhegan Mollie Kerr</p>

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Page 490				<p>additional suitable system testing, and training for service area contract managers who would be using the system to store and access contract documentation. As stated above, the team is already also working with public sector partners, to identify best practice to assist the successful roll out the contract management module. Commercial and Procurement Services are already considering the possible adoption of PCS-T as the Council's eProcurement system, bringing an end to end approach to procurement and management of contracts. This work is continuing, and the PCS-T Working Group which has been established within Commercial and Procurement Services will take forward both aspects. If it is decided to adopt PCS-T for the Council's actual procurement processes, and not just contract management, then it is noted that the actual implementation of that would take longer, as there would be a greater direct impact upon other Council services.</p>		

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
Page 491	<p>Asset Management Strategy and CAFM system 18/19</p> <p>RES1813 Asset Management Strategy and CAFM: Issue 3 - Property and Facilities Management Data Completeness; Accuracy; and Quality</p> <p>Stephen Moir, Executive Director of Resources</p>	High	<p>3.1 Ensuring Data Completeness, Accuracy, and Quality</p> <p>Started</p>	<p>Current CAFM users have access to the operational data they need in the system to perform their roles and are also updating the CAFM system with new data. Whilst the vision is to have all property data in CAFM, the volume of property data that could be captured and recorded is near infinite, therefore property data that will retained in CAFM has to be focused on the effort and cost to collect versus the value it provides. The CAFM Business Case includes requirement for a Data Quality Manager, who will be the responsible data steward for Property and Facilities Management (P&FM) data. Their role is not necessarily to collect the data but to ensure rigor and control over it. This will involve ensuring regular reviews of data within the system and ensuring that data is managed and maintained in line with the established CAFM data hierarchy and agreed Council information management policies and procedures. Sharing data steward responsibilities across services is problematic, as they hold responsibility and accountability for the data under their remit. It would be highly unlikely that a data steward from another service would want to take on the additional accountability of data from P&FM. We recommend that P&FM establish their own data steward. The CAFM Business Case includes the delivery of a Data Quality Strategy for P&FM. The objective of the data quality strategy is to attribute</p>	<p>Estimated Date: 31/03/2016</p> <p>Revised Date: 01/08/2022</p> <p>No of Revisions 1</p>	<p>Alan Chim Andrew Field Audrey Dutton Brendan Tate Gohar Khan Layla Smith Michelle Vanhegan Peter Watton</p>

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Page 492 178				risk and value to the data maintained in the system. Additionally: data change processes and procedures that capture data processing and management in CAFM will be designed and implemented. processes for reviewing data quality, for example, review of condition survey data run in tandem with review of property data every five years, will be designed and implemented. data validation controls within CAFM will be applied; and data quality audit controls for individual data fields available in CAFM will be applied, and audit reports run at an appropriate frequency to identify any significant changes to key data.		
	<p>Asset Management Strategy and CAFM system 18/19</p> <p>RES1813 Asset Management Strategy and CAFM: Issue 3 - Property and Facilities Management Data Completeness; Accuracy; and Quality</p> <p>Stephen Moir, Executive Director of Resources</p>	High	<p>3.2 Resolution of known data quality issues</p> <p>Started</p>	<p>A reconciliation of the two lists has been performed and there are no obvious discrepancies other than properties which are out with the scope of the survey team. The viability of establishing a referencing system for concessionary lets in the CAFM system will be explored. The volume and value of known concessionary lets across the Council Estate will form part of the Annual Investment Portfolio update which is reported to the Finance and Resources committee. There is an ongoing work stream looking at vacant and disposed properties and the systems updates required.</p>	<p style="text-align: center;">Estimated Date:31/03/2016 Revised Date:01/08/2022 No of Revisions: 2</p>	<p>Alan ChimAndrew FieldAudrey DuttonBrendan TateGohar KhanGraeme McGartlandLayla SmithMichelle VanheganPeter Watton</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
179	Budget Setting and Management RES 1903 Issue 2: Budget setting and management processes Stephen Moir, Executive Director of Resources	Medium	RES 1903 Issue 2.1: Budget setting and management processes and timetable Started	Guidance will be developed for budget setting and management as described in the recommendation above and issued to support the 2021/22 budget setting process.	Estimated Date: 31/12/2020 Revised Date: 01/05/2021 No of Revisions 0	Alison Henry Annette Smith Emma Baker Hugh Dunn John Connarty Layla Smith Michelle Vanhegan
180	Budget Setting and Management RES 1903 Issue 2: Budget setting and management processes Stephen Moir, Executive Director of Resources	Medium	RES 1903 Issue 2.2: Clarity of roles and responsibilities Started	The respective roles and responsibilities for first line budget managers and second line Finance and Change Strategy teams in relation to the annual budget setting and ongoing budget management process will be clearly defined in a procedure document and communicated with documentation reflecting guidance on this matter issued by CIPFA.	Estimated Date: 31/12/2020 Revised Date: 01/05/2021 No of Revisions 0	Alison Henry Annette Smith Emma Baker Hugh Dunn John Connarty Layla Smith Michelle Vanhegan
181	Budget Setting and Management RES 1903 Issue 3: Continuous improvement: Lessons learned and customer feedback. Stephen Moir, Executive Director of Resources	Medium	RES 1903 Issue 3.2: Finance customer and staff feedback surveys Started	Finance will conduct customer and staff feedback exercises every two years. A feedback process will be developed and implemented that is aligned with the lessons learned methodology as described in recommendation 3.1. In addition, feedback from each exercise will be consolidated and used to generate improvement actions. The survey results and improvement actions will be reported to service managers and staff.	Estimated Date: 31/12/2020 Revised Date: 01/05/2021 No of Revisions 0	Alison Henry Annette Smith Hugh Dunn John Connarty Layla Smith Michelle Vanhegan

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182 Page 494	Budget Setting and Management RES 1903 Issue 4: Training for budget managers Stephen Moir, Executive Director of Resources	Medium	RES 1903 Issue 4.1: Training for budget managers Started	Finance is not currently responsible for providing training for budget managers as this was centralised into, Learning and Development in 2016. However, following discussions earlier this year, it has been agreed that responsibility for budget managers training will transfer back from Learning and Development to Finance. Once these responsibilities have been transferred, Finance will establish a process to ensure that all first line budget managers have completed the two training modules with supporting checks performed to ensure that the training has been completed. Please note that the 'Evidence required to close' listed above is for indicative purposes only. During Internal Audit's review of any evidence submitted, further supporting evidence may be required to close the action. Evidence should be uploaded to TeamCentral as actions progress and no later than 10 working days before agreed implementation date. This will allow Internal Audit sufficient time to review the evidence.	Estimated Date: 30/09/2020 Revised Date: 31/12/2021 No of Revisions 1	Alison Henry Annette Smith Hugh Dunn John Connarty Layla Smith Michelle Vanhegan

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