

# Notice of meeting and agenda

## Finance and Resources Committee

**10.00am, Thursday, 21st January, 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 Any items under "Private Business" will not be published, although the decisions will be recorded in the minute.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

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Tel: 0131 529 4107 / 0131 529 3009

## **1. Order of business**

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

## **2. Declaration of interests**

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

## **3. Deputations**

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- 3.1** Urbanist Hotels
- 3.2** Royal High School Preservation Trust

## **4. Minutes**

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|------------|---|--------|
| <b>4.1</b> | Minute of the Finance and Resources Committee of 3 December 2020 - submitted for approval as a correct record | 7 - 18 |
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## **5. Forward Planning**

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| <b>5.2</b> | Finance and Resources Committee Rolling Actions Log | 29 - 36 |

## **6. Business Bulletin**

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## **7. Executive decisions**

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| <b>7.1</b> | Revenue Budget 2020/21: Month Eight Position – Report by the Executive Director of Resources                     | 41 - 58 |
| <b>7.2</b> | 2020-30 Capital Budget Strategy - 2020/21 Month Eight Monitoring – Report by the Executive Director of Resources | 59 - 68 |

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<b>7.5</b>	Change in Accounting Policy - Capitalisation of Interest Costs – Report by the Executive Director of Resources	83 - 86
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<b>7.8</b>	Award of a Contract for the Provision of Temporary Agency Staff, Permanent, Fixed Term Contract and Short-Term Supply Resources – Report by the Executive Director of Resources	109 - 116
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<b>7.10</b>	Extension of Contract – Consultancy Services for Edinburgh Tram York Place to Newhaven Project – Report by the Executive Director of Place	123 - 126
<b>7.11</b>	Contract Award for the Transfer of Waste to Disposal Outlets – Report by the Executive Director of Place	127 - 132
<b>7.12</b>	Housing Energy Projects Delivery Partner Framework Agreement 2021-2025 – Report by the Executive Director of Place	133 - 140
<b>7.13</b>	Bustracker - Additional Provision Due to Covid-19 – Report by the Executive Director of Place	141 - 146
<b>7.14</b>	Internal Audit: Overdue Findings and Key Performance Indicators at 30 October 2020 - referral from the Governance, Risk and Best	147 - 252

## 8. Routine decisions

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| 8.1 | Restaurant Unit, Assembly Rooms, 54 George Street, Edinburgh – Update on Proposed Lease – Report by the Executive Director of Resources | 253 - 258 |
| 8.2 | 5 Hamilton Place, Edinburgh – Proposed New Lease – Report by the Executive Director of Resources  | 259 - 262 |

## 9. Motions

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- 9.1 None.

## 10. Resolution to consider in private

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- 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 9 of Part 1 of Schedule 7A of the Act.

## 11. Private Reports

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- |      |  |           |
|------|--|-----------|
| 11.1 | Former Royal High School, Regent Road, Edinburgh - Options Paper – Report by the Executive Director of Resources and the Executive Director of Place | 263 - 270 |
| 11.2 | Council Commercial Property Portfolio - Update Report – Report by the Executive Director of Resources  | 271 - 276 |
| 11.3 | JC Decaux Contract – Report by the Executive Director of Resources   | 277 - 282 |

**Andrew Kerr**

Chief Executive

## **Committee Members**

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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**

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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**

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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](mailto:rachel.gentleman@edinburgh.gov.uk) / [sarah.stirling@edinburgh.gov.uk](mailto:sarah.stirling@edinburgh.gov.uk).

The agenda, minutes and public reports for this meeting and all the main Council committees can be viewed online by going to the Council's online [Committee Library](#).

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## **Webcasting of Council meetings**

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other connected processes). Thereafter, that information will continue to be held as part of the historical record in accordance with the paragraphs above.

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

## Minutes

### Finance and Resources Committee

**10.00am, Thursday 3 December 2020**

**Present:**

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

#### 1. Minutes

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**Decision**

- 1) To approve the minute of the Finance and Resources Committee of 29 October 2020 as a correct record.
- 2) To approve the minute of the Finance and Resources Committee of 5 November 2020 as a correct record.

#### 2. Work Programme

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The Finance and Resources Committee Work Programme as at 3 December 2020 was submitted.

**Decision**

- 1) To agree to provide an update on the joint procurement exercise at Fountainbridge.
- 2) To note the Work Programme.

(Reference – Work Programme of 3 December 2020, submitted.)

#### 3. Rolling Actions Log

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The Finance and Resources Committee Rolling Actions Log as at 3 December 2020 was submitted.

**Decision**

- 1) To agree to close the following actions:
  - Action 1 – Fleet Renewal Programme
  - Action 2(2) – Revenue Monitoring 2019/20 - Outturn Report
  - Action 4 – Revenue Budget 2020/23: 2020/21 Month Five Position and Framework Assumptions Update
  - Action 6 – Miscellaneous Debts – Write-Off (B Agenda)

- Action 7(2) – The City of Edinburgh Council Charitable Trusts – Report to Those Charged with Governance on the 2019/20 Audit
- Action 8(1) – Consultants Costs 2019/20
- Action 9 – 2019-20 Common Good Annual Performance Report

2) To otherwise note the remaining outstanding actions.

(Reference – Rolling Actions Log of 3 December 2020, submitted.)

#### **4. Business Bulletin**

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The Finance and Resources Committee Business Bulletin for December 2020 was submitted.

##### **Decision**

To note the Business Bulletin.

(Reference – Business Bulletin, 3 December 2020, submitted.)

#### **5. Revenue Budget 2020/21: Progress Update**

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On 29 October the Finance and Resources Committee considered an update on the Revenue Budget 2020/23. A further interim update was provided to the meeting of 3 December 2020 on the estimated expenditure and income impacts of the COVID-19 pandemic upon the Council and its Arm's-Length External Organisations (ALEOs) during 2020/21, alongside offsetting sources of confirmed or anticipated funding. This analysis indicated an increase in the residual gap from £5.1m to £6.8m since consideration of the previous report.

Representatives from the Council's ALEOs were in attendance to answer questions.

##### **Decision**

- 1) To note the increase in the projected year-end overspend from £5.1m to £6.8m, resulting in a further potential call on the Council's unallocated reserves.
- 2) To note that the expenditure and income projections set out within the report would continue to be subject to significant uncertainty and potential variation given current events.
- 3) To note the further updates on the development of an income compensation scheme and availability of potential financial flexibilities.
- 4) To note that a more detailed update, based on analysis of actual expenditure and income to the end of November and taking account, as appropriate, of other potential or confirmed sources of funding, would be presented to the Finance and Resources Committee's next meeting on 21 January 2021.
- 5) To note that in order to maintain alignment with the Council's wider Sustainability Programme, potential spend to save projects contributing towards a Green Recovery would now also be presented to the committee on 21 January 2021.



- 6) To agree to provide an update on the amount which had been spent of the £100k funding allocated to Marketing Edinburgh.

(References – Finance and Resources Committee, 29 October 2020 (item 5); report by the Executive Director of Resources, submitted.)

### **Declarations of interest**

Councillors Bruce and Dixon declared non-financial interests in the above item of business as Directors of Edinburgh Leisure.

## **6. Treasury Management: Mid-Term Report 2020/21**

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An update was provided on Treasury Management activity undertaken in the first half of 2020/21.

### **Decision**

- 1) To note the mid-term report on Treasury Management for 2020/21.
- 2) To refer the report to the City of Edinburgh Council for approval and subsequent remit by the City of Edinburgh Council to the Governance Risk and Best Value Committee for scrutiny.

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

## **7. Corporate Health and Safety Strategy and Plan 2020–2022**

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The unprecedented challenges from Covid-19 to Edinburgh's communities and Council services had led to all Directorates having to adapt and renew, creating new ways to deliver services efficiently in this current, high risk, environment.

The focus of the 2020–22 Health and Safety Strategy and Plan was to re-align the current Corporate Health and Safety arrangements to reflect upon, and support addressing these challenges within the Council, whilst maintaining the existing statutory health and safety offering.

### **Decision**

To approve the 2020-22 Council Health and Safety Strategy and Plan.

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

## **8. Award of Contract for an Employee Benefits Platform**

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Approval was sought to award the contract for an Employee Benefits Platform to SME HCI LIMITED (trading as Vivup), to commence on 21 December 2020, for a period of five years, for a value of up to £20m of salary sacrifice funds over the Contract term.

### **Decision**

- 1) To approve the award of a Contract for an Employee Benefits Platform to SME HCI LIMITED (trading as Vivup) for a period of five years commencing on 21 December 2020.
- 2) To approve a recommended award of up to £20m in value for salary sacrifice for the goods and services that employees chose over the full Contract term. This

would allow for a potential increase of up to 5% in employee numbers participating in salary sacrifice to take advantage of a wider range of benefits.

- 3) To note that there would be no cost, excepting additional resource to manage and administer, to the Council for set up or access to the Employee Benefits Platform.
- 4) To agree to provide a timetable for introducing further schemes into the Employee Benefits Platform.

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

## **9. Tron Kirk, Edinburgh**

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### **a) Deputation**

A written deputation was presented on behalf of Edinburgh World Heritage.

The deputation set out their requests for City of Edinburgh Council funding and their supporting argument, including their future plans for use of the Tron.

The deputation asked;

- For a reduction in rent to £1,000 a month.
- For a contribution of 10% of the building costs, estimated to be £500,000 - £600,000.
- For a commitment to explore various options to fund the capital works in the Old Town within the Roads Renewal programme.

### **b) Report by the Executive Director of Resources**

An update was provided on the Edinburgh World Heritage Trust (EWHT) proposals for the Tron Kirk. Details were included on the requirements for the Council to commit capital funding to the project.

### **Motion**

- 1) To note the contents of the report and the work that had been carried out by both officers and 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.
  - 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.
- moved by Councillor Munn, seconded by Councillor Griffiths

### **Amendment**

To instruct officers to forecast £560,000 towards the project and include it within the revised Capital Budget Strategy, when presented to Committee in January 2021.

- moved by Councillor Hutchison, seconded by Councillor Bruce

## **Voting**

For the motion - 8 votes

For the amendment - 3 votes

(For the motion – Councillors Booth, Corbett, Dixon, Griffiths, Munn, Frank Ross, Neil Ross and Watt.

For the amendment – Councillors Bruce, Hutchison and Johnston.)

## **Decision**

To approve the motion by Councillor Munn.

(References – Finance and Resources Committee of 5 March 2020 (item 42); report by the Executive Director of Resources, submitted.)

## **10. Workforce Dashboard – September 2020**

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A summary was provided of workforce metrics for the core and flexible workforce, absence, transformation/redeployment, risk, and performance, as detailed on the Finance and Resources Committee Workforce Dashboard, for the period of September 2020.

## **Decision**

- 1) To note the workforce information contained in the dashboard.
- 2) To agree to provide a comparison of last year's figure to the £457.5m salary pay bill in the report.
- 3) To agree to provide further analysis on the 546 acting up/seconded staff figure.

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

## **11. Queensferry Harbour Repairs**

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The current condition of Queensferry Harbour was highlighted and approval sought for allocation of a budget to undertake repairs to avoid further deterioration of the structure.

The cost of any repairs would be met from the Common Good Fund. Consultant Engineers had estimated costs of £0.298m to undertake urgent works and it was recommended that a budget of up to £0.5m would be made available from the Common Good Fund.

## **Decision**

- 1) To approve the repair work to be undertaken to avoid further deterioration of the structure of Queensferry Harbour and that a phased approach would be taken to the repairs.
- 2) To further approve that the cost of urgent repairs, with a budget of up to £0.5m, would be met from the Common Good Fund.

(References – Finance and Resources Committee of 5 November 2020 (item 4); report by the Executive Director of Resources, submitted.)

## **Declarations of interest**

Councillor Hutchison declared a non-financial interest in the above item of business as Vice-Convener of Hawes and Longcraig Pier Users Committee.

## **12. Award of Contract for the Treatment and Disposal of Bulky Waste**

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Approval was sought to award a contract for the treatment and disposal of bulky waste to Hamilton Waste and Recycling Services Limited. The contract would begin on 18 January 2021 for an initial period of three years, with options to extend for up to two further periods of 12 months each, at a total estimated net cost of £1,583,400.

### **Decision**

- 1) To approve the award of contract for the treatment and disposal of bulky waste.
- 2) To approve the contract terms to begin on 18 January 2021 for an initial period of three years, with the option to extend for up to two further periods of 12 months, at a total estimated net cost of £1,583,400.

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

## **13. Waiver Extension for Haulage of Waste to Disposal Outlets**

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Approval was sought for the Council to sell 89 homes held in the Telford NHT 2011 Limited Liability Partnership (LLP) to LAR Housing Trust, to be retained as affordable rented housing whilst ensuring that those tenants who were willing and able to purchase a home within the development were provided with an opportunity to do so.

### **Decision**

- 1) To note the current arrangements for the haulage of waste to disposal outlets and that the procurement of a new contract for this would be concluded shortly.
- 2) To approve an extension to the existing waiver to enable the procurement process to be concluded and for the appropriate handover of activities to new suppliers if appropriate. The terms of the extension are set out below:
  - i) If Transfer of Undertakings (Protection of Employment) Regulations (TUPE) applied, a 13-week extension from 1 February 2021 to 1 May 2021 would be required for the current waiver to enable the appropriate transfer activities to take place.
  - ii) If TUPE did not apply, an extension of four weeks would be required to conclude the award of contract to the existing suppliers.
- 3) To note that £65,000 of additional costs were incurred between March and October 2020 due to increased haulage requirements resulting from the effects of the Covid-19 pandemic.
- 4) To note the value of the 13-week extension of current waiver would be in the region of £315,000, while the value of a four week extension would be in the region of £142,000.

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

## **14. Contract Extensions for Edinburgh Employability Services**

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Approval was sought to extend the current Supported Employment and Complex Needs Employability Services contracts, via a waiver of Contract Standing Orders (CSOs), for a six month period from 1 April 2021 up until 30 September 2021, with the option to extend for up to a further six-month period if required from 1 October 2021 until 31 March 2022. This would allow sufficient time to consult with clients and providers to perform the review and to re-procure replacement services if required.

### **Decision**

- 1) To approve the extension of the Supported Employment and Complex Needs Service contracts, via a waiver of CSOs, for a six month period from 1 April 2021 until 30 September 2021, with the option to extend for up to a further six-month period if required from 1 October 2021 until 31 March 2022 at a total maximum value of £1,846,748.
- 2) To note that the Edinburgh Targeted and Integrated Employability Service (ETIES) was also under review and would be extended as per the current contract terms until 31 March 2022 with the option to terminate with six months' notice if a replacement service was required.

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

## **15. Contract Award for Managed Print Services**

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Approval was sought to award two contracts for Managed Print Services. The contracts would each last for a period of 5 years with the option to extend for 2 periods of up to 12 months. The total value of the contracts over 7 years was estimated to be £6,056,949.

### **Decision**

To approve the award of two contracts for Managed Print Services each for a period of five years with the option to extend for two periods of up to 12 months, at the sole discretion of the Council, as follows:

- 1) Lot 1b – "Multifunctional Devices and Associated Services" to Apogee Corporation Limited with an estimated seven-year value of £5,658,185.
- 2) Lot 2 – "Print Services" to Apogee Corporation Limited with an estimated seven year value of £398,764.

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

## **16. 65 Shore, Edinburgh – Proposed New Lease**

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Zak Hanif & Aytac Gul currently occupied 65 Shore, Edinburgh on a missive of let which would expire on 30 May 2021. Approval was sought to grant the tenant a 15 year lease from 31 May 2021 on the terms and conditions outlined in the report.

### **Decision**

To approve a 15 year to lease to Zak Hanif & Aytac Gul of premises at 65 Shore, 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.)

## **17. Gilmore Park, Fountainbridge, Edinburgh – Proposed Substation Lease**

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The proposed development of the Council owned land at Fountainbridge required a relocation of an existing substation. Approval was sought to grant a 146-year ground lease on land at Gilmore Park, Fountainbridge on the terms and conditions outlined in the report.

### **Decision**

To approve the 146-year ground lease to SPD Distribution Plc of land at Gilmore Park, Fountainbridge, 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.)

## **18. Summary Report on Property Transactions Concluded under Delegated Authority**

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A summary was provided of all lease agreements, etc. concluded in terms of the Council's 'Scheme of Delegation to Officers'. This delegated authority currently extended to the conclusion of all new leases of up to five years in length where the rental was no greater than £50,000 per annum and rent reviews where the rental was no greater than £50,000 per annum. The authority also included the sale of property which had been declared surplus to the requirements of the Council and sold on the open market to the highest bidder. Any transactions out with these parameters would be reported separately to Committee.

### **Decision**

- 1) To note that the 10 transactions detailed in the attached Appendix had been concluded in accordance with the terms of the Council's approved 'Scheme of Delegation to Officers'.
- 2) To agree to amend the ward details in Appendix 1 as follows: new leases 1 and 2 were within the Almond ward and the Meadows and Morningside ward should be updated to Morningside only.

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

## **19. Settlement of RE:FIT Saving Guarantee**

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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 8 and 9 Part 1 of Schedule 7(A) of the Act.

An update was provided on the settlement of the RE:FIT savings guarantee.

### **Decision**

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

(References – Act of Council (no. 9) of 28 April 2016; report by the Executive Director of Resources, submitted.)

## **20. Communities and Families Learning Estate – Project Contract Awards**

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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 12 Part 1 of Schedule 7(A) of the Act.

An update was provided on the Learning Estate projects where contracts could now be awarded or where contracts would be able to be awarded soon. Approval was sought in order to proceed with these projects in order to avoid any further delay to delivery beyond those already created by the Covid-19 pandemic.

### **Decision**

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

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

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by virtue of paragraph(s) 8, 9, 12 of Part 1 of Schedule 7A  
of the Local Government(Scotland) Act 1973.

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# Work Programme

## Finance and Resources Committee

21 January 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 <a href="mailto:katy.miller@edinburgh.gov.uk">katy.miller@edinburgh.gov.uk</a>	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 <a href="mailto:graeme.mcgartland@edinburgh.gov.uk">graeme.mcgartland@edinburgh.gov.uk</a>	TBC
3.	Revenue Monitoring – Council-wide	Quarterly Report		Executive Director of Resources Lead Officer: Hugh Dunn 0131 469 3150 <a href="mailto:hugh.dunn@edinburgh.gov.uk">hugh.dunn@edinburgh.gov.uk</a>	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 <a href="mailto:hugh.dunn@edinburgh.gov.uk">hugh.dunn@edinburgh.gov.uk</a>	January 2022
5.	Capital Monitoring – Council-wide	Quarterly Report		Executive Director of Resources Lead Officer: Hugh Dunn 0131 469 3150 <a href="mailto:hugh.dunn@edinburgh.gov.uk">hugh.dunn@edinburgh.gov.uk</a>	August 2021
6.	Resources Directorate - Revenue Budget Monitoring	Quarterly Report		Executive Director of Resources Lead Officer: Iain Shaw 0131 469 3117 <a href="mailto:iain.shaw@edinburgh.gov.uk">iain.shaw@edinburgh.gov.uk</a>	August 2021
7.	Chief Executive – Revenue Budget Monitoring	Quarterly Report		Executive Director of Resources Lead Officer: Iain Shaw 0131 469 3117 <a href="mailto:iain.shaw@edinburgh.gov.uk">iain.shaw@edinburgh.gov.uk</a>	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 <a href="mailto:nicola.harvey@edinburgh.gov.uk">nicola.harvey@edinburgh.gov.uk</a>	March 2021
9.	Contract Award and Procurement Programme	Six Monthly Report		Executive Director of Resources Lead Officer: Iain Strachan 0131 529 4930	March 2021

Item	Key decisions	Frequency	Wards affected	Director and Lead Officer	Expected Date
				<a href="mailto:iain.strachan@edinburgh.gov.uk">iain.strachan@edinburgh.gov.uk</a>	
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 <a href="mailto:hugh.dunn@edinburgh.gov.uk">hugh.dunn@edinburgh.gov.uk</a>	January 2022
11.	Housing Revenue Account Budget Strategy	Annual Report		Executive Director of Place Lead Officer: Elaine Scott 0131 529 2277 <a href="mailto:elaine.scott@edinburgh.gov.uk">elaine.scott@edinburgh.gov.uk</a>	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 <a href="mailto:hugh.dunn@edinburgh.gov.uk">hugh.dunn@edinburgh.gov.uk</a>	January 2022
13.	Annual Fraud Prevention and Detection	Annual Report		Executive Director of Resources Lead Officer: Nicola Harvey 0131 469 5016	October 2021

Item	Key decisions	Frequency	Wards affected	Director and Lead Officer	Expected Date
				<a href="mailto:nicola.harvey@edinburgh.gov.uk">nicola.harvey@edinburgh.gov.uk</a>	
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 <a href="mailto:hugh.dunn@edinburgh.gov.uk">hugh.dunn@edinburgh.gov.uk</a>	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 <a href="mailto:john.aghodeaka@edinburgh.gov.uk">john.aghodeaka@edinburgh.gov.uk</a>	November 2021
16.	2019/20 Common Good Annual Performance Report	Annual Report		Executive Director of Resources Lead Officer: John Aghodeaka 0131 469 5348 <a href="mailto:john.aghodeaka@edinburgh.gov.uk">john.aghodeaka@edinburgh.gov.uk</a>	November 2021
17.	Annual Treasury Management Strategy 2019/20	Annual Report		Executive Director of Resources Lead Officer: Innes Edwards 0131 469 6291 <a href="mailto:innes.edwards@edinburgh.gov.uk">innes.edwards@edinburgh.gov.uk</a>	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 <a href="mailto:innes.edwards@edinburgh.gov.uk">innes.edwards@edinburgh.gov.uk</a>	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 <a href="mailto:peter.watton@edinburgh.gov.uk">peter.watton@edinburgh.gov.uk</a>	May 2021
20.	Health and Safety Performance	Annual Report		Executive Director of Resources Lead Officer: Nick Smith 0131 529 4377 <a href="mailto:nick.smith@edinburgh.gov.uk">nick.smith@edinburgh.gov.uk</a>	March 2021
21.	Workforce Control Annual Report	Annual Report		Executive Director of Resources Lead Officer: Katy Miller 0131 469 5522 <a href="mailto:katy.miller@edinburgh.gov.uk">katy.miller@edinburgh.gov.uk</a>	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 <a href="mailto:iain.strachan@edinburgh.gov.uk">iain.strachan@edinburgh.gov.uk</a>	September 2021



## Finance and Resources Committee Upcoming Reports

## Appendix 1

Report Title	Directorate	Lead Officer
<b>February 2021</b>		
Council Business Plan and Budget 2021/26	CE/Resources	Hugh Dunn
Council Business Plan and Budget 2021/26 – Risks and Reserves	Resources	Hugh Dunn
Sustainable Capital Budget Strategy 2021/31	Resources	Hugh Dunn
Accounts Commission - Local Government in Scotland: Financial Overview	Resources	Hugh Dunn
Housing Revenue Account Budget Strategy	Place	Elaine Scott
Budget Insights 2020	CE	David Porteous
Corporate Parenting Action Plan – referral from the Education, Children and Families Committee	CF	Bernadette Oxley
<b>March 2021</b>		
Capital Strategy Annual Report	Resources	Hugh Dunn
Health & Safety Performance 2020	Resources	Nick Smith

Contract Awards and Procurement Programme - Jun-Dec 2020	Resources	Iain Strachan
Annual Report – Debt Write-Off	Resources	Nicola Harvey
Miscellaneous Debts Write Off - 6 Monthly Operational Update	Resources	Nicola Harvey
Depots Strategy – Update Report	Resources/Place	Peter Watton/Gareth Barwell
Workforce Dashboard	Resources	Katy Miller
St Crispin's School Proposed Disposal	Resources	Graeme McGartland
Tron Kirk	Resources	Graeme McGartland
Portobello Town Hall – Update	Resources	Peter Watton
65 Niddrie Mains Terrace – Proposed Lease of Residential Units	Resources	Graeme McGartland
20 West Shore Road – Proposed Acquisition of Ground Lease Interest	Resources	Graeme McGartland
Longstone Depot, Murrayburn Road – Proposed Transfer to Housing Revenue Account	Resources	Graeme McGartland
16 Canning Street Lane, Edinburgh – Proposed Lease Extension	Resources	Iain Lamont
Unit 3, Phase 1, Clocktower Industrial Estate, South Gyle Crescent, Edinburgh – Proposed Lease Extension	Resources	Iain Lamont

Award Recommendation Report in respect of Supply and Distribution of Janitorial Products	Resources	David Latimer
Acquisition of Liberton Hospital	Place	Tricia Hill
Award of Contract for City Centre West to East Cycle Link and Street Improvements Project Construction	Place	Rurighd McMeddes
Contract Award Recommendations Report in respect of 'Granton Station Refurbishment'	Place	David Givan
Award of Garden Waste Contract	Place	Lesley Sugden
North Cairntow Contract Award	Place	Willie Gilhooley
Housing Property Repairs and Maintenance Procurement	Place	Carol Reid
Waiver Report for the Short Break Respite Service (Gilmerton Road)	CF	David Hoy

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# Rolling Actions Log

## Finance and Resources Committee

21 January 2021

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
1	24.09.20	<a href="#">Revenue Budget 2020/21 – Progress Update</a>	Notes up to £2m in Spend to Save investment which could be available to support Green Recovery and therefore requests costed proposals which meet the criteria for Spend to Save, within two cycles, taking into account suggestions put forward in budget motions in February 2020, the first report of the Edinburgh Climate Commission, the Sustainability programme and the Adaptation and	Executive Director of Resources	January 2021	January 2021	<b>Recommended for Closure</b> – Costed proposals presented to the meeting of the Finance and Resources Committee on 21 January 2021.

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
			Renewal programme update for the next Policy and Sustainability meeting on 6 October.				
2	29.10.20	<a href="#">Homelessness Services – Use of Temporary Accommodation</a>	To agree to discuss with Planning Enforcement the option of directly contacting holiday let owners.	Executive Director for Communities and Families			<p><b>Recommended for Closure</b></p> <p>Discussions took place with Planning Enforcement regarding directly contacting holiday let owners, they confirmed that there is no Council wide list of Air BNB properties, information is only held on properties subject to an enforcement investigation. In 2019, an enforcement notice was served in 37 cases, we would need to wait until after enforcement cases conclude before any contact could be</p>

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
							<p>made with the property owners. These will be available to view on the Planning Portal and Planning Enforcement are looking at whether this information could be accessed by others to use for promoting the PSL scheme.</p> <p>Contacting those on the list received from Andy Whiteman MSP and using the map provided to identify property owners was considered and it was noted that the map does not provide exact addresses so would not be viable and the Planning Committee rejected using this information due to the cost of progressing making contact.</p>

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
3	05.11.20	<a href="#">The City of Edinburgh Council Charitable Trusts – Report to Those Charged with Governance on the 2019/20 Audit</a>	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		<b>Update December 2020</b>  An update is provided in the Business Bulletin for the December meeting of Committee.
			2) To agree to consider potential further reductions to the list of the Council's Charitable Trusts.	Executive Director of Resources	November 2020	November 2020	<b>Closed on 3 December 2020</b> – Details on this were included in the briefing of additional information shared with Committee Members on the 24 <sup>th</sup> November 2020.



No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
			3) To agree to provide a briefing with all responses to date on Lauriston Castle.	Executive Director of Resources	January 2021	January 2021	<b>Recommended for Closure</b> – Briefing note circulated on 15 January 2021
4	05.11.20	<a href="#">Consultants Costs 2019/20</a>	To agree to provide further context around the use of consultants.	Executive Director of Resources	November 2021		<b>Update December 2020</b>  This information will be included in the next annual report.
5	03.12.20	<a href="#">Work Programme</a>	To agree to provide an update on the joint procurement exercise at Fountainbridge.	Executive Director of Place			<b>Recommended for Closure</b> – update circulated on 8 December 2020
6	03.12.20	<a href="#">Revenue Budget 2020/21: Progress Update</a>	To agree to provide an update on the amount which had been spent of the £100k funding	Executive Director of Resources	March 2021		

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
			allocated to Marketing Edinburgh.				
7	03.12.20	<a href="#">Award of Contract for an Employee Benefits Platform</a>	To agree to provide a timetable for introducing further schemes into the Employee Benefits Platform.	Executive Director of Resources			<b>Recommended for Closure</b>  Details are provided in the Business Bulletin for the January 2021 meeting of Committee.
8	03.12.20	<a href="#">Tron Kirk, Edinburgh</a>	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	March 2021		Report scheduled for March committee
9	03.12.20	<a href="#">Workforce Dashboard – September 2020</a>	1) To agree to provide a comparison of last year's figure to the £457.5m	Executive Director of Resources	January 2021		<b>Recommended for Closure</b> – Briefing note circulated 12 January 2021

No	Date	Report Title	Action	Action Owner	Expected completion date	Actual completion date	Comments
			salary pay bill in the report.				
			2) To agree to provide further analysis on the 546 acting up/seconded staff figure.	Executive Director of Resources	January 2021		<b>Recommended for Closure</b> – Briefing note circulated 12 January 2021
10	03.12.20	<a href="#">Summary Report on Property Transactions Concluded under Delegated Authority</a>	To agree to amend the ward details in Appendix 1 as follows: new leases 1 and 2 were within the Almond ward and the Meadows and Morningside ward should be updated to Morningside only.	Executive Director of Place			<b>Recommended for Closure</b> – Updated appendix circulated on 8 December 2020

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# Business Bulletin

## Finance and Resources Committee

**10.00 a.m., Thursday, 21 January 2021**

Via Microsoft Teams

# Finance and Resources Committee

Convener:	Members:	Contact:
<p>Convener Councillor Rob Munn</p>  <p>Vice-Convener Councillor Joan Griffiths</p> 	<p>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>Rachel Gentleman Committee Services <a href="mailto:rachel.gentleman@edinburgh.gov.uk">rachel.gentleman@edinburgh.gov.uk</a> 0131 529 4107</p> <p>Sarah Stirling Committee Services <a href="mailto:sarah.stirling@edinburgh.gov.uk">sarah.stirling@edinburgh.gov.uk</a> 0131 529 3009</p>

Recent News	Background	Contact
<p><b><u>Employee Benefits Platform</u></b></p> <p>The award and implementation of a new employee Benefits Platform agreed at Finance &amp; Resources Committee 3<sup>rd</sup> December 2020 will be phased in over the next 12 months.</p> <p>This will initially start with the employee Discount Scheme, with the following five subsequent schemes phased in throughout 2021, commencing in January:</p> <ul style="list-style-type: none"> <li>• Cycle to Work Scheme;</li> <li>• Green Car Scheme;</li> <li>• Shared Cost Additional Voluntary Contributions (SCAVC's);</li> <li>• Discounted Gym Membership Scheme; and,</li> <li>• Technology and Smartphone Discount Scheme.</li> </ul> <p>Additional exploratory work will commence in the first half of 2021 in relation to potential employee discounts with other providers such as Lothian Buses and conversations have started with Just Eat Bikes too. In the second half of 2021 we will also explore options for Long Service Awards, Employee recognition and to renew or replace our existing Employee Assistance Programme (EAP).</p>		<p>Paul Dickson, Employee Relations Consultant, Human Resources Division. Email: <a href="mailto:Paul.Dickson@edinburgh.gov.uk">Paul.Dickson@edinburgh.gov.uk</a> Tel: 0131 529 5736</p>

#### **Forthcoming activities:**

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## Finance and Resources Committee

10.00am, Thursday, 21 January 2021

### Revenue Budget 2020/21: month eight position

Executive/routine Wards Council Commitments	Executive All
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#### 1. Recommendations

- 1.1 Members of the Finance and Resources Committee are recommended to:
  - 1.1.1 note that, following confirmation of the Council's provisional funding allocation through the income compensation scheme, a balanced overall position is now forecast, albeit this remains dependent upon a significant contribution from its earmarked reserves;
  - 1.1.2 note, nonetheless, the potential for further expenditure pressures in excess of the current risk contingency of £3m to emerge during the remainder of the year given uncertainty over the duration of current tightened COVID-19 related restrictions and thus a continuing need to identify further in-year Directorate-specific and/or corporate finance savings;
  - 1.1.3 note that, in light of the above, updates will continue to be provided to members of the Committee during the remainder of the year;
  - 1.1.4 note that estimates of the recurring impacts of the pandemic, taking appropriate account of any additional funding contained within the Local Government Finance Settlement and available financial flexibilities, will require to be considered in the development of subsequent years' budgets; and,
  - 1.1.5 refer this report to the Governance, Risk and Best Value Committee for scrutiny as part of its work programme.

**Stephen S. Moir**  
Executive Director of Resources

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

## Revenue Budget 2020/21: month eight position

### 2. Executive Summary

- 2.1 The report provides a further update on the estimated expenditure and income impacts of the COVID-19 pandemic upon the Council and its Arm's-Length External Organisations (ALEOs) during 2020/21, alongside offsetting sources of confirmed or anticipated funding, based on analysis of income and expenditure for the period to the end of October 2020. Following confirmation of the Council's provisional funding allocation through the income compensation scheme, a balanced overall position is now forecast as indicated below:

<b>Additional net expenditure pressures:</b>	<b>£m</b>	<b>£m</b>
Estimated COVID-19 specific expenditure and income (including risk contingency)		82.2
Net residual pressures/anticipated shortfalls in savings delivery		2.3
		<b>84.5</b>
<b>Available funding:</b>		
Assumed COVID-19 related funding	(44.5)	
2020/21 budget - unallocated additional monies	(4.8)	
Use of earmarked reserves	(12.1)	
Further timing-related and corporate savings	(23.1)	
	<b>(84.5)</b>	
<b>Remaining shortfall</b>		<b>0.0</b>

- 2.2 While this improved position is clearly to be welcomed, its achievement remains dependent upon a significant contribution from the Council's earmarked reserves. There is, in addition, the potential for further expenditure pressures in excess of the current risk contingency of £3m to emerge during the remainder of the year given uncertainty over the duration of current tightened COVID-19 related restrictions and thus a continuing need to identify further in-year Directorate-specific and/or corporate savings.

### 3. Background

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- 3.1 On 3 December 2020, members of the Committee considered the latest update on the Council's 2020/21 revenue budget, indicating a remaining estimated shortfall of £6.8m between net cost pressures across the Council and its ALEOs and confirmed or anticipated sources of funding. These net pressures are primarily attributable to the impact of the on-going COVID-19 pandemic upon the Council and its ALEOs' activities, reflecting both additional expenditure requirements and, in particular, reductions in income.

### 4. Main report

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#### Changes in net COVID-related expenditure pressures – Council

- 4.1 As in previous months' reports, **Appendix 1** sets out the principal estimated expenditure and income impacts of the pandemic on the Council's budget. In overall terms, this analysis shows a slight increase of £0.5m (to £58.2m) relative to the position reported to the Committee's previous meeting on 3 December, with explanations provided for material movements in the intervening period. The majority of this movement is attributable to increases in expenditure, based on updated analysis in the areas concerned. While headline net costs have increased slightly, those linked to free school meal payments and business and other grant-related administration are offset by the receipt of additional income, meaning that the underlying position is essentially unchanged.
- 4.2 As recent events have shown, however, the position remains fluid, particularly following the imposition of lockdown restrictions across the entire Scottish mainland for a period until at least the end of January with the potential to continue well beyond that point. In view of these tightened restrictions, in recent weeks the Scottish Government has significantly expanded the range of business and other grant support schemes available. Although most are being administered through local government, in general these schemes are predicated on the provision of additional support to affected organisations and individuals and thus do not change the Council's overall funding gap.
- 4.3 While a number of the projections in Appendix 1 take explicit account of expected on-going disruption to service provision, a general risk contingency of £3m continues to be incorporated within the overall forecast. This reflects, for example, the potential for further reductions in income from parking<sup>1</sup>, commercial property rentals, cultural venues and planning/building standards fees over and above current assumptions. Depending on the duration and nature of these restrictions, however, there is a risk that this sum may be insufficient.

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<sup>1</sup> Since the Committee's last meeting on 3 December, overall parking income levels have continued to show significant reductions on the equivalent figures for 2019/20, averaging a 25% decrease in the eight weeks to 20 December. Income figures for the period covered by Level 4 and/or full lockdown restrictions show further reductions averaging 52%, the extent and duration of which remains uncertain at this stage.

## **Changes in net COVID-related expenditure pressures – Arm's-Length External Organisations (ALEOs)**

- 4.4 The revenue budget update report considered at the Committee's meeting on 3 December provided a detailed update on the impact of the pandemic on the financial standing of the Council's ALEOs. The report set out anticipated cumulative impacts in the period to March 2021 totalling £23.5m, comprising the loss of successive years' Lothian Buses dividend (£12m), assumed unpaid Council invoices by Edinburgh Trams (£6m) and additional required support for Edinburgh Leisure (£4m). In addition, a £1.5m general contingency was maintained to reflect remaining uncertainty over the period from January to March, in particular the potential for additional required financial support in the event of further tightening of local or national restrictions.

### **Edinburgh Leisure**

- 4.5 With the caveat that the position remains subject to material change depending upon the extent and duration of current restrictions, the outcome of continuing discussions around the level of business interruption insurance settlement and eligibility for, and use of, continuing furlough support, a further £1m reduction in the potential in-year call on the Council (to £3m) is reflected within the updated forecast.
- 4.6 An initial £1m insurance settlement payment was received on 24 November 2020, with an expectation of a further payment of up to £1.5m based on the policy's coverage. The assumed level of support for the remainder of the year does, however, reflect the potential for some additional required Council funding based on experience during the early months of the pandemic, representing the net costs of operation after taking into account significantly-reduced income and the level of support available through the Coronavirus Job Retention Scheme following its extension until April 2021.

### **Edinburgh Trams**

- 4.7 On 23 December 2020, following detailed discussions with the respective operators, the Scottish Government confirmed the provision of a further £8m of emergency funding support for Glasgow Subway and Edinburgh Trams in recognition of the on-going financial impacts of the pandemic, extending provision of this support until the end of March 2021. This additional funding increases Edinburgh Trams' cumulative support to up to £8.8m for the period from July 2020 to March 2021.
- 4.8 The support reflects the company's vital role in ensuring continuing transport provision for essential and key workers, those who cannot work from home and those who need to travel to school or study during the pandemic (as well as the subsequent sustainable economic recovery) whilst recognising the financial impacts of reduced capacity due to continuing travel restrictions and physical distancing. Confirmation of this additional support has allowed the Council to revise downwards its level of assumed in-year financial support by £1.5m. In addition to the £1m reduction for Edinburgh Leisure noted above, this results in a revised overall ALEO-specific lost income, or required support, total of £21m.

### **Approved savings/management of residual pressures**

- 4.9 Executive Directors continue to develop relevant implementation plans to deliver the savings measures required to mitigate residual pressures and savings shortfalls within their respective service areas, with a balanced position being projected for both the Resources Directorate and Chief Executive's Service. Opportunities for any further savings across a number of corporate budgets are also being examined to mitigate the net call on the Council's earmarked reserves.
- 4.10 As of month eight, net residual pressures within core activity continue to be projected within the Communities and Families (£1.2m) and Place (£0.5m) Directorates. While efforts to identify further mitigating measures are on-going, given the comparatively late stage of the year, there remains a risk of overspend and as such the sums concerned are reflected in the Council's projected overall outturn.

### **Independent review of Council's whistleblowing and organisational culture**

- 4.11 The Council is continuing to progress an independent inquiry into (a) matters connected to the death of a Council employee and (b) our whistleblowing and organisational culture.
- 4.12 Extensive call for evidence communications have been issued and the independent Chair, Susanne Tanner QC, continues to lead and direct the work that Pinsent Masons are undertaking in respect of the inquiry. The terms of reference regarding the independent inquiry are located on [the public inquiry webpage](#).
- 4.13 The cumulative in-year costs for the inquiry to 31 December 2020 are £243,246.

### **Costs of employee release**

- 4.14 At the meeting of Council on 15 October, members agreed to release funding of up to £14.8m from the Workforce Transformation reserve to facilitate a targeted programme of Voluntary Early Release Arrangements (VERA) for senior managers. An opportunity to express interest was subsequently made available to all relevant staff and Heads of Service.
- 4.15 All 47 applications received have now been assessed, with 21 offers made, 18 of which have been accepted. Given the associated timing of departure, however, no related staff savings are now being assumed in 2020/21 but with full-year savings of around £1.5m anticipated in 2021/22.

### **Coronavirus Job Retention Scheme (CJRS)**

- 4.16 On 5 November, the Chancellor of the Exchequer confirmed a UK-wide extension of the CJRS until March 2021, with employers able to claim 80% of an employee's usual salary for hours not worked, up to a maximum of £2,500 per month, for the months of November, December and January. On 17 December, operation of the scheme was then extended until the end of April.
- 4.17 For the period from June until December inclusive, claims to HMRC totalling £0.712m have been submitted, with a further £0.140m now anticipated over the

remainder of the year in respect of staff working in the Council's outdoor centres. This revised sum of £0.850m is included within the overall monitoring projection.

### **Homelessness funding**

- 4.18 Members of the Committee have previously been advised of work underway to seek financial support for additional homelessness-related costs incurred by the Council during the pandemic given the corresponding inclusion, and subsequent potential funding through Mobilisation Plans, of relevant costs for other councils where these services fall within the remit of the relevant Integration Joint Board.
- 4.19 The Head of Finance has raised this issue, both through COSLA and directly with the Scottish Government, to ensure that a consistent approach is adopted in funding for homelessness services, rather than being dependent on the body incurring the expenditure. No formal response has, however, been received to date.

### **Financial flexibilities**

- 4.20 Members will be aware from previous updates that Council officers, through COSLA, have been working closely with the Scottish Government to explore a range of potential financial “flexibilities”, to be used as appropriate to individual authorities’ own circumstances, that would have the effect of spreading the cost impacts of the pandemic over a longer period.
- 4.21 Following consultation with the UK Government, three specific measures are able to be applied at this stage to meet COVID-related expenditure:
- (i) utilising capital receipts received in-year in either 2020/21 or 2021/22;
  - (ii) a Loans Fund principal repayment “holiday” which would permit a council to defer repayments in either 2020/21 or 2021/22, but with the amount of this repayment added to the term of the remaining loans fund advance; and
  - (iii) repaying, in accounting terms, the debt element of service concession arrangements within PPP contracts over the life of the asset rather than the current mechanism based on the life of the contract<sup>2</sup>.
- 4.22 Since the Committee’s previous meeting, relevant discussions have continued, through Directors of Finance, with the Scottish Government on the practical implementation of these schemes and required changes to accompanying regulations. Based on the Council’s understanding of relevant guidance, at this stage it is intended to utilise the Loans Fund principal repayment flexibility in 2021/22, thereby creating a reserve equal to the amount of the previously-planned in-year repayment and using this to offset COVID-related pressures in each of the next three financial years. Additional details will be included in the revenue budget framework report to be considered by the Committee on 2 February.

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<sup>2</sup> This arrangement would, however, not affect the level of contractual payments made which would remain in line with original agreements.

- 4.23 Should it be permitted, however, it remains officers' preference to utilise the PPP-based flexibility, adopting an annuity basis of repayment, as this would optimise the level of retrospective benefit and deliver savings to the revenue account from 2021/22 onwards, whilst deferring the additional liability relative to current arrangements fully beyond the period of the PPP1 and PPP2 contracts.
- 4.24 On 23 July 2020, members of the Policy and Sustainability Committee agreed a motion seeking a two-year waiver on the interest element of councils' existing Public Works Loan Board (PWLB) borrowing and the Council Leader subsequently wrote to the Chancellor on this basis. A response to this letter, reiterating previously-announced direct and indirect financial support provided in light of the pandemic, has now been received and is included as **Appendix 2**.

### **Income loss compensation scheme**

- 4.25 Members of the Committee have received a number of previous updates on the development of an income loss compensation scheme for councils across Scotland. While the precise quantum of funding available is dependent upon Barnett Consequentials arising from sums paid out as part of the equivalent English scheme, at this stage these are estimated at £90m. These sums form part of total additional Barnett Consequentials for Local Government in Scotland to date of some £944 million, most of which have now been allocated amongst authorities<sup>3</sup>. The majority of this funding, whilst very welcome, is however directed to support particular client groups or provided for specific purposes and thus not available to offset against in-year pressures being faced by service areas.
- 4.26 At their meeting on 11 December, COSLA Leaders agreed that the £90m of available funds would be allocated according to councils' actual in-scope income losses (including relevant ALEOs) as verified by Directors of Finance over the period from April to September inclusive. These losses totalled £227m, of which Edinburgh's share was some £45.3m; together with the equivalent income shortfalls in Glasgow, the two main cities accounted for 44% of the entire Scotland-wide total.
- 4.27 Previous reports indicated the potential for a significant upside in the Council's allocation relative to more generic needs-based distributions although, in the absence of a detailed knowledge of other authorities' submissions, it was not possible to quantify this. Based on the totals above, the Council's provisional share of the £90m is £17.960m, some £10.922m higher than was assumed in previous reports based on the Council's share of general-purpose in-year funding streams. Given continuing pandemic-related restrictions in place across the UK, income losses incurred by councils in England over the second half of the financial year are expected to give rise to additional Barnett Consequentials and further details will therefore be sought via Directors of Finance in due course to guide the distribution of any relevant funding received.

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<sup>3</sup> The remaining sums where distribution is awaited are £25m of additional Council Tax Reduction Scheme/Social Security support and £30m of ring-fenced Education Recovery funding, access to each of which is subject to demonstrated need.

## Other funding

- 4.28 As noted earlier in the report, an increasing range of business grant funds has been made available in recent weeks, including those in respect of the newly self-employed, the hospitality sector and taxi and private hire drivers, building on the earlier Strategic Framework Fund for businesses required to close, or reduce their opening hours, by law. Councils have also agreed to administer a number of other schemes, including those for individuals at risk of financial exclusion, discretionary business support and £100 Christmas hardship payments for those children and young people entitled to free school meals.
- 4.29 In recognition of the significant additional administration involved in the development of relevant guidance, payment processes, monitoring and subsequent reporting of these schemes, the Scottish Government has indicated that £12m will be made available to address these costs and the Council's projections therefore include a proportionate share of these resources. The Scottish Government has also confirmed that it will make available some £9m of additional resources to recognise pandemic-related pressures within the children's residential care sector, with the Council's anticipated allocation of around £0.65m partially offsetting relevant expenditure pressures noted in Appendix 1.
- 4.30 Given the increasing complexity of the funding landscape, **Appendix 3** presents a simplified list of expected external funding sources where these directly impact upon the Council's residual funding gap, now totalling £44.5m.

## Edinburgh Integration Joint Board (EIJB)

- 4.31 As of month eight and based on the current assessment of approved savings delivery, an overspend of up to £7.7m for Council-delegated services is forecast, primarily comprising pressures in external services, including residential and nursing purchased care, care and support, care at home and direct payments. These pressures are, in turn, largely attributable to delays in planned savings delivery and increased demand due to the operational impacts of the pandemic. These sums do not include provider uplifts of £3.4m to allow continuing payment of at least the Living Wage Foundation hourly rate in 2020/21, offsetting measures for which remain to be confirmed.
- 4.32 Work also continues to refine and evidence the cost estimates contained within the Edinburgh Health and Social Care Partnership's Local Mobilisation Plan (LMP), with total funding of £29.4m confirmed to date for the four HSCPs covering the NHS Lothian region. At this stage, it be being assumed that all COVID-related costs will be funded by this means and, as such, give the potential for a balanced overall position to be achieved for the year.

## Overall position

- 4.33 Taking into account the changes outlined in the preceding sections, a balanced overall position is now forecast as shown in detail in **Appendix 4** and in summarised form in **Appendix 5**. This position does not, however, include any net cost associated with schools re-opening (currently anticipated to be contained within the overall level of additional, or redirected, funding provided) or the EIJB.



There is, in addition, the potential for further expenditure pressures in excess of the current risk contingency of £3m to emerge during the remainder of the year given uncertainty over the duration of current tightened COVID-19 related restrictions and thus a continuing need to identify further in-year Directorate-specific and/or corporate savings.

- 4.34 While this improved position is clearly to be welcomed, it is important to emphasise that its achievement remains dependent upon a significant contribution from the Council's earmarked reserves. Even after taking account of the additional funding relative to previous estimates anticipated to be received through the income loss compensation scheme, only around half of the net additional in-year costs are being offset by the provision of additional external funding, with some £40m of the overall resulting shortfall being met through a combination of corporate savings, unallocated funding and use of earmarked reserves.
- 4.35 Reprioritisation and realignment of the Council's reserves and consideration of available financial flexibilities to spread the on-going impacts of the pandemic over a longer period will therefore form a key element of the approved 2021/22 budget, further details of which will be included in the budget framework report to be considered at the Committee's meeting on 2 February.

## **5. Next Steps**

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- 5.1 The cost and income impacts of the coronavirus pandemic will continue to be actively tracked and refined as additional clarity is received on the timing and nature of current restrictions. These estimates will be shared with COSLA and form part of on-going liaison and negotiation with the Scottish Government around the provision of financial flexibilities and, in the case of reductions in income, the income loss compensation scheme.
- 5.2 Executive Directors have brought forward measures to offset the majority of savings delivery shortfalls and residual service pressures within their respective areas of responsibility. At this stage, however, shortfalls of £1.2m (Communities and Families) and £0.5m (Place) remain and the development of corresponding sustainable actions is required both to reduce the in-year call on the Council's earmarked reserves and enhance the sustainability of the budget framework.
- 5.3 While a broad routemap for the recovery phase has been set out by the Scottish Government, the speed and nature of this process (including the potential for further lockdowns) remains, by its nature, unclear. A slower recovery is, however, likely to add further to the funding gap due to continuing income losses for a range of Council services and, in particular, its ALEOs.

## 6. Financial impact

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- 6.1 The report notes a range of significant expenditure pressures, both in respect of Council services and impacts on the activities of the Council's ALEOs. While a balanced in-year position is now being forecast, the financial impacts of the pandemic are expected to continue at least into the medium term and the revenue budget framework report to be considered on 2 February therefore seeks to acknowledge these pressures and the knock-on impacts on the delivery of previously-approved savings underpinning the three-year balanced budget approved in February 2020.

## 7. Stakeholder/Community Impact

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- 7.1 The scale and coverage of the impacts linked to the pandemic will require extensive and continuing engagement with key stakeholders as the city enters the recovery phase.

## 8. Background reading/external references

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- 8.1 [Revenue Budget 2020/21: progress update](#), Finance and Resources Committee, 3 December 2020
- 8.2 [Revenue Budget 2020/23: 2020/21 month five position and framework assumptions update](#), Finance and Resources Committee, 29 October 2020
- 8.3 [Finance Update](#), Edinburgh Integration Joint Board, 27 October 2020
- 8.4 [Revenue Budget 2020/21 – progress update](#), Finance and Resources Committee, 24 September 2020
- 8.5 [Edinburgh Leisure – Request for Additional Funding Support, 2020/21](#), Finance and Resources Committee, 24 September 2020
- 8.6 [Revenue Budget 2020/21 – period three position](#), Finance and Resources Committee, 27 August 2020
- 8.7 [Revenue Monitoring 2019/20 – outturn report](#), Finance and Resources Committee, 27 August 2020
- 8.8 [Finance Update](#), Edinburgh Integration Joint Board, 24 August 2020
- 8.9 [Fair Work and the Living Wage in Adult Social Care](#), Edinburgh Integration Joint Board, 24 August 2020

## 9. Appendices

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- 9.1 Principal additional expenditure and reduced income impacts of COVID-19 pandemic – Council
- 9.2 Response from the Chief Secretary to the Treasury on Council's request for a two-year waiver on the interest element of existing PWLB borrowing
- 9.3 External funding confirmed to date excluding non-Health and Social Care services and schools re-opening
- 9.4 Revenue Budget Update, 2020/21 - estimated position (detailed)
- 9.5 Revenue Budget Update, 2020/21 - estimated position (summarised)

## Principal additional expenditure and reduced income impacts of COVID-19 pandemic - Council

## Appendix 1

These estimates do not include costs associated with the Health and Social Care Mobilisation Plan, nor those directly linked to schools re-opening, commentary on which is contained within the main report.

		Estimate	Increase/	Revised
		F&R 3 Dec	(decrease)	estimate
Service Area	Impact			F&R 21 Jan
		£m	£m	£m
Increases in expenditure				
Homelessness Services	Additional temporary accommodation costs required to observe social distancing. It is anticipated that a combination of the provision of additional accommodation for those rough sleeping, those with no recourse to public funds and a wider lack of move-on or settled accommodation will result in a gross in-year pressure of £9.3m. A £0.3m food funding contribution has now been secured, however, for homeless clients, reducing the net pressure to £9.0m. This pressure may reduce further depending on demand and eligibility for support through other existing and anticipated grant funding streams.	9.015	0.000	9.015
School meals/community food advice and distribution	Cost represents payment for children eligible for free school meals (FSM) which, following the receipt of additional ringfenced Scottish Government funding, was in place until mid-August. It also includes provision for income support measures and food distribution to vulnerable and/or at-risk groups (including those self-isolating as part of the Test and Protect scheme), ringfenced funding for which was also secured until the end of September. The Scottish Government has subsequently confirmed funding for continuing FSM provision over the October, Christmas/New Year, February and Easter holidays and the associated cost in 2020/21 of £0.385m is reflected in the updated projection. Following the recently-announced funding package to support those at financial risk over the pandemic, a further allocation of around £0.300m will also be made available for wider community-based food support.	3.240	0.385	3.625
Waste and Cleansing	Additional refuse collection vehicles, fuel, external contractors, PPE, etc. Projection also reflects agency staffing and overtime expenditure linked to the reopening of Community Recycling Centres and for providing wider absence cover, as well as a reduction in income from sale of recyclates, based on depressed state of market. The January update also incorporates the financial impacts of greater-than-normal waste tonnages collected in the year to date and necessarily-reduced enforcement activity.	1.952	0.743	2.695
Children's Services	Including additional agency, locum and overtime to cover internal staff absences; additional costs from external providers and/or need to identify alternative accommodation if children need to isolate; costs of additional placements due to illness and self-isolation; and emergency respite for children with disabilities. Projections are based on actual additional costs in Young People's Centres and Secure Units. In recognition of these pressures, the Scottish Government has made available £9m of additional resource for residential and secure young people's care, with the Council's anticipated allocation of this sum around £0.65m; this sum is included within the funding sources analysis in Appendix 3.	1.295	0.000	1.295
Resources - Customer	Represents additional staffing (including overtime) for benefit claim and business grants processing and vulnerable/shielding support customer contact. The Scottish Government has thus far made available £5m, with the potential for a further £7m, in acknowledgement of councils' vital role in administering these schemes; the estimated funding allocation for Edinburgh is similarly included in Appendix 3.	0.691	0.062	0.753
Public conveniences	Limited, phased reopening in areas of high footfall, especially in parks and at the seafront, as approved by the Policy and Sustainability Committee on 9 July. Projection reflects additional costs of full-year opening as outlined in report to Policy and Sustainability Committee on 6 October.	0.248	0.000	0.248
Street lighting	Increased energy and prudential borrowing costs due to delay in roll-out of LED programme.	0.231	0.000	0.231
Libraries	Following the decision taken at the Policy and Sustainability Committee on 10 November to allow for the safe re-opening and operation of further libraries and community centres, a corresponding additional Facilities Management cost of up to £0.2m will be incurred, dependent on the extent and timing of re-opening given current restrictions.	0.200	0.000	0.200
Additional security costs	Council Resilience Centres, Homelessness Accommodation and Temporary Mortuary	0.150	0.000	0.150
Temporary mortuary hire	Including provision for additional direct staffing	0.110	0.000	0.110
Other incident-related costs	Including ICT, PPE and Registrar's Service staffing, payment to Volunteer Edinburgh and food packages until the end of June for shielded groups not eligible for support through the Food Fund. Projection updated in light of updated estimate for non-Health and Social Care Partnership PPE expenditure.	2.486	(0.500)	1.986
Total increases in expenditure - Council (excluding Health and Social Care)		19.618	0.690	20.308
Reductions in income				
Parking Income - on-street	Loss of income from on-street car parking due to the suspension of city-wide parking charges, based on parking charge and enforcement reinstatement wef 22 June but with continuing shortfalls in income for most of the rest of the year due to reduced space availability and/or demand. While weekly income from late August until mid-October was generally between 10% and 15% lower than 2019/20's equivalent levels, this shortfall has grown markedly since that time, averaging 25% in the eight weeks to 20 December. Following implementation of tightened restrictions with effect from 5 January, these shortfalls would be expected to grow significantly, at least in the short term. The current year's forecast therefore includes provision for these weekly losses to increase, with a further general £3m risk contingency reflected within the Council-wide forecast to reflect the impact of continuing restrictions on this and related income streams.	11.674	0.000	11.674
Rental income - Council-owned properties	Increased risk of non-recovery of rental income due to economic downturn, partly linked to reduced tourism. Due to the likelihood of subsequent tenant insolvency and delays in re-letting, an 80% rental loss is assumed in each of the first three quarters. A targeted policy of support was agreed at the Finance and Resources Committee on 29 October. While these measures may reduce the level of in-year loss, the position remains subject to considerable uncertainty, particularly given the imposition of tighter restrictions and the consequent impact on trade.	9.000	0.000	9.000
Place (various)	Net loss of income - including pest control and scientific services, tables and chairs permits, cruise liner berthing fees and museum and galleries donations, admissions and rents based on expected periods of closure/service unavailability. The updated projections reflect assumed disruption until the end of the financial year.	2.479	0.506	2.985
Housing Property Services	Estimated reduction in sums chargeable to the Housing Revenue Account, reflecting revised current assessment and impact of mitigating actions identified thus far.	2.150	0.000	2.150
Roads	Reduction in staff salaries chargeable to the Capital Programme.	2.061	0.084	2.145
Parking Income - enforcement	Enforcement and bus lane cameras Penalty Charge Notice reductions	2.013	0.000	2.013

Service Area	Impact	Estimate	Increase/	Revised
		F&R 3 Dec	(decrease)	estimate
		£m	£m	£m
<b>Council Tax - collection rate and intervention income</b>	The year-on-year collection rate as of the end of November was some 1.36% lower than in 2019/20, although collection rates in the city are seeing much smaller reductions than in many other Scottish authorities. Through a combination of planned recovery action and anticipated income in respect of 2020/21 to be received in subsequent years, the level of potential bad debt provision has been revised, although the adequacy of this revised sum will be kept under review. As of early December 2020, combined intervention income for Council Tax and Non-Domestic Rates (representing the 10% surcharge applied on sums due in cases of summary warrant issue) was also around £1m short of budgeted levels due to a combination of an increase in Council Tax Reduction Scheme take-up, delayed recovery for both Council Tax and NDR and lower sums being billed as a result of extensive in-year NDR reliefs. To date, potential mitigations of up to £0.5m have been identified but there is a risk that the remaining shortfall cannot be contained within the £1.85m headline sum.	1.850	0.000	1.850
<b>Outdoor Centres</b>	Loss of fees and charges income, now extended to the period to end of March 2021. It has been confirmed that these sums are not recoverable from insurance.	1.751	0.000	1.751
<b>Cultural venues</b>	Loss of income - sales, rentals, admissions and rents. Revised forecast reflects projected position until end of year, offset by savings in casual staff costs.	2.247	(0.513)	1.734
<b>Parking - residents' and other permits</b>	Loss of income for residents', retailers', business and trade permit schemes and associated non-enforcement	1.675	0.000	1.675
<b>Planning and building standards</b>	Reduction in planning applications submitted due to construction shutdown. These projections will be reviewed in light of recently-introduced additional restrictions.	1.503	0.000	1.503
<b>Parks and Greenspace</b>	Losses of income including for events, trading stances, park leases, rechargeable tree works, nursery sales, timber sales and Edinburgh Leisure recharge.	0.996	(0.039)	0.957
<b>Communities and Families (other)</b>	Loss of income from adult education classes, libraries fees and charges, sports clubs and external funding.	0.833	0.000	0.833
<b>Community Access to Schools</b>	Increase is due to updated expectations of re-opening timescales and associated levels of lost income, including impact on WHEC.	0.785	0.000	0.785
<b>Other Catering</b>	Loss of income from closure of staff restaurants and coffee shops and cancellation of external events and internal catering, net of savings in food and drink, other supplies and services and agency and overtime costs. Projection updated based on position as of mid-November.	0.663	(0.008)	0.655
<b>Licensing</b>	Refunds/extensions for all licences, including cab, liquor and HMO (NB these costs are expressed net of assumed contributions from earmarked reserves).	0.442	0.012	0.454
<b>Public transport</b>	Loss of bus station income due to reduced departures, etc. While the figure shown reflects a revised assessment of income lost, enforced delays to the replacement of the Bus Station Information System and Real Time Passenger Information signage may give rise to additional costs in the current year.	0.420	0.000	0.420
<b>Council Tax (base)</b>	Reduction in Council Tax buoyancy due to temporary cessation of construction activities and subsequent economic slowdown. In common with the in-year collection rate, detailed analysis of the Council Tax base as of September 2020 showed a lower loss of buoyancy than had initially been anticipated, with the forecast amended accordingly.	0.300	0.000	0.300
<b>Refunds/discounts for cancelled services - garden waste</b>	Costs of extending current-year permits by further five weeks	0.150	0.000	0.150
<b>Total reductions in income - Council (excluding Health and Social Care)</b>		<b>42.992</b>	<b>0.042</b>	<b>43.034</b>
<b>Savings in expenditure</b>				
<b>Non-Domestic Rates</b>	Savings relative to budget framework provision following effective freezing of NDR poundage for 2020/21 and entitlement to full relief for hospitality, retail and leisure properties. As of the time of writing, following the awarding of 25% relief for unoccupied office properties in England and Wales, discussions are continuing concerning potential equivalent relief in Scotland (this would be additional to the level of saving currently shown).	(2.375)	0.000	(2.375)
<b>Energy</b>	Savings in gas, electricity and water costs across corporate building estate based on indicative analysis by Energy Management Unit. The projection has been updated based on analysis of invoices received until the end of August, with the potential for further savings in water charges. Greater certainty should be obtained as the year progresses.	(1.810)	0.000	(1.810)
<b>Libraries</b>	Reductions in agency and overtime expenditure and savings from vacant posts, assuming six libraries operational from October and remainder open from January. These projections are subject to change given on-going restrictions.	(0.700)	0.000	(0.700)
<b>School meals</b>	Reductions in food costs, less loss of income based on latest uptake figures and estimates for remainder of year	0.000	(0.244)	(0.244)
<b>Total savings in expenditure (excluding Health and Social Care)</b>		<b>(4.885)</b>	<b>(0.244)</b>	<b>(5.129)</b>
<b>Total net additional costs</b>		<b>57.725</b>	<b>0.488</b>	<b>58.213</b>
<b>Notes</b>				

1. Potential Early Years pressures of around £3.5m (primarily representing compensation for lost fee income for partner providers) are assumed to be funded from redirected 1,140 hours expansion monies and/or provider staff costs met through the Coronavirus Job Retention Scheme.



HM Treasury, 1 Horse Guards Road, London, SW1A 2HQ

Cllr Adam McVey  
Leader of Edinburgh City Council  
City Chambers  
High Street  
Edinburgh  
EH1 1YJ

23 December 2020

Dear Adam,

Thank you for your letter of 3 September to the Chancellor of the Exchequer about funding and financial flexibilities for the Scottish Government and Scottish local authorities. I am replying as the Minister responsible for this policy area.

I am very sorry for the delay in responding. The Treasury has received over 26,000 items of correspondence from MPs since the outbreak of COVID-19, and such a large and sustained increase in the amount of correspondence at the same time as delivering targeted action to protect millions of jobs and livelihoods is a significant challenge.

In July the UK Government made an unprecedented upfront funding guarantee to the devolved administrations, which included guaranteeing that the Scottish Government would receive at least £6.5 billion in additional funding this year on top of their Spring Budget 2020 funding. This guarantee has now been increased to £8.2 billion and is providing the Scottish Government with the funding certainty needed to plan and implement its coronavirus response this year, including to support local authorities.

The Scottish Government also has access to the financial tools and flexibilities agreed as part of its fiscal framework. This includes borrowing powers for agreed purposes and within agreed limits, as well as the ability to operate the

Scotland Reserve.

On the specific proposal in your letter, we would have to recognise at the start that it would come with a cost to the UK Government. Local authorities' payments to the PWLB are used to cover the cost of the underlying borrowing that finances PWLB loans, with any surplus over this cost funding public spending, including the grants paid to local authorities. If interest payments were suspended on PWLB loans, the UK government would have to find an alternative way to meet these commitments.

However, I worked with the Scottish Government's Cabinet Secretary for Finance to enable flexibilities in relation to local authorities in Scotland, so I was pleased to see the Scottish Government announce a package of support incorporating these flexibilities in October.

More recently, the Spending Review 2020 has confirmed a further £2.4 billion of additional funding for the Scottish Government in 2021–22 through the Barnett formula, plus funding to deliver our manifesto commitments to farmers and fisheries. Scotland will also benefit from UK Government investment to improve connectivity and productivity, including the Gigabit and Shared Rural Network programmes, support for new green industries and a £14.6 billion UK-wide research and development fund.

Yours sincerely,

A handwritten signature in black ink, reading "Steve Barclay". The signature is fluid and cursive, with the first name "Steve" and the last name "Barclay" clearly distinguishable.

**RT HON STEVE BARCLAY MP**

<b>Confirmed funding from Scottish Government:</b>	<b>Edinburgh's allocation (£m)</b>
Hardship Fund (April)	3.910
Further assistance linked to pass-through of Barnett Consequentials from support to councils in England (May)	12.122
Further assistance linked to pass-through of Barnett Consequentials from support to councils in England (August)	3.832
Food Fund/Free School Meals (April/August/December)	3.625
Seven-day registration facility opening (May)	0.057
Test and Trace administration (December)	0.201
Income compensation scheme (January)	17.960
Coronavirus Job Retention Scheme (i.e. furloughing; funding received from HMRC)	0.800
<b>Total confirmed funding</b>	<b>42.507</b>
<b>Anticipated further funding:</b>	
Business grants administration (December)	0.559
Business grants administration (January)	0.783
Residential care - additional pressures (January)	0.650
<b>Total anticipated further funding</b>	<b>1.992</b>
<b>Total confirmed and anticipated funding</b>	<b>44.499</b>

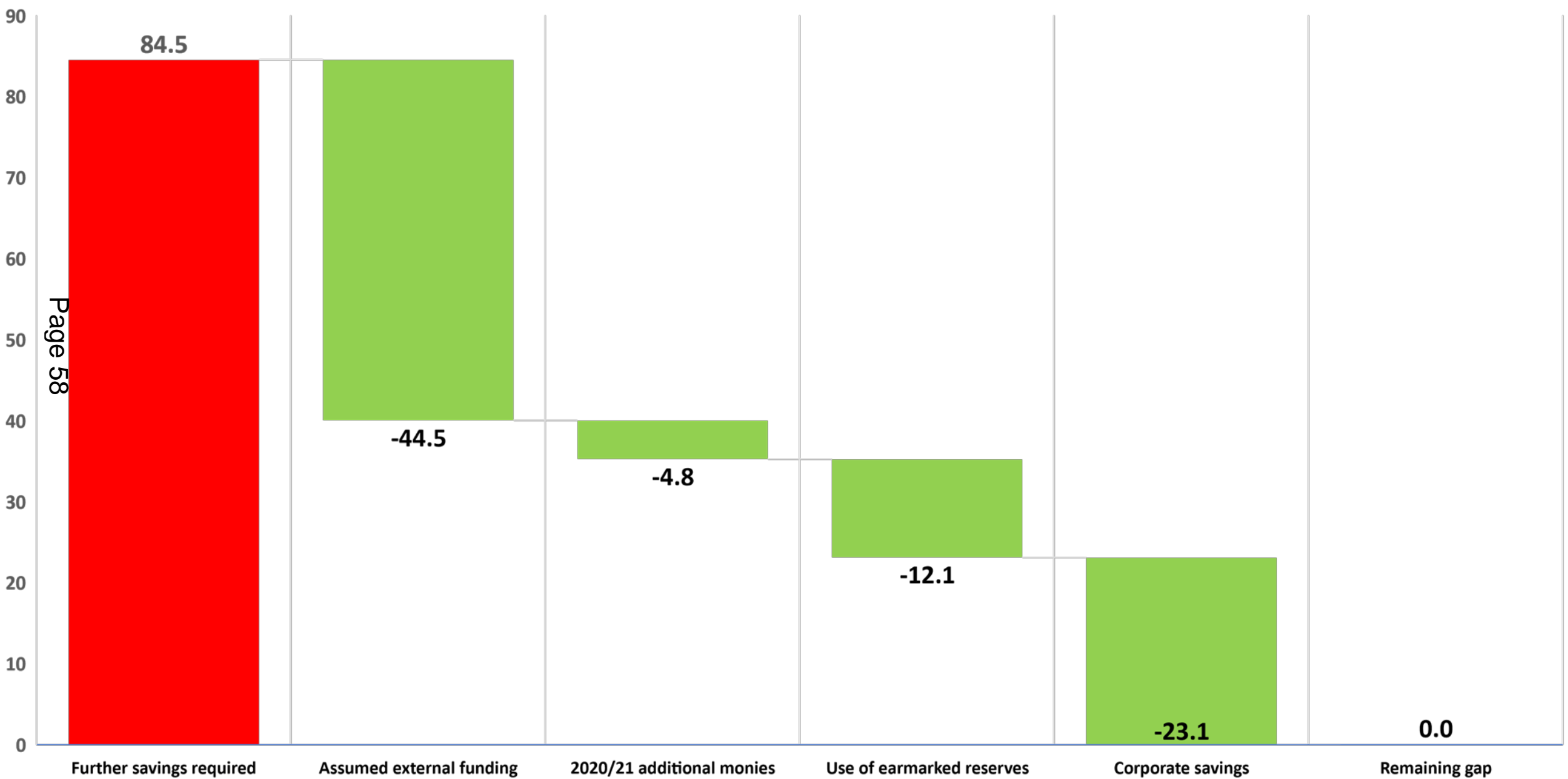
In addition to the sums shown above, the Council has received considerable further funds with directly-corresponding expenditure liabilities including additional Council Tax Reduction Scheme, Scottish Welfare Fund and Discretionary Housing Payment support. The Council has also disbursed numerous business support grant funds, with total payments of £138m made as of December 2020.



Additional net expenditure pressures	Full-year £m
Estimated COVID-19-specific expenditure and income (per Appendix 1)	58.213
Risk contingency	3.000 Non-specific allowance to reflect potential impacts of continuing and/or further restrictions between January and March 2021, including further losses of parking income, cultural venues and planning/building standards fees.
ALEO support	21.000 Position shows decrease of £3.5m since the report to the Finance and Resources Committee on 2 December 2020, reflecting (i) an estimated reduced in-year additional funding requirement for Edinburgh Leisure following continuation of furlough support and expected level of business interruption insurance settlement but acknowledging reductions in demand given current restrictions and (ii) confirmation of continuing funding for Edinburgh Trams until March 2021, offsetting net costs of operating key worker services.
Approved savings/management of residual pressures - anticipated shortfall in delivery	Figure assumes balanced position in Resources, with £0.5m of as-yet unmitigated pressures within Place Directorate and an emerging pressure of £1.2m primarily due to increased costs of out-of-council residential and secure placements within Communities and Families.
Residual pressures	1.700
Whistleblowing Inquiry	0.600 Following ratification by Council on 19 November, up to £0.6m of costs related to the Whistleblowing Inquiry will require to be met in the current year.
	<b>84.513</b>
<b>Confirmed funding and savings:</b>	
Confirmed COVID-19 related funding	(44.499) Detail included in Appendix 3
2020/21 budget - unallocated additional monies	(4.830) Of the additional funding of £7.43m provided as part of the Scottish Budget's Stage One consideration, a £2m contribution to the EIJF was approved by Council on 30 June, up to £0.422m for Marketing Edinburgh by the Finance and Resources Committee in March and £0.178m part-year funding for Communities and Families grant recipients at the Policy and Sustainability Committee on 28 May.
Further timing-related and corporate savings	(23.100) Comprising treasury management-related and re-aligned capital programme loans charge savings (£5.5m), Q4 2019/20 improvement in service outturns (£3m), slippage in backlog R&M programme (£3m), Council Tax - increases in base (£3m), VERA/VR in-year provision - assumption that liabilities met fully from reserves (£2.5m), LDP revenue budget (£1.5m), Loans Fund Review - slippage in first year's additional related roads/infrastructure expenditure (£1m), ICT contract extension (£0.95m), past service pension costs - reductions in expected required in-year level of provision (£0.65m) and other net corporate savings (£2m).
Use of earmarked reserves	(12.084) Comprising funds for specific investment (£5.9m), risk management contingency (£4m), Council Tax Reduction Scheme (£3m), dilapidations (£2.5m), Workforce Management (£1.5m), Transformation Fund (£1.35m), Unallocated General Fund (former-CSIF element) (£0.9m), contribution from service reserves (£0.5m) and Council Priorities Fund (£0.4m). In light of the projected outturn, it may be possible to reduce these uses of reserves by some £8m.
	<b>(84.513)</b>
Remaining shortfall	<b>(0.000)</b>

Reconciliation to previously-reported position:

	£m
Position as of 3 December	6.8
<b>Unfavourable movements:</b>	
Net increase in COVID impacts (Council)	0.5
Reduction in VERA-related savings	0.4
Reduction in assumed use of reserves	8.0
<b>Favourable movements:</b>	
Reduction in ALEO support	(2.5)
Income compensation scheme - additional funding	(10.9)
Additional administration and other funding	(2.3)
<b>Revised position as of 21 January</b>	<b>0.0</b>



## Finance and Resources Committee

10.00am, Thursday, 21 January 2021

### 2020-30 Capital Budget Strategy – 2020/21 Month Eight Monitoring

Executive/routine Wards Council Commitments	Executive All
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#### 1. Recommendations

- 1.1 To note the Capital monitoring position for the General Fund and Housing Revenue Account (HRA) at month eight 2020-21;
- 1.2 To refer the report to the Governance Risk and Best Value Committee as part of its work programme; and,
- 1.3 To delegate authority to the Executive Director of Place to enter into a Delivery Agreement with Robertson Construction Group Ltd through the Scape Major Works Scotland framework, to construct 49 affordable homes for the contract sum of up to £7.4m. This cost increase will be funded through the HRA Budget Strategy 2021-2031 as reported elsewhere on the agenda.

**Stephen S. Moir**

Executive Director of Resources

Contact: Liam MacDonald, Senior Accountant,

Finance Division, Resources Directorate

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## 2020-30 Capital Budget Strategy – 2020/21 Period Eight Monitoring

### 2. Executive Summary

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- 2.1 The report provides capital expenditure and funding forecasts for 2020/21, providing explanations for variances.
- 2.2 At month eight, the General Fund is projecting capital expenditure of £244.009m and capital income of £116.502m, resulting in a net requirement of £127.507m in loans fund advances. This is £40.247m lower than the revised budget update provided in period three due to updated cashflows across the programme.
- 2.3 At month eight, the Housing Revenue Account (HRA) is projecting capital expenditure of £46.800m and capital income of £32.574m, resulting in a net requirement of £14.226m in loans fund advances. New build construction, external works and common area projects have been able to recommence. Internal improvement works will be phased in gradually to take account of safe working practices.
- 2.4 The extent of the impact from COVID-19 is likely to differ between programmes and projects and it is still too early to understand the full cost to the Council.

### 3. Background

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- 3.1 The initial Capital Budget Strategy 2020-2030 was reported to Finance and Resources Committee on 10 October 2019 and approved on 20 February 2020 as part of the budget process.
- 3.2 It was subsequently consolidated with other key strategies into the Council's Capital Strategy which was approved by Council on 12 March 2020. This strategy set out for expenditure of £2,324.800m to 2029/30. While the programme was affordable in the short to medium term, there remained £154.600m which was unfunded and would require the Council to find additional revenue savings or additional funding in future years or lead to projects having to be removed from the capital investment programme or delayed.
- 3.3 Since the setting of the budget, COVID-19 and the measures put in place to protect citizens have created significant financial and logistical challenges and it will no

longer be possible to deliver projects within the timescales and budgets previously envisaged. Following guidance from Scottish Ministers, all construction sites were closed and are now re-opening in accordance with the [Coronavirus \(COVID 19\): construction sector guidance](#) six phase plan. This has required changes to working practices to protect both construction workers and the public at large.

- 3.4 A report was considered by Policy and Sustainability Committee on 25 June 2020 which addressed the potential impact COVID-19 would have on the 2020-30 Capital Budget. This report showed that it was difficult to estimate the full impact on the programme until market intelligence, such as tender returns, is available.
- 3.5 A further report was considered by Finance and Resources Committee on 27 August 2020 which provided an update on the 25 June 2020 report and detailed capital spend to period three in 2020/21 and the interim budget position for 2020/21. At month three, the General Fund was projecting capital expenditure of £284.019m and capital income of £107.991m, resulting in a net requirement of £176.028m in loans fund advances. The HRA was projecting capital expenditure of £56.969m and capital income of £33.033m, resulting in a net requirement of £23.936m in loans fund advances.
- 3.6 The period three monitoring also showed the re-phased interim 2020/21 general fund budget position based on cash flows and slippage. The net slippage position at that point from the approved budget was £171.184m. Similarly, the period three and five monitoring also showed the HRA 2020/21 budget showed an overall reduction in capital expenditure of £39.499m (40.9%), largely due to COVID-19 lockdown.
- 3.7 The period five monitoring report was considered by Finance and Resources Committee on 29 October and at that point, the General Fund was projecting capital expenditure of £275.169m and capital income of £109.142m, resulting in a net requirement of £166.027m in loans fund advances. Whilst the Housing Revenue Account (HRA) was projecting capital expenditure of £56.050m and capital income of £32.509m, resulting in a net requirement of £23.541m in loans fund advances
- 3.8 This report provides detailed capital spend to period eight in 2020/21, the interim budget position for 2020/21 and the updated forecast out-turn position for the 2020/21 financial year.

## **4. Main report**

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### **2020/21 Capital Monitoring – Period Eight**

#### **General Fund**

- 4.1 The period eight monitoring shows general fund expenditure of £145.910m. A breakdown by directorate is provided in Appendix 1.
- 4.2 Within Communities and Families, there has been capital expenditure of £33.135m as at period eight. Expenditure relates primarily to projects which were well underway prior to COVID-19 lockdown such as Meadowbank Sports Centre,

Broomhill Primary School and Castlebrae High School. There is also now forecast slippage of £14.026m in the year, this primarily relates to;

- Early Years of £4.947m, as a result of a COVID-19 lockdown and failure of a contractor followed by appointment of a new contractor to stabilise the condition of the uncompleted works and carry out thorough investigations and defect remediation proposals to form a new scope for the completion contract due to commence in March 2021 and complete in October 2021;
- Rising School Rolls of £4.147m to reflect updated expenditure profiles for a variety of projects including Sciennes Primary School where the Council are still in the early design stages with an expected August 2022 completion and Kirkliston Phase One due to delay in early design changes and client revisions;
- New South Edinburgh Primary of £2.478m due to the project being significantly delayed by utility companies relating to the diversion of a combined sewer, which was further compounded by COVID-19 delays as the new standard operating practices on-site reduced productivity, with a revised opening date for the new school of October 2021 now projected;
- Boroughmuir High School Extension of £1.500m due to contract award being delayed due to COVID-19 restrictions from an expected March sign-off, with work now expected to be completed by August 2022; and
- St Crispin's Special School replacement of £1.486m due to COVID-19 productivity and a cable diversion by a utility company with completion expected by summer 2021.

4.3 Within Place, there has been capital expenditure of £71.395m as at period eight. Expenditure relates primarily to Millerhill Recycling and Energy Recovery Centre (RERC) Capital Contribution £36.900m (including £7.380m share funded by Midlothian Council), Energy Efficiency Street Lighting Programme £2.387m; and Development Funding Projects £9.358m. There is also now forecast slippage of £10.035m in the year, this primarily relates to;

- Energy Efficiency Street Lighting Project of £3.422m due to the entire cashflow being updated to move optimism bias and contingencies to the end of the project and further delays due to the contractor's team self-isolating for several weeks after positive cases;
- Carriageways and Footways Improvements of £2.789m due to design process taking longer than anticipated as working through backlog of planned earlier works which were postponed due to COVID-19 lockdown;
- Town Centre Funding of £2.593m as progress on use of existing funding was revised on 11 June 2020 at Policy and Sustainability Committee and a further £0.954m was received in-year with plans for use of this approved at Housing, Homelessness and Fair Work Committee on 5 November 2020. However, the Council remains on track to commit this funding by the 31

March 2021 deadline and for it to be spent before the 30 September 2021 deadline; and

- Cycle Projects of £0.741m primarily due to construction on Quiet Route 6 and 61 moving back a couple of months into the start of the 2021/22 financial year.

- 4.4 Within Place – Trams to Newhaven, there has been capital expenditure of £24.941m as at period eight, with forecast slippage of £6.508m due to the reprofiling of contingency budgets following the updated quantitative risk assessment (QRA).
- 4.5 Within Place - Lending there has been capital expenditure of £8.889m as at period eight for completed units which have transferred to Edinburgh Living LLP at North Sighthill and Craigmillar Town Centre, with forecast slippage of £11.760m primarily due to delays on completion of units at North Sighthill which are now expected to be completed in 2021/22 for Edinburgh Living LLP lending and slippage of £4.718m in NHT lending as delays on site had pushed projected completion of Phase 3 to late 2020 pre-COVID and that site shutdown during lockdown further exacerbated the delays.
- 4.6 Within Resources - Asset Management Works Programme, there has been capital expenditure of £7.373m as at period eight across various projects as work restarts following the COVID-19 lockdown, with forecast acceleration of spend of £5.055m compared to the revised budget of £8.761m. The closure of Edinburgh Leisure properties allowed the £2.700m refurbishment of Warrender Swim Centre to be brought forward from 2022/23 financial year and the remaining £2.300m is a result of the programmes of work on some of the larger projects being accelerated during the school closures.

### **Housing Revenue Account**

- 4.7 The period eight monitoring shows HRA capital expenditure of £15.768m for the year to date across various programmes and workstreams relating to new builds and improvements to existing homes. The budget for 2020/21 has been revised from the initial approved budget of £96.468m to £56.969m, an overall reduction in capital expenditure of £39.499m (40.9%), largely due to the impact of site closures in the earlier phases of COVID-19 lockdown. Although new build construction and external works have been able to recommence, internal improvement works will be phased in gradually to take account of safe working practices and necessary national lockdown measures. The underspend will be rephased over the next 18 months. A breakdown by programme is provided in Appendix 2.
- 4.8 The revised forecast on new homes development is £1.041m lower than the period three revised budget estimate to reflect a slight slow-down in progress of works due to safe working practices but good progress is being made across the programme both on site and with design, development and pre-construction work. The latest forecast also assumes that additional land acquisition for Council housebuilding will take place before the end of the financial year.

- 4.9 Due to the current COVID-19 pandemic, the capital improvements work to Council Homes and Estates are currently split into three phases within the recovery plan. Phase one: return of all external works where appropriate, phase two: return of all common area projects where appropriate and phase three: return of internal works.
- 4.10 Planning is underway to test safe working practices in advance of the remobilised of phase three. The move to phase three will be subject to change based on Government advice and tenant feedback.
- 4.11 The revised forecast against improvements to Council Homes and Estates is £9.128m lower than estimated at period three when the budget was revised. This assumed construction operations returned to site quicker, however, the vast majority of contractors' staff were on furlough and it took longer than expected to return to full capacity. In addition to this, there were delays in the supply chain and the prolongation of works due to the implementation of safe working practices. The new Delivery Framework was also delayed by six months due to suppliers being furloughed. The new framework was approved at the Finance and Resources Committee on 29 October 2020. Prior to approval, procurement protocols were amended to mitigate risk to the Council of COVID-19 costs and this reduced the number of other works advertised in the interim period.
- 4.12 The period eight monitoring shows HRA capital income of £16.602m for the year to date, primarily from capital receipts from sales to Edinburgh Living LLP, Scottish Government grant and disposals through the Acquisitions and Disposals Programme. The budgeted income for 2020/21 has been revised from the initial approved budget of £73.122m to £33.033m, an overall reduction in capital income of £40.089m (54.8%). The latest forecast is showing an improvement on that forecast income up to £32.574m, with slippage of Edinburgh Living capital receipts offset by Scottish Government grant income for projects underway.
- 4.13 As a result of COVID-19 and a delay between initial feasibility work and detailed design, the Dumbryden Phase 2 budget requirement has exceeded the project budget originally approved by the Finance and Resources Committee on 27 March 2018. As such a new approval is sought to delegate authority to the Executive Director of Place to enter into the Delivery Agreement for the increased construction cost of £7.4m to allow construction to commence in early 2021. The overall budget (construction cost, land costs, contingency and professional fees) will be increased from £6.25m to £8.3m as part of the HRA Budget Strategy (2021-2031) report which is being approved considered separately on this agenda. This cost increase will be funded through the HRA Budget Strategy 2021-2031 as reported elsewhere on the agenda.
- 4.14 This results in a projected net requirement of £14.226m in loans fund advance, a decrease from the originally approved £23.936m. This will see a revenue benefit next year from lower than expected loan charges with this benefit offset when the capital expenditure is reprofiled and incurred in later years.



## 5. Next Steps

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- 5.1 This report will be referred to Governance, Risk and Best Value Committee to consider as part of its programme of work.
- 5.2 Finance staff will continue work with project and programme managers to monitor capital budgets.
- 5.3 Further reports will be presented to Finance and Resource Committee at period 12 showing the out-turn position against the revised 2020-21 capital budget.

## 6. Financial impact

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- 6.1 The 2020/21 general fund period eight forecast outlines loans fund advances of £127.507m. The overall loan charges associated with this over a 30-year period would be a principal amount of £127.507m, interest and expenses of £108.331m, resulting in a total cost of £235.838m based on a loans fund interest rate of 4.39%. The average annual cost would be £7.861m for 30 years.
- 6.2 The 2020/21 HRA period eight forecast outlines loans fund advances of £14.226m. The overall loans charges associated with this over a 30-year period would be a principal amount of £14.226m, interest of £12.087m, resulting in a total cost of £26.313m based on a loans fund rate of 4.39%. The average annual cost would be £0.877m for 30 years.
- 6.3 Borrowing required is carried out in line with the Council's approved Treasury Management Strategy.
- 6.4 The loan charge costs outlined above will be met from the general fund and HRA revenue budgets for loan charges.

## 7. Stakeholder/Community Impact

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- 7.1 Consultation on the capital budget was undertaken as part of the Council's budget setting process.
- 7.2 The stakeholder and community impact of individual projects within the Council's capital programme is considered as part of the business cases for those projects.

## 8. Background reading/external references

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- 8.1 [Edinburgh Tram – York Place to Newhaven Final Business Case](#), The City of Edinburgh Council, 14 March 2019
- 8.2 [Capital Budget Strategy 2020-30](#), Finance and Resources Committee, 10 October 2019
- 8.3 [Capital Budget Strategy 2020-30](#), The City of Edinburgh Council, 20 February 2020

- 8.4 [Housing Revenue Account Budget Strategy \(2020-2030\)](#), The City of Edinburgh Council, 20 February 2020
- 8.5 [Capital Strategy 2020-30 – Annual Report](#), The City of Edinburgh Council, 12 March 2020
- 8.6 [Capital Budget Update - 2019/20 Provisional Outturn and 2020/21 COVID-19 Forecast](#), Policy and Sustainability Committee, 25 June 2020
- 8.7 [2020-30 Capital Budget Strategy – 2020/21 Period 3 Monitoring and Revised Budget Update](#), Finance and Resources Committee, 27 August 2020
- 8.8 [2020-30 Capital Budget Strategy – 2020/21 Period Five Monitoring and Revised Budget Update](#), Finance and Resources Committee, 29 October 2020

## **9. Appendices**

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- 9.1 Appendix 1 – 2020/21 Capital Monitoring Period Eight – General Fund
- 9.2 Appendix 2 – 2020/21 Capital Monitoring Period Eight – HRA

## Appendix 1 - 2020/21 Capital Monitoring

### General Fund Summary

#### Period Eight

Expenditure	Approved Budget £000	Adjustments £000	Interim Budget £000	Actual to Date £000	Projected Outturn £000	Provisional Variance £000	%
Communities and Families	99,246	(33,939)	65,307	33,135	51,281	(14,026)	-21.48%
Edinburgh Integration Joint Board	-	284	284	1	284	-	0.00%
Place	192,495	(82,541)	109,954	71,395	99,919	(10,035)	-9.13%
Place - Lending	43,913	(12,584)	31,329	8,889	19,569	(11,760)	-37.54%
Place - Tram York Place to Newhaven	74,939	(15,291)	59,648	24,941	53,140	(6,508)	-10.91%
Contingency	4,242	-	4,242	-	4,242	-	0.00%
Resources - Asset Management Works	30,000	(21,239)	8,761	7,373	13,816	5,055	57.70%
Resources - Other	5,000	(3,367)	1,633	176	1,758	125	7.65%
<b>Total Gross Expenditure</b>	<b>449,835</b>	<b>(168,677)</b>	<b>281,158</b>	<b>145,910</b>	<b>244,009</b>	<b>(37,149)</b>	<b>-13.21%</b>

Funding	Approved Budget £000	Adjustments £000	Revised Budget £000	Actual to Date £000	Projected Outturn £000	Provisional Variance £000	%
<i>Capital Receipts</i>							
General Asset Sales	3,000	145	3,145	5,757	5,757	2,612	83.05%
<i>Total Capital Receipts from Asset Sales</i>	<i>3,000</i>	<i>145</i>	<i>3,145</i>	<i>5,757</i>	<i>5,757</i>	<i>2,612</i>	<i>83.05%</i>
<i>Drawdown from Capital Fund</i>	<i>14,195</i>	<i>-</i>	<i>14,195</i>	<i>-</i>	<i>14,195</i>	<i>-</i>	<i>0.00%</i>
<i>Developer Contributions</i>	<i>754</i>	<i>5,470</i>	<i>6,224</i>	<i>3,459</i>	<i>6,224</i>	<i>-</i>	<i>0.00%</i>
<i>Developers Contributions Transferred to Investments</i>	<i>-</i>	<i>-</i>	<i>-</i>	<i>2,255</i>	<i>-</i>	<i>-</i>	<i>0.00%</i>
<i>Total Developer Contributions</i>	<i>754</i>	<i>5,470</i>	<i>6,224</i>	<i>5,714</i>	<i>6,224</i>	<i>-</i>	<i>0.00%</i>
<b>Total Capital Receipts and Contributions</b>	<b>17,949</b>	<b>5,615</b>	<b>23,564</b>	<b>11,471</b>	<b>26,176</b>	<b>2,612</b>	<b>11.08%</b>
<i>Grants</i>							
Scottish Government General Capital Grant	38,225	-	38,225	25,419	38,225	-	0.00%
Other Grants and Contributions	-	10,430	10,430	10,916	10,916	486	4.66%
Cycling, Walking and Safer Streets	2,281	-	2,281	-	2,281	-	0.00%
Town Centre Funding	-	954	954	954	954	-	0.00%
Transfer of Management of Development Funding (TMDF)	27,950	-	27,950	9,648	27,950	-	0.00%
Early Years and Childcare - Expansion	10,000	-	10,000	10,000	10,000	-	0.00%
Capital Grants Unapplied Account Drawdown	2,002	(2,002)	-	-	-	-	0.00%
<b>Total Grants</b>	<b>80,458</b>	<b>9,382</b>	<b>89,840</b>	<b>56,937</b>	<b>90,326</b>	<b>486</b>	<b>0.54%</b>
<b>Total Funding</b>	<b>98,407</b>	<b>14,997</b>	<b>113,404</b>	<b>68,408</b>	<b>116,502</b>	<b>3,098</b>	<b>2.73%</b>
<i>Borrowing</i>							
New Prudential Borrowing in Year	121,388	(75,548)	45,840	35,235	44,021	(1,819)	-3.97%
New On-Lending in Year	43,913	(12,584)	31,329	8,889	19,569	(11,760)	-37.54%
New Capital Advance - Trams to Newhaven	74,939	(19,431)	55,508	24,941	49,000	(6,508)	-11.72%
New Capital Advance - General Fund	111,188	(76,111)	35,077	8,437	14,917	(20,160)	-57.47%
<b>Balance to be funded through Loans Fund Advance</b>	<b>351,428</b>	<b>(183,674)</b>	<b>167,754</b>	<b>77,502</b>	<b>127,507</b>	<b>(40,247)</b>	<b>-23.99%</b>

## Appendix 2 - 2020/21 Capital Monitoring

### Housing Revenue Account

#### Period Eight

Expenditure	Approved Budget £000	Adjustments £000	Revised Budget £000	Actual to Date £000	Projected Outturn £000	Provisional Variance £000 %	
New Homes Development	35,890	(15,124)	20,766	8,274	19,725	(1,041)	-5.0%
New Homes Land Costs	12,000	-	12,000	-	12,000	-	0.0%
Improvement to Council Homes and Estates	48,578	(24,375)	24,203	7,494	15,075	(9,128)	-37.7%
<b>Total Gross Expenditure</b>	<b>96,468</b>	<b>(39,499)</b>	<b>56,969</b>	<b>15,768</b>	<b>46,800</b>	<b>(10,169)</b>	<b>-17.8%</b>

Income	Approved Budget £000	Adjustments £000	Revised Budget £000	Actual to Date £000	Projected Outturn £000	Provisional Variance £000 %	
Capital Receipts and Other Contributions	50,524	(24,424)	26,100	14,099	24,103	(1,997)	-7.7%
Capital Funded from Current Revenue	3,656	(3,656)	-	-	-	-	0.0%
Specific Capital Grant	18,942	(12,009)	6,933	2,503	8,471	1,538	22.2%
<b>Total Income</b>	<b>73,122</b>	<b>(40,089)</b>	<b>33,033</b>	<b>16,602</b>	<b>32,574</b>	<b>(459)</b>	<b>-1.4%</b>

<b>Balance to be funded through Loans Fund Advance</b>	<b>23,346</b>	<b>590</b>	<b>23,936</b>	<b>(834)</b>	<b>14,226</b>	<b>(9,710)</b>	<b>-40.6%</b>
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# Finance and Resources Committee

10.00am, Thursday, 21 January 2020

## Resources Directorate: Revenue Budget Monitoring 2020/21 – Month Eight position

Executive/routine Wards Council Commitments	Executive All
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### 1. Recommendations

- 1.1 It is recommended that the Finance and Resources Committee notes:
- 1.2 that the Resources Directorate is forecasting expenditure to be within budget for 2020/21;
- 1.3 the Executive Director of Resources and Heads of Service will continue to progress the identification of additional savings measures required to offset any further budget pressures arising in-year to achieve outturn expenditure in line with the approved revenue budget for 2020/21; and,
- 1.4 the ongoing risks to the achievement of a balanced revenue budget projection for the Directorate.

**Stephen S. Moir**

Executive Director of Resources

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# Finance and Resources Committee

## Resources Directorate - Revenue Budget Monitoring 2020/21 – Month Eight position

### 2. Executive Summary

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- 2.1 The report sets out the projected eight-month revenue monitoring position for the Resources Directorate, based upon actual expenditure and income to the end of October 2020 and expenditure and income projections for the remainder of the financial year.
- 2.2 The Resources Directorate is projecting expenditure to be within budget for 2020/21. A further £0.950m of in-year savings, which contribute towards the Council's overall corporate position are forecast, following the extension of the strategic ICT partnership contract with CGI, as approved by the Finance and Resources Committee.
- 2.3 The Directorate will continue to progress the identification and implementation of savings to offset any further budget pressures arising, to achieve outturn expenditure in line with the approved revenue budget for 2020/21. The attainment of this position is subject to ongoing actions to deliver approved savings, together with the active management of risks and pressures.

### 3. Background

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- 3.1 The Council's Financial Regulations require submission of quarterly monitoring reports on Directorate financial performance to the Finance and Resources Committee.
- 3.2 This report advises on the projected outturn for the Resources Directorate revenue budget for 2020/21 based on the position after eight months of the financial year.

### 4. Main report

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#### Revenue Budget 2020/21

- 4.1 Resources Directorate revenue budget for 2020/21 is £167.955m. This includes Councilwide budgets for a range of contracts, services and costs, including, but not limited to: PPP school services; non-domestic rates and utilities (energy)

expenditure for the whole operational property estate, including schools; the Council's external audit fee; the Scotland Excel membership fee and the Digital Services / ICT contract costs.

- 4.2 The Resources Directorate is forecast to incur significant additional costs as a direct consequence of responding to the needs of the City and the Council during the Coronavirus pandemic. Additional employee costs of £0.773m are forecast from administering the Scottish Government's Business Support Grant schemes, additional support and services to vulnerable and shielded individuals within Edinburgh, responding to significant increases in Universal Credit and other Welfare/Benefits support applications and the delivery of Scottish Government funded services for Test and Protect Support and Self-Isolation Assistance. Additional Digital Services expenditure of £0.696m is also forecast as a result of enabling enhanced capacity for Council services to work remotely.
- 4.3 These additional costs are forecast to be partially mitigated by cost recovery and income of £0.244m from the Scottish Government and Midlothian Council respectively. The Midlothian Council income element is as a result of the Council's Customer and Digital Services Division administering the business support grant applications for this neighbouring authority. Further administration funding may be provided in-year by the Scottish Government for a proportion of these additional costs and proposed allocations will be carefully scrutinised by CoSLA, the Local Authority Finance Director group and Council officers.
- 4.4 An update on the Commercial Property Portfolio was reported to Finance and Resources Committee on 29 October 2020. A projected income loss of £9m was currently forecast for the Commercial Property portfolio due to the increased risk of non-recovery of rental income and deferrals to future years. This projected outturn remains subject to an ongoing review. A further update on the Commercial Property portfolio will be reported to the Committee on 2 February 2021.
- 4.5 The forecast loss of income on the Commercial Property Portfolio is projected to be partially mitigated by slippage of £3m in spend on repairs and maintenance, due to the shutdown of construction and associated services earlier in the year. In addition, energy savings across of the operational estate of £1.811m and a reduction of £0.5m in the funding required to meet non-domestic rate liabilities arising from lockdown will also act to partially mitigate this projected shortfall.
- 4.6 The Corporate Catering Service, which is classified as a Significant Trading Organisation (STO) for accounting purposes within Property and Facilities Management is forecasting a loss of income of £0.655m, as a consequence of corporate building closure. Whilst this income loss cannot be mitigated fully, actions including the furloughing of corporate catering staff was undertaken earlier in the year to provide some offsetting measures. These staff have now returned from furlough and have been fully redeployed within the School Catering Service, to support service continuity and the priority of maintaining open schools.

- 4.7 Excluding the costs of responding to the Coronavirus pandemic, the period eight forecast for the Resources Directorate is for expenditure to be within the approved revenue budget for 2020/21. The Executive Director of Resources has applied robust financial controls across the Directorate, including a recruitment freeze on all non-essential vacant posts and agency worker use, as well as increased vacancy “gapping” for essential roles to ensure a greater turnover saving is achieved. In addition, all discretionary expenditure where no legal or contractual commitment exists has ceased to offset any further budget pressures. These actions continue to contribute to achieving outturn expenditure in line with the approved revenue budget for 2020/21.
- 4.8 A favourable variance of £0.950m, which contributes towards the Council’s overall corporate financial position is forecast, following the recent extension of the Council’s strategic ICT partnership contract with CGI, with consequent savings in the payment profile.
- 4.9 Excluding costs associated with responding to the Coronavirus pandemic, the Property and Facilities Management Division is forecasting an adverse variance of £168,000. Budget pressures include:
- 4.9.1 a shortfall of £1.197m against Asset Management Strategy and other legacy savings targets and after application of one-off previous year balances;
  - 4.8.2 anticipated income of £0.3m from additional digital advertising is not forecast as achievable, owing to a lack of adjustment to the Council’s Planning Guidance in August 2019;
  - 4.8.3 £0.535m employee costs, including revised employee terms and conditions following the completion of the cleaning and janitorial reviews, £0.197m cost pressures from the security services contract and a forecast loss of Shared Repairs Service income of £0.124m during lockdown; and,
  - 4.8.4 loss of rental income as a consequence of lease changes from commercial properties (£0.151m) and corporate properties (£0.174m).
- 4.10 This budget pressure within the Property and Facilities Management Division is forecast to be mitigated by:
- 4.10.1 savings of £0.960m from posts vacant until the end of July 2020;
  - 4.10.2 PPP contract costs being £0.762m less than budgeted;
  - 4.10.3 forecast reduction in Non-Domestic Rates liability of £0.219m;
  - 4.10.4 a one-off payment of £0.171m from the Energy RE: FIT programme, as reported to Finance and Resources Committee on 3 December 2020: Settlement of RE: FIT Saving Guarantee; and,
  - 4.10.5 a net reduction in other expenditure, including discretionary expenditure of £0.398m.



- 4.11 An employee cost underspend due to vacancies of £0.150m is forecast for the Finance Division.
- 4.12 An analysis of the projection by each Division is provided in Appendix 1.
- 4.13 The approved 2020/21 revenue budget requires Resources Directorate to achieve incremental savings of £2.644m in 2020/21. These are detailed in Appendix 2.
- 4.14 £2.207m (84%) of approved savings are forecast to be on track for full delivery and are assessed as 'Green'. Mitigation has been established to enable delivery of a £72,000 (3%) of savings assessed as 'Amber' and £65,000 of savings assessed as 'Red'. Alternative measures have also been implemented to achieve a balanced outturn forecast, for savings of £0.3m assessed as 'Black'.
- 4.15 At this stage in the financial year, the principal financial risk identified for the Resources Directorate revenue budget is of under-recovery of Intervention Income by the Customer and Digital Services Division for the collection of Non-Domestic Rates (NDR) and Council Tax, as a consequence of the Coronavirus pandemic:
- 4.15.1 Potential under-recovery of NDR Intervention Income is due to the application of Retail, Hospitality and Leisure 100% rates relief, which reduces the overall sum collectable, together with the Council Incident Management Team's decision to delay debt recovery activities until later in 2020/21, in line with wider business support initiatives.
- 4.15.2 Council Tax warrant income has been affected by an increase in account holders moving onto the Council Tax Reduction Scheme, the offer of extended payment plans and a decision by the Council Incident Management Team to delay debt recovery actions, given the unique circumstances of 2020. These actions are wholly consistent with all other Scottish Councils.
- 4.16 The net financial impact of this risk is estimated to be £0.4m, after potential mitigating measures have been applied.

## 5. Next Steps

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- 5.1 Continuing work to identify mitigating measures through workforce and discretionary expenditure controls to manage financial risks and take timely remedial action, where adverse variances become apparent.
- 5.2 Non-Domestic Rates and Council Tax Intervention Income will be reviewed throughout the remainder of 2020/21, after warrants have been raised. An assessment will be made of the potential collection rates.

## **6. Financial impact**

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- 6.1 Excluding the costs of responding to the Coronavirus pandemic, the report forecasts expenditure to be within budget for 2020/21 for Resources Directorate. Attainment of a balanced position is the subject of continuing work to identify further mitigating measures, active management of financial risks and taking timely remedial action, where any further adverse variances become apparent.
- 6.2 A further £0.950m of in-year savings are forecast for corporate financial mitigations, following the Committee approved extension of the strategic ICT partnership contract with CGI.

## **7. Stakeholder/Community Impact**

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- 7.1 Whilst the report provides a financial monitoring update on the Resources Directorate revenue budget, it should be noted that these costs are directly associated within the provision of a range of front-line and corporate services that have been essential to support citizens, businesses and communities throughout the pandemic. The Directorate has enabled and continues to enable the Council to maintain and adapt core services across the City, as well as responding to the need to provide entirely new and additional services on behalf of the Scottish Government. All these activities have had varying degrees of impact upon the community or key stakeholders.
- 7.2 The Council's revenue budget includes expenditure impacting upon carbon, adaptation to climate change and contributing to sustainable development. In addition, all budget proposals are now subject to an upfront assessment across these areas.

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

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- 8.1 [Resources Directorate - Revenue Budget Monitoring 2020/21 – Month Five position](#)  
Finance and Resources Committee 29 October 2020

## **9. Appendices**

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- 9.1 Appendix 1 - Resources Directorate Revenue Budget Monitoring 2020/21 - Month Eight position
- 9.2 Appendix 2 - Resources Directorate: Approved Revenue Budget Savings 2020/21

# Appendix 1

## Resources Directorate

### Revenue Budget Monitoring 2020/21

#### Month Eight position

#### Forecast Revenue Outturn by Division

	Revised Budget	Projected Outturn	Projected Variance	Adverse / Favourable
	£'000	£'000	£'000	
Customer and Digital Services	56,270	56,270	0	
Finance	6,899	6,749	(150)	FAV
Human Resources	5,308	5,308	0	
Legal and Risk	1,330	1,330	0	
Property and Facilities Management	97,965	98,133	168	FAV
Directorate and service-wide costs.	183	165	(18)	FAV
<b>Total Net Expenditure</b>	<b>167,955</b>	<b>167,955</b>	<b>0</b>	

# Appendix 2

## Resources Directorate: Approved Revenue Budget Savings 2020/21

Division	Saving Description	2020/21 £'000	Red/Amber/Green/Black* assessment
Customer and Digital Services	CGI - further contract efficiencies	600	Green
Customer and Digital Services	Digital Delivery	250	Green
Customer and Digital Services	ICT/CGI Partnership Arrangements	150	Green
Property and FM	Facilities Management	500	Green
Property and FM	Additional advertising income	300	Black
Property and FM	Edinburgh Shared Repairs - Management Resource & Income Generation	125	Green
		65	Red
Service-Wide	Resources Directorate Workforce Savings	408	Green
Service-Wide	5% average increase in discretionary fees and charges	174	Green
		72	Amber
	<b>TOTAL</b>	<b>2,644</b>	

SUMMARY	£'000	%
Green assessed	2,207	84
Amber assessed	72	3
Red assessed	65	2
Black Assessed	300*	11
<b>TOTAL</b>	<b>2,644</b>	<b>100</b>

\*Black Assessment denotes other factors impacting on savings delivery, which may not be within the direct control of the Resources Directorate Management Team.

## Finance and Resources Committee

10.00am, Thursday, 21 January 2021

### Chief Executive's Service - Revenue Budget Monitoring 2020/21 - Month Eight position

Executive/routine Wards Council Commitments	Executive All
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#### 1. Recommendations

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- 1.1 It is recommended that the Finance and Resources Committee notes that it is forecast that outturn expenditure will be in line with the approved revenue budget for the Chief Executive's Service for 2020/21.

**Andrew Kerr**

Chief Executive

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## Chief Executive's Service - Revenue Budget Monitoring 2020/21 - Month Eight position

### 2. Executive Summary

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- 2.1 The report sets out the projected eight-month revenue budget monitoring position for Chief Executive's services, based on actual expenditure and income to the end of October 2020 and expenditure and income projections for the remainder of the financial year.
- 2.2 Chief Executive's services is projecting expenditure to be within budget for 2020/21 after a budget pressure of £0.136m arising from a shortfall against a 2019/20 Council-wide senior management savings target of £0.5m has been fully mitigated. The attainment of this position is subject to ongoing actions to deliver all approved savings together with the active management of risks and pressures.

### 3. Background

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- 3.1 The Council's Financial Regulations require submission of quarterly monitoring reports on service financial performance to the Finance and Resources Committee.
- 3.2 This report advises on the current outturn projection for Chief Executive's services for 2020/21, based on the position after eight months of the financial year.

### 4. Main report

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- 4.1 The Chief Executive's services revenue budget for 2020/21 is £9.438m. The budget includes the cost of the Chief Executive's Office and the Strategy and Communications Division.
- 4.2 The period eight projection is for expenditure to be in line with the approved revenue budget for 2020/21 after a budget pressure of £0.136m, arising from a shortfall in the achievement of a 2019/20 senior management savings target, has been fully mitigated. An analysis of the projection by Division is provided in Appendix 1.

- 4.3 The approved 2020/21 revenue budget required the Chief Executive's Service to achieve savings of £0.100m in 2020/21. All planned savings for the Chief Executive's Service are forecast to be achieved in 2020/21. An assessment of the achievement of savings targets is detailed in Appendix 2.
- 4.4 Council-wide Senior Management savings of £0.364m (72%) approved in 2019/20 have been achieved to date and are classified as 'Green' with the remaining balance of £0.136m (28%) being progressed and therefore classified as 'Amber'. It is anticipated this savings target will be fully mitigated on a one-off basis through reduced loans charges.

## **5. Next Steps**

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- 5.1 Continuing work to manage financial risks and take timely remedial action, where any adverse variance become apparent.

## **6. Financial impact**

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- 6.1 The report forecasts expenditure to be in line with the approved revenue budget for Chief Executive's services for 2020/21. Attainment of this position is the subject of continuing work to identify mitigating measures, active management of financial risks and taking timely remedial action, where any adverse variances become apparent.

## **7. Stakeholder/Community Impact**

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- 7.1 The Chief Executive's Service is providing leadership for a number of key priority programmes which have involved stakeholder involvement and will have community impact of differing levels of magnitude, including the overall Adaptation and Renewal Programme co-ordination, the Council's Sustainability Programme and work to adapt to climate change and the response to the Edinburgh Poverty Commission. The Council's revenue budget includes expenditure impacting upon carbon, adaptation to climate change and contributing to sustainable development. In addition, all budget proposals are now subject to an upfront assessment across these areas.

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

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- 8.1 [Chief Executive's Services - Revenue Budget Monitoring 2020/21 - Month Five position](#) Finance and Resources Committee 29 October 2020

## **9. Appendices**

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- 9.1 Appendix 1 - Revenue Budget Monitoring 2020/21 - Month Eight position
- 9.2 Appendix 2 - Revenue Budget Savings and Pressures 2020/21.



# Appendices

## Chief Executive's Service - Revenue Budget Monitoring 2020/21

### Month Eight position

#### Appendix 1 - Forecast Revenue Outturn by Division

	Revised Budget	Projected Outturn	Projected Variance	Adverse / Favourable
	£'000	£'000	£'000	
Chief Executive's Office	256	231	(25)	FAV
Strategy and Communications Division	9,318	9,207	(111)	FAV
Senior Management Councilwide savings target	(136)	0	136	ADV
<b>Total Net Expenditure</b>	<b>9,438</b>	<b>9,438</b>	<b>0</b>	

#### Appendix 2 - Revenue Budget Savings 2020/21

Division	Saving Description	2020/21 £'000	Red/Amber/Green/Black assessment
Strategy and Communications Division	Strategy and Communications Workforce Savings	100	
	<b>TOTAL</b>	<b>100</b>	

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## Finance and Resources Committee

10.00am, Thursday 21 January 2021

### Change in accounting policy – capitalisation of interest costs

Executive/routine Wards Council Commitments	Executive
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#### 1. Recommendations

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- 1.1 The Finance and Resources Committee is recommended to:
  - 1.1.1 Agree the proposed change to accounting policy to allow interest to be capitalised under specific circumstances set out in the report and where the interest costs incurred during the construction phase exceed £2m.

**Stephen S. Moir**

Executive Director of Resources

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## Change in accounting policy – capitalisation of interest costs

### 2. Executive Summary

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- 2.1 The purpose of this report is to seek Members' approval to change the accounting policy to allow interest to be capitalised under specific circumstances for expenditure on qualifying assets.

### 3. Background

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- 3.1 The Council's accounting policies are aligned with International Accounting Standards.
- 3.2 Interest costs arising from capital expenditure are accounted for as revenue expenditure in the year in which they arise, with the costs being met through the loan charges budget, which is augmented by budget virements from services, where projects are funded on a prudential basis, through either income streams or revenue savings.
- 3.3 The Council's Financial Statements are prepared in accordance with the Code of Practice on Local Authority Accounting in the United Kingdom.
- 3.4 Capitalisation of interest was referred to in the Trams to Newhaven report to the Transport and Environment Committee at its meeting on 12 November 2020, which noted that the Council was considering changing its policy to allow for capitalisation during construction periods.

### 4. Main report

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- 4.1 A review has been undertaken on the suitability of the Council's current accounting policy for interest taking into consideration the requirements of large-scale projects, spanning more than one year of construction, and funded from future revenue streams. The Council currently accounts for loan charges in the year in which they arise. However, the opportunity to capitalise borrowing costs exists.

- 4.2 There is provision within the Accounting Code of Practice to enable an authority to implement a policy of capitalising borrowing costs. In order to do so, the authority will need to determine (i) an interpretation of what constitutes a qualifying asset and (ii) the borrowing costs that are to be capitalised. The following is an extract from the Code of Practice on Local Authority Accounting in the United Kingdom – Guidance Notes for Practitioners 2019/20 Accounts:

#### Qualifying assets

- M6** The definition of qualifying assets in paragraph 4.8.2.3 of the Code refers simply to assets that necessarily take a substantial period of time to get ready for their intended use or sale. Taking into account materiality, the practical outcome of this definition is that an asset will take a substantial period of time to get ready if the period is sufficiently long for a material balance of borrowing costs to accrue.
- M7** The implication is that if it would be material for an authority to accrue borrowing costs, the Code will support it doing so. Authorities will then set a prospective de minimis limit, based on the amount of borrowing costs estimated to be accrued and/or the period the asset is expected to take to get ready.

- 4.3 Adopting such a policy for interest costs associated with qualifying assets would allow costs to be better matched to income streams and would have a positive impact on wider financial sustainability issues in the short to medium term, noting that the overall loan charges associated with any project would be higher over the full repayment period. A de minimis limit of £2m for interest costs is proposed, taking account of the size and nature of the projects to which, the policy would be applied.

- 4.4 The Council's current policy on measurement of fixed assets reads as follows:

- **Measurement**

Infrastructure, community assets and assets under construction are measured at historical cost.

- 4.5 The proposed wording, taking account of the recommendation in this report, would be as follows:

***Measurement***

*Infrastructure assets, community assets and assets under construction are initially measured at historic cost, comprising their purchase price and any costs attributable to bringing the assets into use for their intended purpose.*

- 4.6 Where assets under construction will take a substantial period of time to be ready for their intended use, and the borrowing costs are to be met from associated income streams, then the interest costs that are directly attributable to the construction of the asset will be capitalised, subject to a de minimis limit of £2m of interest costs per asset under construction.

- 4.7 The Trams to Newhaven project meets the stated definition and will be accounted for on the basis of the changes set out in this report, if the recommendations are approved.
- 4.8 Members are asked to note that the capitalisation of interest costs represents the funding arrangements for a project and that any capitalised interest costs would sit outwith the approved capital budget for construction of a project but will be included in the revenue implications of the project.
- 4.9 Members are asked to note that the change in policy, if approved, would be applied retrospectively to the 2019/20 financial year.

## **5. Next Steps**

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- 5.1 If the report recommendations are approved, interest costs will be retrospectively capitalised in 2019/20 for the Trams to Newhaven project, with the changes reflected and reported in the 2020/21 Financial Statements.

## **6. Financial impact**

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- 6.1 The financial impact will depend on the borrowing costs associated with construction period of any qualifying asset.
- 6.2 The immediate financial impact would be to capitalise circa £1.2m of interest in the 2019/20 Financial Statements, with the amount for 2020/21 to be determined at the end of the financial year. There will be no impact on the revenue outturn arising directly from this change in policy, as interest costs had been met from reserves earmarked for the tram project, and these monies will be returned to the earmarked reserve.

## **7. Stakeholder/Community Impact**

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- 7.1 An informal discussion has been held with the Council's external auditor in respect of this proposed change in accounting policy.

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

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- 8.1 Not applicable.

## **9. Appendices**

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- 9.1 None

## Finance and Resources Committee

10.00am, Thursday 21 January 2021

### Civic Hospitality Policy and Budget Adjustments

<b>Item number</b>	
<b>Executive/routine</b>	<b>Executive</b>
<b>Wards</b>	<b>All</b>
<b>Council Commitments</b>	2, 6, 7, 9, 15, 18, 31, 46, 47, 51, 52

#### 1. Recommendations

- 1.1 It is recommended that the Committee:
- 1.2 welcomes the progress made by the Lord Provost and Depute Lord Provost in tackling the recent back log of one-off civic commitments, as set out in appendix one;
- 1.3 agrees the highlighted changes to the Council's Civic Hospitality Policy as set out in appendix two; and,
- 1.4 approves the proposed carry forward of fifty per cent of this year's underspend on civic hospitality, estimated at £30,000 as an addition to the 2021/22 budget allocation.

**Andrew Kerr**

Chief Executive

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## Civic Hospitality Policy and Budgetary Adjustments

### 2. Executive Summary

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- 2.1 This report highlights recent progress in meeting outstanding civic hospitality commitments, in the context of COVID-19 restrictions. The specific role of the Depute Lord Provost is also detailed together with necessary adjustments to the Council's Civic Hospitality Policy.
- 2.2 In preparation for key events and an enlarged civic programme in 2021/22, in support of the efforts of the people, communities and key workers of Edinburgh during the pandemic, a carry forward of underspend in this year's Civic Hospitality Budget is requested. This is proposed at a level of fifty percent of the projected total remaining.

### 3 Background

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- 3.1 At its meeting on 25 August 2020, the Council approved the report "Support of Civic Life in the Capital City":  
<https://democracy.edinburgh.gov.uk/documents/s25495/Item%208.2%20-%20Support%20of%20Civic%20Life%20in%20the%20Capital%20City.pdf>
- 3.2 This included a more clearly defined role for the Depute Lord Provost and the requirement for a proposed adjustment to the Civic Hospitality Policy. This report addresses these key points and also seeks approval for a partial carry forward of underspend in this year's Civic Hospitality Budget.

### 4 Main report

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- 4.1 Since the report to Council on 25 August 2020, the Lord Provost and Depute Lord Provost have worked jointly on addressing the backlog of one-off civic commitments in the city. Positive progress has been made in the context of the pandemic and by using alternative methods of engagement, where necessary to comply with public health guidance.



- 4.2 A summary of recent activity is contained in appendix one. The fulfilment of these commitments is also tracked on the new galaxy website:  
[www.edinburghlordprovost.com](http://www.edinburghlordprovost.com)

### **Adjustments to the Civic Hospitality Policy**

- 4.3 In formalising the enhanced role of the Depute Lord Provost, an amendment to the Council's Civic Hospitality Policy is now required. The existing policy was established on 29 October 2015 when the Finance and Resources Committee approved a Scheme of Delegation to Officers. This was updated in 2019 to reflect alterations to Lead Officer designations and job titles.
- 4.4 The current scheme specifies that requests for civic hospitality are considered against established criteria in consultation with the Lord Provost. This arrangement needs to be widened out to also include the Depute Lord Provost as a co-consultee and as a substitute in the absence of the Lord Provost.
- 4.5 These changes are shown in the highlighted (in red) changes to the Civic Hospitality Policy as set out in appendix two. A further adjustment is also proposed in relation to the recognition of key anniversaries. Beyond 100 years, it is thought appropriate to include each decade thereafter in the eligibility criteria. This change is also highlighted in appendix two.

### **Civic Hospitality Budget**

- 4.6 Aligned to the Civic Hospitality Policy is an annual budget held within the Office of Lord Provost amounting to £67k in 2019/20. For reasons clearly connected with COVID-19 the budget is significantly underspent with an estimated spend of only £7k at the year end.
- 4.7 It is now proposed to carry forward fifty per cent of the projected underspend (£30k/£60k) as an addition to the normal level of budgetary provision for civic hospitality in 2021/22. This is in anticipation of the eventual easing of restrictions in 2021/22 and the opportunity to plan unique civic events that will mark the experience of the pandemic and boost morale in the city. The remaining underspend would be offered as a one-off savings contribution to support the Council's corporate financial mitigations given the expenditure and income challenges experienced during 2020/21.

### **Anticipated Civic Events in 2021/22**

- 4.8 These plans include a Lord Provost Community Garden Party at the refurbished Saughton Walled Garden. A bid for The Princess Royal, who opened the restored Garden in June 2019, to attend and meet invited guests from key sectors across Edinburgh's caring community has been submitted to the Palace. This event would also provide an ideal opportunity for the presentation of key awards to volunteers and other outstanding individuals.
- 4.9 A proposal to align the response to COVID-19 with the Installation of the Governor of Edinburgh Castle is also under consideration. The outline idea is to hold a civic procession (drawn from organisations that helped to fight the pandemic) from

Holyrood to the Castle where the Installation of the Governor would take place on the Esplanade. The Council's Public Safety and Events Team is currently considering this and more detailed plans will come forward in due course.

- 4.10 The third civic event which will place an additional demand on the Civic Hospitality Budget in 2021/22 concerns the plans for the 250<sup>th</sup> Anniversary of Sir Walter Scott. These include a Service of Celebration on 25 June 2021 at St Giles Cathedral followed by a Grand March to the Scott Monument. The Civic Office and Members of the Council will be closely involved with this commemoration, with a likely undertaking to meet some of the costs that will arise.
- 4.11 Further plans for civic events are likely to emerge as the city comes out of lockdown and so it is appropriate and desirable to create an enhanced Civic Hospitality Budget in the next financial year, on a one-off basis. Any individual civic hospitality event costing £10,000 and above will be reported separately to the Finance and Resources Committee for specific approval, as a part of the Chief Executive's Service Budget Monitoring Reports. All future events will be subject to any COVID-19 restrictions in place at the time.

## **5 Financial impact**

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- 5.1 The Office of Lord Provost operates within the budget allocated in the Council's previous Financial Plan 2017-21. This amounts to a total budget of £507,891 in 2020/21, including £67,000 for Civic Hospitality. In carrying forward £30k in underspend from this year's budget, provision for Civic Hospitality in 2021/22 would be boosted on a one-off basis to £97k.

## **6 Stakeholder/Community Impact**

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- 6.1 The Office of the Lord Provost routinely undertakes engagement and co-production with a broad range of stakeholders, leading community representatives and business organisations.
- 6.2 Speeches and other inputs for events are developed in consultation with the organisers.
- 6.3 The Office of the Lord Provost assists both the Council and city partners to deliver key equality and rights outcomes, and to meet the Equality Act 2010 public sector equality duties to (i) eliminate unlawful discrimination, harassment, and victimisation, (ii) advance equality of opportunity, and (iii) foster good relations.
- 6.4 The Lord Provost's stewardship of the One City Trust is also an important lever in helping to mitigate the negative impacts of poverty and inequality across the Capital.
- 6.5 The Office of the Lord Provost endeavours to mitigate carbon impacts by utilising public transport where and when appropriate, where any long-distance travelling is required.

- 6.6 The Office of the Lord Provost contributes to the Climate Change (Scotland) Act 2009 public sector duties and contributes to the delivery of Sustainable Edinburgh 2020 objectives, the advancement of vibrant flourishing communities, social and economic wellbeing and an efficient and effectively managed city.

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

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- 7.1.1 See [www.edinburghlordprovost.com](http://www.edinburghlordprovost.com)

## **8 Appendices**

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- 8.1 Appendix One: Summary of One- Off Civic Commitments and Actions Taken
- 8.2 Appendix Two: Highlighted Changes to the Civic Hospitality Policy

## SUMMARY OF ONE- OFF CIVIC COMMITMENTS AND ACTIONS TAKEN

### Civic Hospitality/Recognition

#### Actioned:

- 100 Years Commemoration of the 1920 Edinburgh Extension Act: Lord Provost Speech filmed on 26 October 2020.
- Civic Visit to Empty Kitchens Full Hearts: Undertaken by the Lord Provost on 6 November 2020.
- 35<sup>th</sup> Anniversary of the Drylaw Rainbow Neighbourhood Centre: Visit by the Depute Lord Provost and Presentation of Commemorative Plaque took place on 14 December 2020.
- 350<sup>th</sup> Anniversary of the Royal Botanical Garden: Lord Provost and Depute Lord Provost to visit and tour the Garden on 2 February 2021.
- 50<sup>th</sup> Anniversary of Garvald Edinburgh: Depute Lord Provost to visit the Gorgie building early in 2021.
- 50<sup>th</sup> Anniversary of the Edinburgh Archaeological Field Society: Lord Provost to visit excavations at the Cammo Estate early in 2021.

#### Visits by the Lord Provost/Depute Lord Provost before the Summer Recess 2021 offered to:

- The North Merchiston Club (100<sup>th</sup> Anniversary)
- Edinburgh 1970 Commonwealth Games (50<sup>th</sup> Anniversary)
- Boroughmuir Rugby Club (100<sup>th</sup> Anniversary)
- Leith Victoria A.A.C (100<sup>th</sup> Anniversary)

#### Pending:

- Mr Hugh Thomson, A Fab Currie: LP to invite Mr Thomson for a socially distanced drink at a local establishment (Ref Cllr Webber Motion to Council on 15 October 2020).
- "Telegram" and Reception for Peter Sawkins, Winner of Great British Bake Off (Ref Cllr Weber Motion to Council on 10 December 2020)
- Honorary title of Burgess of the City of Edinburgh to be bestowed upon Peter Sawkins (Approved Addendum by the Coalition on 10 December 2020).
- Congratulations to be conveyed by the Lord Provost to the Farmers Market Co-operative Committee (Ref Cllr Cameron Motion to Council on 10 December 2020).

NC 15 December 2020

### Policy statement

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- 1.1 This policy sets out how expenditure on civic hospitality should be managed and agreed.

### Scope

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- 2.1 This policy applies to all civic hospitality provided by the Council, whether on its own initiative or in response to an application. It does not apply to general hospitality which for example would include tea and coffee for meetings or training events.

### Definitions

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- 3.1 Civic Hospitality can be provided for a variety of reasons and is provided on behalf of the Council, a particular Council committee or the Lord Provost. Civic Hospitality should not be provided for political purposes. When deciding whether to approve civic hospitality, consideration should be given as to whether it is in line with the Council's strategic priorities. Additionally, civic hospitality should only take place for one or more of the following reasons:
- 3.1.1 To welcome distinguished visitors to the City;
  - 3.1.2 To mark special achievements and/or present awards;
  - 3.1.3 To celebrate the major anniversaries of organisations which have contributed to the general wellbeing of the City;
  - 3.1.4 Hospitality in connection with the civic services at St Giles Cathedral;
  - 3.1.5 Hospitality associated with Edinburgh's festivals;
  - 3.1.6 Hospitality in connection with prestigious conferences, events or festivals taking place within the City; or
  - 3.1.7 To promote the Council's strategic priorities or a committee's objectives or policies.

## Policy content

- 4.1 Civic hospitality should, wherever practical, be held on Council premises. If accommodation on Council premises is not available or is insufficient then alternative locations may be agreed by the Chief Executive.
- 4.2 The Lord Provost, Deputy Convener or nominated Baillie will host the majority of civic receptions. The appropriate committee convener or his/her nominee will host civic receptions when the hospitality is being provided on behalf of a particular committee.
- 4.3 Where an applicant specifically requests use of a venue outwith Council premises for the convenience of their event, a civic hospitality grant may be awarded. The grant should be limited to the equivalent cost of holding the reception in Council premises.
- 4.4 Funding for civic hospitality will be met by the Lord Provost's civic hospitality budget unless it is for receptions on behalf of a particular committee which will be met by the relevant service area.
- 4.5 The Council will provide the venue for receptions associated with externally hosted conferences if appropriate and will negotiate with the applicant a suitable financial arrangement to meet the cost of food and drink provided.
- 4.6 The celebration of major anniversaries should normally be restricted to multiples of 25 years up to 100 years and thereafter multiples of **10 years**. It is also hoped that increasingly more lasting confirmation, such as scholarships, can be proposed which will replace receptions in some cases.
- 4.7 General hospitality providing for example tea and coffee for meetings and training events are not covered by this policy.

## Implementation

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- 5.1 If approved this policy will be published on the Council's website and made available to the appropriate officers to ensure any reporting is undertaken appropriately.

## Roles and responsibilities

- 6.1 The Chief Executive has delegated authority to approve expenditure on civic hospitality up to £10,000, in consultation with the Lord Provost **and/or the Depute Lord Provost** or the appropriate convener if the hospitality is provided on behalf of a Council committee. Approval should be sought from the Finance and Resources Committee on individual items of expenditure which costs £10,000 and above. This approval should be brought in the form of a report to the Finance and Resources Committee.
- 6.2 Any amount spent on hospitality that is outwith the relevant allocated budget requires approval by the appropriate committee, which is the Finance and Resources Committee for the civic hospitality budget within the Lord Provost's area.
- 6.3 The Office of the Lord Provost will co-ordinate the organisation and administrative arrangements for all civic hospitality unless it is mutually agreed that another service area will do so.
- 6.4 Executive Directors and the Chief Executive are responsible for ensuring expenditure on civic hospitality is contained in their respective budgets.

## Related documents

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- 7.1 Scheme of Delegation to Officers.

## Equalities impact

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- 8.1 There are no equalities issues arising from this policy.

## Sustainability impact

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- 9.1 There are no sustainability issues arising from this policy.

## Risk assessment

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- 10.1 This policy was refreshed in October 2015 and was amended with job title changes in August 2019.

## **Review**

11.1 In line with the Council's policy framework, this policy will be reviewed annually or more frequently if appropriate and submitted to the relevant Council committee.



## Finance and Resources Committee

**10.00am, Thursday 21 January 2021**

### **Workforce Dashboard – November 2020**

#### **Item number**

**Executive/Routine  
Wards**

**Executive  
All**

**Council Commitments**

#### **1. Recommendations**

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- 1.1 To review and note the workforce information contained in the dashboard.

**Stephen S. Moir**

Executive Director of Resources

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# Report

## Workforce Dashboard

### 2. Executive Summary

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- 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 **November 2020**.

### 3. Background

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- 3.1 Comparison is made to the previous dashboard reporting period, October 2020.

### 4. Main report

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- 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 increased this period by 80 FTE to 14,780 FTE, and the basic salary pay bill increased by £1.7m to £460.6m. 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 October 2020 and November 2020.
- 4.5 **Figure 4** shows the change in Directorate FTE between October 2020 and November 2020.
- 4.6 Permanent contracts increased by 8 FTE, Fixed Term Contracts (FTCs) increased by 56 FTE, acting up and secondment contracts decreased by 28 FTE and apprentice/trainee contracts increased by 1.
- 4.7 The annual cost of permanent contracts decreased by £0.1m and FTCs increased by £1.6m. The cost of acting up and secondment arrangements increased by £0.2m, and the cost of apprentices/trainees increased by £2k.
- 4.8 The cost of organisation new starts was £2.5m and the cost of leavers was £1.9m.
- 4.9 The spend on Working Time Payments (WTPs) increased by £14K to £729K.
- 4.10 **Figure 5** shows longer term Local Government Employee workforce change, between June 2015 and November 2020 (i.e. before and after Transformation).

## Flexible Workforce

- 4.11 In the period, this workforce was equivalent to approximately 898 FTE. The associated costs for this period decreased by £0.5m to £2.46m. (**Figure 6**).
- 4.12 The spend on the agency workforce decreased by £373K and cost the organisation £1.3m in the period. Of the total spend, 87% is attributable to the primary and secondary agency suppliers, whilst 13% relates to off-contract spend. The agency workforce this period was the equivalent of 438 FTE, with an average monthly workforce of 525 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 76K this period to £640K. 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 307 FTE, with an average monthly workforce of 298 FTE (12-month average). The casual/supply cost trend is shown in **Figure 8**.
- 4.15 The total cost of overtime decreased by £61K this period to £567K. A breakdown of the spend by overtime “type” is detailed in **Figures 9 and 10**. Around 58% of the spend was made at the enhanced overtime rate, none was paid at the public holiday rate, 15% was paid at plain time, and 16% related to call-out hours. The overtime/additional hours worked this period was the equivalent of 152 FTE, with an

average monthly workforce of 190 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 is the same as last period.
- 4.17 Of the 26 employees currently displaced; 18 have now been temporarily redeployed and 8 are not currently redeployed into a temporary solution but are carrying out meaningful work in their former service area.
- 4.18 The funding arrangements for the total displaced FTE is as follows; 15.2 FTE are corporately funded; 8.0 FTE are funded by their service and 1.0 FTE are funded externally
- 4.19 Of those corporately funded; 7.2 FTE are currently redeployed and 8.0 FTE are not currently redeployed. All 15.2 FTE of the corporately funded FTE have been on the redeployment register for longer than 12 months.
- 4.20 As at November 2020, £681,879 of salary costs have been saved from redeployment costs as a result of colleagues securing alternative employment within or outwith the organisation.

### **Absence**

- 4.21 In the period the monthly absence rate (reflecting days lost to absence in November 2020) increased from 4.37% (October 2020) to 4.99% (see **Figures 12, 13 and 14**). These figures exclude COVID related absence. While the Council Sickness average increased by 14% in the month, this is localised, ranging from a 2% rise in Place Directorate to a 24% rise in Communities & Families Directorate and a 34% increase in Teaching staff on the month.
- 4.22 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 decrease in organisation absence in the last 12 months.

### **Learning and Development**

#### **Utilisation**

- 4.23 As most of our current delivery is facilitated through MS Teams, we have attempted to be flexible by offering as large a number of spaces as is feasible but still retaining an interactive learning experience for colleagues. We also hope that by arranging courses at a variety of times, participants will be able to access learning when it best suits their working day. We increased the number of face to face and virtual learning events throughout the month of November. Participants who completed online evaluation surveys mostly gave a rating of good or excellent. Child Protection virtual sessions had 100% excellent rating and Mental Health Awareness a 100% good rating. (**Appendix 1**).

- 4.24 The Learning and Development Team made arrangements to provide a virtual Train the Trainer session for colleagues interested in facilitation of Adult Support and Protection learning.

## **5. Next Steps**

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- 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**

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- 6.1 The achievement of agreed £38.9m 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**

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- 7.1 Stakeholder consultation and engagement, including senior management teams, Trade Unions and elected members, is ongoing.

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

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- 8.1 [Workforce Control Report and Dashboard to Finance and Resources Committee on 3 December 2020.](#)

## **9. Appendices**

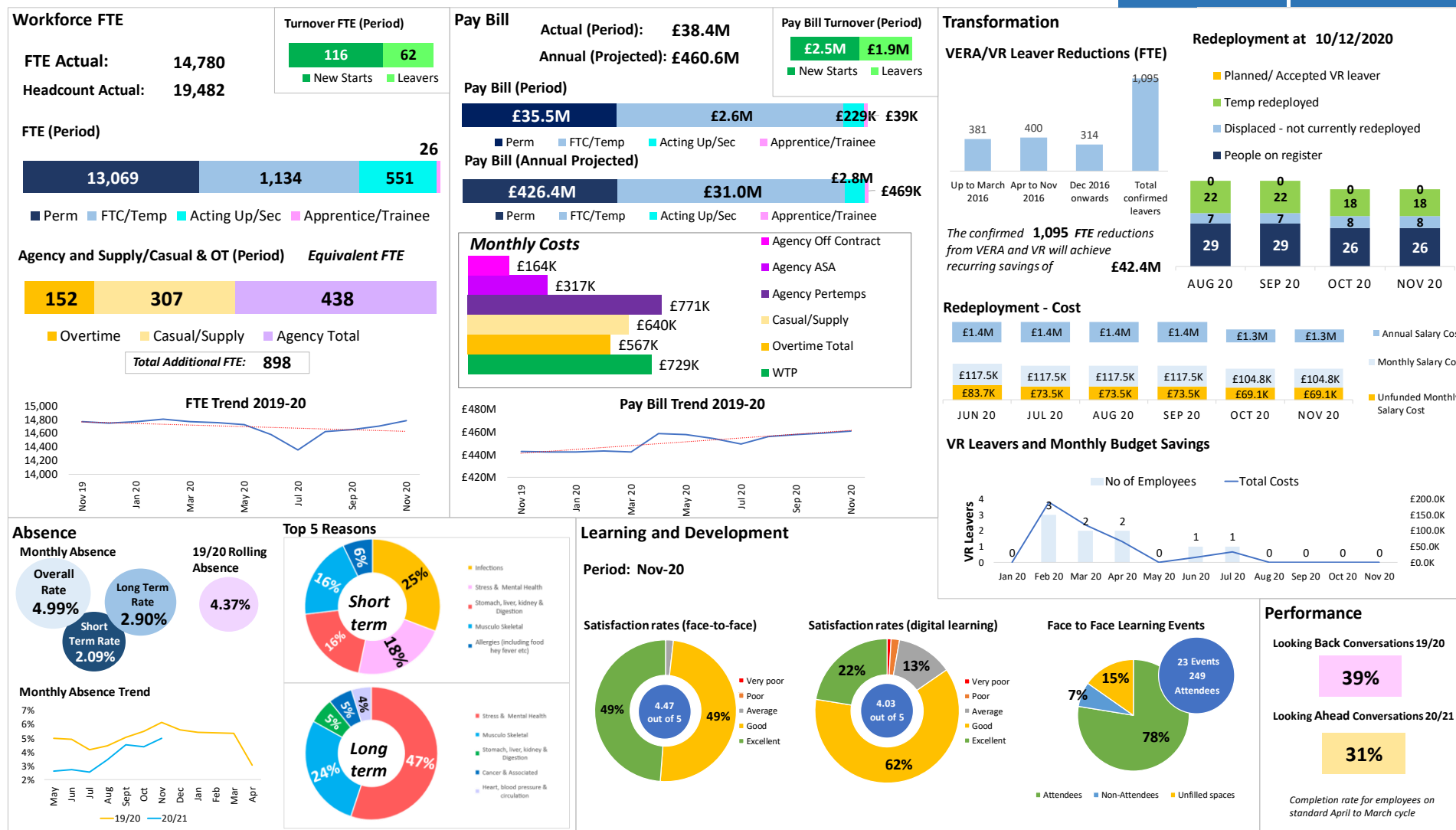
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Appendix 1: Finance and Resources Committee Workforce Dashboard

Appendix 2: Finance and Resources Committee Workforce Dashboard Glossary

Appendix 3: Workforce Management Information and Trends

## Appendix 1: Finance and Resources Committee Workforce Dashboard



## Appendix 2: Finance and Resources Committee Workforce Dashboard

<h2>Workforce FTE</h2> <div><div><div><div><div><div>FTE Actual:</div><div>Sum of FTE for all staff on CEC payroll</div></div><div><div>Count of total contracts/positions is not reported here</div></div></div><div><div>Headcount Actual:</div><div>Total number of individual employees on CEC payroll</div></div></div></div><div><div><div>FTE (Period)</div><div>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.</div></div><div><div><div>Additional FTE* (Period)</div><div>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.</div><div>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.</div><div>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.</div><div>Casual/supply - cost of hours claimed at last transaction date. Data extracted at week 1 to capture late payments.</div></div><div><div><div>FTE Trend</div><div>Archive data from previous S&amp;I dashboard process.</div></div><div><div><div>Turnover FTE (Period)</div><div>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).</div></div></div></div></div><div><div><div>Absence</div><div>All tables and graphs based on preceding 12 months absence data for all staff on CEC payroll.</div><div>Data extracted at week 1 to capture late</div></div><div><div><div>Trend data - archive data from previous S&amp;I dashboard process.</div></div></div></div></div></div>		<div><div><div><div><div><div>Pay Bill</div><div><div><div>Actual (Period):</div><div>Sum of pro-rated basic salary for all staff on CEC payroll</div></div><div><div>Annual (Projected):</div><div>Sum of pro-rated basic salary for all staff on CEC payroll*12</div></div></div><div><div><div>Pay Bill (Period)</div><div>Breakdown of basic pay by contract type for all staff on CEC payroll. Same reporting conditions as for FTE.</div></div><div><div><div>Pay Bill (Annual Projected)</div><div>Breakdown of basic pay by contract type for all staff on CEC payroll*12. Same reporting conditions as for FTE.</div><div>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).</div></div></div><div><div><div>Monthly Costs</div><div>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.</div></div><div><div><div>Pay Bill Turnover (Period)</div><div>As FTE. Costings report on the annual basic salaries (pro-rated) for new start and leaver populations.</div></div><div><div><div>Pay Bill Trend</div><div>Archive data from previous S&amp;I dashboard process.</div></div></div></div></div><div><div><div>Performance</div><div><div><div>Looking Ahead Conversations</div><div>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.</div></div><div><div><div>Looking Back Conversations</div><div>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.</div></div></div></div></div></div></div></div></div></div></div></div>	<div><div><div><div><div><div>Transformation</div><div><div><div>VERA/VR Leaver Reductions (FTE)</div><div>Data from Finance at week 4 of month.</div></div><div><div>Redeployment - People</div><div>Headcount of staff on redeployment register with status surplus, temp redeployed, future dated VERA/VR leaver. Data extracted at 27th of month.</div></div><div><div>Redeployment - Cost</div><div>Pro-rated basic salary data for staff on redeployment register.</div></div><div><div>VR Leavers and Cumulative Budget Savings</div><div>Data from Finance at week 4 of month.</div></div></div></div></div></div></div></div>
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## Appendix 3: Workforce Management Information and Trends

### Core Workforce: Management Information and Trends

Fig 1. FTE Trend

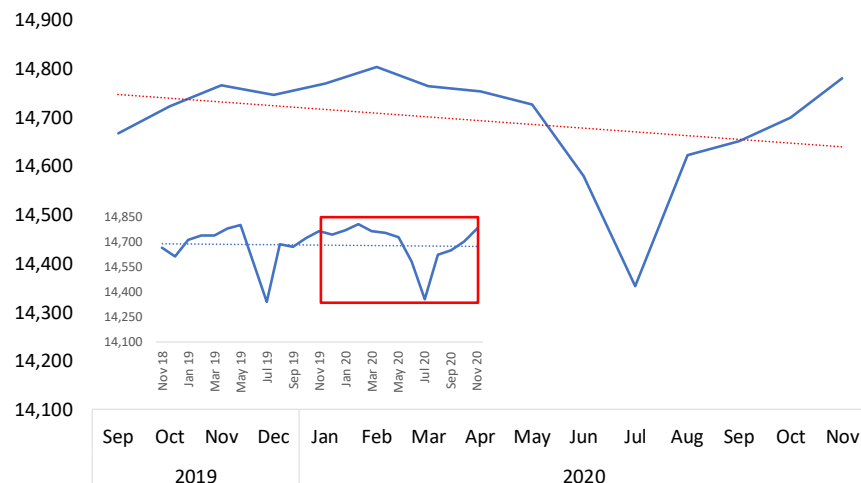


Fig 2. Pay Bill Trend

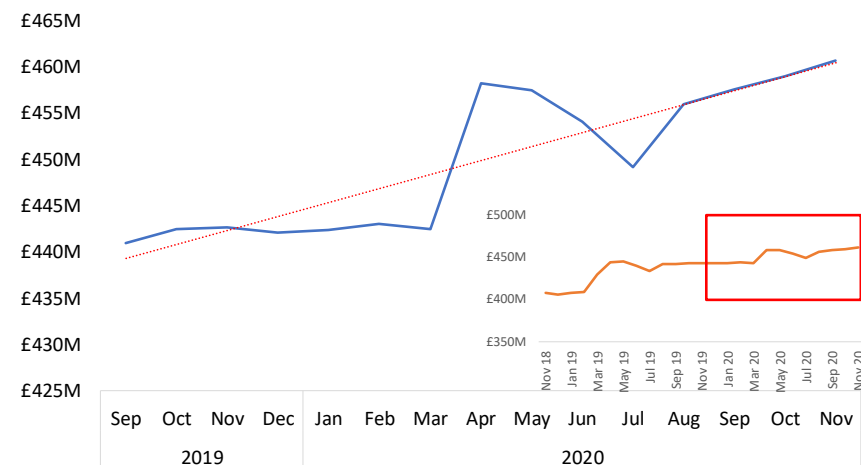


Fig. 3 Core Workforce Groups

Category/ Group	October 2020		November 2020		Change in FTE	Change in Headcount
	FTE	Headcount	FTE	Headcount		
Local Government Employee GR1-GR12 including Craft	10,814	13,502	10,873	13,586	58	84
Chief Official	16	16	16	16	0	0
Craft Apprentice	19	19	19	19	0	0
Teaching Total	3,851	4,917	3,872	4,949	21	32
<b>Council Total</b>	<b>14,700</b>	<b>18,454</b>	<b>14,780</b>	<b>18,570</b>	<b>80</b>	<b>116</b>

Note: Chief Official figures exclude Chief Executive

Fig. 4 Core Workforce FTE by Directorate

Directorate	October 2020		November 2020		Change in FTE	Change in Headcount
	FTE	Headcount	FTE	Headcount		
Strategy & Comms	150	161	149	160	-1	-1
C&F	7,975	10,427	8,062	10,557	87	130
EH&SCP	2,092	2,378	2,078	2,363	-14	-15
Place	2,312	2,703	2,314	2,702	2	-1
Resources	2,148	2,762	2,156	2,767	8	5
Displaced	23	23	21	21	-2	-2
<b>Council Total</b>	<b>14,700</b>	<b>18,454</b>	<b>14,780</b>	<b>18,570</b>	<b>80</b>	<b>116</b>



## 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 15 to November 20	
		June 2015		June 2017		June 2018		June 2019		June 2020		November 2020		Change in LGE FTE	Change in LGE Basic Salary Cost
		FTE	Basic Salary Cost	FTE	Basic Salary Cost	FTE	Basic Salary Cost	FTE	Basic Salary Cost	FTE	Basic Salary Cost	FTE	Basic Salary Cost		
<b>Front Line Staff</b>	GR1	624	£8.1M	638	£8.4M	595	£8.1M	576	£8.3M	240	£3.6M	239	£3.5M	-386	£4.5M
	GR2	244	£3.4M	198	£2.9M	170	£2.5M	167	£2.6M	496	£7.8M	508	£8.0M	264	£4.5M
	GR3	2,374	£38.2M	2,124	£34.9M	2,089	£35.1M	1,965	£34.9M	2,038	£37.3M	1,989	£36.3M	-385	£1.9M
	GR4	2,479	£45.8M	2,567	£48.1M	2,444	£46.8M	2,549	£52.0M	2,445	£51.8M	2,402	£50.7M	-77	£4.9M
<b>Front Line Manager/ Specialist</b>	GR5	1,808	£40.6M	1,563	£35.2M	1,545	£35.3M	1,634	£39.6M	1,674	£41.9M	1,724	£42.7M	-85	£2.1M
	GR6	1,421	£37.1M	1,337	£35.9M	1,397	£38.0M	1,444	£41.8M	1,402	£42.2M	1,265	£37.6M	-156	£0.4M
	GR7	1,520	£48.0M	1,296	£42.1M	1,294	£42.4M	1,294	£45.2M	1,300	£46.8M	1,308	£46.9M	-212	£1.1M
	GR8	776	£29.2M	652	£25.1M	689	£26.7M	700	£29.0M	711	£30.3M	721	£30.6M	-55	£1.4M
<b>Managers</b>	GR9	359	£15.9M	280	£12.9M	281	£13.0M	279	£13.9M	276	£14.2M	284	£14.5M	-75	£1.4M
	GR10	118	£6.3M	123	£6.5M	117	£6.4M	120	£7.0M	127	£7.7M	127	£7.7M	10	£1.3M
	GR11	47	£3.0M	36	£2.3M	36	£2.4M	38	£2.7M	33	£2.4M	34	£2.5M	-13	£0.5M
	GR12	31	£2.2M	33	£2.4M	38	£2.8M	42	£3.3M	40	£3.3M	41	£3.4M	10	£1.2M
<b>Total</b>		<b>11,801</b>	<b>£277.8M</b>	<b>10,849</b>	<b>£256.8M</b>	<b>10,694</b>	<b>£259.4M</b>	<b>10,808</b>	<b>£280.5M</b>	<b>10,782</b>	<b>£289.2M</b>	<b>10,642</b>	<b>£284.3M</b>	<b>-1,159</b>	<b>£6.5M</b>

## Appendix 3: Workforce Management Information and Trends (continued)

### Flexible Workforce: Management Information and Trends

Fig. 6 Flexible Workforce in Period

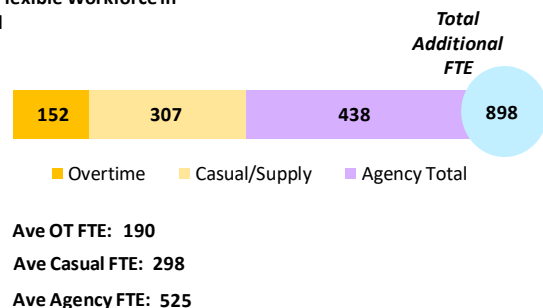


Fig. 7 Agency Trend

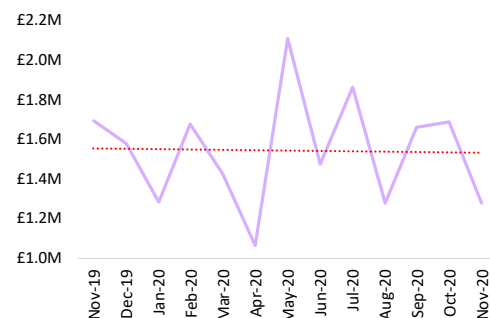


Fig. 8 Casual Trend

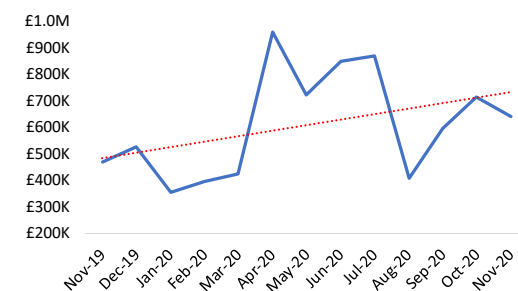


Fig. 9 Overtime by Type in Period

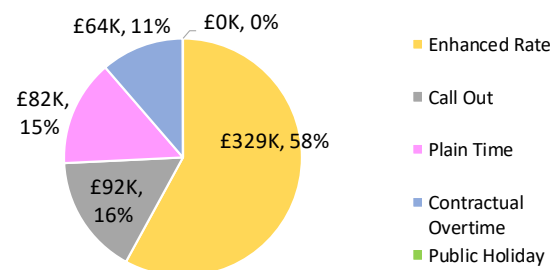


Fig. 10 Overtime by Type in Period - By Directorate

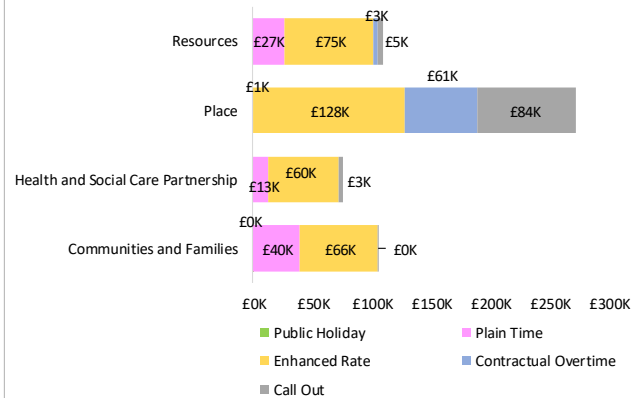
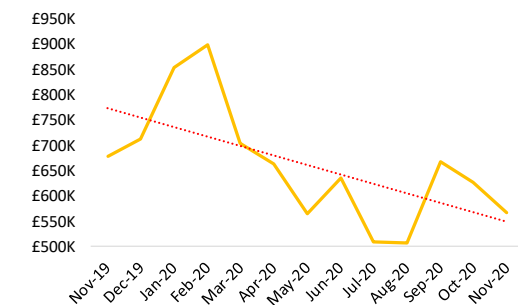


Fig. 11 Overtime Trend



## Appendix 3: Workforce Management Information and Trends (continued)

### Core Workforce: Management Information and Trends

Fig 12. Monthly Absence Rate

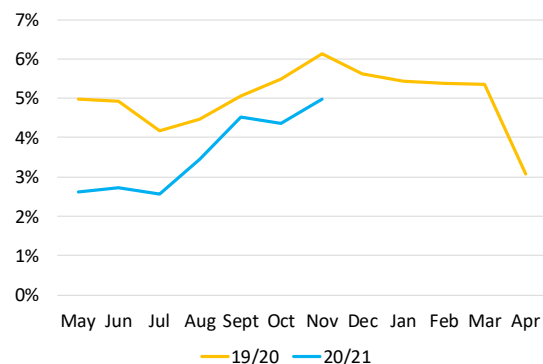


Fig 13. Monthly Days Lost

	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
Sep	13,821	11,986
Oct	15,101	12,020
Nov	16,373	13,329
Dec	15,524	
Jan	15,008	
Feb	13,938	
Mar	14,854	
Apr	8,570	

Fig 14. Monthly Absence Rate 19/20 - Directorates

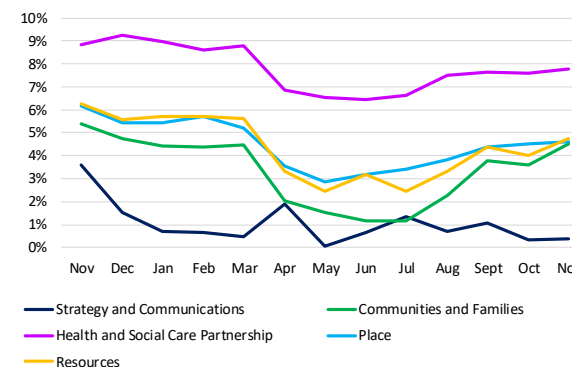


Fig 15. Rolling Absence Rate

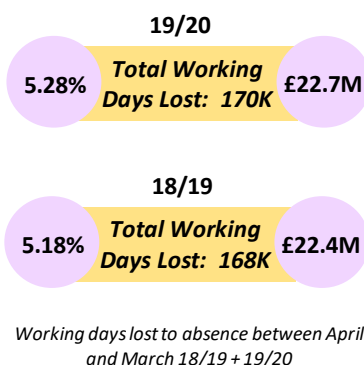
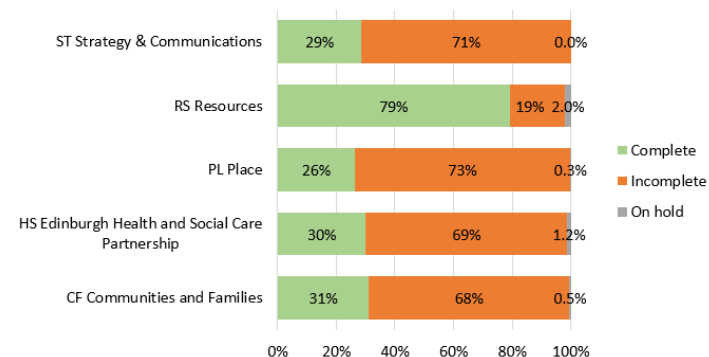


Fig 16. Rolling Absence - Directorates

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 November 20





# Finance and Resources Committee

10.00am, Thursday 21 January 2021

## Award of a Contract for the Provision of Temporary Agency Staff, Permanent, Fixed Term Contract and Short-Term Supply Resources

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 award of a Contract for the Provision of Temporary Agency Staff, Permanent, Fixed Term Contract and Short-Term Supply Resources to Pertemps Recruitment Partnership Limited; and,
  - 1.1.2 Approves the commencement of the contract on 12 June 2021 for an initial period of three years with one optional 12-month extension (undertaken at the sole discretion of the Council) at a total estimated value of up to £56,000,000 over the four-year period.

**Stephen S. Moir**

Executive Director of Resources

Contact: Katy Miller, Head of Human Resources,

Human Resources Division, Resources Directorate

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## **Award of a Contract for the Provision of Temporary Agency Staff, Permanent, Fixed Term Contract and Short-Term Supply Resources**

### **2. Executive Summary**

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- 2.1 This report seeks the approval to award a Contract for the Provision of Temporary Agency Staff, Permanent, Fixed Term Contract and Short Term Supply Resources to Pertemps Recruitment Partnership Limited, to commence on 12 June 2021 for an initial period of three years with one optional 12 month extension (undertaken at the sole discretion of the Council) at a total estimated value of up to £56,000,000 over the four year period.

### **3. Background**

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- 3.1 The City of Edinburgh Council (the Council) has a recurring requirement to provide temporary agency workers across the Council to support services throughout the year and to provide an additional flexible resource for service areas. Agency workers are also recruited on an ad hoc shift basis or for a specified period of time, normally up to 12 weeks. In terms of Fixed Term and Permanent recruitment, on occasion the Council may seek an external partner to support recruitment to either an individual role or a specific campaign. This contract will provide the Council with external support for the next three or four years.
- 3.2 The current contract is with Pertemps Recruitment Partnership Limited and was awarded by a mini competition in 2017 through the Eastern Shires Purchasing Organisation (ESPO), a local government regional procurement collaborative, Managed Services for Temporary Agency Resources (MSTAR2) Framework for a period of three years plus one optional 12-month extension which expires on 11 June 2021.
- 3.3 The award of this contract to Pertemps affords the Council the opportunity to build on the previous four years, to build on consolidation of its supply chain to one master supplier, supported by an agreed Tier 2 supplier model. This will continue to be underpinned by appropriate oversight and governance, to ensure the ongoing

development and maintenance of a streamlined and efficient approach to recruitment.

- 3.4 The Council will continue to recruit via existing channels such as myjobscotland and to establish other recruitment channels by developing internal capability (such as direct hire through LinkedIn and via the Council's social media channels).

## **4. Main report**

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- 4.1 Commercial and Procurement Services (CPS) undertook a mini competition utilising Lot 1b (Managed Service Provision: Master Vendor) from ESPO's Managed Services for Temporary Agency Resources (MSTAR3) Framework Agreement (Ref: 653F\_19).
- 4.2 On 12 October 2020, the Council issued an invitation on Public Contracts Scotland (PCS) to nine Managed Service Providers (MSPs) on Lot1b (Managed Service Provision: Master Vendor) of the Framework with a submission deadline of 11 November 2020.
- 4.3 A cost/quality ratio of 50%/50% was applied to encourage competitive fees whilst ensuring that the MSP could fulfil the Council's requirements. To further protect the quality element a minimum quality threshold of 60% was applied, with the Council having the discretion to disqualify MSPs who did not achieve this threshold.
- 4.3.1 Cost 50%
- The price for evaluation was based on fees against pay rate ranges for notional hours in several assignment categories (for Temporary Agency Staff) and notional posts for salary bands (for Permanent Resources, Fixed Term Contract Resources and Short Term Supply Resources) and considered both direct fill from the MSP's own pool and utilisation of Tier 2 Providers. MSP's were requested to complete the Pricing Schedule on the basis of Transfer Under Protected Employment (TUPE) applying.
- 4.3.2 Quality 50%
- In order to demonstrate high standards of service quality, MSP's were requested to answer questions on their proposed service delivery model and attraction strategy. Further questions included fair working practices, community benefits and ensuring compliance with the Equality Act 2010 and Modern Slavery Act 2015.
- 4.4 A summary of the tender process is attached at Appendix1 and the recommendation for award of contract is based upon the completed evaluation scores for the tenders as detailed below:

Managed Service Provider	Quality Score (50%)	Cost Score (50%)	Total Score (100%)
Pertemps Recruitment Partnership Limited	42.50	50.00	92.50
Tenderer B	39.38	41.58	80.96
Tenderer C	39.06	26.51	65.57

- 4.5 The contract will be managed by the Lead Consultant (Strategy), in the Human Resources (HR) Division in accordance with agreed Contract Management arrangements, who will track benefits and monitor Key Performance Indicators (KPI's).

## 5. Next Steps

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- 5.1 Subject to approval, the services will commence on 12 June 2021 for an initial period of three years with the option to extend for up to a further 12 months (undertaken at the sole discretion of the Council).
- 5.2 HR will continue to work with the Pertemps Account Manager to ensure ongoing delivery of the service, coupled with identifying further improvements and efficiencies where possible. This will include consideration of ongoing COVID-19 business continuity and Brexit management planning; there are no TUPE implications as Pertemps is the incumbent MSP.
- 5.3 HR 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 Contract and Grants Management Team (CAGM), as necessary.

## 6. Financial impact

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- 6.1 The contract value is estimated at up to £56,000,000 over the contract period. Although the Council will continue to seek to reduce the volume of agency worker spend during the same period.
- 6.2 The majority of the annual spend links directly to the salaries of the agency, permanent, fixed term, and short-term supply resources. As these salaries are aligned to the Council's own grades for each job role/description and protected by the Agency Worker Regulations, there are no savings against this element of the spend.
- 6.3 Savings can only be achieved against the MSP/Tier 2 agency and booking fees. The Council anticipates savings up to approximately £749,417.31 based on notional hours and posts as advised by HR. This calculation is based on direct comparison



between the incumbent fees quoted in 2016 and the fees quoted in this tender exercise (with consideration of inflation) and in line with ESPO's indication that when compared with MSTAR2, the MSTAR3 Framework could achieve a saving of 16.3%.

- 6.4 The prices quoted by the successful MSP in the Pricing Schedule will be fixed and applied through the life of the Contract (and any extensions); however, the Council reserves the right to negotiate with the Contractor on the anniversary of the Contract subject to benchmarking and current market conditions.
- 6.5 Agency and booking fees will be based upon Council Grades 1-12 for the duration of the contract period and extension. Should the pay range increase the fee rates submitted will remain fixed as they are linked to the Council Grades.
- 6.6 The costs associated with procuring this contract are estimated to be from £20,000 to £35,000.

## **7. Stakeholder/Community Impact**

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- 7.1 HR surveyed the Council's top 11 users of the current contract and requested information regarding what has worked well and what improvements would be recommended in the future contract. In total five replies were received from Divisions in the Place and Resources Directorates (i.e. those service areas with the highest spend against the contract).
  - 7.1.1 What has worked well: There is good contact and communication with the current MSP and Council Supervisors, with named contacts provided for Council managers dealing with larger contracts. Candidates placed at short notice during the COVID-19 peak made a huge difference to the service whilst the calibre of candidates has been excellent.
  - 7.1.2 Future improvements: Beneficial to see a larger pool of available candidates to meet demands of departments and more Curriculum Vitae (CV)'s required on larger volume placements. Tier 2 arrangements for high volume and hard to fill placements could be improved.
- 7.2 HR will work with the recommended MSP to address the points for improvement.
- 7.3 The Council's Sustainable Procurement Strategy was considered and applied through the request of community benefits. Pertemps will deliver the following benefits which will be agreed at contract commencement and monitored throughout the life of the contract by the contract manager.
  - 7.2.1 Utilisation of the Council's apprenticeship scheme to provide either a school leaver or college leaver an apprenticeship with a Scottish based charity to deliver services in the local Edinburgh community;
  - 7.2.2 Commitment to a minimum of 50 hours volunteering time per annum to support local charities within the community; and,

7.2.3 Commitment to provide three candidates per quarter from the Joined Up for Jobs into an assignment with the Council to support the long term unemployed secure employment.

7.3 Pertemps will pay its own workers (including any agency or sub-contractor workers) the real Living Wage and intends to become an accredited living wage employer over the life of the contract in relation to Pertemps staff. For agency colleagues on assignment with the Council, they will receive the Scottish Local Authority Living Wage as a minimum.

7.4 Pertemps will support the Council in adopting Fair Work Practices and Modern Slavery commitments in accordance with the Modern Slavery Act 2015.

7.5 There are no impacts on carbon, adaption to climate change and sustainable development arising directly from this report.

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

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8.1 Not applicable.

## **9. Appendices**

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9.1 Appendix 1 – Summary of Tendering and Tender Evaluation Process.

## **Appendix 1 – Summary of Tendering and Tender Evaluation Process**

<b>Contract</b>	<b>Award of Contract for the Provision of Temporary Agency Staff, Permanent, Fixed Term Contract and Short-Term Supply Resources</b>	
Contract Period	12 June 2021 – 11 June 2025	
Estimated Contract Value (including extensions)	Up to £56,000,000	
Procurement Route Chosen	Mini competition utilising ESPO's Framework Agreement for Managed Services for Temporary Agency Resources (MSTAR3)	
Tenders Returned	3	
Name of Recommended Supplier	Pertemps Recruitment Partnership Ltd	
Price / Quality Split	<b>50 % Quality</b>	<b>50 % Cost</b>
	<p>The 50:50 cost quality ratio was applied to encourage competitive fees while ensuring that the MSP could fulfil the Council's requirements.</p> <p>To further protect the quality element a minimum quality threshold of 60% was applied.</p> <p>Service Delivery Model – 20%</p> <p>Attraction Strategy – 20%</p> <p>Project Team – 10%</p> <p>Implementation – 10%</p> <p>System Requirements – 7.5%</p> <p>Performance Indicators and Management Information – 5%</p> <p>Community Benefits– 5%</p> <p>Business Continuity 5%</p> <p>Diversity and Inclusion– 5%</p> <p>Fair Working Practices and Modern Slavery Act – 5%</p> <p>Candidate Vetting for Temporary Agency Staff – 7.5%</p> <p>Fair Work Management Information – Not Scored</p> <p>Exit Management Strategy – Not Scored</p>	
Evaluation Team	Three Council Officers from HR	



## Finance and Resources Committee

10.00am, Thursday, 21 January 2021

### 3-11 West Granton Road, Edinburgh – Proposed Lease

Executive/routine Wards Council Commitments	Executive Ward 4 – Forth <a href="#">2</a>
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#### 1. Recommendations

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- 1.1 That the Finance and Resources Committee:
  - 1.1.1 Notes the outcome of the marketing exercise for the property at 3-11 West Granton Road, Edinburgh;
  - 1.1.2 Decides which of the options presented in the report should be approved; and,
  - 1.1.3 Directs the Council to enter into a lease agreement on the terms outlined in this report for the preferred option 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](mailto:graeme.mcgartland@edinburgh.gov.uk) | Tel: 0131 529 5956

# Report

## 3-11 West Granton Road, Edinburgh – Proposed Lease

### 2. Executive Summary

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- 2.1 The former school at 3-11 West Granton Road was most recently used as a Youth Centre before being vacated. The property was subsequently marketed with offers invited for a lease of the building. This report outlines the four bids received and seeks a decision from the Committee on the preferred option.

### 3. Background

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- 3.1 The property at 3-11 West Granton Road is a former Victorian School located close to the junction with Granton Square. The building extends to approximately 479 sq m (5,160 sq ft) as shown shaded pink on the attached plan.
- 3.2 The building was most recently used as a youth centre until being vacated in 2019. Initially, several parties showed an interest in the property without an occupier being secured.
- 3.3 A formal marketing exercise was progressed in February 2020 but was subsequently put on hold for several months until the Covid-19 pandemic lockdown restrictions were relaxed.
- 3.4 In total, 10 viewings of the property were held with a closing date was set on 30 November 2020.

### 4. Main report

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- 4.1 At the closing date four bids were received, which are summarised in the table below, together with further detail taken directly from the bids submitted at the closing date:

<b>Bidder</b>	<b>Lease Terms</b>	<b>Proposed Use</b>
Liminal Space	20-year lease, rent £31,000 per annum	Community Arts Space
Scottish Turkey Solidarity Foundation	30-year lease, rent £5,000 per annum	Establish a community centre to include a food bank, soup kitchen and citizens advice bureau and youth centre
Empty Kitchens Full Hearts	3- 5-year lease, rent £1 per annum	For food production, distribution, training, education and to tackle issues of food poverty and food waste
Al-Huda Trust Edinburgh	N/A – Trust seeking to purchase	To be used for religious education and community services

### **Liminal Space**

- 4.2 Liminal Space is a newly formed charity whose purpose is to facilitate arts classes and workshops for the general public; to run programme and exhibitions and events exploring art, craft and design; and to provide workspaces for artists and craftspeople. While the charity has been newly formed, the entity has been in operation for over eight years known as the Mud Station Pottery with a base at Montrose Terrace and Craftotheque based at St Margaret's House.
- 4.3 The charity consists of six individuals and intends to raise revenue to meet its financial obligations principally by renting workspaces to artists and craftspeople who will, in turn, run a regular programme of workshops some of which will be charged.
- 4.4 The charity also intends to create the following community assets: a fully equipped pottery studio, with resources for teaching, an analogue photography darkroom, a makers' space with an on-site tool library, a curated gallery space and a community café.

### **Scottish Turkey Solidarity Foundation**

- 4.5 The Foundation is a registered charity which aims to bring the Turkish and Scottish communities together as well as providing activities for all age groups in the local community.
- 4.6 The Foundation intend to provide the following services: food bank; soup kitchen (providing free food for those in need, citizens advice bureau; youth activity group; and, coffee mornings and classes (e.g. exercise, baking, sewing).
- 4.7 They have been active in Edinburgh for 15 years and have currently no property base. The bid confirms that they have funds to refurbish the property.

### **Empty Kitchen Full Hearts**

- 4.8 Empty Kitchens/Full Hearts is a volunteer movement that was set up during the Covid-19 pandemic to address the issues of food poverty and food waste.
- 4.9 Food donations are received and converted into packs for distribution throughout Edinburgh. In the first 9 months of operation 320,000 meals have been distributed. Much of the ingredients in the meals that have been provided are created from food that would otherwise be sent to landfill with the carbon saving estimated at 250 tons of CO<sub>2</sub>. There has been a 5.5% weekly increase in demand
- 4.10 Currently the operation runs from a temporary base at Thomas Morton Hall. However, the increase in demand has caused significant growth resulting in the need for larger permanent premises. The bid is predicated on the opportunity to bind their service to the Council's commitment to act upon the recommendations of the Edinburgh Poverty Commission.

### **Al-Huda Trust Edinburgh**

- 4.11 Al-Huda Trust is a charity that was established in 2016 with the aim of servicing the local community through the provision of religious education and community services. The community consists of 500 members within North West Edinburgh, originating from a wide range of countries.
- 4.12 The intention is to create a mosque and community centre with the aim to bring all people together, regardless of faith or background, and build unity in the community. The space is to be used for individual and congregational worship and as a community. The centre would provide classes (religion, language, social clubs for the elderly, keep fit etc), local support and public/community advice, particularly to those members of the community whose first language is not English who may need general support in tackling social engagement
- 4.13 The charity wishes to purchase the property albeit the bid does not offer a purchase price but commits to providing paying full price in the future.

### **Conclusions**

- 4.14 Each of the proposals provide wide and varying community benefits together with variations in terms of the length of lease term and financial benefit. Liminal Space is the only offer with a commercial rent and while the Al-Huda Trust is seeking to acquire the property and pay for it in the future, they have not indicated how this can be achieved. All the offers have indicated that they are capable of meeting the obligations of their bid.
- 4.15 The Committee is reminded that a lease at less than market value is justified when additional benefits empower communities and align with local and national priorities to enable the delivery of Best Value across the public sector as a whole. The benefits should also contribute to an authority's policy objectives and local priorities.



## **5. Next Steps**

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- 5.1 Following a Committee decision, Legal Services will be instructed to progress the preparation of a new lease with the preferred option.

## **6. Financial impact**

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- 6.1 The financial impact, in terms of rent received to the Council depends on the preferred option of the Committee. The property has not previously been rented on commercial terms. In each case, a vacant building will be brought into operational use which will alleviate Council holding costs.

## **7. Stakeholder/Community Impact**

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

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

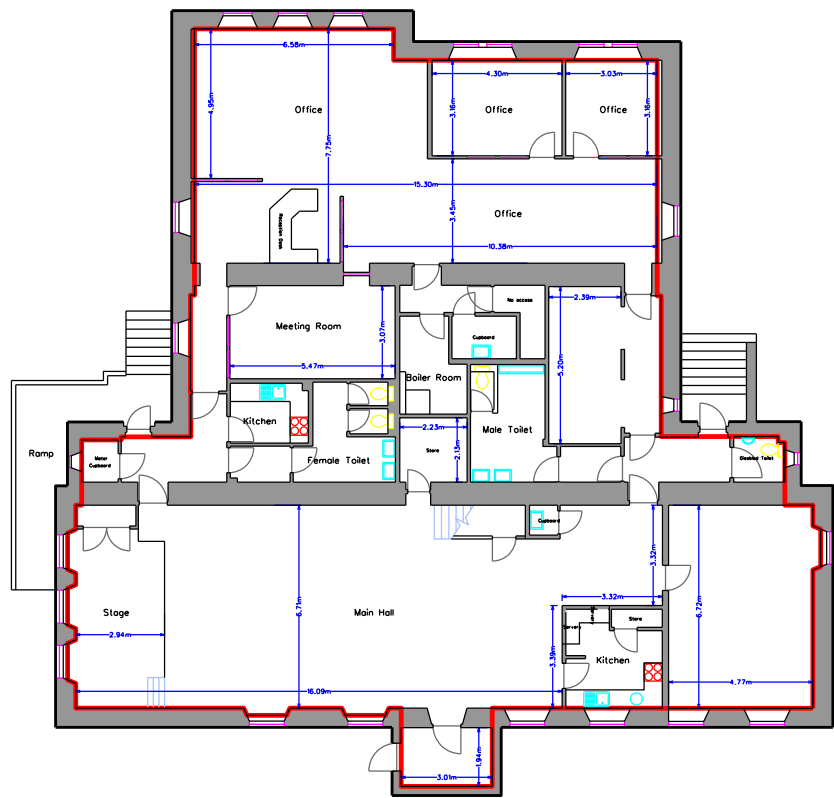
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- 8.1 Not applicable.

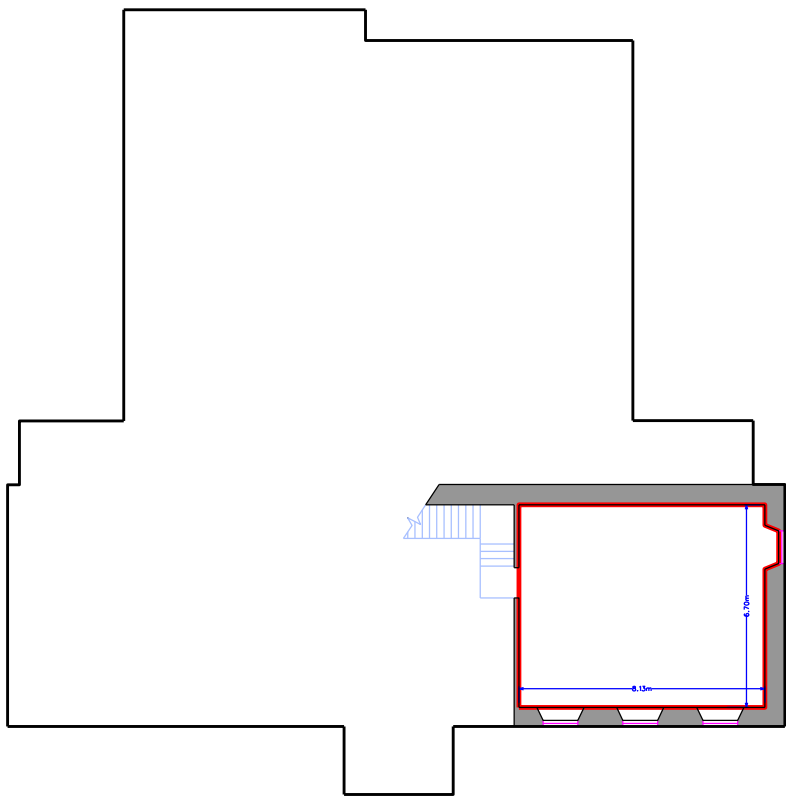
## **9. Appendices**

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- 9.1 Appendix 1 – Location Plan



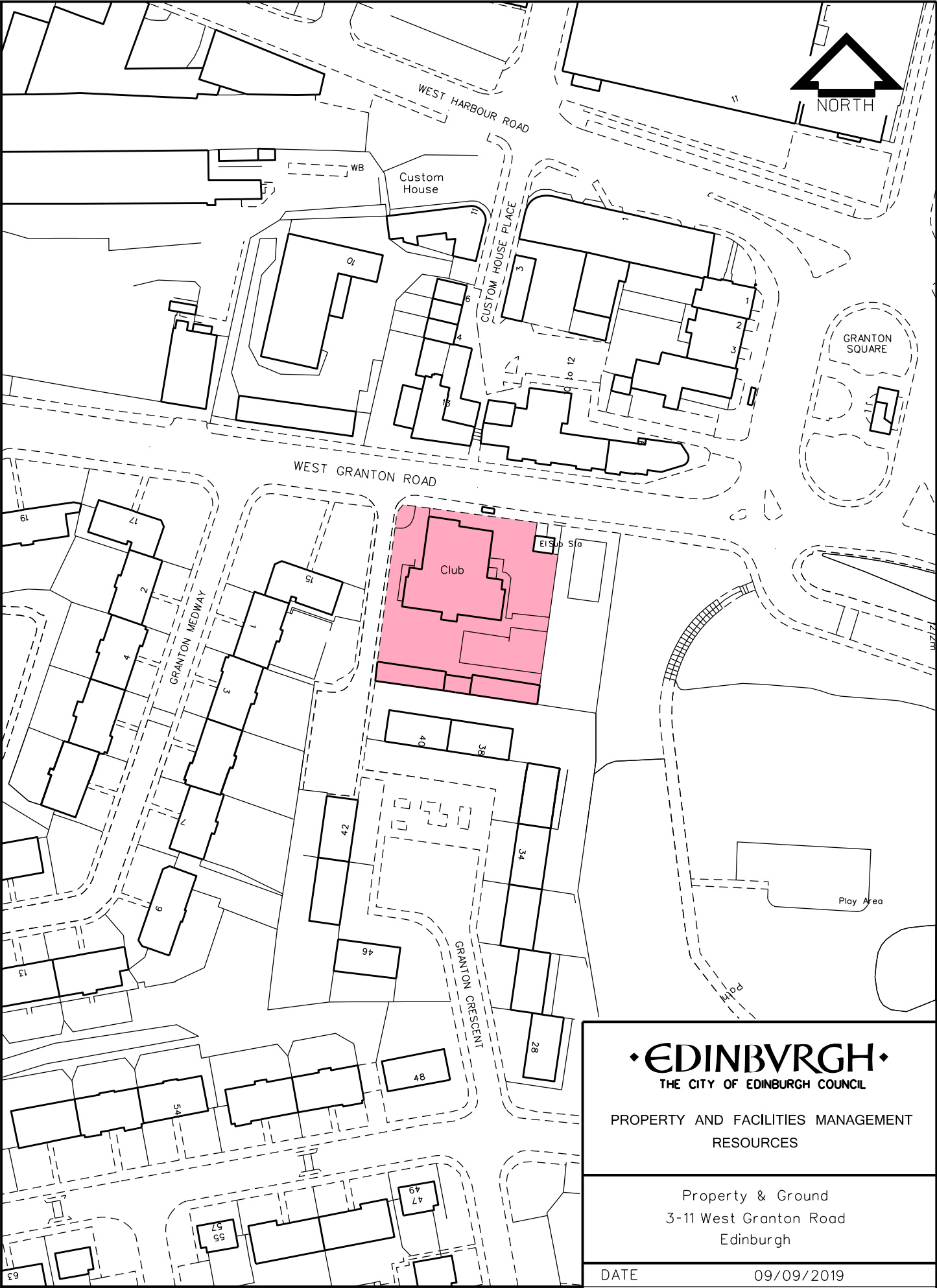
GROUND FLOOR  
G.I.A. = 424.60 sq.m.



UPPER FLOOR  
G.I.A. = 55.05 sq.m.

FLOOR PLAN

SCALE 1:250



AREA SHOWN COLOURED PINK - 0.187 ha 0.463 Acre, or thereby

LOCATION PLAN

SCALE 1:1250

•EDINBURGH•  
THE CITY OF EDINBURGH COUNCIL

PROPERTY AND FACILITIES MANAGEMENT  
RESOURCES

Property & Ground  
3-11 West Granton Road  
Edinburgh

DATE	09/09/2019
SURVEYED BY	F McDonald
DRAWN BY	F McDonald
SCALE	As shown
PLAN. NO.	NT 2377/A3/2175

# Finance and Resources Committee

10.00am, Thursday, 21 January 2021

## Extension of Contract – Consultancy Services for Edinburgh Tram York Place to Newhaven Project

Executive/routine  
Wards  
Council Commitments

Executive  
All

### 1. Recommendations

- 1.1 This report seeks approval of the Finance and Resources Committee to:
  - 1.1.1 permit an increase to the value of the contract with Atkins Limited by £600,000 and extend it to the end of the construction phase of the project; and
  - 1.1.2 approve an increase in the contract with JAB Services UK by £55,000 through a waiver of the Contract Standing Order for independent technical advice services to the Tram Extension project Board and extend it to the end of the project.

**Paul Lawrence**

Executive Director of Place

Contact: Hannah Ross, Senior Responsible Officer

E-mail: [Hannah.ross@edinburgh.gov.uk](mailto:Hannah.ross@edinburgh.gov.uk) | Tel: 0131 529 4810

## Extension of Contract – Consultancy Services for Edinburgh Tram York Place to Newhaven Project

### 2. Executive Summary

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- 2.1 This report seeks approval of the Finance and Resources Committee for consultancy support to deliver the construction phase of the Edinburgh Tram York Place to Newhaven project to the completion of the project in 2023. The contract awards which are recommended for appointment are:
- 2.1.1 Atkins Limited for an increase of £600,000 to the existing contract, to a total cost of £1,795,000.
- 2.1.2 JAB Services UK for an increase of £55,000 to the existing contract, to a total cost of £105,000.

### 3. Background

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- 3.1 At its meeting of [10 October 2019](#), the Finance and Resources Committee approved the appointment of consultancy support for the Edinburgh Tram York Place to Newhaven Project (the Project).
- 3.2 It is still deemed to be in the best interests of the Council to continue with the existing consultants who have been working on the Project since the strategy stage, through the Early Contractor Involvement (ECI) stage and for the commencement of the construction phase. This is because these consultants have significant knowledge and experience of the Project, their continued appointment would maintain continuity of Professional Indemnity and also ensure the continuation of the positive relationships which have been built with the Project Board and connected Council services as well as the Project management team, Infrastructure and Systems Contractor, Swept Path Contractor and key stakeholders.
- 3.3 The project budget approved by [Council](#) of £207.3m, included assumptions for:
- the requirement of independent technical advice support to the Board throughout the construction phase;
  - additional client design work required for changes at detailed design stage; and
  - the technical review of detail design produced by the contractor.

## 4. Main report

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- 4.1 This report seeks the approval of Finance and Resources Committee to extend the existing consultancy appointments for the Edinburgh Tram York Place to Newhaven Project. These appointments are for Atkins Limited and JAB Services UK.

### **Atkins Limited**

- 4.2 Atkins were appointed through a Direct Award utilising the SXL Framework, which was compliant with all local, national and EU Procurement Legislation.
- 4.3 It is considered in the Council's best interest to continue to contract with Atkins Limited due to their inherent knowledge of the Project and experience of working within the Project team to date.
- 4.4 The existing contract allows for additions to the time and scope of the services, in accordance with a schedule of agreed rates. However, the extent of the changes which the Project require exceed the scope permitted for approval by the Executive Director under paragraph 10 of the Council's Contract Standing Orders.
- 4.5 In addition to the extension of the period of the contract to the end of the Project construction phase, the additional scope of services is:
- to provide additional design services as requested by the client;
  - to provide a review of contractor detailed design as requested by the client.
- 4.6 The Project Board has considered the individual elements of additional time and scope required to complete that project and have approved or earmarked funding necessary from the Project contingency.

### **JAB Services UK**

- 4.7 Due to the extensive knowledge of the Project and a wide range of knowledge and expertise of similar light rail projects across the United Kingdom (UK), it is considered to be in the Council's best interests to continue the award of the Independent Technical Advisor support to JAB Services UK through waiver under Standing Order 9 of the Contract Standing Orders.
- 4.8 The previous contract award for £50,000 had been made by waiver of Standing Order 9 of the Contract Standing Orders under delegated authority of the Executive Director of Place. The extension of the contract, to the end of the Project, is in excess of this level of delegation and approval is therefore sought from the Finance and Resources Committee.
- 4.9 JAB Services UK have been working on the Project through the development of the business cases, ECI stage and the initial period of construction, providing independent review, challenge and assurance to the Project Board, and elected members at Transport and Environment Committee.

- 4.10 Budget provision for specialist independent technical advice to the end of the Project was included within the Client miscellaneous costs. No drawdown from the Project contingency is required to fund this contract.

## **5. Next Steps**

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- 5.1 Subject to Committee approval, extensions to the contracts will be put in place with Atkins Limited and JAB Services UK.
- 5.2 The Council successfully executes implementation of the programming methodology and progression of the works programmes.

## **6. Financial impact**

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- 6.1 The total value of the extensions and scope of the contracts is £655,000. These costs are accommodated within the Edinburgh Tram York Place to Newhaven Project Budget.

## **7. Stakeholder/Community Impact**

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- 7.1 Community Benefits will be delivered will be delivered by contractors on the project and aligned to the community benefits system developed for City Development, with a points value applied to each contract which will be monitored and reported on an annual basis. The outcomes will include Employment and skills opportunities and community engagement activities.

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

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- 8.1 [Edinburgh Tram – York Place to Newhaven Final Business Case](#) – 14 March 2019
- 8.2 [Award of Contract Consultancy Services for Edinburgh Tram York Place to Newhaven](#) – Finance and Resources, 10 October 2019

## **9. Appendices**

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- 9.1 None.

# Finance and Resources Committee

10.00am, Thursday, 21 January 2021

## Contract Award for the Transfer of Waste to Disposal Outlets

<b>Executive/routine</b>	Executive
<b>Wards</b>	All
<b>Council Commitments:</b>	18 and 25

### 1. Recommendations

- 1.1 This report requests Finance and Resources Committee:
  - 1.1.1 approve the appointment of NWH Waste Limited and Enva Scotland Limited to the Framework Agreement for the Transfer of Waste to Disposal Outlets for an initial period of two years and seven months, with options to extend for two further periods of up to 12 months each; and
  - 1.1.2 approve the commencement of the Framework on 1 May 2021, at a total maximum estimated cost of £4,044,516.

**Paul Lawrence**

Executive Director of Place

Contact: Lesley Sugden, Contract Manager

E-mail: [lesley.sugden@edinburgh.gov.uk](mailto:lesley.sugden@edinburgh.gov.uk) | Tel: 0131 469 5764

## Contract Award for the Transfer of Waste to Disposal Outlets

### 2. Executive Summary

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- 2.1 This report seeks approval to appoint NWH Waste Limited and Enva Scotland Limited to the Framework Agreement for the Transfer of Waste to Disposal Outlets, to commence on 1 May 2021 for an initial period of two years and seven months, with options to extend for up to two further periods of 12 months each, at a total maximum estimated cost of £4,044,516.

### 3. Background

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- 3.1 The City of Edinburgh Council has a requirement to transfer of dry mixed recyclates and general waste materials arising to appropriate disposal outlets.
- 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 resources and infrastructure to carry out the processing and recycling of this waste stream 'in house' and so appropriate contractors are required to haul the waste to licensed disposal outlets in line with Council policy.
- 3.3 The current Framework arrangement has already been extended and is scheduled to end on 30 April 2021.

### 4. Main report

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- 4.1 No suitable framework currently exists and so Commercial and Procurement Services (CPS) conducted a new 'Open' procurement exercise in order to establish a framework consisting of two Lots (namely 'Edinburgh East' and Edinburgh West') specifically for this purpose and identify appropriate contractors.
- 4.2 Although the general supply market for haulage contractors is relatively buoyant, market analysis confirmed that only a handful of contractors currently operating in the Edinburgh area are active in the waste sector.
- 4.3 It had been hoped that up to four contractors would be appointed to each Lot of the framework but only two tender bids were received for each.



- 4.4 Tenders were evaluated on the basis of Most Economically Advantageous Tender (MEAT). In the case of Quality, tenderer's responses to a total of eight question topics were evaluated and scored. In the case of price, tenderers were evaluated and scored on the basis of proposed prices in respect of a range of three specified journeys for each Lot. Appendix 1 provides a breakdown of the various weightings applied.
- 4.5 Increasingly stringent national and international environmental policies and legislation relating to the transfer, disposal and recycling of waste materials has put pressure upon the market and has inevitably impacted the costs for these services.
- 4.6 As a result of the Household Recycling Charter developed jointly by the Scottish Government and COSLA, it is possible that future policies may impose even stricter requirements.
- 4.7 The specification requirements and contract terms and conditions stipulated that contractors must ensure appropriate insurance arrangement (including Employers' Liability Insurance, Public and Products Liability Insurance and Third Party Motor Vehicle Liability Insurance) are in place and maintained throughout the duration of their appointment to the framework.
- 4.8 The Driver and Vehicle Standards Agency (DVSA) is involved in general regulation of the haulage industry, with additional regulation and 'policing' of hauliers involved in the waste industry sector by the Scottish Environment Protection Agency (SEPA), thus ensuring only appropriately qualified contractors are permitted to operate in the market. Therefore, taking these factors into account and with the intention of securing best value for money, a cost:quality ratio of 60:40 was deemed appropriate.
- 4.9 The table below shows details of the weighted scores awarded to each tender:

	Tenderer	Cost (Max. 60%)	Quality (Max.40%)	Total	Ranking
Lot 1	NWH Waste Limited	60.00	29.30	89.30	1
	Enva Scotland Limited	50.67	34.50	85.17	2
Lot 2	NWH Waste Limited	60.00	29.30	89.30	1
	Enva Scotland Limited	50.75	34.50	85.25	2

- 4.10 The tenderers are to be appointed to each Lot of the framework in ranking order, with subsequent contracts for delivery of the service allocated accordingly. If, for any reason, the first ranked contractor is not in a position to handle the Council's requirements at that time, the second ranked supplier would be offered the contract.
- 4.11 However, it is important to note that the quality of service provided by contractors will be closely monitored and managed on an ongoing basis. In the event of any

consistently poor performance, the offending contractor will be 'relegated' in the ranking for that Lot, with subsequent work offered to the 'promoted' contractor.

- 4.12 Both NHW Waste Limited and Enva Scotland Limited are the incumbent contractors on the current Framework.

## **5. Next Steps**

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- 5.1 Subject to approval, the services will commence on 1 May 2021 and will assist the Council in meeting its statutory obligations with regards to the treatment and disposal of waste materials.
- 5.2 The Contracts and Grants Management team (CAGM) will engage with the Waste and Cleansing service 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 (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 of Edinburgh throughout the duration of the contact.

## **6. Financial impact**

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- 6.1 The maximum anticipated contract value is estimated at £4,044,516 over the maximum contract period (i.e. including potential extensions). These costs will be met from the Waste and Cleansing service budget.
- 6.2 Prices tendered by the number 1 ranked contractor represent average savings of 8.6% and 5.9% in respect of Lots 1 and 2 respectively. However, although prices tendered by the number 2 ranked contractor in respect of Lot 2 are unchanged compared to current rates, their prices in respect of Lot 1 represent an average increase of 10%.
- 6.3 The costs associated with procuring the proposed contract are estimated to be between £10,000 and £20,000.

## **7. Stakeholder / Community Impact**

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- 7.1 In common with all contractors in this market sector, NWH Waste Limited and Enva Scotland Limited are regulated and licenced by DVSO and SEPA to ensure compliance with strict requirements on health and safety, environmental governance and regulatory requirements.
- 7.2 The framework award will assist with realisation of Council Commitment numbers 18 (to "improve Edinburgh's air quality and reduce carbon emissions") and 25 (to "increase recycling to 60% from 46% during the lifetime of the administration").

- 7.3 Both of the recommended contractors have undertaken to provide appropriate Community Benefits, amounting to the value of 1% of the cumulative total value of their contracts. Examples of project benefits offered include community engagement events, working with schools to offer work experience and/or educational and professional advice, and free organic compost for community garden projects.
- 7.4 Both recommended contractors have also confirmed that they intend pay workers (including any agency or sub-contractor workers) the Real Living Wage.
- 7.5 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**

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- 8.1 [The proposed service will contribute to the success of Council Commitments 18 and 25](#)

## **9. Appendices**

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

## Appendix 1 - Summary of Tendering and Tender Evaluation Processes

<b>Contract</b>	<b>Transfer of Waste to Disposal Outlets - ref: CT0819</b>	
Contract period (including any extensions)	Maximum of 4 years 7 months - initial period of 2 years 7 months, with options to extend for up to 2 additional periods of 12 months each.	
Estimated Maximum Anticipated Contract Value (inc. extensions)	£4,044,516	
Procurement Route Chosen	Open Procurement exercise	
Tenders Returned:	Lot 1	Lot 2
	2	2
Recommended Contractors (in ranking order):	Lot 1	Lot 2
	1. NWH Waste Limited 2. Enva Scotland Limited	1. NWH Waste Limited 2. Enva Scotland Limited
Price / Quality ratio	<b>Price 60%</b>	<b>Quality 40%</b>
Price / Quality ratio rationale	DVSA is involved in general regulation of the haulage industry, with additional regulation and 'policing' of hauliers involved in the waste industry sector by SEPA, thus ensuring only appropriately qualified contractors are permitted to operate in the market. Therefore, taking these factors into account and with the intention of securing best value for money, a cost:quality ratio of 60:40 was deemed appropriate.	
Evaluation criteria and weightings	<b>Price</b>	<b>60%</b>
	<b>Quality, of which:</b> <ol style="list-style-type: none"> <li>1. Delivery of The Contract</li> <li>2. Availability of Resources</li> <li>3. Reporting, Monitoring &amp; Collaboration</li> <li>4. Staff, Training and Supervision</li> <li>5. Quality Assurance</li> <li>6. The Environment</li> <li>7. Fair Work Practices</li> <li>8. Community Benefits</li> <li>9. Fair Work Management Information</li> </ol>	<b>40%</b> <ol style="list-style-type: none"> <li>25%</li> <li>25%</li> <li>15%</li> <li>10%</li> <li>10%</li> <li>5%</li> <li>5%</li> <li>5%</li> <li>n/a – for information only</li> </ol>
Evaluation Team	Three officers from the Waste and Cleansing Service.	

# Finance and Resources Committee

10.00am, Thursday, 21 January 2021

## Housing Energy Projects Delivery Partner Framework Agreement 2021-2025

Executive/routine  
Wards  
Council Commitments

Executive  
All

### 1. Recommendations

- 1.1 It is recommended that the Finance and Resources Committee:
  - 1.1.1 approves the award of a single supplier Framework Agreement to Changeworks Resources for Life (Changeworks) as a Housing Energy Projects Delivery Partner, to commence in February 2021 for a period of two years, with the option to extend for a further two years in one-year increments;
  - 1.1.2 notes the value of this Framework Agreement is expected to be a maximum of £24m, with Changeworks' fees estimated at up to £2.088m over the four-year period; and
  - 1.1.3 approves an extension to the existing Contracts Standing Orders waiver with Changeworks by £51,394 to enable the Council to deliver an additional Scottish Government funding allocation of £739,537 for energy efficiency measures to an additional 114 properties as part of the HEEPS:ABS 2020-21 programme.

**Paul Lawrence**

Executive Director of Place

Contact: Willie Gilhooly, Acting Housing Property Manager

E-mail: William.gilhooley@edinburgh.gov.uk | Tel: 0131 529 7866

## Housing Energy Projects Delivery Partner Framework Agreement 2021-2025

### 2. Executive Summary

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- 2.1 This report seeks approval from the Finance and Resources Committee to award a single supplier Framework Agreement to Changeworks Resources for Life (Changeworks) following a procurement process published on Public Contracts Scotland, for the appointment of a Housing Energy Projects Delivery Partner.
- 2.2 The Framework Agreement will commence in February 2021 for a period of two years, with the option to extend up to a further two years, to the maximum value of £24m, with Changeworks' fees estimated at up to £2.088m.
- 2.3 The report also seeks approval to extend the existing waiver to the Council's Contract Standing Orders with Changeworks to deliver an additional Scottish Government funding allocation of £739,537 for energy efficiency measures to an additional 114 properties as part of the Home Energy Efficiency Programme for Scotland Area Based Schemes (HEEPS:ABS) 2020-21 programme. The value of the extension is £51,394.

### 3. Background

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- 3.1 The Housing Revenue Account (HRA) Budget Strategy 2020/2021, published [February 2020](#), outlines how the Council will deliver £2.5bn investment over ten years in building and improving Council homes to deliver Council commitments on affordable housing and net zero carbon by 2030.
- 3.2 Making homes easier and cheaper to heat has been the cornerstone of the HRA Budget Strategy and annual Capital Investment Programmes. Over half of Council homes have benefited from energy efficiency measures over the last five years (including 7,100 new heating systems; 2,900 homes insulated; and 1,600 homes fitted with new windows and front doors). Work continues towards meeting the Energy Efficiency Standard for Social Housing (EESH); currently 71% of homes have been brought up to standard and 86% were expected to be compliant by the end of 2020 (pre-Covid-19).

- 3.3 The HRA capital investment programme not only covers the investment required to meet statutory standards such as Scottish Housing Quality Standard (SHQS) and EESSH, and Council commitments on affordable housing and net zero carbon, it also ensures that growth and regeneration is delivered in ways that supports place making, inclusive growth and sustainability; outcomes set out in key Council strategies.
- 3.4 Changeworks currently provides housing energy consultancy services and delivery partner support to the Council under a Service Level Agreement (SLA) with the Housing Service. The SLA was approved by the Finance and Resources Committee on [26 November 2015](#) for the period 2016-2019 and was subsequently [further extended](#) to 31 March 2021. The Council was notified of an additional funding allocation in October 2020.
- 3.5 As the market has matured in recent years, a procurement process was undertaken to ensure best value for the Council. This new Framework Agreement will ensure that key sustainability outcomes for the Housing Service such as improving energy efficiency and reducing fuel poverty and working towards net zero carbon by 2030 continue to be prioritised.

## **4. Main report**

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- 4.1 In February 2020, the Council published a Prior Information Notice (PIN) to raise awareness to the market of the upcoming procurement and gauge how much interest and capability there was via a short questionnaire. The PIN received six questionnaire responses leading to an Open Procedure being utilised for tender.
- 4.2 In October 2020, the Council undertook an Open Procedure procurement in accordance with the Public Contracts (Scotland) 2015 Regulations. A cost:quality ratio of 40% price, 60% quality was applied.
- 4.3 The Framework Agreement advertised for a single Energy Projects Delivery Partner for the Council. The purpose of this is to help programme manage complex grant funding programmes linked to energy retrofit and the installation of low zero carbon technologies. 31 suppliers noted interest, of those five confirmed they were not bidding due to capacity or capability. One tender submission was received by the deadline. This is potentially down to the complex and multi-disciplinary nature of the service that was being tendered for, which not only includes project management and commercial management, but also detailed technical and social monitoring, evaluation and marketing, and communications to encourage householder sign up to funding schemes.
- 4.4 The Tender submission was evaluated by officers, placing an emphasis on quality, as well as price.
- 4.5 The quality analysis was based on weighted award criteria questions, which were scored using a 0 to 4 matrix, with further detail available in Appendix 1.

- 4.6 Following completion of the quality analysis, the tender was subject to a cost analysis.
- 4.7 Changeworks role under the new Framework Agreement will be to facilitate grant applications and project manage successful grant funded projects throughout their lifecycle, ensuring suppliers are appointed in compliance with regulations and project managed through to completion. The funding for this role is paid for either 100% via each successful grant fund or as a combination of grant funding and Council contribution via the HRA depending on the specific grant fund being applied for. A total enabling fee of 8.7% per project will be applied. This represents good value for money as historically enabling fees for delivery partner costs for funding programmes such as HEEP:ABS have averaged at around 10%. £6m of funding is forecast in each year, with £522,000 (8.7%) allocated to Changeworks and the remaining £5.478m used for project delivery.
- 4.8 The Framework will allow the Council to continue to apply for funding programmes via Changeworks to the Scottish Government for programmes such as HEEPS:ABS and other future funding programmes released as part of the Scottish Governments Energy Efficient Scotland Programme. Specification enhancements as part of this contract will ensure that the Council will be able to apply for new funding streams to deliver further benefits to the citizens of Edinburgh.
- 4.9 This new Framework will help to support the Council's net zero carbon commitment and the whole house retrofit approach that is being developed for existing homes. It will ensure that HEEPS:ABS can continue to be delivered at scale but also to ensure that HEEPS:ABS can be focused more on whole house retrofit rather than individual insulation measures. HEEPS:ABS will continue to be an extremely important funding stream in terms of unlocking complex mixed tenure barriers. Other funding streams will also be targeted to trial the installation of low zero carbon technologies such as heat pumps and solar PV with combined battery storage and aggregation services.
- 4.10 As part of the HEEP:ABS 2020-21 programme an additional £739,537 in funding has being made available to the Council. This programme is currently being delivered by Changeworks and as such the existing Contract Standing Orders waiver with Changeworks needs to be increased by a value of £51,394 to enable them to programme manage the delivery of this additional funding. This will see an additional 114 properties receive a range of energy efficiency measures.

## 5. Next Steps

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- 5.1 Subject to Committee approval, the Framework Agreement will commence in February 2021.
- 5.2 As part of the Framework Agreement, the supplier has been asked to report on how they will manage best practice and legal obligations in relation to Covid-19 working



practices. This documentation will form part of the terms and conditions and will be reviewed regularly to ensure it is up to date.

- 5.3 A virtual start up meeting will be held with Changeworks before the estimated start date.
- 5.4 The Framework Agreement will be managed by the Council's Housing Property service.
- 5.5 Subject to approval, the existing SLA value (approved under a Contract Standing Orders waiver) will increase by £51,934 to enable Changeworks to project manage the delivery of the HEEPS:ABS 2020-21 programme to an additional 114 properties within Edinburgh for financial year 2020-21.

## **6. Financial impact**

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- 6.1 Project delivery costs and grant application fees will generally be met through the grant allocations, this though will vary on a case by case basis and will be linked to the specific conditions of grant. The Scottish Government, for example via the current HEEPS:ABS programme, allows up to 20% of the grant value to be attributed to delivery partner enabling fees. Some grant funding programmes may require a 50% contribution from the Council. In these circumstances any financial contribution from the Council would be covered as part of the Housing Service Capital Programme which is set annually as part of the HRA budget process.
- 6.2 The estimated Framework Agreement value for project delivery is approximately £6m per annum, £24m over the four-year period. The £6m represents the total amount of funding that would be secured each financial year and would include any Council contributions where required. This value is subject to change based upon various factors, including Covid-19.
- 6.3 The tender process pricing assessment involved asking potentially interested suppliers to detail percentage fees payable on project costs for each completed works stage. This resulted in an overall percentage the supplier would take per project as their enabling fee.
- 6.4 Changeworks supplied an overall enabling fee percentage of 8.8% per project within their tender return, a value of approximately £2.112m over the four-year contract period. Based upon benchmarking of previous projects, this is a reduction of 1.17%, a value of approximately £70,000 per annum if the full forecast value of £24m is utilised.
- 6.5 As only a single tender was returned, Changeworks were contacted to discuss cost reductions, with a 0.1% reduction being agreed. Bringing the enabling fee per project to 8.7% a value of approximately £2.088m (a reduction of 1.27%), with an additional saving of £6,000 per annum, with a total saving of £76,000 per annum, demonstrating value for money.

- 6.6 This results in the remaining grant allocated enabling fee of 11.3% (out of a potential 20%), at an approximate value of £678,000 per annum to be utilised to increase the number of homes within a given funding programme.
- 6.7 The costs associated with procuring this Contract are estimated to be up to £10,000.

## 7. Stakeholder/Community Impact

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- 7.1 As part of the procurement process it was identified that the successful supplier pays the real Living Wage rate to employees and does not utilise zero-hour contracts.
- 7.2 Changeworks have also agreed to provide the following community benefits:
- 7.2.1 **Targeted recruitment and training, supported employment and promotion of job opportunities** - Engagement with the Department of Work and Pensions' Kick Start Scheme which targets 16-24 year olds that are currently unemployed. This role would be supplementary to their current delivery staff and would consist of a six-month placement per year for the duration of the contract working across the elements of delivery to gain broad work experience. This role would be advertised through the Local Job Centre and in publications such as the Evening News.
- 7.2.2 **Outreach and education opportunities** – Engagement with Edinburgh's universities and colleges to provide an opportunity for an intern who is either studying or has recently graduated college in a related subject to work within their Consultancy Team. Providing both work experience on Council projects and mentoring during this time to assist the intern in pursuing a career in construction/ sustainability. The intern would receive at least the Real Living Wage and would be in post for approximately three months for every year of this Contract.
- 7.2.3 **Community consultation, engagement and strengthening community relations** - Hosting drop in events at local facilities within the communities where Changeworks currently provides energy saving, recycling, and sustainable transport advice to residents. Changeworks will engage with local community groups to support these events as well as other support agencies such as Citizens Advice Scotland and the NHS. (Should Covid-19 restrictions still be in place, then Changeworks will provide similar support events online). Changeworks will provide an event for each project area over the course of the Contract.
- 7.2.4 **Training for existing workforce** - Provision of additional training to staff through the Social Enterprise Academy who are based in Edinburgh. This will cover subjects such as leading and managing remotely, dealing with change, and personal and professional resilience.

- 7.3 Positive impacts of activity on energy efficiency projects include:
- 7.3.1 reducing the costs of energy for residents;
  - 7.3.2 contributing to fuel poverty reduction targets;
  - 7.3.3 ensuring that residents live in warmer, easier to heat homes which has a positive effect on their wellbeing and health;
  - 7.3.4 carbon emission reductions are expected to be achieved as a result of continued housing energy efficiency and low zero carbon technology projects;
  - 7.3.5 the success of these contracts will be measurable against Key Performance Indicators which were detailed within the tender package;
  - 7.3.6 an Integrated Impact Assessment and a Data Protection Impact Assessment have been completed; and
  - 7.3.7 the procurement has been developed to secure Best Value to the city's residents and planned investment into the housing stock to improve tenant's homes and living conditions.

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

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- 8.1 [Finance and Resources Committee, 27 August 2020](#) - Home Energy Efficiency Programme – Enabling Support.
- 8.2 [Housing Homelessness and Fair Work Committee, 5 November 2020](#) – Housing Sustainability Update
- 8.3 [Housing Homelessness and Fair Work Committee, 5 November 2020](#) – Housing Revenue Account (HRA) Budget Strategy 2021/22

## **9. Appendices**

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

## **Appendix 1 – Summary of Tendering and Tender Evaluation Processes**

Framework	<b>Housing Energy Projects Delivery Partner Framework 2021 to 2025</b>	
Framework Period	Two years for a period of two years, with the option to extend for a further two years in one-year increments	
Estimated Framework Value (including extensions)	£2.088m (8.7% of an estimated £24m)	
Procurement Route Chosen	Open Procedure using Public Contracts Scotland	
Tenders Returned	1	
Name of Recommended Provider	Changeworks Resources for Life	
Price / Quality Split	<b>60 % Quality</b>	<b>40 % Cost</b>
	The emphasis on Quality was to reflect the need for a high level of service for the Council and end users.	
	Quality was evaluated as below;	
	<b>Question</b>	<b>Quality (out of 100%)</b>
	Project Management	30%
	Project Team	30%
	Contract Management and Key Performance Indicators	20%
	The Environment (including Sustainable Practices)	5%
	Data Protection	5%
	Fair Work Practices	5%
Community Benefits	5%	
Evaluation Team	Tenders were evaluated by Council Officers from Housing Property	

# Finance and Resource Committee

10.00am, Thursday, 21 January 2021

## Bustracker – Additional Provision due to COVID-19

Executive/routine Wards Council Commitments	Executive All <a href="#">7</a> , <a href="#">18</a> , <a href="#">19</a>
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### 1. Recommendations

- 1.1 It is recommended that Committee:
  - 1.1.1 approves contract extensions via waiver of Contract Standing Orders (CSOs) for a period to 31 December 2021, with the option of a further one-year extension if required to:
    - 1.1.1.1 Cofely Ineo for the current bustracker system at a cost of approximately £400,000 per annum; and
    - 1.1.1.2 Supporting providers Bridge Radio, Ofcom and Arqiva relating to radio coverage to continue full operation of the current bustracker system, at approximately £135,000 per annum.
  - 1.1.2 notes that this expenditure can be met from the public transport budget.

**Paul Lawrence**

Executive Director of Place

Contact: Ewan Kennedy, Service Manager – Transport Networks

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# Report

## Bustracker – Additional Provision due to COVID-19

### 2. Executive Summary

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- 2.1 Covid-19 has had a significant impact on the installation of the new bustracker system resulting in delayed implementation. Consequently, the Council requires to extend contracts with the existing suppliers via waivers of Contract Standing Orders (CSOs) in order to continue full operation of the current system until the new system is fully installed and operational. The total value of these waivers is approximately £1 million and will be met from the public transport budget.

### 3. Background

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- 3.1 The existing contract with Cofely Ineo was previously extended via waiver of CSOs in [December 2018](#) to allow continued operation and maintenance under the terms of the original contract. It is intended that under these existing terms a one-year extension with the option of a further one-year extension, will be implemented to cover the period of installation of the new system.
- 3.2 The new Bus Station Information system and Real Time Passenger Information (RTPI) contract was awarded at Finance and Resources Committee on [10 October 2019](#) to 21<sup>st</sup> Century PLC.

### 4. Main report

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#### Impact of Covid-19 on Project Plan

- 4.1 The original project plan for the replacement of the current bustracker system expected that Lot 1 (installation of bus station hardware and implementation of Content Management System (CMS)) should have been completed by late summer 2020 and that installation of new Lot 2 bustracker signs would have been well underway, reducing maintenance costs associated with the current bustracker system.

- 4.2 The Covid-19 pandemic and associated restrictions have significantly impacted several key areas of this replacement project, notably, missing data from bus operators due to reduced services running, contractors prohibited from travelling to site and virtual Factory Acceptance Testing, all of which have caused the delay to timescales. The timescales for delivery of the new system remain fluid and are directly connected to the lifting of restrictions associated with the pandemic.
- 4.3 Therefore, the current system will have to remain operational until the new system can be installed. With timescales for installation remaining fluid at present due to Covid-19 restrictions, it is proposed to continue the current maintenance for a further year, with the option of extending for one more additional year if required.

#### **Installation of the new system**

- 4.4 As part of the new system, all Lot 1 hardware, with the exception of an external digital information totem, has been installed within Edinburgh Bus Station and is currently undergoing testing.
- 4.5 Site Acceptance Testing requires all project members to be on site to test the functionality of both the new hardware and software. Council Officers, 21<sup>st</sup> Century PLC and their contractors Trapeze planned to complete this for Lot 1 by late summer 2020 however this was not possible due to Covid-19. This stage is required to be completed prior to the new system being taken over by the Council and for it to be fully operational.
- 4.6 The CMS will manage all information displayed on both the bus station and on-street signs and will deliver real time information to bus users as well as onward travel information for tram and, if desired, train and flight information via new colour screens.
- 4.7 Lot 2 installations will not proceed until all testing has been completed and Lot 1 hardware and software is fully functional and operational.
- 4.8 Due to the delay in completing Site Acceptance Testing for Lot 1, the programme of Lot 2 installations is now planned to begin in Summer 2021.
- 4.9 Installation for Lot 2 is proposed to begin on the main corridor from the west of the city to the city centre as this would allow a return on multi-operator information, benefitting a large number of bus users.

#### **Current System**

- 4.10 The current system is based on two contractual agreements between:
- 4.10.1 The City of Edinburgh Council and Cofely Ineo - covering the supply and maintenance of the Bustracker system; and
  - 4.10.2 The City of Edinburgh Council and Lothian Buses - covering the responsibilities of each partner regarding financial contributions, system administration operation and ongoing maintenance.

- 4.11 The Bustracker system continues to be successfully delivered under the terms of the original contract. The project will continue to follow those principles in the new contract and the separate Agreement between the City of Edinburgh Council and Lothian Buses.
- 4.12 This approach has produced a successful AVL/RTPI system. Lothian Buses has made a significant contribution and have been and will continue to be consulted on any proposed changes to the maintenance regime.
- 4.13 Cofely Ineo continue to perform well, actively monitoring the system with a dedicated team. They frequently identify problems and resolve issues without the travelling public being aware. Any issues reported are dealt with swiftly and professionally.
- 4.14 As bustracker operates with radio communication, to retain the current system, contracts for radio site rental and licence fees must also be extended until the new system is fully operational. These contracts are with Bridge Radio, OFCOM and Arqiva.

## **5. Next Steps**

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- 5.1 To minimise disruption to the end user, the existing system must continue to operate under the terms of the new contract until a new system is fully operational. The timescale for this is not fully defined at this stage.
- 5.2 If Committee approve the recommendations in this report, the existing contract will be extended for one year, with the option to extend for a further year if required.
- 5.3 For the installation of the new system:
  - 5.3.1 Site Acceptance Testing of Lot 1 hardware and software will take place when restrictions allow.
  - 5.3.2 Installation of Lot 2 hardware is currently programmed to begin in Summer 2021. This is estimated to take around 12-18 months to complete. Current maintenance costs will be reduced in line with number of replacement signs being installed per month.

## **6. Financial impact**

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- 6.1 In preparing to recommend the above contract extension, indicative costs were collected from soft market testing exercises of suppliers able to supply the same or similar products. This shows that the contract with Cofely Ineo remains good value, consistent with competitive pricing within the market.
- 6.2 In addition, to reduce the cost to the Council, Cofely Ineo has agreed to freeze the FR/UK indexes and EUR/GBP exchange rate based on 1 January 2017 values.



- 6.3 The annual cost of extending the contract with Cofely Ineo is expected to be approximately £400,000. These costs cover a cross over period between migrating from the Ineo system to a new system. A reduction in hardware and software because of migrating to a new system will result in reduced maintenance payments over time but a timescale for this is unknown at this stage.
- 6.4 The cost of extending the associated payments for radio communication are estimated to be approximately £135,000 in total Bridge Radio (£60,000), Ofcom (£15,000) and Arqiva (£60,000). This will ensure that the current system can remain fully operational until the end of 2021.
- 6.5 An optional one-year extension would be included in the contract to recognise that it is not yet known when Covid-19 restrictions would enable Lot 1 to be fully operational. If this is required, it is expected that the cost of maintenance will be reduced as installation of the new system will be underway and therefore the on-going maintenance costs would be reduced.
- 6.6 The total value of these extensions via waiver is expected to be circa £1 million in total. These costs can be met from the Council's public transport budget.

## **7. Stakeholder/Community Impact**

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- 7.1 This project will provide continued provision or enhancement to the quality of life of users through the enhancement of access to employment, educational, leisure and shopping opportunities.
- 7.2 Withdrawing the service would particularly affect vulnerable users who rely on the reassurance provided by accurate RTPI.
- 7.3 The proposals in this report are designed to help reduce carbon emissions. By providing accurate information for passengers it is hoped to reduce dependence on transport by private car and increase public transport use.

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

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- 8.1 None.

## **9. Appendices**

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- 9.1 None.

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## Finance and Resources Committee

10am, Thursday, 21 January 2021

### Internal Audit: Overdue Findings and Key Performance Indicators at 30 October 2020 – referral from the Governance, Risk and Best Value Committee

Executive/routine  
Wards  
Council Commitments

#### 1. For Decision/Action

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- 1.1 The Governance, Risk and Best Value Committee has referred the attached report to the Finance and Resources Committee information.

**Andrew Kerr**

Chief Executive

Contact: Martin Scott / Natalie Le Couteur, Committee Services

E-mail: [martin.scott@edinburgh.gov.uk](mailto:martin.scott@edinburgh.gov.uk) / [Natalie.le.couteur@edinburgh.gov.uk](mailto:Natalie.le.couteur@edinburgh.gov.uk)

# Referral Report

## Internal Audit: Overdue Findings and Key Performance Indicators at 30 October 2020 – referral from the Governance, Risk and Best Value Committee

### 2. Terms of Referral

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- 2.1 On the 8 December 2020 the Governance, Risk and Best Value Committee considered a report on Internal Audit Overdue Findings and Key Performance Indicators at 30 October 2020, which provided an overview of the status of the overdue Internal Audit (IA) findings as at 30 October 2020. A total of 126 open IA findings remain to be addressed across the Council as at 30 October 2020. 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.
- 2.2 The Governance, Risk and Best Value Committee agreed:
- 2.2.1 To note the status of the overdue Internal Audit (IA) findings as at 30 October 2020.
- 2.2.2 To refer the paper to the relevant Council Executive committees and the EIJB Audit and Assurance Committee for information.
- 2.2.3 To note that in appendix 1, the report by the Chief Internal Auditor at paragraph 4.8 should say increased rather than decreased

### 3. Background Reading/ External References

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- 3.1 [Governance, Risk and Best Value Committee – 8 December 2020– Webcast](#)

### 4. Appendices

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Appendix 1 – report by the Chief Internal Auditor

# Governance, Risk, and Best Value Committee

10:00am, Tuesday, 8 December 2020

## Internal Audit: Overdue Findings and Key Performance Indicators at 30 October 2020

Item number

Executive/routine

Executive

Wards

Council Commitments

### 1. Recommendations

---

- 1.1 It is recommended that the Committee notes:
  - 1.1.1 the status of the overdue Internal Audit (IA) findings as at 30 October 2020; and
  - 1.1.2 refers this paper to the relevant Council Executive committees and the EIJB Audit and Assurance Committee for information.

**Lesley Newdall**

Chief Internal Auditor

Legal and Risk Division, Resources Directorate

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## Internal Audit: Overdue Findings and Key Performance Indicators at 30 October 2020

### 2. Executive Summary

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#### Open and overdue Internal Audit findings

- 2.1 Due to the impacts of Covid-19, the last report on overdue IA findings was presented to the Committee in December 2019 and reported the position as at 22 October 2019. A high level update on the position as at 31 March 2020 was also included in the 2019/20 IA annual opinion that was presented to the Committee in August 2020.
- 2.2 Monthly reporting on overdue IA findings to the Corporate Leadership team (CLT) recommenced in October 2020, reporting the position as at 28 September 2020.
- 2.3 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.
- 2.4 A total of 126 open IA findings remain to be addressed across the Council as at 30 October 2020. 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.
- 2.5 Of the 126 currently open IA findings:
  - 2.5.1 a total of 65 (52%) are open, but not yet overdue;
  - 2.5.2 61 (48%) are currently reported as overdue as they have missed the final agreed implementation dates. This reflects an increase of 6% in comparison to the October 2019 position (42%).
  - 2.5.3 72% of the overdue findings are more than six months overdue, reflecting an increase of 6% in comparison to October 2019 (66%) with 28% aged between six months and one year and 44% more than one year overdue.
  - 2.5.4 The historic position (more than one year overdue) has improved in comparison to the October 2019, with a decrease from 66% to 44% evident, reflecting increased management focus on this population.
  - 2.5.5 evidence in relation to 10 of the 61 overdue findings is currently being reviewed by IA to confirm that it is sufficient to support closure; and

2.5.6 51 overdue findings still require to be addressed.

- 2.6 Whilst good progress continues with resolution of all but one of the reopened historic overdue findings and findings that are more than one year overdue, it is important to ensure that management continues to focus on timely implementation of agreed management actions supporting the remaining population of open and overdue findings. This should result in an improvement in the ageing profile of overdue findings and will help to ensure that the Council is not exposed to the risks associated with these findings for a significant period of time.
- 2.7 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 71, reflecting an increase of 38 when compared to the October 2019 position. This excludes the four month date extension that was applied to reflect the impact of Covid-19.

### **Key Performance Indicators**

- 2.8 Recognising the impacts of Covid-19, IA key performance indicators (KPIs) have not been applied to the Covid-19 audits completed by IA during the period July to October 2020.
- 2.9 KPIs will now be applied to delivery of the remaining audits included in the refreshed 2020/21 IA annual plan approved by the Committee in September 2020. Whilst the KPIs will be applied, the ongoing Covid-19 impacts on the areas being audited will also be considered.

## **3. Background**

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- 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 126 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 (125 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 61 open IA findings (60 current and 1 historic) are overdue.
- 4.3 The movement in open and overdue IA findings during the period 22 October 2019 to 30 October 2020 is as follows:

Analysis of changes between 22/10/19 and 30/10/20					Analysis at 30/10/20	
	Position 22/10/19	Added	Closed	Position 30/10/20	Current	Historic reopened
<b>Open</b>	101	69	(44)	126	125	1
<b>Overdue</b>	42	51	(32)	61	60	1

Appendix 1 provides a graphic of the analysis detailed at 4.1 and 4.2 above.



## Current Overdue Findings

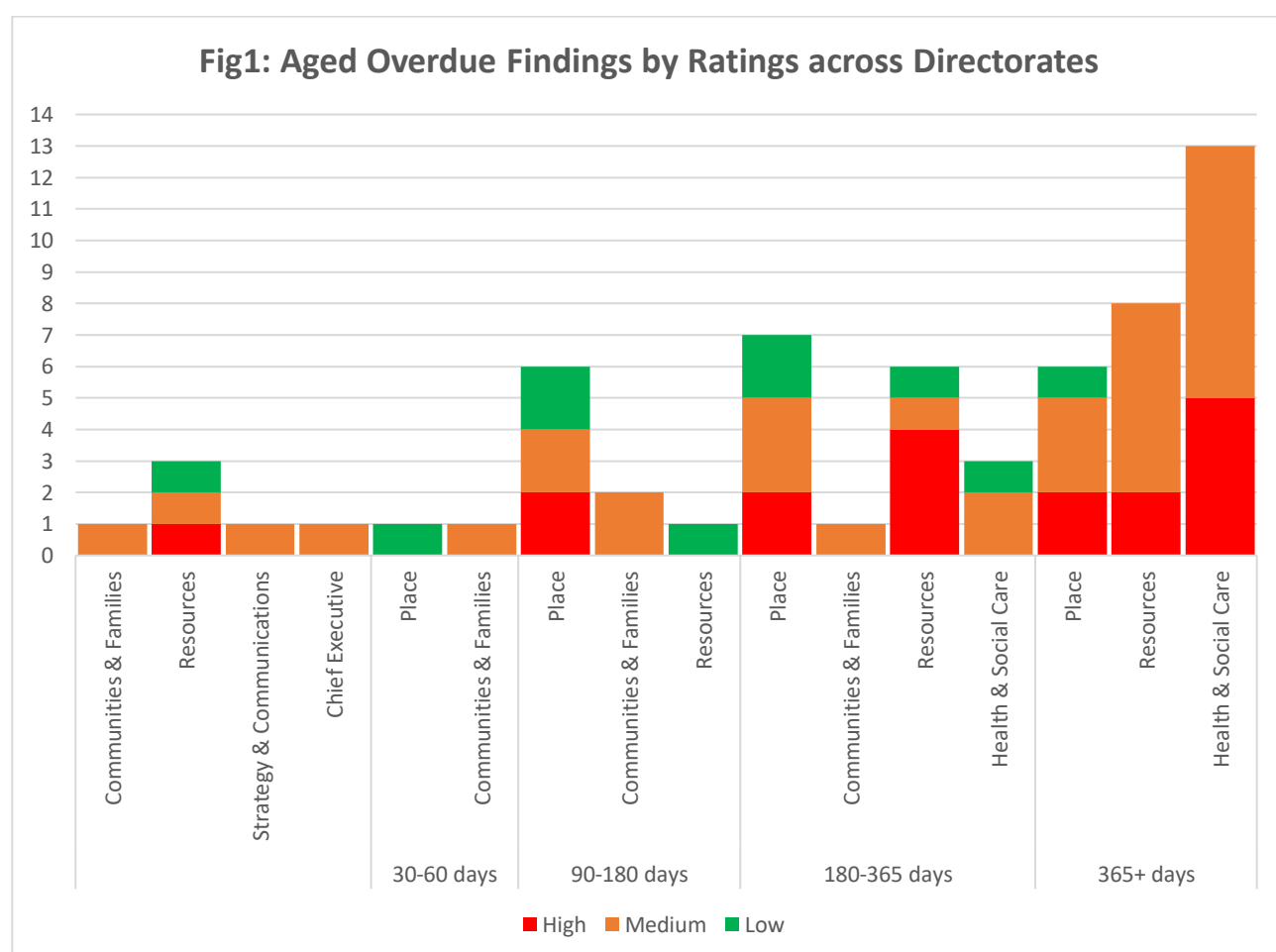
- 4.4 Of the 126 currently open findings, 61 (48%) comprising 18 High; 33 Medium; and 10 Low rated findings are now 'overdue'.
- 4.5 However, IA is currently reviewing evidence to support closure of 10 of these findings (3 High, 5 Medium and 2 Low), leaving a balance of 51 overdue findings (15 High; 28 Medium; and 8 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 December 2020.

## Overdue findings ageing analysis

- 4.7 Figure 1 illustrates the ageing profile of all 61 current and historic overdue findings by rating across directorates as at 30 October 2020.



- 4.8 This analysis of the ageing of the 61 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 significantly decreased. However, there has been an increase in the proportion of findings less

than six months overdue, as well as a rise in the proportion of findings that are overdue by more than one year.

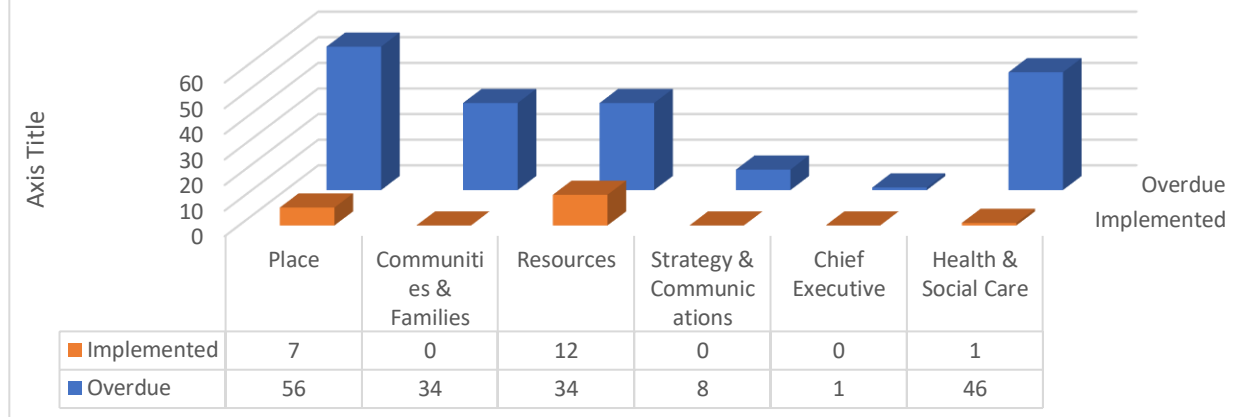
- 8 (13%) less than 3 months (90 days) overdue, in comparison to 26% as at October 2019;
- 9 (15%) between 3 and 6 months (90 and 180 days) overdue, in comparison to 7% as at October 2019;
- 17 (28%) between 6 months and one year (180 and 365 days) overdue, in comparison to 16% as at October 2019; and
- 27 (44%) more than one year overdue, in comparison to 50% as at October 2019.

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.

### **Agreed Management Actions Analysis**

- 4.9 The 126 open IA findings are supported by a total of 376 agreed management actions. Of these, 179 (48%) are overdue as the completion timeframe agreed with management when the report was finalised has not been achieved. This reflects a 16% increase from the October 2019 position (32%).
- 4.10 Of the 179 overdue management actions, 20 have a status of 'implemented' and are currently with IA for review to confirm whether they can be closed, leaving a balance of 159 to be addressed.
- 4.11 Appendix 2 provides an analysis of the 179 overdue management actions highlighting:
- their current status as at 30 October 2020 with:
    - 20 implemented actions where management believe the action has been completed and it is now with IA for validation;
    - 119 started where the action is open, and implementation is ongoing; and
    - 40 pending where the action is open with no implementation progress evident to date.
  - 44 instances (24%) where the latest implementation date has been missed; and
  - 76 instances (42%) where the implementation date has been revised more than once.
- 4.12 Figure 2 illustrates the allocation of the 179 overdue management actions across Directorates, and the 20 that have been passed to IA for review to confirm whether they can be closed.

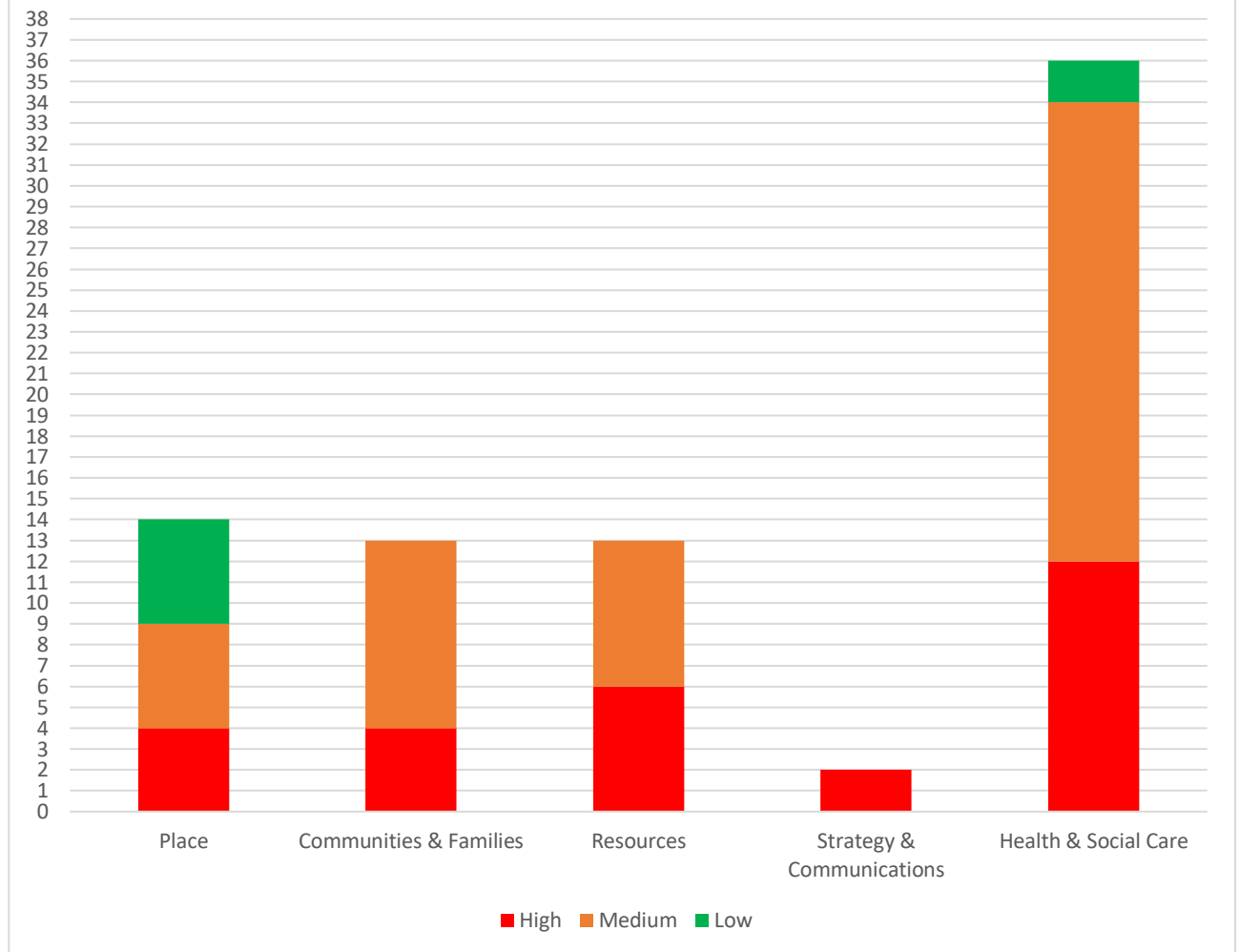
**Figure 2: Overdue and Implemented Management Actions by Directorate**



### Revised Implementation Dates

- 4.13 Figure 3 illustrates that there are currently 78 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.
- 4.14 This reflects an increase of 45 in comparison to the position reported in October 2019 (33).
- 4.15 Of these 78 management actions, 28 are associated with High rated findings; 43 Medium; and 7 Low, with the majority of date revisions in Health and Social Care directorate.

**Figure 3 - management actions with more than one revised completion date since July 2018**



- 4.16 Given the timeframes involved in reviewing open IA findings with directorates as part of the revisiting IA extension timeframes exercise, the full population of amendments to overdue findings has not been reflected in this paper. Where relevant, overdue management actions included in Appendix 2 have been manually updated to reflect extension timeframes outcomes.

#### **Key Performance Themes Identified from the IA Dashboard**

- 4.17 The IA dashboard has not been applied since April 2020 as the annual IA plan was paused to enable the Council to focus on implementation of Covid-19 resilience activities. The dashboard will be reinstated to support delivery of the IA annual plan with effect from October 2020.

## **5. Next Steps**

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- 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**

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- 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**

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- 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**

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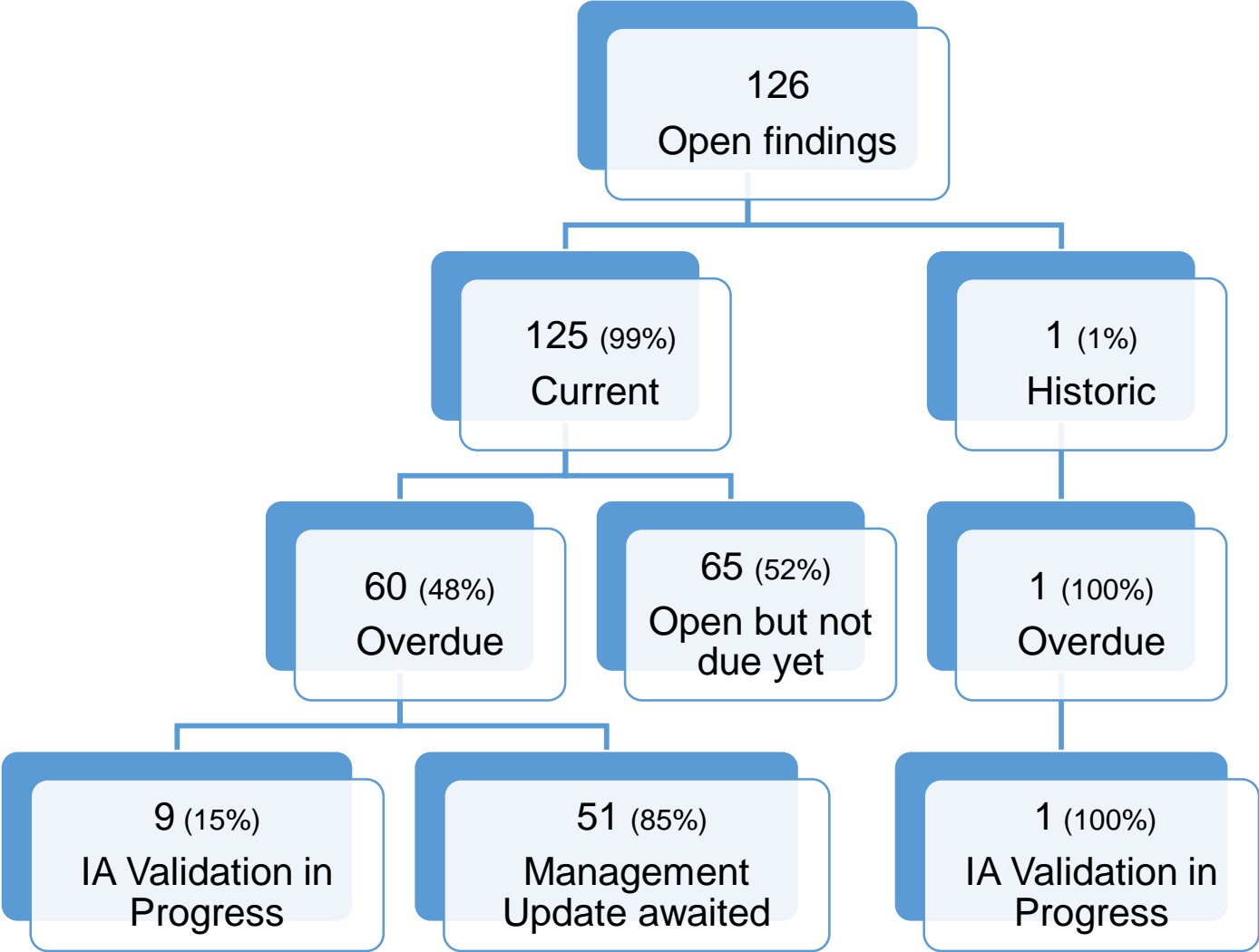
- 8.1 [Internal Audit report - Historic Internal Audit Findings - May 2018 Committee - Item 7.3](#)
- 8.2 [Internal Audit Report – Overdue Findings and Late Management Responses as at 22 October 2019 – December 2019 Committee - Item 11](#)

## **9. Appendices**

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- 9.1 Appendix 1 – Graphic of Open and Overdue IA Findings
- 9.2 Appendix 2 – Internal Audit Overdue Management Actions

Appendix 1 - Internal Audit Open and Overdue findings position as at 30<sup>th</sup> October 2020



## Appendix 2 - Internal Audit Overdue Management Actions

### 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.

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
1	Portfolio Governance Framework  CE1801 Issue 1: Project and portfolio management and scrutiny  Paul Lawrence, Executive Director of Place and SRO	<b>High</b>	CE1801 Issue 1.2: Completeness and accuracy of project reporting  <b>Implemented</b>	It was agreed at the Council's Change Board on 17 April 2019 that the management actions detailed above would be implemented by each Directorate (with the exception of the Health and Social Care Partnership where scrutiny of change and major projects is performed by the Edinburgh Integration Joint Board) and Strategy and Communications	<b>Estimated Date:</b> <b>31/12/2019</b> <b>Revised Date:</b> <b>01/05/2020</b> <b>No of Revisions</b> <b>0</b>	Alison Coburn David Givan George Gaunt Laurence Rockey Simone Hislop

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 2: Operational Processes - Admissions &amp; Appeals</p> <p>Stephen Moir, Executive Director of Resources</p>	High	<p>CF1901 Issue 2.3(c): Risk Based Annual Address Checks</p> <p>Implemented</p>	<p>The Transactions Team is currently engaging the Council's Business Transformation team to explore intelligent automation options for completing annual checks. Should this solution not be feasible, a risk-based methodology will be developed and documented to determine scope and extent of future checks.</p>	<p><b>Estimated Date:</b> 30/06/2020 <b>Revised Date:</b> 01/11/2020 <b>No of Revisions</b> 0</p>	<p>Alison Roarty Jane MacIntyre Layla Smith Michelle Vanhegan Neil Jamieson Nicola Harvey Ruth Currie Sheila Haig</p>
3	<p>Historic Unimplemented Findings</p> <p>MIS1601 - issue 1 Budgetary Impact</p> <p>Stephen Moir, Executive Director of Resources</p>	Medium	<p>Recommendation 1 - Budgetary Impact</p> <p>Implemented</p>	<p>The R&amp;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.</p>	<p><b>Estimated Date:</b> 31/03/2017 <b>Revised Date:</b> 29/06/2018 <b>No of Revisions</b> 0</p>	<p>Audrey Dutton Gohar Khan Layla Smith Michelle Vanhegan Murdo MacLeod Peter Watton</p>



Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
4	<p>ICT System Access Rights</p> <p>CW1809 Financial Systems Access Controls - Development of Overarching Action plan</p> <p>Stephen Moir, Executive Director of Resources</p>	High	<p>CW1809 - Development of Overarching Action plan</p> <p>Implemented</p>	<p>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 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>	<p><b>Estimated Date:</b> <b>28/02/2020</b></p> <p><b>Revised Date:</b> <b>01/07/2020</b></p> <p><b>No of Revisions</b> <b>0</b></p> <p><b>Agreed date to be extended as part of IA Extension Timeframes exercise – date to be advised by Service.</b></p>	<p>Alison Roarty Heather Robb Layla Smith Michelle Vanhegan Nicola Harvey</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
5	<p>Digital Services Change Initiation</p> <p>CW1901 Change Initiation: Issue 2 - Actions and responsibilities in the Partnership Board report</p> <p>Stephen Moir, Executive Director of Resources</p>	Low	<p>CW1901 Recommendation 2.1.1 - Reporting rationale for significant delays to the Partnership Board</p> <p>Implemented</p>	Agreed – will be implemented as recommended by Internal Audit.	<p><b>Estimated Date:</b> 30/09/2020</p> <p><b>Revised Date:</b></p> <p><b>No of Revisions</b> 0</p>	<p>Alison Roarty Derek Masson Heather Robb Jackie Galloway Layla Smith Michelle Vanhegan Nicola Harvey</p>
<p>Page 162</p> <p>6</p>	<p>Digital Services Change Initiation</p> <p>CW1901 Change Initiation: Issue 2 - Actions and responsibilities in the Partnership Board report</p> <p>Stephen Moir, Executive Director of Resources</p>	Low	<p>CW1901 Recommendation 2.1.2 - Reporting themes impacting change requests to the Partnership Board</p> <p>Implemented</p>	Agreed – will be implemented as recommended by Internal Audit.	<p><b>Estimated Date:</b> 30/09/2020</p> <p><b>Revised Date:</b></p> <p><b>No of Revisions</b> 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
7	Lone working  HSC1902: Lone Working - Issue 5: Health and Safety Risk Management and Covid-19 Impacts  Judith Proctor, Chief Officer	Medium	HSC1902: Issue 5.1(b) - COVID-19 lone worker risk assessments  Implemented	A reminder will be issued to all Partnership localities and services to request that all current risk assessments are reviewed to ensure they take account of the changing working environment. Further changes to risk assessment templates and procedures will be addressed as part of the wider detailed action plan.	Estimated Date: 30/09/2020 Revised Date: No of Revisions 0	Angela Lindsay Angela Ritchie Cathy Wilson Deborah Mackle Helen Elder Mike Massaro-Mallinson Moir Pringle Nikki Conway Tom Cowan
Page 163	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
9	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

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
10	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
Page 164	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

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
12	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  <b>Implemented</b>	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.	<b>Estimated Date:</b> <b>31/03/2020</b> <b>Revised Date:</b> <b>01/08/2020</b> <b>No of Revisions</b> <b>0</b>	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
13	Waste & Cleansing Services - Performance Management Framework  PL1807 Issue 1: Waste and Cleansing Performance Management Framework  Paul Lawrence, Executive Director of Place and SRO	Low	PL1807 1.1 Waste and Cleansing budget uplift  <b>Implemented</b>	Finance colleagues will be engaged to ensure that the Waste and Cleansing budget is rebased to reflect actual demographic changes and includes street cleansing.	<b>Estimated Date:</b> <b>29/05/2020</b> <b>Revised Date:</b> <b>01/10/2020</b> <b>No of Revisions</b> <b>0</b>	Alison Coburn Andy Williams David Givan Gareth Barwell George Gaunt Karen Reeves

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
14	Waste & Cleansing Services - Performance Management Framework  PL1807 Issue 1: Waste and Cleansing Performance Management Framework  Paul Lawrence, Executive Director of Place and SRO	Low	PL1807 1.2 Performance Indicators  Implemented	This indicator will be included as a question in quarterly survey and the results included in annual Waste and Cleansing performance reports. The next annual Waste and Cleansing performance report is due to be presented to the Transport and Environment Committee in May 2020.	<b>Estimated Date:</b> 29/05/2020 <b>Revised Date:</b> 01/10/2020 <b>No of Revisions</b> 0	Alison Coburn Andy Williams David Givan Gareth Barwell George Gaunt Karen Reeves
15	Waste & Cleansing Services - Performance Management Framework  PL1807 Issue 1: Waste and Cleansing Performance Management Framework  Paul Lawrence, Executive Director of Place and SRO	Low	PL1807 1.3 Waste and Cleansing Policy  Implemented	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.	<b>Estimated Date:</b> 27/12/2019 <b>Revised Date:</b> 01/11/2020 <b>No of Revisions</b> 1	Alison Coburn Andy Williams David Givan Gareth Barwell George Gaunt

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
16	Property Maintenance  Monitoring of outstanding jobs  Stephen Moir, Executive Director of Resources	Medium	Monitoring of outstanding jobs  Implemented	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	<b>Estimated Date:</b> <b>31/12/2017</b> <b>Revised Date:</b> <b>31/05/2019</b> <b>No of Revisions</b> <b>3</b>	Audrey Dutton Gohar Khan Layla Smith Mark Stenhouse Michelle Vanhegan Murdo MacLeod Peter Watton
Page 167  17	Supplier Management Framework and CIS Payments  RES1809 Issue 2: Contracts and Grants Management Strategic Direction  Stephen Moir, Executive Director of Resources	High	RES1809 Issue 2.1: Identification of High-Risk Contracts and Contracts and Grants Management Capacity  Implemented	Currently, there are approximately 120 Tier 1 contracts on the Council's contract register, and 291 Tier 2 contracts. The C&GM Team will assist services in identifying those contracts they have which should be categorised as either Tier 1 or Tier 2, and this will be dealt with under the Council's contract management framework, including at contract mobilisation post contract award. This work will be dependent upon active service area engagement. Commercial and Procurement Services will shortly be commencing a review of the Council's current Commercial and Procurement Strategy (2016-2020), which will be submitted to the Finance and Resources Committee for adoption in March 2020. This will include detail on how the operational work of the team will support the strategy, including the work of the C&GM Team. A suitable section will be included in the Strategy around contract management support/training, including an estimated number of compliance reviews that are to be undertaken and the Directorates to which they relate, and if practicable specific contracts. Compliance with the strategy is reported annually to Finance and Resources Committee, in August, so this will enable annual monitoring against this.	<b>Estimated Date:</b> <b>30/09/2020</b> <b>Revised Date:</b> <b>01/02/2021</b> <b>No of Revisions</b> <b>0</b>	Annette Smith Gavin Brown Hugh Dunn  Iain Strachan  Layla Smith Michelle Vanhegan Mollie Kerr

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
18	<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 1.1 Key Performance Indicators</p> <p>Implemented</p>	<p>A suite of KPI's is currently being developed in conjunction with the Communities &amp; 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><b>Estimated Date:</b> 31/03/2020 <b>Revised Date:</b> 01/08/2020 <b>No of Revisions</b> 0</p> <p><b>Agreed date to be extended as part of IA Extension Timeframes exercise – date to be advised by Service.</b></p>	<p>Audrey Dutton Gohar Khan Layla Smith Mark Stenhouse Michelle Vanhegan Peter Watton</p>
19	<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><b>Estimated Date:</b> 31/03/2020 <b>Revised Date:</b> 01/08/2021 <b>No of Revisions</b> 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
20	<p>Asset Management Strategy and CAFM system 18/19</p> <p>RES1813 Asset Management Strategy and CAFM: Issue 1 - Council Property Strategy</p> <p>Stephen Moir, Executive Director of Resources</p>	High	<p>1.2 - Property Aspects of Major Projects</p> <p>Implemented</p>	<p>P&amp;FM will recommunicate the requirement for business cases to be developed through the Asset Investment Groups; request that Strategy and Communications include it in the Strategic Change and Delivery project management toolkit; and have oversight of ensuring P&amp;FM have input into any property changes at the Change Board. P&amp;FM will comment on all known business cases and provide estimates of property whole life costs (not just R&amp;M costs). For smaller projects, such as the siting of a portacabin on school grounds to accommodate increased pupil numbers, Properties and Facilities Management will design a process and supporting funding protocols to ensure that P&amp;FM are consulted at an early stage to enable revenue costing to be prepared for the client service (for example, where additional janitorial and cleaning services are required) and for the source of funding to be established and agreed. The process and supporting funding protocols will be shared with all Directorates and Heads of Service for discussion and agreement.</p>	<p><b>Estimated Date:</b> 31/03/2020 <b>Revised Date:</b> 01/08/2020 <b>No of Revisions</b> 0</p>	<p>Andrew Field Audrey Dutton Gohar Khan Layla Smith Lindsay Glasgow Michelle Vanhegan Peter Watton</p>
21	<p>Portfolio Governance Framework</p> <p>CE1801 Issue 1: Project and portfolio management and scrutiny</p> <p>Laurence Rockey, Head of Strategy &amp; Communications</p>	High	<p>CE1801 Issue 1.4: Whole of life toolkit</p> <p>Pending</p>	<p>Strategic Change and Delivery will include guidance for project managers on whole life costing based on the approach adopted by finance</p>	<p><b>Estimated Date:</b> 29/05/2020 <b>Revised Date:</b> 01/10/2020 <b>No of Revisions</b> 0</p>	<p>Alison Henry Gillie Severin Hugh Dunn Rebecca Andrew Simone Hislop</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
22	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures &amp; Guidance</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	High	<p>CF1901: Issue 1.1(a) - Review of Schools Admissions Policy</p> <p>Pending</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 &amp; Families will be the policy owner, with the Senior Education Officer responsible for operational review and oversight.</p>	<p><b>Estimated Date:</b> 30/04/2020</p> <p><b>Revised Date:</b> 31/12/2020</p> <p><b>No of Revisions</b> 1</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Andy Gray Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie</p>
23	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions &amp; Appeals</p> <p>Alistair Gaw, Executive Director of Communities and Families</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><b>Estimated Date:</b> 30/06/2020</p> <p><b>Revised Date:</b> 22/02/2021</p> <p><b>No of Revisions</b> 1</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Alison Roarty Andy Gray Arran Finlay Donna Rodger Hayley Barnett Laurence Rockey 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
24	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions &amp; Appeals</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	High	<p>CF1901 Issue 2.3(a): Validation of Registration &amp; 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><b>Estimated Date:</b> 30/06/2020 <b>Revised Date:</b> 22/02/2021</p> <p><b>No of Revisions</b>1</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Andy Gray Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie</p>
25	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions &amp; Appeals</p> <p>Alistair Gaw, Executive Director of Communities and Families</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-Assurance Framework from 2021 onwards.</p>	<p><b>Estimated Date:</b> 30/06/2020 <b>Revised Date:</b> 22/02/2021 <b>No of Revisions</b>1</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Andy Gray Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
26	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions &amp; Appeals</p> <p>Alistair Gaw, Executive Director of Communities and Families</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><b>Estimated Date:</b> 30/06/2020 <b>Revised Date:</b> 22/02/2021 <b>No of Revisions</b> 1</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Andy Gray Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie</p>
27	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 4: Data Access, Security &amp; Retention</p> <p>Alistair Gaw, Executive Director of Communities and Families</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><b>Estimated Date:</b> 31/07/2020 <b>Revised Date:</b> 22/02/2021 <b>No of Revisions</b> 1</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Alison Roarty Andy Gray Arran Finlay Donna Rodger Hayley Barnett Laurence Rockey 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
28	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 4: Data Access, Security &amp; Retention</p> <p>Alistair Gaw, Executive Director of Communities and Families</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><b>Estimated Date:</b> 30/09/2020</p> <p><b>Revised Date:</b> 01/02/2021</p> <p><b>No of Revisions</b> 0</p>	<p>Alison Roarty Andy Gray Arran Finlay Donna Rodger Hayley Barnett Laurence Rockey Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>
29	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 4: Data Access, Security &amp; Retention</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	Medium	<p>CF1901: Issue 4.3: Data Sharing Agreements</p> <p>Pending</p>	<p>The Information Governance Unit will be consulted to determine if data sharing agreements which meet these requirements, are currently in place with Midlothian, East Lothian and West Lothian Councils. If current agreements are not in place, or do not cover the required categories of data, specific data sharing agreements will be established.</p>	<p><b>Estimated Date:</b> 30/09/2020</p> <p><b>Revised Date:</b> 01/02/2021</p> <p><b>No of Revisions</b> 0</p>	<p>Alison Roarty Andy Gray Arran Finlay Donna Rodger Hayley Barnett Laurence Rockey 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
30	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 4: Data Access, Security &amp; Retention</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	Medium	<p>CF1901: Issue 4.4(a): Document Retention &amp; Disposal; All Services</p> <p>Pending</p>	<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 out with the relevant period will be destroyed in line with the Council's disposal guidelines and a retention schedule and destruction log maintained.</p>	<p><b>Estimated Date:</b> 30/06/2020 <b>Revised Date:</b> 22/02/2021 <b>No of Revisions</b> 1</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Alison Roarty Andy Gray Arran Finlay Donna Rodger Hayley Barnett Laurence Rockey Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>
31	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 4: Data Access, Security &amp; Retention</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	Medium	<p>CF1901: Issue 4.4(b): Document Retention &amp; 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><b>Estimated Date:</b> 30/06/2020 <b>Revised Date:</b> 22/02/2021 <b>No of Revisions</b> 1</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Andy Gray Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
32	Payments and Charges  CW1803 Payments and Charges Issue 4: Processing and recording Licensing Fees  Paul Lawrence, Executive Director of Place and SRO	Medium	CW1803 Rec. 4.2 - Quality checking  Pending	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.	<b>Estimated Date:</b> <b>20/12/2019</b> <b>Revised Date:</b> <b>01/05/2020</b> <b>No of Revisions</b> <b>0</b>	Alison Coburn Andrew Mitchell David Givan Gavin Brown George Gaunt Michael Thain Sandra Harrison
Page 475	Payments and Charges  CW1803 Payments and Charges Issue 5: Processing and recording of Parking Permit fees  Paul Lawrence, Executive Director of Place and SRO	Medium	CW1803 Rec. 5.1 - Process for updating fees and charges in the Apply system  Pending	Current processes and UAT (User Acceptance Testing) mechanisms do exist for updating permit prices. However, these will be reviewed and enhanced with better recording of processes and outcomes. A new procedure regarding the change of permit price process on NSL Apply will be implemented.	<b>Estimated Date:</b> 29/05/2020 <b>Revised Date:</b> 01/10/2020 <b>No of Revisions</b> <b>0</b>	Alison Coburn David Givan Ewan Kennedy  Gavin Brown Gavin Graham George Gaunt Michael Thain Sandra Harrison



Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
34	Payments and Charges  CW1803 Payments and Charges Issue 5: Processing and recording of Parking Permit fees  Paul Lawrence, Executive Director of Place and SRO	Medium	CW1803 Rec. 5.2 - Procedure for authorising payments  Pending	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.	<b>Estimated Date:</b> <b>31/03/2020</b> <b>Revised Date:</b> <b>01/08/2020</b> <b>No of Revisions</b> <b>0</b>	Alison Coburn David Givan Ewan Kennedy Gavin Brown Gavin Graham George Gaunt Michael Thain Sandra Harrison
Page 176 35	Payments and Charges  CW1803 Payments and Charges Issue 5: Processing and recording of Parking Permit fees  Paul Lawrence, Executive Director of Place and SRO	Medium	CW1803 Rec. 5.3 - Ongoing risk-based quality assurance  Pending	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.	<b>Estimated Date:</b> <b>31/03/2020</b> <b>Revised Date:</b> <b>01/08/2020</b> <b>No of Revisions</b> <b>0</b>	Alison Coburn David Givan Ewan Kennedy Gavin Brown Gavin Graham George Gaunt Michael Thain Sandra Harrison
36	Emergency Prioritisation & Complaints  CW1806 Issue 1: ATEC 24 Operational Framework	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.	<b>Estimated Date:</b> <b>30/04/2020</b> <b>Revised Date:</b> <b>01/05/2021</b> <b>No of Revisions</b> <b>1</b>	Andy Jones Angela Ritchie Cathy Wilson Craig ODonnell Katie McWilliam Lindsay Munro Sylvia Latona Tony Duncan



Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	Judith Proctor, Chief Officer					
37	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  Pending	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.	<b>Estimated Date:</b> <b>30/04/2020</b> <b>Revised Date:</b> <b>01/02/2021</b> <b>No of Revisions</b> <b>1</b>	Andy Jones Angela Ritchie Cathy Wilson Craig ODonnell Katie McWilliam Lindsay Munro Sylvia Latona Tony Duncan
Page 177 38	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  Pending	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.	<b>Estimated Date:</b> <b>30/04/2020</b> <b>Revised Date:</b> <b>01/02/2021</b> <b>No of Revisions</b> <b>1</b>	Andy Jones Angela Ritchie Cathy Wilson Craig ODonnell Katie McWilliam Lindsay Munro Sylvia Latona Tony Duncan
39	Emergency Prioritisation & Complaints  CW1806 Issue 1: ATEC 24 Operational Framework	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.	<b>Estimated Date:</b> <b>30/04/2020</b> <b>Revised Date:</b> <b>01/05/2021</b> <b>No of Revisions</b> <b>1</b>	Andy Jones Angela Ritchie Cathy Wilson Craig ODonnell Katie McWilliam Lindsay Munro Sylvia Latona Tony Duncan

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	Judith Proctor, Chief Officer					
40	Emergency Prioritisation & Complaints  CW1806 Issue 2: ATEC 24 Customer Engagement  Judith Proctor, Chief Officer	Low	CW1806 Issue 2.1(1): ATEC 24 Customer Feedback - Implementatio n of Process  Pending	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.	<b>Estimated Date:</b> 31/01/2020 <b>Revised Date:</b> 01/02/2021 <b>No of Revisions</b> 2	Andy Jones Angela Ritchie Cathy Wilson Craig ODonnell Katie McWilliam Lindsay Munro Sylvia Latona Tony Duncan
Page 178 41	Homelessness Services  CW1808 Issue 2: Homelessness data quality and performance reporting  Alistair Gaw, Executive Director of Communities and Families	High	CW1808 Recommendati on 2.2.2 - Performance Information  Pending	2.2.2 - We will report performance information in relation to Service Standards and key homelessness outcomes regularly on the Council's website and other forums such as social media	<b>Estimated Date:</b> 31/03/2020 <b>Revised Date:</b> 31/03/2021 <b>No of Revisions</b> 2  Current revised date agreed as part of extension exercise	Debbie Herbertson Emma Morgan Jackie Irvine Nichola Dadds Nicky Brown

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
42	<p>Homelessness Services</p> <p>CW1808 Issue 3: Provision of homelessness advice and information</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	Medium	<p>CW1801 Recommendation on 3.1.3: Homelessness information leaflet</p> <p>Pending</p>	<p>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.</p>	<p><b>Estimated Date:</b> 30/04/2020 <b>Revised Date:</b> 01/09/2020 <b>No of Revisions</b> 0</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Debbie Herbertson Jackie Irvine Nichola Dadds Nicky Brown</p>
<p>Page 179</p> <p>43</p>	<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 &amp; effectiveness of the Brexit risk management &amp; 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><b>Estimated Date:</b> 30/09/2020 <b>Revised Date:</b>  <b>No of Revisions</b> 0</p>	<p>Donna Rodger Gavin King Laurence Rockey Mary-Ellen Lang</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
44	<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>Pending</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><b>Estimated Date:04/05/2020</b></p> <p><b>Revised Date:01/09/2020</b></p> <p><b>No of Revisions</b> 0</p>	<p>Alison Coburn</p> <p>David Givan</p> <p>Gareth Barwell</p> <p>George Gaunt</p> <p>Graeme Hume</p> <p>Nicole Fraser</p> <p>Scott Millar</p>
Page 180	<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>1.4 - Risk management</p> <p>Pending</p>	<p>The risks detailed in this Internal Audit finding will be highlighted for inclusion in the Place Management Risk Register.</p>	<p><b>Estimated Date: 04/05/2020</b></p> <p><b>Revised Date: 04/09/2020</b></p> <p><b>No of Revisions</b> 0</p>	<p>Alison Coburn</p> <p>David Givan</p> <p>Gareth Barwell</p> <p>George Gaunt</p> <p>Nicole Fraser</p> <p>Scott Millar</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
46	<p>HMO Licensing</p> <p>PL1803 Issue 2 - Collection and processing of HMO licence fees</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>PL1803 Issue 2.1 BACS payment reference</p> <p>Pending</p>	<p>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 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>	<p><b>Estimated Date:</b> 30/03/2020 <b>Revised Date:</b> 05/10/2020 <b>No of Revisions</b> 1</p>	<p>Alison Coburn Andrew Mitchell David Givan George Gaunt Grace McCabe Isla Burton Michael Thain Sandra Harrison</p>
47	<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 HMO Key Performance Indicators and Performance Reporting</p> <p>Pending</p>	<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 approval for performance targets ongoing performance targets.</p>	<p><b>Estimated Date:</b> 31/01/2020 <b>Revised Date:</b> 01/06/2020 <b>No of Revisions</b> 0</p>	<p>Alison Coburn Andrew Mitchell David Givan George Gaunt Grace McCabe Isla Burton Michael Thain Sandra Harrison</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
48	<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 - 1.2 Roads Service Improvement Plan approval</p> <p>Pending</p>	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.	<p><b>Estimated Date:</b> 31/07/2020</p> <p><b>Revised Date:</b> 01/12/2020</p> <p><b>No of Revisions</b> 0</p>	<p>Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Nicole Fraser</p>
<p>Page 182</p> <p>49</p>	<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 - 2.1 Service Delivery Performance Monitoring</p> <p>Pending</p>	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.	<p><b>Estimated Date:</b> 31/07/2020</p> <p><b>Revised Date:</b> 01/12/2020</p> <p><b>No of Revisions</b> 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
50	<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>Pending</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><b>Estimated Date:</b> 30/06/2020 <b>Revised Date:</b> 01/11/2020 <b>No of Revisions:</b> 0</p>	<p>Alison Coburn Cliff Hutt</p> <p>David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Nicole Fraser Sean Gilchrist</p>
51	<p>Road Services Improvement Plan</p> <p>PL1808 Issue 3. Roads inspection, defect categorisation, and repairs</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Low	<p>PL1808 - 3.2b) Inspector training and qualifications</p> <p>Pending</p>	<p>2. Ensure all relevant Inspectors are accredited by an appropriately accredited professional body.</p>	<p><b>Estimated Date:</b> 31/08/2020 <b>Revised Date:</b> 01/01/2021 <b>No of Revisions:</b> 0</p>	<p>Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Nicole Fraser Sean Gilchrist</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
52	Road Services Improvement Plan  PL1808 Issue 4. Roads - Management of public liability claims  Paul Lawrence, Executive Director of Place and SRO	Low	PL1808 - 4.1 Management of public liability claims  Pending	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.	<b>Estimated Date:</b> <b>28/05/2020</b> <b>Revised Date:</b> <b>01/10/2020</b> <b>No of Revisions</b> <b>0</b>	Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Jordan Walker Nicole Fraser Sean Gilchrist
Page 1845	Road Services Improvement Plan  PL1808 Issue 4. Roads - Management of public liability claims  Paul Lawrence, Executive Director of Place and SRO	Low	PL1808 - 4.2 Management of public liability claims  Pending	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.	<b>Estimated Date:</b> <b>30/04/2020</b> <b>Revised Date:</b> <b>01/09/2020</b> <b>No of Revisions</b> <b>0</b>	Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Nicole Fraser Sean Gilchrist



Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
54	<p>Street Lighting and Traffic Signals</p> <p>Street Lighting and Traffic Signals: Process and quality assurance documentation and training</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Low	<p>PL1810 Issue 3: Rec 2 - Refresher training for existing employees</p> <p>Pending</p>	<p>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.</p>	<p><b>Estimated Date:</b> 20/12/2019</p> <p><b>Revised Date:</b> 01/03/2021</p> <p><b>No of Revisions</b> 5</p>	<p>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</p>
Page 185	<p>Fleet Review</p> <p>Project management and governance framework</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>4. Recommendation - Stakeholder Engagement</p> <p>Pending</p>	<p>An internal/ external stakeholder engagement plan will be developed; approved by the project Board and applied throughout the project. Any key stakeholder engagement actions will also be reflected in the project plan.</p>	<p><b>Estimated Date:</b> 28/06/2019</p> <p><b>Revised Date:</b> 01/09/2020</p> <p><b>No of Revisions</b> 2</p>	<p>Alison Coburn Claire Duchart David Givan Gareth Barwell George Gaunt Nicole Fraser Scott Millar Veronica Wishart</p>
56	<p>Fleet Review</p> <p>Project management and governance framework</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>5. Recommendation - Procurement Strategy and Plan</p> <p>Pending</p>	<p>A procurement and strategy plan will be designed along with the procurement team; approved by the project Board and used to support the procurement process; The request for procurement will include requirements in relation to paperless processes and compatibility with existing fleet systems; and The contractual position with CGI regarding telematics will be confirmed prior to commencement of procurement.</p>	<p><b>Estimated Date:</b> 30/07/2019</p> <p><b>Revised Date:</b> 01/12/2020</p> <p><b>No of Revisions</b> 1</p>	<p>Alison Coburn Claire Duchart David Givan Gareth Barwell George Gaunt Nicole Fraser Scott Millar Veronica Wishart</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
57	<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>Pending</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><b>Estimated Date:</b> 01/04/2019</p> <p><b>Revised Date:</b> 01/09/2019</p> <p><b>No of Revisions</b> 1</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> <p>Scott Millar</p> <p>Steven Wright</p>
Page 1868	<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>	Place This recommendation is accepted, and this will be added as appropriate to the Place mandatory training matrix at the next review.	<p><b>Estimated Date:</b> 31/08/2020</p> <p><b>Revised Date:</b> 01/01/2021</p> <p><b>No of Revisions</b> 0</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>
59	<p>Budget Setting and Management</p> <p>RES 1903 Issue 1: Savings proposals documentation and risk assessments</p> <p>Laurence Rockey,</p>	Medium	<p>RES 1903 Issue 1.1: Savings proposals documentation and risk assessments</p> <p>Pending</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	<p><b>Estimated Date:</b> 30/09/2020</p> <p><b>Revised Date:</b> 01/02/2021</p> <p><b>No of Revisions</b> 0</p>	<p>Alison Henry</p> <p>Annette Smith</p> <p>Donna Rodger</p> <p>Emma Baker</p> <p>Hugh Dunn</p> <p>John Connarty</p> <p>Layla Smith</p> <p>Michelle Vanhegan</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	Head of Strategy & Communications			applied to all savings delivery progress updates provided to Directorate management teams, CLT, and service committees.		
60	Budget Setting and Management  RES 1903 Issue 3: Continuous improvement: Lessons learned and customer feedback.  Laurence Rockey, Head of Strategy & Communications	Medium	RES 1903 Issue 3.1: Annual budget setting lessons learned methodology  Pending	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.	Estimated Date:31/05/2020 Revised Date:01/10/2020 No of Revisions 0	Alison Henry Annette Smith Donna Rodger Emma Baker Hugh Dunn John Connarty Layla Smith Michelle Vanhegan
Page 187 61	School admissions, appeals and capacity planning  CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance  Alistair Gaw, Executive Director of Communities and Families	High	CF1901: Issue 1.1(b) - Review of Admissions Operational Procedures  Started	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.	Estimated Date: 31/08/2020 Revised Date: 22/02/2021 No of Revisions 1  Current revised date agreed as part of extension exercise	Alison Roarty Andy Gray Arran Finlay Donna Rodger Hayley Barnett Laurence Rockey Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
62	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures &amp; Guidance</p> <p>Alistair Gaw, Executive Director of Communities and Families</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><b>Estimated Date:</b> <b>31/08/2020</b></p> <p><b>Revised Date:</b> <b>22/02/2021</b></p> <p><b>No of Revisions</b> <b>1</b></p> <p>Current revised date agreed as part of extension exercise</p>	<p>Alison Roarty Andy Gray Arran Finlay Donna Rodger Hayley Barnett Laurence Rockey Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>
63	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures &amp; Guidance</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	High	<p>CF1901: Issue 1.1(d)/(e) - Communicatin g Guidance on Website &amp; 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><b>Estimated Date:</b> <b>30/09/2020</b></p> <p><b>Revised Date:</b> <b>01/02/2021</b></p> <p><b>No of Revisions</b> <b>0</b></p>	<p>Alison Roarty Andy Gray Arran Finlay Donna Rodger Hayley Barnett Laurence Rockey 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
						Sheila Haig Stephen Moir
64	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions &amp; Appeals</p> <p>Laurence Rockey, Head of Strategy &amp; Communications</p>	High	<p>CF1901 Issue 2.1(b): Committee on Pupil Student Support Remit, Review &amp; Recording of Outcomes</p> <p>Started</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><b>Estimated Date:</b> <b>30/06/2020</b></p> <p><b>Revised Date:</b> <b>30/11/2020</b></p> <p><b>No of Revisions</b> <b>1</b></p> <p>Current revised date agreed as part of extension exercise</p>	<p>Alistair Gaw</p> <p>Andy Gray</p> <p>Arran Finlay</p> <p>Donna Rodger</p> <p>Hayley Barnett</p> <p>Lesley Birrell</p> <p>Nickey Boyle</p> <p>Ruth Currie</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
65	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 3: Process Documentation &amp; Delivery Responsibilities</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	Medium	<p>CF1901 Issue 3.1(a): Development &amp; 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><b>Estimated Date:</b> 31/08/2020 <b>Revised Date:</b> 22/02/2021 <b>No of Revisions</b> 1</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Alison Roarty Andy Gray Arran Finlay Donna Rodger Hayley Barnett Laurence Rockey Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>
66	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 3: Process Documentation &amp; Delivery Responsibilities</p> <p>Alistair Gaw, Executive Director of Communities and Families</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><b>Estimated Date:</b> 31/08/2020 <b>Revised Date:</b> 22/02/2021 <b>No of Revisions</b> 1</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Alison Roarty Andy Gray Arran Finlay Donna Rodger Hayley Barnett Laurence Rockey 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
						Sheila Haig Stephen Moir
67	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 3: Process Documentation &amp; Delivery Responsibilities</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	Medium	CF1901 Issue 3.1(c): Annual Process - Debrief & Lessons LearnedStarted	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><b>Estimated Date:31/08/2020</b></p> <p><b>Revised Date:22/02/2021</b></p> <p><b>No of Revisions</b> 1</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Alison Roarty Andy Gray Arran Finlay Donna Rodger Hayley Barnett Laurence Rockey</p> <p>Layla Smith Matthew Clarke Michelle Vanhegan</p> <p>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
68	<p>School admissions, appeals and capacity planning</p> <p>CF1901: School admissions, appeals and capacity planning - Issue 3: Process Documentation &amp; Delivery Responsibilities</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	Medium	<p>CF1901 Issue 3.1(d): Roles &amp; Responsibilities outwith Annual Process</p> <p>Started</p>	<p>The working group will review the roles and responsibilities for any tasks performed out with 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>	<p><b>Estimated Date:</b> 31/08/2020 <b>Revised Date:</b> 22/02/2021 <b>No of Revisions</b> 3</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Alison Roarty Andy Gray Arran Finlay Donna Rodger Hayley Barnett Laurence Rockey Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir</p>
69	<p>Resilience BC</p> <p>Resilience responsibilities</p> <p>Judith Proctor, Chief Officer</p>	High	<p>Rec 3.3 H&amp;SC - Defining and allocating operational resilience duties</p> <p>Started</p>	<p>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.</p>	<p><b>Estimated Date:</b> 20/12/2018 <b>Revised Date:</b> 01/09/2020 <b>No of Revisions</b> 5</p>	<p>Angela Ritchie Cathy Wilson Jacqui Macrae</p>



Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
70	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.	<b>Estimated Date:</b> <b>31/07/2019</b> <b>Revised Date:</b> <b>01/09/2020</b> <b>No of Revisions</b> <b>1</b>	Angela Ritchie Cathy Wilson Jacqui Macrae
71	Resilience BC  Completion and adequacy of service area business impact assessments and resilience arrangements  Paul Lawrence, Executive Director of Place and SRO	High	Rec 3.1 a) Place - Development of Resilience Plans/protocols for statutory and critical services  Started	Rebased action October 2020Following 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.	<b>Estimated Date:</b> <b>19/06/2020</b> <b>Revised Date:</b> <b>31/12/2022</b> <b>No of Revisions</b> <b>1</b>  Current revised date agreed as part of extension exercise	Alison Coburn Claire Duchart David Givan Gavin King George Gaunt Laurence Rockey Mary-Ellen Lang
72	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 2020Following 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.	<b>Estimated Date:</b> <b>19/06/2020</b> <b>Revised Date:</b> <b>31/12/2022</b> <b>No of Revisions</b> <b>1</b>  Current revised date agreed as part of extension exercise	Gavin King Laurence Rockey Layla Smith Mary-Ellen Lang Michelle Vanhegan

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
73	<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 3.1c H&amp;SC - Development of Resilience Plans/protocols for statutory and critical services</p> <p>Started</p>	Rebased action October 2020Following 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><b>Estimated Date:</b> 19/06/2020</p> <p><b>Revised Date:</b> 31/12/2022</p> <p><b>No of Revisions</b> 1</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Angela Ritchie</p> <p>Cathy Wilson</p> <p>Gavin King</p> <p>Jacqui Macrae</p> <p>Laurence Rockey</p> <p>Mary-Ellen Lang</p>
<p>Page 194</p> <p>74</p>	<p>Resilience BC</p> <p>Completion and adequacy of service area business impact assessments and resilience arrangements</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	High	<p>Rec 3.1d C&amp;F - Development of Resilience Plans/protocols for statutory and critical services</p> <p>Started</p>	Rebased action October 2020Following 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><b>Estimated Date:</b> 19/06/2020</p> <p><b>Revised Date:</b> 31/12/2022</p> <p><b>No of Revisions</b> 1</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Donna Rodger</p> <p>Gavin King</p> <p>Laurence Rockey</p> <p>Mary-Ellen Lang</p> <p>Michelle McMillan</p> <p>Nickey Boyle</p> <p>Ruth Currie</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
75	<p>Resilience BC</p> <p>Completion and adequacy of service area business impact assessments and resilience arrangements</p> <p>Laurence Rockey, Head of Strategy &amp; Communications</p>	High	<p>Rec 3.1e S&amp;C - Development of Resilience Plans/protocols for statutory and critical services</p> <p>Started</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><b>Estimated Date:</b> 19/06/2020 <b>Revised Date:</b> 31/12/2022 <b>No of Revisions</b> 1</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Donna Rodger Gavin King Mary-Ellen Lang</p>
<p>Page 195</p> <p>76</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>	High	<p>Rec 6.1a Place - Review of third-party contracts to confirm appropriate resilience arrangements</p> <p>Started</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><b>Estimated Date:</b>20/12/2019 <b>Revised Date:</b>31/03/2021 <b>No of Revisions</b> 3</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Alison Coburn Annette Smith Claire Duchart David Givan George Gaunt Hugh Dunn</p> <p>Iain Strachan Mollie Kerr</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
77	<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>	High	<p>Rec 6.1b Resources - Review of third-party contracts to confirm appropriate resilience arrangements</p> <p>Started</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><b>Estimated Date:</b> 20/12/2019</p> <p><b>Revised Date:</b> 31/03/2021</p> <p><b>No of Revisions</b> 2</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Annette Smith</p> <p>Hugh Dunn</p> <p>Iain Strachan</p> <p>Layla Smith</p> <p>Michelle Vanhegan</p> <p>Mollie Kerr</p>
Page 196 78	<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 6.1c H&amp;SC - Review of third-party contracts to confirm appropriate resilience arrangements</p> <p>Started</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><b>Estimated Date:</b> 20/12/2019</p> <p><b>Revised Date:</b> 31/03/2021</p> <p><b>No of Revisions</b> 2</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Alana Nabulsi</p> <p>Angela Ritchie</p> <p>Annette Smith</p> <p>Cathy Wilson</p> <p>Hugh Dunn</p> <p>Iain Strachan</p> <p>Moir Pringle</p> <p>Mollie Kerr</p> <p>Sally McGregor</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
79	<p>Resilience BC</p> <p>Completion and adequacy of service area business impact assessments and resilience arrangements</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	High	<p>Rec 6.1d C&amp;F - Review of third-party contracts to confirm appropriate resilience arrangements</p> <p>Started</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><b>Estimated Date:</b> 20/12/2019</p> <p><b>Revised Date:</b> 31/03/2021</p> <p><b>No of Revisions</b> 2</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Annette Smith</p> <p>Hugh Dunn</p> <p>Iain Strachan</p> <p>Michelle McMillan</p> <p>Mollie Kerr</p> <p>Nickey Boyle</p> <p>Ruth Currie</p>
80	<p>Resilience BC</p> <p>Completion and adequacy of service area business impact assessments and resilience arrangements</p> <p>Laurence Rockey, Head of Strategy &amp; Communications</p>	High	<p>Rec 6.1e S&amp;C - Review of third-party contracts to confirm appropriate resilience arrangements</p> <p>Started</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><b>Estimated Date:</b> 20/12/2019</p> <p><b>Revised Date:</b> 31/03/2021</p> <p><b>No of Revisions</b> 2</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Annette Smith</p> <p>Donna Rodger</p> <p>Gavin King</p> <p>Hugh Dunn</p> <p>Iain Strachan</p> <p>Mary-Ellen Lang</p> <p>Mollie Kerr</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
81	<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 6.2a</p> <p>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><b>Estimated Date:28/06/2019</b></p> <p><b>Revised Date:31/03/2022</b></p> <p><b>No of Revisions</b></p> <p><b>3</b></p> <p>Current revised date agreed as part of extension exercise</p>	<p>Alison Coburn</p> <p>Claire Duchart</p> <p>David Givan</p> <p>George Gaunt</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
82	<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>	High	<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.</p> <p>It is recommended that contract managers include this requirement as part on ongoing contract management arrangements.</p> <p>Where this assurance cannot be provided, this should be recorded in Service Area and Directorate risk registers.</p> <p>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><b>Estimated Date:</b> 28/06/2019 <b>Revised Date:</b> 31/03/2022 <b>No of Revisions</b> 2</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Annette Smith Hugh Dunn Iain Strachan Layla Smith Michelle Vanhegan Mollie Kerr</p>
83	<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&amp;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><b>Estimated Date:</b> 21/06/2019 <b>Revised Date:</b> 31/03/2022 <b>No of Revisions</b> 2</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Angela Ritchie Cathy Wilson Gavin King Jacqui Macrae Laurence Rockey Mary-Ellen Lang</p>



Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
84	<p>Resilience BC</p> <p>Completion and adequacy of service area business impact assessments and resilience arrangements</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	High	<p>Rec 6.2d C&amp;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.</p> <p>It is recommended that contract managers include this requirement as part on ongoing contract management arrangements.</p> <p>Where this assurance cannot be provided, this should be recorded in Service Area and Directorate risk registers.</p> <p>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><b>Estimated Date:</b> <b>28/06/2019</b> <b>Revised Date:</b> <b>31/03/2022</b> <b>No of Revisions</b> <b>2</b></p> <p>Current revised date agreed as part of extension exercise</p>	<p>Anna Gray Michelle McMillan Nickey Boyle</p>
85	<p>Resilience BC</p> <p>Completion and adequacy of service area business impact assessments and resilience arrangements</p> <p>Laurence Rockey,</p>	High	<p>Rec 6.2e S&amp;C - 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.</p>	<p><b>Estimated Date:</b> <b>28/06/2019</b> <b>Revised Date:</b> <b>31/03/2022</b> <b>No of Revisions</b> <b>2</b></p> <p>Current revised date agreed as part of extension exercise</p>	<p>Donna Rodger Mary-Ellen Lang</p>



Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	Head of Strategy & Communications			<p>It is recommended that contract managers include this requirement as part on ongoing contract management arrangements.</p> <p>Where this assurance cannot be provided, this should be recorded in Service Area and Directorate risk registers.</p> <p>Date revised to reflect that following receipt of initial assurance by 31 March 2021, annual assurance should be obtained by 31 March 2022.</p>		
Page 201	<p>Records Management - LAAC</p> <p>CW1705 Issue 1: Project file review process</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	Medium	<p>CW1705 Issue 1.1: Review and Refresh of the project file review process.</p> <p>Started</p>	<p>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.</p>	<p><b>Estimated Date:</b> <b>28/02/2020</b></p> <p><b>Revised Date:</b> <b>31/12/2020</b></p> <p><b>No of Revisions</b> <b>3</b></p> <p>Revised due date to be further agreed with management and updated</p>	<p>Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Laurence Rockey Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
87	<p>Records Management – LAAC</p> <p>CW1705 Issue 1: Project file review process</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	Medium	<p>CW1705 Issue 1.2: Process communication and training</p> <p>Started</p>	<p>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.</p>	<p><b>Estimated Date: 28/02/2020</b></p> <p><b>Revised Date: 31/12/2020</b></p> <p><b>No of Revisions</b> 2</p> <p>Revised due date to be further agreed with management and updated</p>	<p>Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Laurence Rockey</p> <p>Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
88	<p>Records Management - LAAC</p> <p>CW1705 Issue 1: Project file review process</p> <p>Alistair Gaw, Executive Director of Communities and Families</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 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.</p>	<p><b>Estimated Date:</b> <b>31/03/2020</b></p> <p><b>Revised Date:</b> <b>31/12/2020</b></p> <p><b>No of Revisions</b> <b>3</b></p> <p>Revised due date to be further agreed with management and updated</p>	<p>Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Laurence Rockey Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
89	<p>Records Management - LAAC</p> <p>CW1705 Issue 2: Review of additional files</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	Medium	<p>CW1705 Issue 2.1: Review of additional files</p> <p>Started</p>	<p>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.</p>	<p><b>Estimated Date:</b> <b>31/03/2020</b></p> <p><b>Revised Date:</b> <b>31/12/2020</b></p> <p><b>No of Revisions</b> <b>2</b></p> <p>Revised due date to be further agreed with management and updated</p>	<p>Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Laurence Rockey Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir</p>
90	<p>Records Management - LAAC</p> <p>CW1705 Issue 2: Review of additional files</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	Medium	<p>CW1705 Issue 2.2: Impact analysis</p> <p>Started</p>	<p>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.</p>	<p><b>Estimated Date:</b> <b>26/06/2020</b></p> <p><b>Revised Date:</b> <b>31/12/2020</b></p> <p><b>No of Revisions</b> <b>2</b></p> <p>Revised due date to be further agreed with management and updated</p>	<p>Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Laurence Rockey Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
91	<p>Records Management - LAAC</p> <p>CW1705 Issue 3: Pre destruction business as usual file review process</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	Medium	<p>CW1705 Issue 3.1: Pre destruction business as usual file review process</p> <p>Started</p>	The pre destruction business as usual file review process is currently being developed and will cover all of 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.	<p><b>Estimated Date:</b> <b>28/02/2020</b></p> <p><b>Revised Date:</b> <b>31/12/2020</b></p> <p><b>No of Revisions</b> <b>3</b></p> <p>Revised due date to be further agreed with management and updated</p>	<p>Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Laurence Rockey Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir</p>
Page 2056	<p>Records Management - LAAC</p> <p>CW1705 Issue 3: Pre destruction business as usual file review process</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	Medium	<p>CW1705 Issue 3.2a (C&amp;F): Communication and training</p> <p>Started</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><b>Estimated Date:</b> <b>30/06/2020</b></p> <p><b>Revised Date:</b> <b>01/12/2020</b></p> <p><b>No of Revisions</b> <b>2</b></p> <p>Revised due date to be further agreed with management and updated</p>	<p>Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Laurence Rockey Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
93	<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&amp;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><b>Estimated Date:</b> <b>30/06/2020</b></p> <p><b>Revised Date:</b> <b>01/11/2020</b></p> <p><b>No of Revisions</b> <b>0</b></p> <p>Revised due date to be further agreed with management and updated</p>	<p>Cathy Wilson Jacqui Macrae Tom Cowan</p>
94	<p>Records Management - LAAC</p> <p>CW1705 Issue 3: Pre destruction business as usual file review process</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	Medium	<p>CW1705 Issue 3.3a (C&amp;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><b>Estimated Date:</b><b>30/06/2020</b></p> <p><b>Revised Date:</b><b>01/11/2020</b></p> <p><b>No of Revisions</b> <b>0</b></p> <p>Revised due date to be further agreed with management and updated</p>	<p>Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Laurence Rockey Louise McRae</p> <p>Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
95	<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&amp;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><b>Estimated Date:</b> <b>30/06/2020</b></p> <p><b>Revised Date:</b> <b>01/11/2020</b></p> <p><b>No of Revisions</b> <b>0</b></p> <p>Revised due date to be further agreed with management and updated</p>	<p>Cathy Wilson Jacqui Macrae Tom Cowan</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
Page 298	<p>Payments and Charges</p> <p>CW1803 Payments and Charges Issue 1: Review, authorisation, and publication of fees and charges</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Medium	<p>CW1803 Rec. 1.1 - Process documentation supporting calculation of fees and charges including review of reserve balances</p> <p>Started</p>	<p>Response from Licensing Any new fees or proposed adjustments are presented to the Committee for scrutiny and agreement. The rationale for Taxi, Civic and Houses in Multiple Occupation (HMO) licensing fees was reviewed and agreed by Regulatory Committee in 2015 and 2017 respectively and no further changes are planned at this time. As part of the annual budget process, the Place Directorate makes recommendations on any inflationary uplifts that should be applied to fees based on projected costs and the Licensing reserves position. In 2018/2019 there was no increase in the Licensing budget which reflected the reserves position at that time. In the 2019/20 budget Taxi and Civic discretionary licence fees were increased by 2.5% to reflect increased costs associate with the local government pay settlement for 2018/19 and 2019/2020. In comparison, the increase applied to fees supporting generation of other types of income across the Council was circa 5%. This demonstrates that Licensing is proactively managing both fees and reserves. For HMO Licences, the Regulatory Committee approved a revised fee structure in 2017, and there is planned reduction of current reserve balances over a 3-year period. Consequently, HMO fees for 2019/2020 were not increased. For budget 2020/2021 a review of HMO reserves will be performed with Finance and recommendations made either to the Regulatory Committee or Full Council on any further fee adjustments required to ensure the planned reduction of the reserve is achieved. There are also unplanned factors that impact the final reserves position. These include increased application volumes; the impact of vacancies and recruitment; and repairs or replacement of property or equipment (for example a replacement ramp at the Taxi Examination Centre in 2016/17 at the cost of £90K). These unplanned factors are also considered when revised fees are proposed during the budget process. The Taxi reserve increase is largely driven by increased application volumes. The reserve is also being allowed to increase in the medium term to offset planned capital spend on relocation of the Taxi</p>	<p><b>Estimated Date:</b> <b>31/07/2020</b></p> <p><b>Revised Date:</b> <b>01/12/2020</b></p> <p><b>No of Revisions</b> <b>0</b></p>	<p>Alison Coburn Andrew Mitchell Annette Smith David Givan Gavin Brown George Gaunt Hugh Dunn John Connarty Layla Smith Michael Thain Michelle Vanhegan Sandra Harrison Stephen Moir</p>



Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
Page 209				<p>Examination Centre when the Council closes the Murrayburn depot site in the next 2-3 years to avoid potential capital budget pressures. Licensing is working with Finance to ensure there is greater certainty in setting fees when taking account of the impact of the Central Support Charges levied. In 2018 the Directorate introduced financial reporting to the Regulatory Committee in addition to the established financial reporting provided to the Finance and Resource Committee.<a href="http://www.edinburgh.gov.uk/download/meetings/id/58887/item_72_-_licence_income_for_fees_2017-2018">http://www.edinburgh.gov.uk/download/meetings/id/58887/item_72_-_licence_income_for_fees_2017-2018</a><a href="http://www.edinburgh.gov.uk/download/meetings/id/59029/minute_of_the_regulatory_committee_of_221018">http://www.edinburgh.gov.uk/download/meetings/id/59029/minute_of_the_regulatory_committee_of_221018</a> Response from Finance At present, the allocation of central support costs in line with accountancy conventions is not finalised until after the licensing charges for the future year have been set. A mechanism to approximate allocation of central support charges in advance to allow for more considered analysis of reserve balances and costs within each budgetary process will facilitate this. There is already a framework in place to apportion income and costs across licence categories and calculate additions to or withdrawals from licensing reserves. This populates the annual City of Edinburgh Licensing Board Financial Report as required under Section 9B of the Licensing (Scotland) Act 2005. This framework where appropriate will be developed to add to existing transparency in respect of rationale and processes. The combination of both actions above will enable regular review and monitoring of reserve positions and related decision making. The implementation date allows for 2020-21 budget setting and 2019-20 final accounts processes to be completed allowing for audit evidence.</p>		

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
97	Payments and Charges  CW1803 Payments and Charges Issue 4: Processing and recording Licensing Fees  Paul Lawrence, Executive Director of Place and SRO	Medium	CW1803 Rec. 4.1 - Procedures supporting processing and recording licencing fees  Started	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.	<b>Estimated Date:</b> <b>20/12/2019</b> <b>Revised Date:</b> <b>01/05/2020</b> <b>No of Revisions</b> <b>0</b>	Alison Coburn Andrew Mitchell David Givan Gavin Brown George Gaunt Michael Thain Sandra Harrison
Page 210 98	Payments and Charges  CW1803 Payments and Charges Issue 5: Processing and recording of Parking Permit fees  Stephen Moir, Executive Director of Resources	Medium	CW1803 Rec. 5.4 - NSL income reconciliation  Started	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.	<b>Estimated Date:</b> <b>28/02/2020</b> <b>Revised Date:</b> <b>30/06/2021</b> <b>No of Revisions</b> <b>3</b>	Annette Smith Dougie Linton Gavin Graham Hugh Dunn John Connarty Layla Smith Michelle Vanhegan Susan Hamilton
99	Emergency Prioritisation & Complaints  CW1806 Issue 1: ATEC 24 Operational Framework	Medium	CW1806 Issue 1.1(2): ATEC 24 Review of Operational Processes - Call Prioritisation  Started	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.	<b>Estimated Date:</b> <b>29/11/2019</b> <b>Revised Date:</b> <b>01/02/2021</b> <b>No of Revisions</b> <b>2</b>	Andy Jones Angela Ritchie Cathy Wilson Craig ODonnell Katie McWilliam Lindsay Munro Sylvia Latona Tony Duncan

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	Judith Proctor, Chief Officer					
100	Emergency Prioritisation & Complaints  CW1806 Issue 1: ATEC 24 Operational Framework  Judith Proctor, Chief Officer	Medium	CW1806 Issue 1.2(1): ATEC 24 Service Level Agreements - Review of all Contracts  Started	All third-party contracts and supporting Service Level Agreements (SLAs) will be reviewed and updated. This will include a review of financial arrangements to ensure ATEC 24 is adequately remunerated for the levels of service provided.	<b>Estimated Date:</b> <b>31/01/2020</b> <b>Revised Date:</b> <b>01/12/2020</b> <b>No of Revisions</b> <b>2</b>	Andy Jones Angela Ritchie Cathy Wilson Craig ODonnell Emma Szadurski Katie McWilliam Lindsay Munro Sylvia Latona Tony Duncan
Page 219	Emergency Prioritisation & Complaints  CW1806 Issue 1: ATEC 24 Operational Framework  Judith Proctor, Chief Officer	Medium	CW1806 Issue 1.2(2): ATEC 24 Service Level Agreements - Schedule for Future Reviews  Started	2. All Telecare SLAs will be reviewed every two years to ensure that they take account of service delivery and operational processes, changes to any applicable regulations and relevant professional standards.	<b>Estimated Date:</b> <b>31/01/2020</b> <b>Revised Date:</b> <b>01/12/2020</b> <b>No of Revisions</b> <b>2</b>	Andy Jones Angela Ritchie Cathy Wilson Craig ODonnell Emma Szadurski Katie McWilliam Lindsay Munro Sylvia Latona Tony Duncan
102	Emergency Prioritisation & Complaints  CW1806 Issue 1: ATEC 24 Operational Framework	Medium	CW1806 Issue 1.2(3): ATEC 24 Service Level Agreements - Partnership Protocol  Started	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.	<b>Estimated Date:</b> <b>29/11/2019</b> <b>Revised Date:</b> <b>01/03/2021</b> <b>No of Revisions</b> <b>3</b>	Andy Jones Angela Ritchie Cathy Wilson Craig ODonnell Katie McWilliam Lindsay Munro Sylvia Latona Tony Duncan

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	Judith Proctor, Chief Officer					
103	Emergency Prioritisation & Complaints  CW1806 Issue 1: ATEC 24 Operational Framework  Judith Proctor, Chief Officer	Medium	CW1806 Issue 1.3(1): ATEC 24 Performance Reporting - Scorecard KPIs  Started	1. Key performance indicators included within the Health and Social Care scorecard will include percentage of calls answered within set targets; percentage of emergency response visits within target; and well as volumes of calls and responses.	<b>Estimated Date:</b> <b>30/09/2019</b> <b>Revised Date:</b> <b>01/12/2020</b> <b>No of Revisions</b> <b>2</b>	Andy Jones Angela Ritchie Cathy Wilson Craig ODonnell Katie McWilliam Lindsay Munro Philip Brown Sylvia Latona Tony Duncan
104	Emergency Prioritisation & Complaints  CW1806 Issue 1: ATEC 24 Operational Framework  Judith Proctor, Chief Officer	Medium	CW1806 Issue 1.3(2): ATEC 24 Performance Reporting - Response Parameters  Started	2. The parameters used for monitoring call handling and response times will be reviewed and updated in line with Technology Enabled Care Services Association (TSA) guidance and used to inform capacity planning; to ensure that there are sufficient call handlers and responders to meet industry standards.	<b>Estimated Date:</b> <b>31/10/2019</b> <b>Revised Date:</b> <b>01/12/2020</b> <b>No of Revisions</b> <b>2</b>	Andy Jones Angela Ritchie Cathy Wilson Craig ODonnell Katie McWilliam Lindsay Munro Sylvia Latona Tony Duncan
105	Emergency Prioritisation & Complaints  CW1806 Issue 1: ATEC 24 Operational Framework	Medium	CW1806 Issue 1.1(6): ATEC 24 Review of Operational Processes - Response Recording  Started	6. Roll out of handheld devices to allow automated reporting will be progressed.	<b>Estimated Date:</b> <b>30/04/2020</b> <b>Revised Date:</b> <b>01/03/2021</b> <b>No of Revisions</b> <b>1</b>	Andy Jones Angela Ritchie Cathy Wilson Craig ODonnell Katie McWilliam Lindsay Munro Sylvia Latona Tony Duncan

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	Judith Proctor, Chief Officer					
106	Emergency Prioritisation & Complaints  CW1806 Issue 1: ATEC 24 Operational Framework  Judith Proctor, Chief Officer	Medium	CW1806 Issue 1.3(3): ATEC 24 Performance Reporting - Scrutiny of Performance Measures  Started	3. ATEC 24 Service performance will be reported and regularly scrutinised by the Health and Social Care Partnership Executive Management Team.	<b>Estimated Date:</b> 30/09/2019 <b>Revised Date:</b> 01/12/2020 <b>No of Revisions</b> 2	Andy Jones Angela Ritchie Cathy Wilson Craig ODonnell Katie McWilliam Lindsay Munro Philip Brown Sylvia Latona Tony Duncan
Page 243	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  Started	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.	<b>Estimated Date:</b> 31/01/2020 <b>Revised Date:</b> 01/02/2021 <b>No of Revisions</b> 2	Andy Jones Angela Ritchie Cathy Wilson Craig ODonnell Katie McWilliam Lindsay Munro Sylvia Latona Tony Duncan
108	Emergency Prioritisation & Complaints  CW1806: Issue 2: Third Party Service Provision - Health & Social Care Partnership	Medium	CW1806: Issue 2(1): SLAs - Third Party Service Provision  Started	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.	<b>Estimated Date:</b> 30/11/2019 <b>Revised Date:</b> 01/10/2020 <b>No of Revisions</b> 2	Alistair Gaw Angela Ritchie Brian Henderson Cathy Wilson Colin Beck Fiona Benzies Jackie Irvine Nichola Dadds Nickey Boyle Tony Duncan

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	Judith Proctor, Chief Officer					
109 Page 214	<p>Emergency Prioritisation &amp; Complaints</p> <p>CW1806: Issue 2: Third Party Service Provision - Health &amp; 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>	Agreed, once the SLA is finalised, a Partnership Protocol will be developed in conjunction with Customer Contact Centre colleagues.	<p><b>Estimated Date:</b> <b>28/02/2020</b></p> <p><b>Revised Date:</b> <b>01/03/2021</b></p> <p><b>No of Revisions</b> <b>2</b></p>	<p>Alison Roarty Alistair Gaw Angela Ritchie Brian Henderson Cathy Wilson Elspeth Thompson Fiona Benzies Jennifer Wilson Julie Rosano Layla Smith Lisa Hastie Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Stephen Moir Tony Duncan</p>
110	<p>Homelessness Services</p> <p>CW1808 Issue 2: Homelessness data quality and performance reporting</p> <p>Alistair Gaw, Executive Director</p>	High	<p>CW1808 Recommendati on 2.2.3 - Performance Reporting</p> <p>Started</p>	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.	<p><b>Estimated Date:</b> <b>31/01/2020</b></p> <p><b>Revised Date:</b> <b>31/03/2021</b></p> <p><b>No of Revisions</b> <b>2</b></p> <p>Current revised date agreed as part of extension exercise</p>	<p>Emma Morgan Jackie Irvine Nicky Brown</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	of Communities and Families					
111	Homelessness Services  CW1808 Issue 3: Provision of homelessness advice and information  Alistair Gaw, Executive Director of Communities and Families	Medium	CW1801 Recommendation on 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.	<b>Estimated Date:</b> <b>30/04/2020</b> <b>Revised Date:</b> <b>31/03/2021</b> <b>No of Revisions</b> <b>3</b>  Current revised date agreed as part of extension exercise	Debbie Herbertson Jackie Irvine Nichola Dadds Nicky Brown
112	Validation of Management Actions 2018/19  Validation Audit CW1810 reopened finding - HSC1513: Management structure and business support arrangements  Judith Proctor, Chief Officer	High	Validation Audit CW1810 - Issue 2.1 HSC1503: Partnership Management Structure  Started	The Partnership's organisational management structure will be finalised, implemented, and embedded. The revised structure does not need to be approved by the IJB because it is an operational matter. It will however be presented to the EIJB for information. The revised implementation date of April 2020 will allow completion of Partnership budget and transformation Programmes.	<b>Estimated Date:</b> <b>31/12/2015</b> <b>Revised Date:</b> <b>01/09/2021</b> <b>No of Revisions</b> <b>2</b>  Current revised date agreed as part of extension exercise	Angela Ritchie Cathy Wilson



Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
113	H&SC Care Homes - Corporate Report  A1.1: Care Homes Self Assurance Framework  Judith Proctor, Chief Officer	Medium	A1.1: Care Homes Self Assurance Framework  Started	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.	<b>Estimated Date:</b> <b>30/06/2019</b> <b>Revised Date:</b> <b>01/05/2021</b> <b>No of Revisions</b> <b>1</b>  Current revised date agreed as part of extension exercise	Angela Ritchie Cathy Wilson Marian Gray Tom Cowan
Page 216 114	H&SC Care Homes - Corporate Report  A2.3: Welfare Fund and Outings Funds  Judith Proctor, Chief Officer	Medium	A2.3(2) Establishment of welfare fund committees  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.	<b>Estimated Date:</b> <b>31/07/2018</b> <b>Revised Date:</b> <b>01/05/2021</b> <b>No of Revisions</b> <b>5</b>  Current revised date agreed as part of extension exercise	Angela Ritchie Cathy Wilson Marian Gray Tom Cowan
115	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.	<b>Estimated Date:</b> <b>31/07/2018</b> <b>Revised Date:</b> <b>01/05/2021</b> <b>No of Revisions</b> <b>4</b>  Current revised date agreed as	Angela Ritchie Cathy Wilson Marian Gray Tom Cowan



Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
					part of extension exercise	
116 Page 217	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.	<b>Estimated Date:</b> <b>30/06/2019</b> <b>Revised Date:</b> <b>01/05/2021</b> <b>No of Revisions</b> <b>3</b>  Current revised date agreed as part of extension exercise	Angela Ritchie Cathy Wilson Marian Gray Tom Cowan
117	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.	<b>Estimated Date:</b> <b>30/06/2018</b> <b>Revised Date:</b> <b>01/05/2021</b> <b>No of Revisions</b> <b>5</b>  Current revised date agreed as part of extension exercise	Angela Ritchie Cathy Wilson Marian Gray Tom Cowan

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
118	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.	<b>Estimated Date:</b> 30/06/2018 <b>Revised Date:</b> 01/05/2021 <b>No of Revisions</b> 3  Current revised date agreed as part of extension exercise	Angela Ritchie Cathy Wilson Marian Gray Tom Cowan
Page 218 119	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.	<b>Estimated Date:</b> 31/03/2018 <b>Revised Date:</b> 01/05/2021 <b>No of Revisions</b> 4  Current revised date agreed as part of extension exercise	Angela Ritchie Cathy Wilson Marian Gray Tom Cowan
120	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.	<b>Estimated Date:</b> 31/01/2019 <b>Revised Date:</b> 01/05/2021 <b>No of Revisions</b> 5  Current revised date agreed as	Angela Ritchie Cathy Wilson Marian Gray Tom Cowan

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
					part of extension exercise	
Page 219	<p>Social Work Centre Bank Account Reconciliations</p> <p>Corporate Appointee Client Fund Management</p> <p>Judith Proctor, Chief Officer</p>	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>	<p><b>Estimated Date:</b> 28/06/2019</p> <p><b>Revised Date:</b> 01/08/2021</p> <p><b>No of Revisions</b> 2</p> <p>Current revised date agreed as part of extension exercise</p>	<p>Angela Ritchie</p> <p>Cathy Wilson</p> <p>Colin Beck</p> <p>Ian Waitt</p> <p>Tony Duncan</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
122	Social Work Centre Bank Account Reconciliations  Corporate Appointee Client Fund Management  Judith Proctor, Chief Officer	High	2.2. Updating procedures to include an annual review of Corporate Appointee contracts  Started	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.	<b>Estimated Date:</b> <b>30/04/2018</b> <b>Revised Date:</b> <b>01/08/2021</b> <b>No of Revisions</b> <b>2</b>  Current revised date agreed as part of extension exercise	Angela Ritchie Cathy Wilson Colin Beck Ian Waitt Tony Duncan
Page 2203 123	Social Work Centre Bank Account Reconciliations  Corporate Appointee Client Fund Management  Judith Proctor, Chief Officer	High	Recommendation 8  Started	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.	<b>Estimated Date:</b> <b>31/05/2018</b> <b>Revised Date:</b> <b>01/08/2021</b> <b>No of Revisions</b> <b>3</b>  Current revised date agreed as part of extension exercise	Angela Ritchie Cathy Wilson Colin Beck Ian Waitt Tony Duncan

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
124	Social Work Centre Bank Account Reconciliations  Corporate Appointee Client Fund Management  Judith Proctor, Chief Officer	High	Recommendation 1b - Business Support  Started	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	<b>Estimated Date:</b> <b>31/05/2018</b> <b>Revised Date:</b> <b>01/08/2021</b> <b>No of Revisions</b> <b>2</b>  Current revised date agreed as part of extension exercise	Angela Ritchie Cathy Wilson Colin Beck Ian Waitt Tony Duncan
Page 221 125	Edinburgh Alcohol and Drug Partnership (EADP) – Contract Management  Risk and Supplier Performance Management  Judith Proctor, Chief Officer	High	Rec 1 - Risk Management  Started	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.	<b>Estimated Date:</b> <b>30/03/2018</b> <b>Revised Date:</b> <b>01/03/2021</b> <b>No of Revisions</b> <b>4</b>  Current revised date agreed as part of extension exercise	Alana Nabulsi Angela Ritchie Cathy Wilson Colin Beck Tony Duncan

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
126	Edinburgh Alcohol and Drug Partnership (EADP) – Contract Management  Risk and Supplier Performance Management  Judith Proctor, Chief Officer	High	Rec 3 - Performance Expectations  Started	The existing contract management procedures will be summarised in a single document. It will include the dates information needs to come in, the key contacts, the escalation process in the event of non-performance and the priority metrics that would trigger those processes (waiting times, numbers taken onto caseloads, planned discharges). There will still be subject knowledge and judgement involved in monitoring the contracts; the escalation process cannot be reduced to an algorithm. To be agreed with the providers to confirm our shared understanding and shared with the EADP core group by January 2018.	<b>Estimated Date:</b> 31/01/2018 <b>Revised Date:</b> 01/02/2021 <b>No of Revisions</b> 3	Alana Nabulsi Angela Ritchie Cathy Wilson Colin Beck Tony Duncan
Page 222 127	Edinburgh Alcohol and Drug Partnership (EADP) – Contract Management  Risk and Supplier Performance Management  Judith Proctor, Chief Officer	High	Rec 4 - Timeframes  Started	The existing contract management procedures will be summarised in a single document. It will include the dates information needs to come in, the key contacts, the escalation process in the event of non-performance and the priority metrics that would trigger those processes (waiting times, numbers taken onto caseloads, planned discharges). There will still be subject knowledge and judgement involved in monitoring the contracts; the escalation process cannot be reduced to an algorithm. To be agreed with the providers to confirm our shared understanding and shared with the EADP core group by January 2018.	<b>Estimated Date:</b> 31/01/2018 <b>Revised Date:</b> 01/02/2021 <b>No of Revisions</b> 3	Alana Nabulsi Angela Ritchie Cathy Wilson Colin Beck Tony Duncan
128	Edinburgh Alcohol and Drug Partnership (EADP) – Contract Management  Key Person Dependency and Process Documentation	Medium	Rec 2 - Contract Management Processes  Started	The existing contract management procedures will be summarised in a single document. It will include the dates information needs to come in, the key contacts, the escalation process in the event of non-performance and the priority metrics that would trigger those processes (waiting times, numbers taken onto caseloads, planned discharges). There will still be subject knowledge and judgement involved in monitoring the contracts; the escalation process cannot be reduced to an algorithm. To be agreed with the providers to	<b>Estimated Date:</b> 31/01/2018 <b>Revised Date:</b> 01/02/2021 <b>No of Revisions</b> 3	Alana Nabulsi Angela Ritchie Cathy Wilson Colin Beck Tony Duncan

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	Judith Proctor, Chief Officer			confirm our shared understanding and shared with the EADP core group by January 2018.		
Page 223 123	<p>Edinburgh Alcohol and Drug Partnership (EADP) – Contract Management</p> <p>Key Person Dependency and Process Documentation</p> <p>Judith Proctor, Chief Officer</p>	<b>Medium</b>	<p>Rec 4 - Key Supplier Contracts</p> <p>Started</p>	<p>The existing contract management procedures will be summarised in a single document. It will include the dates information needs to come in, the key contacts, the escalation process in the event of non-performance and the priority metrics that would trigger those processes (waiting times, numbers taken onto caseloads, planned discharges). There will still be subject knowledge and judgement involved in monitoring the contracts; the escalation process cannot be reduced to an algorithm. To be agreed with the providers to confirm our shared understanding and shared with the EADP core group by January 2018.</p>	<p><b>Estimated Date:</b> <b>31/01/2018</b></p> <p><b>Revised Date:</b> <b>01/02/2021</b></p> <p><b>No of Revisions</b> <b>3</b></p>	<p>Alana Nabulsi</p> <p>Angela Ritchie</p> <p>Cathy Wilson</p> <p>Colin Beck</p> <p>Tony Duncan</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
130	<p>Edinburgh Alcohol and Drug Partnership (EADP) – Contract Management</p> <p>Key Person Dependency and Process Documentation</p> <p>Judith Proctor, Chief Officer</p>	Medium	<p>Rec 5 - Records Management Policy</p> <p>Started</p>	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.	<p><b>Estimated Date:</b> 30/03/2018</p> <p><b>Revised Date:</b> 01/02/2021</p> <p><b>No of Revisions</b> 5</p>	<p>Alana Nabulsi</p> <p>Angela Ritchie</p> <p>Cathy Wilson</p> <p>Colin Beck</p> <p>Tony Duncan</p>
Page 224 131	<p>Edinburgh Alcohol and Drug Partnership (EADP) – Contract Management</p> <p>Supplier Sustainability</p> <p>Judith Proctor, Chief Officer</p>	Medium	<p>Rec 2 - Contingency Plans</p> <p>Started</p>	Contingency plans will be developed, discussed with existing suppliers, and approved by the Core Group.	<p><b>Estimated Date:</b> 31/01/2018</p> <p><b>Revised Date:</b> 01/02/2021</p> <p><b>No of Revisions</b> 2</p>	<p>Alana Nabulsi</p> <p>Angela Ritchie</p> <p>Cathy Wilson</p> <p>Colin Beck</p> <p>Tony Duncan</p>



Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
132	<p>Localities Operating Model</p> <p>1. Localities Governance and Operating Model</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<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><b>Estimated Date:</b> <b>31/03/2020</b></p> <p><b>Revised Date:</b> <b>01/11/2020</b></p> <p><b>No of Revisions</b> <b>1</b></p> <p><b>Now in the process of being transferred to the Adaptation and Renewal Programme</b></p>	<p>Alison Coburn Alistair Gaw David Givan Evelyn Kilmurry George Gaunt Mike Avery Peter Strong Ruth Currie Sarah Burns</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
133	<p>Localities Operating Model</p> <p>1. Localities Governance and Operating Model</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<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><b>Estimated Date:</b> <b>31/03/2020</b></p> <p><b>Revised Date:</b> <b>01/02/2021</b></p> <p><b>No of Revisions</b> <b>1</b></p> <p><b>Now in the process of being transferred to the Adaptation and Renewal Programme</b></p>	<p>Alison Coburn Alison Henry David Givan Donna Rodger Evelyn Kilmurry George Gaunt Laurence Rockey Michele Mulvaney Mike Avery Paula McLeay Peter Strong Sarah Burns</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
134	<p>Localities Operating Model</p> <p>1. Localities Governance and Operating Model</p> <p>Laurence Rockey, Head of Strategy &amp; Communications</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><b>Estimated Date:</b> <b>31/03/2020</b></p> <p><b>Revised Date:</b> <b>01/08/2021</b></p> <p><b>No of Revisions</b> <b>1</b></p> <p><b>Now in the process of being transferred to the Adaptation and Renewal Programme</b></p>	<p>Alison Coburn Donna Rodger Evelyn Kilmurry Michele Mulvaney Mike Avery Paula McLeay Peter Strong Sarah Burns</p>

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135	<p>Localities Operating Model</p> <p>1. Localities Governance and Operating Model</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>1.4 Recommendation - Engagement with Council centralised divisions</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><b>Estimated Date:</b> <b>31/03/2020</b></p> <p><b>Revised Date:</b> <b>01/11/2020</b></p> <p><b>No of Revisions</b> <b>1</b></p> <p><b>Now in the process of being transferred to the Adaptation and Renewal Programme</b></p>	<p>Alison Coburn David Givan Evelyn Kilmurry George Gaunt Mike Avery Peter Strong Sarah Burns</p>

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136	<p>Localities Operating Model</p> <p>1. Localities Governance and Operating Model</p> <p>Stephen Moir, Executive Director of Resources</p>	High	<p>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><b>Estimated Date:</b> <b>31/03/2020</b></p> <p><b>Revised Date:</b> <b>01/11/2020</b></p> <p><b>No of Revisions</b> <b>1</b></p> <p><b>Now in the process of being transferred to the Adaptation and Renewal Programme</b></p>	<p>Alison Coburn Annette Smith 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
137	<p>Localities Operating Model</p> <p>1. Localities Governance and Operating Model</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>1.6 Recommendation - Risk 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><b>Estimated Date:</b> <b>31/03/2020</b></p> <p><b>Revised Date:</b> <b>01/11/2020</b></p> <p><b>No of Revisions</b> <b>1</b></p> <p><b>Now in the process of being transferred to the Adaptation and Renewal Programme</b></p>	<p>Alison Coburn David Givan Evelyn Kilmurry George Gaunt Mike Avery Peter Strong Sarah Burns</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
138	<p>Localities Operating Model</p> <p>1. Localities Governance and Operating Model</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<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><b>Estimated Date:</b> 31/03/2020</p> <p><b>Revised Date:</b> 01/11/2020</p> <p><b>No of Revisions</b> 1</p> <p><b>Now in the process of being transferred to the Adaptation and Renewal Programme</b></p>	<p>Alison Coburn David Givan Evelyn Kilmurry George Gaunt Mike Avery Peter Strong Sarah Burns</p>
139	<p>Localities Operating Model</p> <p>2. Oracle Financial System – Authorised Approval Limits</p> <p>Stephen Moir, Executive Director of Resources</p>	Low	<p>2.1 Recommendation - Authorisation Limits Review</p> <p>Started</p>	<p>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</p>	<p><b>Estimated Date:</b> 26/06/2020</p> <p><b>Revised Date:</b> 01/11/2020</p> <p><b>No of Revisions</b> 0</p>	<p>Alison Henry Annette Smith Brenda Brownlee David Camilleri Hugh Dunn Layla Smith Michelle Vanhegan</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
140	Planning and S75 Developer Contributions  Backlog of Legacy Developer Contributions  Stephen Moir, Executive Director of Resources	High	PL 1802 Recommendation 1.1 Review of developer contributions held in the Finance database  Started	A full review of all developer contributions held in the Finance database will be performed, and all entries reconciled to amounts held on deposit and/or in the general ledger.	<b>Estimated Date:</b> <b>31/01/2016</b> <b>Revised Date:</b> <b>01/02/2021</b> <b>No of Revisions</b> <b>1</b>	Alison Coburn Alison Henry Annette Smith Bruce Nicolson David Leslie David Givan Hugh Dunn Layla Smith Michael Thain Michelle Vanhegan Rebecca Andrew



Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
141 Page 233	<p>Planning and S75 Developer Contributions</p> <p>Backlog of Legacy Developer Contributions</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>PL 1802 Recommendation 1.2 Retrospective review of historic developer contribution legal agreements</p> <p>Started</p>	<p>Planning has worked with Finance to identify the status of legacy contributions identified in 2015. Planning accepts that the status of the remaining £2.3 million backlog needs to be identified, and any associated actions identified and recorded. Whilst an agreed implementation date of 30 September 2020 is noted below, priority will be given to completing these actions as quickly as possible.1. The audit recommendations detailed above will be implemented. Finance and planning will work together to determine the risk-based sample to be included in the review. For the sample selected, Planning will determine whether or not the terms of the agreement have been fulfilled where agreements have been fulfilled, Finance will determine whether developer contributions have been received and applied. Where agreements have not been fulfilled and the Council is holding developer funds, the management action specified at 2.3 below will be applied.2. An internal record will be maintained of agreements that have not been fulfilled to prevent services from drawing down contributions to support any development work. Developers will not be advised that agreements are void and no longer applicable, as (under legislation) only developers can seek to discharge the agreement; and3. and 4 where agreements have not been fulfilled and funds are held by the Council, the developer will be contacted (where they can be traced) to ascertain whether they would accept reimbursement of funds. Where this is the case, a value should be agreed between the Council and the developer that reflects interest and indexation (where applicable) and reimbursed.</p>	<p><b>Estimated Date:</b> <b>31/01/2016</b></p> <p><b>Revised Date:</b> <b>01/02/2021</b></p> <p><b>No of Revisions</b> <b>1</b></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
142	Planning and S75 Developer Contributions  Ongoing management of developer contributions  Stephen Moir, Executive Director of Resources	High	PL1802 Iss 3 Rec 3.2 Ongoing maintenance of developer contributions  Started	All recommended actions will be implemented as set out above (in IA recommendations).	<b>Estimated Date:</b> <b>30/09/2020</b> <b>Revised Date:</b> <b>01/02/2021</b> <b>No of Revisions</b> <b>0</b>	Alison Henry Annette Smith Hugh Dunn Layla Smith Michelle Vanhegan Rebecca Andrew
Page 234  143	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,	<b>Estimated Date:</b> <b>20/12/2019</b> <b>Revised Date:</b> <b>31/03/2021</b> <b>No of Revisions</b> <b>3</b>	Alison Roarty Grace McCabe Heather Robb Isla Burton Julie Rosano Layla Smith Michelle Vanhegan Nicola Harvey

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
144	<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 Escalation of system issues</p> <p>Started</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><b>Estimated Date:</b> <b>31/03/2020</b></p> <p><b>Revised Date:</b> <b>31/03/2021</b></p> <p><b>No of Revisions</b> <b>1</b></p> <p>Revised due date to be further agreed with management and updated</p>	<p>Alison Coburn Andrew Mitchell David Givan George Gaunt Grace McCabe Isla Burton Michael Thain Sandra Harrison</p>
145	<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 3.1 Inspection revisit policy</p> <p>Started</p>	<p>It is not legally possible to refuse a licence application based on number of visits as legislation requires that each case is considered on its merits and any policy that removes discretion would be at high risk of legal challenge. A new procedure is currently being drafted that will ensure a consistent approach and any decision on number of revisits is controlled by managers of the service to reduce the number of unnecessary revisits. We will amend current codes used in the APP Civica licencing system to ensure a 3-stage process for inspection and revisit is applied going forward. This will include creation of: a new unique single action code for an Initial inspection a new unique single action code for a Revisit inspection to offer a 7,14 21 or max 28-day time frame to complete any outstanding works – only available after an initial inspection has taken place a new unique action for a single Team Leader/Manager Review Inspection – only available in exceptional cases where additional guidance is sought by the inspector and must be authorised by a team leader/manager</p>	<p><b>Estimated Date:</b> <b>31/12/2019</b></p> <p><b>Revised Date:</b> <b>05/10/2020</b></p> <p><b>No of Revisions</b> <b>5</b></p>	<p>Alison Coburn Andrew Mitchell David Givan George Gaunt Grace McCabe Isla Burton Michael Thain Sandra Harrison</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
146	<p>HMO Licensing</p> <p>PL1803 Issue 4 Training and Guidance Documentation</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Low	<p>PL1803 Issue 4.1 Induction process</p> <p>Started</p>	Regulatory Services introduced a service specific induction program for all teams in 2018 in order to ensure that all new starts are appropriately supported. Written Induction packs for the licensing service were created and will be used for all new staff. The pack includes a 6-week training programme which will be tailored for each new start depending on where they sit within the service. The member of staff identified by the audit had been assigned alternate duties was not therefore familiar with the process. This has been addressed with the individual concerned. Appropriate refresher briefings will be given for all managers within the service.	<p><b>Estimated Date:</b> 30/09/2019</p> <p><b>Revised Date:</b> 01/02/2020</p> <p><b>No of Revisions</b> 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>
Page 236	<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>	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><b>Estimated Date:</b> 30/04/2020</p> <p><b>Revised Date:</b> 01/09/2020</p> <p><b>No of Revisions</b> 0</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>
148	<p>Road Services Improvement Plan</p> <p>PL1808 Issue 3. Roads inspection, defect categorisation, and repairs</p> <p>Paul Lawrence,</p>	Low	<p>PL1808 - 3.2a) Inspector training and qualifications</p> <p>Started</p>	1. Design and implement a training framework for all relevant Inspectors in line with the newly adopted 'Road Safety Inspection and Defect Categorisation Procedure'	<p><b>Estimated Date:</b> 31/01/2020</p> <p><b>Revised Date:</b> 01/06/2020</p> <p><b>No of Revisions</b> 0</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
	Executive Director of Place and SRO					
149	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	<b>Estimated Date:</b> <b>31/03/2020</b> <b>Revised Date:</b> <b>01/11/2020</b> <b>No of Revisions</b> <b>1</b>	Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Nicole Fraser Sean Gilchrist
Page 237 150	Road Services Improvement Plan  PL1808 Issue 3. Roads inspection, defect categorisation, and repairs  Paul Lawrence, Executive Director of Place and SRO	Low	PL1808 - 3.4 Authentication protocol for the Confirm Connect application  Started	An audit of all handsets will be undertaken, and any non-complaint handsets will be removed and replaced	<b>Estimated Date:</b> <b>31/01/2020</b> <b>Revised Date:</b> <b>01/06/2020</b> <b>No of Revisions</b> <b>0</b>	Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Jordan Walker Nicole Fraser Sean Gilchrist

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
151	<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 1 - Street lighting inventory completeness and electrical testing results</p> <p>Started</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><b>Estimated Date:</b> 20/12/2019 <b>Revised Date:</b> 01/02/2021 <b>No of Revisions</b> 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>
152	<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>Started</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><b>Estimated Date:</b> 20/12/2019 <b>Revised Date:</b> 01/02/2021 <b>No of Revisions</b> 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
153	<p>Street Lighting and Traffic Signals</p> <p>Street Lighting and Traffic Signals: Process and quality assurance documentation and training</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	Low	<p>PL1810 Issue 3 - Rec 1 Operation and maintenance procedures</p> <p>Started</p>	<p>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 September 2019, whichever comes first.</p>	<p><b>Estimated Date:</b> 30/09/2019</p> <p><b>Revised Date:</b> 01/12/2020</p> <p><b>No of Revisions</b> 2</p>	<p>Alan Simpson Alison Coburn Claire Duchart David Givan Gareth Barwell Gavin Brown George Gaunt Lindsey McPhillips Mark Love Nicole Fraser Robert Mansell Tony Booth</p>
<p>Page 239</p> <p>154</p>	<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 1 - Paperless testing checklist</p> <p>Started</p>	<p>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.</p>	<p><b>Estimated Date:</b> 31/03/2020</p> <p><b>Revised Date:</b> 01/02/2021</p> <p><b>No of Revisions</b> 2</p>	<p>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</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
155	<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><b>Estimated Date:</b> 31/12/2019</p> <p><b>Revised Date:</b> 01/02/2021</p> <p><b>No of Revisions</b> 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>
156	<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><b>Estimated Date:</b> 31/03/2020</p> <p><b>Revised Date:</b> 01/02/2021</p> <p><b>No of Revisions</b> 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>



Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
157	<p>Fleet Review</p> <p>Project management and governance framework</p> <p>Paul Lawrence, Executive Director of Place and SRO</p>	High	<p>3. Recommendation - Project Management Framework</p> <p>Started</p>	<p>Agreed. The guidance designed by Strategy and Insight will be applied to support the Fleet project management framework; Agreed – all documentation noted above will be prepared to support the project; Project documentation will be approved by the Project Board. Status reporting will be provided to Strategy and Insight for inclusion in the CLT Change Board pack; and agreed – actions will be documented; allocated; and monitored to confirm their completion.</p>	<p><b>Estimated Date:</b> 28/06/2019 <b>Revised Date:</b> 01/05/2020 <b>No of Revisions</b> 1</p>	<p>Alison Coburn Claire Duchart David Givan Gareth Barwell George Gaunt Nicole Fraser Scott Millar Veronica Wishart</p>
Page 241	<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>Started</p>	<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>	<p><b>Estimated Date:</b> 01/02/2019 <b>Revised Date:</b> 01/03/2021 <b>No of Revisions</b> 3</p>	<p>Alison Coburn Claire Duchart David Givan Gareth Barwell George Gaunt Katy Miller Martin Young Nicole Fraser Scott Millar Steven Wright</p>
159	<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>Started</p>	<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>	<p><b>Estimated Date:</b> 01/02/2019 <b>Revised Date:</b> 01/09/2019 <b>No of Revisions</b> 1</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>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
160	<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>Started</p>	Six monthly reporting will be provided to the Corporate Leadership Team together with details of relevant actions taken.	<p><b>Estimated Date:</b> 01/10/2019</p> <p><b>Revised Date:</b> 01/12/2020</p> <p><b>No of Revisions</b> 1</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> <p>Scott Millar</p> <p>Steven Wright</p>
Page 242	<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><b>Estimated Date:</b> 31/10/2018</p> <p><b>Revised Date:</b> 01/03/2026</p> <p><b>No of Revisions</b> 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>
162	<p>Compliance with IR35 and Right to Work</p> <p>RES1802: Issue 1. IR35 Compliance and Oversight Framework</p> <p>Judith Proctor, Chief Officer</p>	High	<p>RES1802: Issue 1.5 Daybreak Carer's Agreements</p> <p>Started</p>	The Carer's Agreement will be revised with assistance from Legal and Risk service to ensure it complies with all requirements. All current carers will be asked to sign a revised agreement. The agreement will be revised on an annual basis to take account of any relevant changes.	<p><b>Estimated Date:</b> 30/09/2019</p> <p><b>Revised Date:</b> 01/11/2020</p> <p><b>No of Revisions</b> 3Closed</p>	<p>Angela Ritchie</p> <p>Anne-Marie Donaldson</p> <p>Cathy Wilson</p> <p>Kevin McKee</p> <p>Mark Grierson</p> <p>Tony Duncan</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
163	<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>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. 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><b>Estimated Date:</b> 31/01/2020 <b>Revised Date:</b> 01/11/2020 <b>No of Revisions</b> 2</p> <p><b>Agreed date to be extended as part of IA Extension Timeframes exercise – date to be advised by Service.</b></p>	<p>Alison Roarty Heather Robb Jackie Galloway Julie Rosano Laura Millar Layla Smith Michelle Vanhegan Nicola Harvey Stuart Skivington</p>
Page 243 164	<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>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><b>Estimated Date:</b> 31/01/2020 <b>Revised Date:</b> 01/11/2020 <b>No of Revisions</b> 2</p> <p><b>Agreed date to be extended as part of IA Extension Timeframes exercise – date to be advised by Service.</b></p>	<p>Alison Roarty Heather Robb Jackie Galloway Laura Millar Layla Smith Michelle Vanhegan Nicola Harvey Stuart Skivington</p>
165	<p>Certifications and Software Licenses</p> <p>RES1805 Licenses and Certifications: Issue 2 - Ongoing</p>	High	<p>2.1 Completeness and accuracy of license inventory reports</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</p>	<p><b>Estimated Date:</b> 31/01/2020 <b>Revised Date:</b> 01/11/2020</p>	<p>Alison Roarty Heather Robb Jackie Galloway Julie Rosano Laura Millar</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
	management  Stephen Moir, Executive Director of Resources		Started	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.	<b>Agreed date to be extended as part of IA Extension Timeframes exercise – date to be advised by Service. No of Revisions 2</b>	Layla Smith Michelle Vanhegan Nicola Harvey Stuart Skivington
Page 244	Certifications and Software Licenses  RES1805 Licenses and Certifications: Issue 2 - Ongoing management  Stephen Moir, Executive Director of Resources	High	2.2 Thematic certificates and licenses incidents  Started	CGI will report to the Council on service incidents that have been caused by license or certificate issues where the root cause is non/late renewal or incorrect implementation. This should start no later than the end of October 2019 and will be discussed at the monthly Partnership Forum. CGI and Digital Services will then determine if the issues identified require a process review.	<b>Estimated Date: 31/01/2020 Revised Date: 01/11/2020 No of Revisions 2 Agreed date to be extended as part of IA Extension Timeframes exercise – date to be advised by Service.</b>	Alison Roarty Heather Robb Jackie Galloway Julie Rosano Laura Millar Layla Smith Michelle Vanhegan Nicola Harvey Stuart Skivington

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
167	<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><b>Estimated Date:</b> 31/01/2020 <b>Revised Date:</b> 01/12/2020 <b>No of Revisions</b> 1</p>	<p>Alison Roarty Heather Robb Julie Rosano Layla Smith Michelle Vanhegan Mike Brown Nicola Harvey</p>
168	<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><b>Estimated Date:</b> 30/09/2019 <b>Revised Date:</b> 01/05/2021 <b>No of Revisions</b> 2</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
169	Cyber Security - Public Sector Action Plan  RES1808: Issue 1: Critical Operational Cyber Security Controls  Stephen Moir, Executive Director of Resources	Medium	RES1808: Issue 1: Recommendation on 4.1 - User access controls  Started	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, approved, signed, and provided to Scott Moncrieff.	<b>Estimated Date:</b> <b>31/05/2019</b> <b>Revised Date:</b> <b>01/10/2019</b> <b>No of Revisions</b> <b>0</b>  <b>Agreed date to be extended as part of IA Extension Timeframes exercise – date to be advised by Service.</b>	Alison Roarty Heather Robb Layla Smith Michelle Vanhegan Mike Brown Nicola Harvey
170	Supplier Management Framework and CIS Payments  RES1809 Issue 1: Contract Management by Directorates and Service Areas  Alistair Gaw, Executive Director of Communities and Families	High	RES1809 Issue 1.1(3): Completeness and accuracy of the contract register - C&F  Started	Communities and Families A review will be undertaken to populate the contracts register with accurate details of named officers for tier 1 contracts and Procurement will be notified so that master contracts register can be updated. We will follow a similar process to HSC and Place in relation to updating of the register for tier 2, 3 and other value contracts at the point of procurement, renewal, or submission of new waivers.	<b>Estimated Date:</b> <b>31/03/2020</b> <b>Revised Date:</b> <b>01/11/2020</b> <b>No of Revisions</b> <b>1</b>	Anna Gray Claire Thompson David Hoy Michelle McMillan Nickey Boyle

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
171	<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>Started</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><b>Estimated Date:</b> <b>31/03/2020</b></p> <p><b>Revised Date:</b> <b>31/12/2020</b></p> <p><b>No of Revisions</b> <b>1</b></p>	<p>Alison Coburn David Givan Gareth Barwell George Gaunt Lynne Halfpenny Michael Thain</p>
<p>Page 247</p> <p>172</p>	<p>Supplier Management Framework and CIS Payments</p> <p>RES1809 Issue 1: Contract Management by Directorates and Service Areas</p> <p>Judith Proctor, Chief Officer</p>	High	<p>RES1809 Issue 1.4(2): Review of contract waivers - HSCP</p> <p>Started</p>	Health and Social Care Partnership These recommendations have been accepted. The outcomes of the waiver review will be presented to and discussed at the Procurement Board, and appropriate action taken to address waivers that have been consistently waived.	<p><b>Estimated Date:</b> <b>27/03/2020</b></p> <p><b>Revised Date:</b> <b>31/12/2020</b></p> <p><b>No of Revisions</b> <b>1</b></p>	<p>Alana Nabulsi Angela Ritchie Cathy Wilson Moir Pringle Sally McGregor</p>



Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
173	<p>Supplier Management Framework and CIS Payments</p> <p>RES1809 Issue 1: Contract Management by Directorates and Service Areas</p> <p>Alistair Gaw, Executive Director of Communities and Families</p>	High	<p>RES1809 Issue 1.4(3): Review of contract waivers - C&amp;F</p> <p>Started</p>	<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>	<p><b>Estimated Date:</b> 27/03/2020</p> <p><b>Revised Date:</b> 01/11/2020</p> <p><b>No of Revisions</b> 1</p>	<p>Anna Gray David Hoy Michelle McMillan Nickey Boyle</p>
174	<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 1.4(4): Review of contract waivers - Place</p> <p>Started</p>	<p>Place Service area management teams currently receive this information (at least on a quarterly basis) and this will continue, with escalation of any issues to the Place SMT as appropriate.</p>	<p><b>Estimated Date:</b> 31/03/2020</p> <p><b>Revised Date:</b> 31/12/2020</p> <p><b>No of Revisions</b> 1</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
Page 249	Asset Management Strategy and CAFM system 18/19	High	3.1 Ensuring Data Completeness, Accuracy, and Quality  Started	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.	<b>Estimated Date:</b> <b>31/03/2016</b> <b>Revised Date:</b> <b>01/08/2022</b> <b>No of Revisions</b> <b>1</b> <b>Management has proposed closure by risk acceptance – discussions with IA ongoing</b>	Alan Chim Andrew Field Audrey Dutton Brendan Tate Gohar Khan Layla Smith Michelle Vanhegan Peter Watton
	RES1813 Asset Management Strategy and CAFM: Issue 3 - Property and Facilities Management Data Completeness; Accuracy; and Quality  Stephen Moir, Executive Director of Resources			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 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.		

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
176	<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><b>Estimated Date:</b> <b>31/03/2016</b></p> <p><b>Revised Date:</b> <b>01/08/2022</b></p> <p><b>No of Revisions</b> <b>2</b></p> <p><b>Management has proposed closure by risk acceptance – discussions with IA ongoing</b></p>	<p>Alan Chim</p> <p>Andrew Field</p> <p>Audrey Dutton</p> <p>Brendan Tate</p> <p>Gohar Khan</p> <p>Graeme McGartland</p> <p>Layla Smith</p> <p>Michelle Vanhegan</p> <p>Peter Watton</p>

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
177	CGI Subcontract Management C/f 2018/19  1 Council oversight of CGI subcontract management  Stephen Moir, Executive Director of Resources	Medium	1.1 Assessment of the criticality of CGI sub-contractors  Started	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.	<b>Estimated Date:</b> <b>30/04/2020</b> <b>Revised Date:</b> <b>01/01/2021</b> <b>No of Revisions</b> <b>1</b>	Alison Roarty Heather Robb Jackie Galloway Layla Smith Michelle Vanhegan Nicola Harvey

Ref	Project/Owner	Issue Type	Issue/Status	Agreed Management Action	Dates	Contributor
178	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.	<b>Estimated Date:</b> <b>30/09/2020</b> <b>Revised Date:</b> <b>01/02/2021</b> <b>No of Revisions</b> <b>0</b>	Alison Henry Annette Smith Hugh Dunn John Connarty Layla Smith Michelle Vanhegan
179	Budget Setting and Management  RES 1903 Issue 4: Training for budget managers  Stephen Moir, Executive Director of Resources	Medium	RES 1903 Issue 4.2: CECiL training module  Started	This is underway and will be completed by the end of May 2020.	<b>Estimated Date:</b> <b>31/05/2020</b> <b>Revised Date:</b> <b>30/10/2020</b> <b>No of Revisions</b> <b>1</b>	Adam Fergie Caroline Bayne Katy Miller Layla Smith Louise Hitchings Margaret-Ann Love Michelle Vanhegan

# Finance and Resources Committee

10.00am, Thursday, 21 January 2021

## Restaurant Unit, Assembly Rooms, 54 George Street, Edinburgh – Update on Proposed Lease

Executive/routine Wards Council Commitments	Routine Ward 11– City Centre <a href="#">2</a>
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### 1. Recommendations

#### 1.1 That Committee:

- 1.1.1 Notes the progress made with the lease to Stack and Still Limited, prior to the Covid-19 pandemic, following Committee approval on 6 December 2019;
- 1.1.2 Notes the revised terms sought by Stack and Still Limited; and,
- 1.1.3 Notes the approval by the Executive Director of Resources, in consultation with the Convenor and Vice Convenor of Finance and Resources, using urgency powers under delegation, to compete the lease based on the revised terms.

**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](mailto:graeme.mcgartland@edinburgh.gov.uk) | Tel: 0131 529 5956

## **Restaurant Unit, Assembly Rooms, 54 George Street, Edinburgh – Update on Proposed Lease**

### **2. Executive Summary**

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- 2.1 On 6 December 2019, Committee approved a 15-year lease of the restaurant unit within the Assembly Rooms to Stack and Still Limited. As a result of the Covid-19 pandemic, Stack and Still has sought revised terms, along with an entry date prior to an available Committee. Consequently, approval was given to proceed on the revised terms by the Executive Director of Resources, in consultation with the Convenor and Vice Convenor of Finance and Resources, using urgency powers in accordance with the Scheme of Delegation to Officers. This report updates the Committee on the revised terms which were agreed.

### **3. Background**

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- 3.1 Jamie's Italian Limited entered into a Company Voluntary Arrangement (CVA) in February 2018 and subsequently liquidated on 21 May 2019.
- 3.2 The property was marketed for lease and discussions took place with interested parties, however only one party, Stack and Still Limited (S&S), came forward with a formal proposal.
- 3.3 The Finance and Resources Committee, on 6 December 2019, approved a 15-year lease. However, it was not possible to complete the lease prior to the Covid-19 pandemic and associated lockdown.
- 3.4 The tenant has approached the Council with a revised proposal to reflect the current economic conditions and the prospects for short term recovery in the restaurant sector. The tenant was seeking completion of the lease on the revised terms to enable a date of entry in early January to begin fit out works.

## 4. Main report

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- 4.1 A comparison of the terms approved by Committee and the revised proposal is out below:

	<b>Committee Approval</b>	<b>Stack &amp; Still Revised Proposal</b>
<b>Lease Term</b>	15 years with tenant break option at year 10	15 years with tenant break option at year 10
<b>Base Rent</b>	The higher of a base rent of £150,000 per annum or 8% of gross annual turnover net of VAT and capped at £300,000 per annum	The higher of a base rent of £150,000 per annum or 8% of gross annual turnover net of VAT and capped at £300,000 per annum
<b>Incentive</b>	Equivalent of 12 months rent free with half rent paid for years 1 and 2	Equivalent of 24 months' rent free payable by 6 months rent free and 30 months at £5,000 per month (S&S had initially sought 6 months rent free and 36 months at £5k per month)

- 4.2 In summary, although the lease term and rent remain the same, an increase to the initial incentive was being sought. In simple terms, over the first three years of the lease there is a reduction in income to the Council of £150,000 (minimum due to potential for turnover to result in a higher than base rent).
- 4.3 S&S were targeting an early entry date of January 2021 to commence fit out works to allow for potential opening in February, albeit this was prior to the recent lockdown announcements of 4 January 2021.
- 4.4 Such a tight timescale would not have permitted a report to Committee to seek approval to the revised terms. Consequently, on 18 December 2020, the Executive Director of Resources formally consulted with the Convenor and Vice Convenor of Finance and Resources and approval was given for the use the Urgency Powers under the Scheme of Delegation to Council Officers to complete the lease on these revised terms.

## 5. Next Steps

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- 5.1 Following the approval to proceed using urgency powers under delegation work has continued to complete the lease.

## **6. Financial impact**

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- 6.1 Over the first three years of the lease there is a reduction in income to the Council of £150,000 (minimum due to potential for turnover to result in a higher than base rent).

## **7. Stakeholder/Community Impact**

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

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

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- 8.1 [Report to Finance and Resources Committee 6 December 2019](#)

## **9. Appendices**

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- 9.1 Appendix 1 – Location Plan





SITE PLAN

PHOTOGRAPHICALLY REDUCED NOT TO SCALE

• EDINBURGH •  
THE CITY OF EDINBURGH COUNCIL

PROPERTY AND FACILITIES MANAGEMENT  
RESOURCES

RESTAURANT UNIT  
54 GEORGE STREET  
EDINBURGH

DATE 31/10/19

SURVEYED BY

DRAWN BY Mark Ballantyne

SCALE 1:1250 @ A3 SIZE

NEG. NO. A3/1155

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## Finance and Resources Committee

10.00am, Thursday, 21 January 2021

### 5 Hamilton Place, Edinburgh – Proposed New Lease

Executive/routine	Routine
Wards	Ward 5 – Inverleith
Council Commitments	<a href="#">2</a>

#### 1. Recommendations

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- 1.1 That Committee approves a 20-year lease to Harem Murdochy of premises at 5 Hamilton Place, 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 Portfolio Officer,

Property and Facilities Management Division, Resources Directorate

E-mail: [alan.simpson2@edinburgh.gov.uk](mailto:alan.simpson2@edinburgh.gov.uk) | Tel: 0131 529 6693

# Report

## 5 Hamilton Place, Edinburgh – Proposed New Lease

### 2. Executive Summary

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- 2.1 The restaurant at 5 Hamilton Place was vacated in summer 2019 when the previous occupier ceased trading. A lease was unable to be secured with the preferred bidder following initial marketing. Following re-marketing, 8 bids were received at a closing date in November 2020. This report seeks approval to grant a new lease to Harem Murdochy, on the terms and conditions outlined in the report.

### 3. Background

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- 3.1 The ground and basement retail premises at 5 Hamilton Place extends to 65 sq m (700 sq ft), as shown outlined in red on the attached plan.
- 3.2 The premises became vacant in summer 2019 when the previous tenant ceased trading. At that time the rent was £16,000 per annum.
- 3.3 The property was marketed in the summer of 2019. On 6 December 2019, the Finance and Resources Committee approved a 10-year lease to the preferred bidder following a closing date. However, a lease was not able to be concluded due to the impact of Covid-19 on the proposed tenant's business model.
- 3.4 Consequently, the property was re-marketed with a further closing date in November 2020 when 8 bids were received. The offers have been evaluated with the preferred bidder recommended as detailed below.

### 4. Main report

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- 4.1 The following terms have been provisionally agreed:-
- Subjects                      5 Hamilton Place, Edinburgh;
  - Tenant:                      Harem Murdochy;
  - Lease:                      20 years from February 2021;
  - Rent:                      £22,500 per annum;
  - Rent Review:              February 2026 and 5 yearly thereafter;

- Use: Ice Cream Parlour;
- Repairs: Tenant full repairing and insuring obligation;
- Costs: Tenant responsible for all the Councils legal costs; and,
- Other Terms: As contained in the standard Council lease.

## **5. Next Steps**

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- 5.1 Following Committee approval, the Council Solicitor will be instructed to progress the preparation of a new lease.

## **6. Financial impact**

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- 6.1 A rent of £22,500 per annum to the General Property Account from February 2021 from a property which has been vacant since summer 2019.

## **7. Stakeholder/Community Impact**

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

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

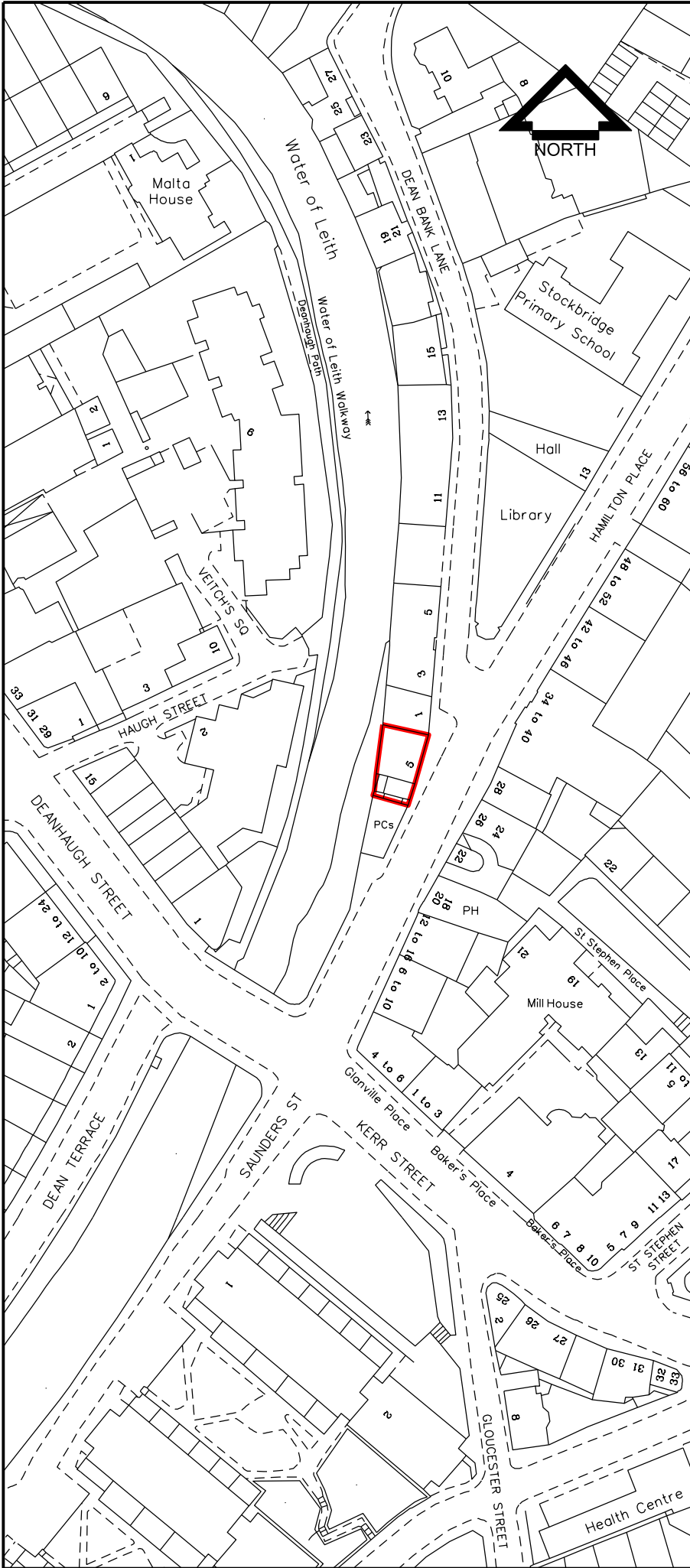
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- 8.1 Not applicable.

## **9. Appendices**

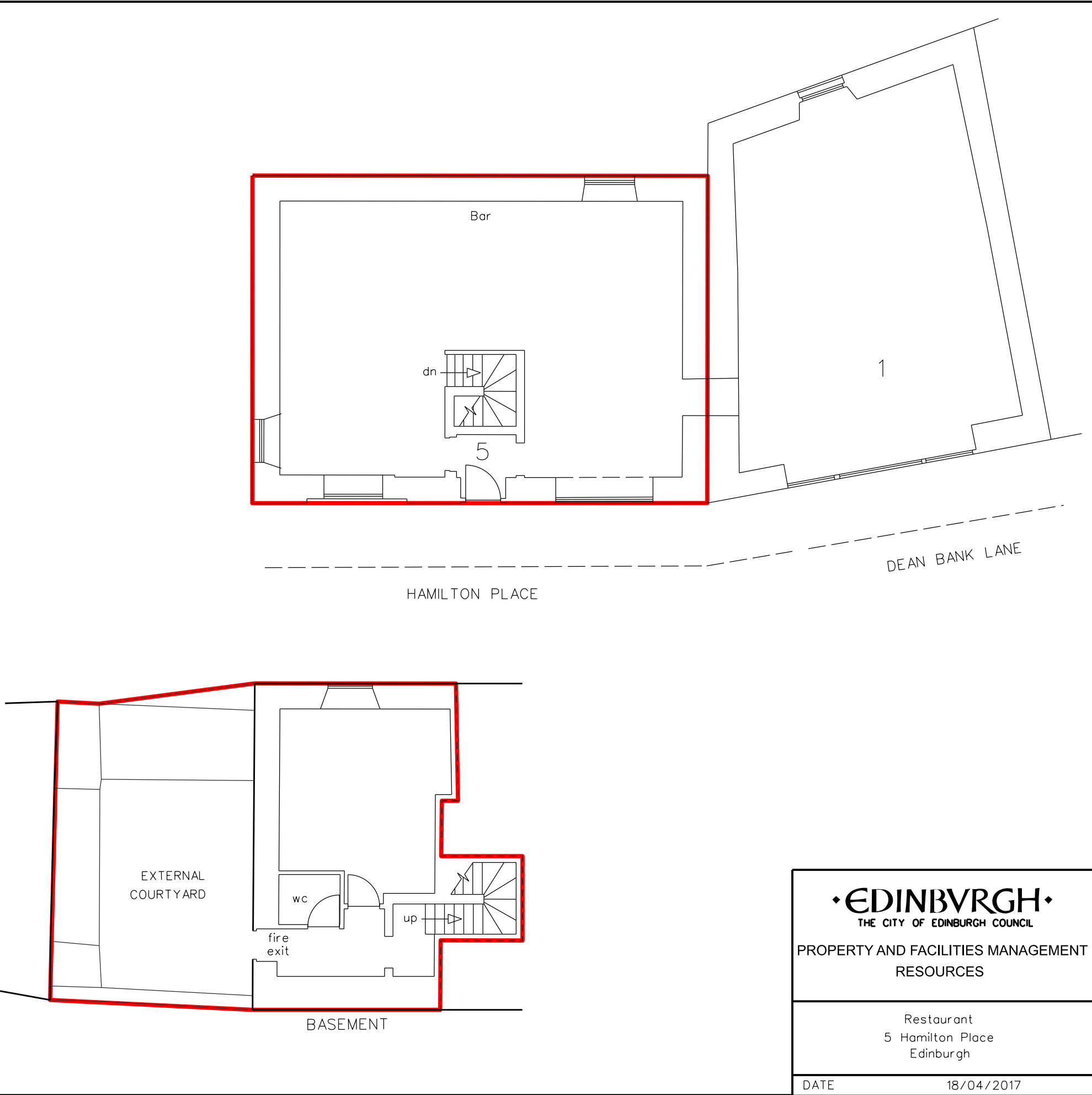
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- 9.1 Appendix 1 – Location Plan



LOCATION PLAN

PHOTOGRAPHICALLY REDUCED NOT TO SCALE



AREA OF LEASE SHOWN DELINEATED RED

FLOOR PLAN

•EDINBURGH• THE CITY OF EDINBURGH COUNCIL	
PROPERTY AND FACILITIES MANAGEMENT RESOURCES	
Restaurant 5 Hamilton Place Edinburgh	
DATE	18/04/2017
SURVEYED BY	MB,AP
DRAWN BY	Fiona McDonald
FILE NO.	
NEG. NO.	A3/929 A

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