# Notice of meeting and agenda

## Housing, Homelessness and Fair Work Committee

**10.00 am Thursday, 2nd September, 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 Any items under "Private Business" will not be published, although the decisions will be recorded in the minute.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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THE CITY OF EDINBURGH COUNCIL

# 1. Order of Business

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

# 2. Declaration of Interests

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

# 3. Deputations

**3.1** If any.

# 4. Minutes

# 5. Forward Planning

# Business Bulletin

# 7. Executive Decisions

## 8. Routine Decisions

## 9. Motions

**9.1**  If any.

## 10. Resolution to Consider in Private

**10.1**  The Sub-Committee, is requested under Section 50(A)(4) of the
         Local Government (Scotland) Act 1973, to exclude the public
         from the meeting for the following items of business on the
         grounds that they would involve the disclosure of exempt
         information as defined in Paragraph 8 of Part 1 of Schedule 7A of
         the Act.

## 11. Private Reports

## Nick Smith

Service Director, Legal and Assurance

## Committee Members

Councillor Kate Campbell (Convener), Councillor Mandy Watt (Vice-Convener), Councillor Jim Campbell, Councillor Cammy Day, Councillor David Key, Councillor Kevin Lang, Councillor John McLellan, Councillor Susan Rae, Councillor Alex Staniforth, Councillor Susan Webber and Councillor Norman Work

# Information about the Housing, Homelessness and Fair Work Committee

The Housing, Homelessness and Fair Work Committee consists of 11 Councillors and is appointed by the City of Edinburgh Council.

This meeting of the Housing, Homelessness and Fair Work Committee is being held virtually by Microsoft Teams.

# Further information

If you have any questions about the agenda or meeting arrangements, please contact Jamie Macrae or Sarah Stirling, Committee Services, City of Edinburgh Council, Business Centre 2.1, Waverley Court, 4 East Market Street, Edinburgh EH8 8BG,  Tel 0131 553 8242 / 0131 529 3009, email jamie.macrae@edinburgh.gov.uk / 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.

Live and archived webcasts for this meeting and all main Council committees can be viewed online by going to the Council's Webcast Portal.

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damage or distress to any individual, please contact Committee Services (committee.services@edinburgh.gov.uk).

# Minutes

# Housing, Homelessness and Fair Work Committee

## 10.00am, Thursday 3 June 2021

**Present**

Councillors Kate Campbell (Convener), Watt (Vice-Convener), Booth, Jim Campbell, Day, Hutchison (substituting for Councillor Webber), Key, Lang, McLellan, Rae (substituting for Councillor Miller) and Work.

## 1. Approach to Dampness, Mould and Condensation in Council Homes

**a)   Deputation by the Moredun Maisonettes and Multis Residents Association and Councillor Cameron**

The Committee agreed to hear a deputation from Moredun Maisonettes and Multis Residents Association in relation to the Approach to Dampness, Mould and Condensation in Council Homes report. Councillor Cameron was also in attendance as a ward councillor.

The deputation detailed their experience living in the Moredun high rise flats, highlighting the unfit state of the property upon moving in and that the windows of various properties were in disrepair which had resulted in mould, damp and condensation, leading to property damage, health concerns and higher costs of heating homes.

The deputation requested that consideration be given to how the Council could improve the repairs system to prevent mould, damp and condensation in Council homes. They also requested that resident associations were consulted in the process of writing these reports.

**b)   Report by the Executive Director of Place**

On 18 March 2021, the Housing, Homelessness and Fair Work Committee approved a motion which agreed to provide two additional reports alongside the Housing Service Improvement Plan (HSIP) Update: a report updating on the repairs improvement plan and a report on the process for dampness, mould and condensation.

A separate report on the repairs improvement plan was also presented to this Committee (see Item 11).

**Decision**

1) To agree the improved processes that were being put in place to manage dampness, mould and condensation issues would take immediate effect.

2) To agree to discharge the motion agreed by the Housing, Homelessness and Fair Work Committee on 18 March 2021.

3) To agree that a process would be developed to make sure that data from repairs logged in relation to damp mould and condensation would be collated and then used as part of the asset management strategy to help inform future capital investment including the whole house retrofit programme as outlined in the housing sustainability report.

4) To agree that a further report would be brought back in six months to update on the asset management strategy, how data was monitored to ensure investment was targeted to where it was needed most alongside an analysis of the implementation of the new processes including data on the number of cases where mould had been removed and reinstatement work carried out. To agree that report would contain details of the current condition of Council stock, and suggestions for how we could measure improvements to the service tenants receive and the condition of homes.

5) To agree to a workshop for committee members to discuss key reporting outcomes which would inform the update report returning in six months' time.

6) To request a Business Bulletin update on progress made on AOVS to the next committee.

7) To request that the number of outstanding repairs cases relating to damp, condensation and mould would be reported back to committee.

8) To request information on the proportion of Council properties which had extractor fans, outdoor drying facilities and double/triple-glazed windows.

(References – Housing, Homelessness and Fair Work Committee of 18 March 2021 (Item 14); report by the Executive Director of Place, submitted.)

## 2. Minutes

**Decision**

To approve the minute of the Housing, Homelessness and Fair Work Committee of 18 March 2021 as a correct record.

## 3. Work Programme

The Housing, Homelessness and Fair Work Committee Work Programme for June 2021 was presented.

**Decision**

To note the Work Programme.

(Reference – Work Programme, submitted.)

## 4.    Housing, Homelessness and Fair Work Committee Rolling Actions Log

The Housing, Homelessness and Fair Work Committee Rolling Actions Log for June 2021 was presented.

**Decision**

1)    To agree to close the following actions:

- Action 2 – Housing Sustainability Update
- Action 4 (2) – Empty Homes Update
- Action 5 – Business Bulletin
- Action 6 (1&2) – Allocation Policy for Council Homes
- Action 8 (1&2) – Housing Revenue Account (HRA) Capital Programme 2021/22
- Action 10 (1&2) – Emergency Motion by Councillor Kate Campbell – Repairs

2)    To otherwise note the remaining outstanding actions.

(Reference – Rolling Actions Log, submitted.)

## 5.    Housing, Homelessness and Fair Work Committee Business Bulletin

The Housing, Homelessness and Fair Work Committee Business Bulletin for June 2021 was presented.

**Decision**

To note the Business Bulletin.

(Reference – Business Bulletin, submitted.)

## 6.    Capital City Partnership: Progress Update

An update was provided on the progress that had been made against the objectives and targets detailed within the Service Level Agreement (SLA) between the Council and Capital City Partnership (CCP).

The ongoing changes in the strategic and operational employability environment at national and local level were highlighted, which would require that the terms of the SLA would be kept under review and adapted, if necessary, to ensure it continued to strategically fit with local need and provides value for money for the Council.

**Decision**

1)    To note the progress being made by the CCP against their SLA objectives and targets.

2)    To note that the SLA had been amended in 2020/21, reflecting a £150,000 reduction in payments from the Council to CCP.

3)      To note that the current circumstances around Covid-19 had had a major impact on the results for 2020/21 and on the employment landscape as a whole, with corresponding changes in the strategic and operational landscape at national and local level (e.g. Edinburgh Economy Strategy, City Region Deal, Scottish Government Employability Services).

4)      To refer this report to Governance, Risk and Best Value Committee.

(References – Housing and Economy Committee of 18 January 2018 (Item 14); report by the Executive Director of Place, submitted.)

## 7.    Regeneration Capital Grant Fund Applications

The Regeneration Capital Grant Fund (RCGF) had been opened again for applications. The following projects were recommended to be put forward for consideration: Craigmillar high street; Lauriston Castle community hub; Leith Theatre; MacMillan Hub, Pennywell; Pentlands Community Space; Portobello Town Hall; Ravelston Park Pavilion community hub; Saughton Gardens community hub; The Story Box and West Shore Road creative hub.

**Decision**

To agree that the listed projects be submitted to the RCGF for consideration.

(References – Policy and Sustainability Committee of 11 June 2020 (Item 14); report by the Executive Director of Place, submitted.)

## 8.    Allocation Policy for Council Homes - Update

On 18 March 2021 the Housing, Homeless and Fair Work Committee considered the Allocation for Council Homes report. An update was provided on the actions agreed. It was requested that the motion by Councillor Kate Campbell from 4 February 2021 be discharged.

Ongoing actions were taking place to improve advice and information on access to housing and to agree an additional approach to assist with managing exceptional housing need cases that could not be resolved within the allocation policy framework or existing processes/multi-agency pathways to ensure good outcomes for households.

**Decision**

1)      To note the update on the proposed approach to assist with the management of exceptional housing need following engagement with key stakeholders and ongoing actions to improve advice and information on access to housing.

2)      To agree that an additional level of 'waiting time' could be added to the current silver exceptional need priority where an 'officer panel' decision was taken that a case was urgent and could not be resolved within the allocation policy framework or existing processes/multi-agency pathways.

3)      To agree to discharge the motion by Councillor Kate Campbell on Allocations Policy as approved at the City of Edinburgh Council of 4 February 2021.

(References – Housing, Homelessness and Fair Work Committee of 18 March 2021 (Item 4); Act of Council No. 10 of 4 February 2021; report by the Executive Director of Place, submitted.)

## 9.    Housing Sustainability Update

On 5 November the Housing, Homelessness and Fair Work Committee considered a report on Housing Sustainability. An update was provided on the key elements of the decision, as well as a wider update on housing sustainability in relation to new build Council homes and the whole house retrofit approach for existing Council homes.

Since November 2020, all new build Council homes were being designed to deliver net zero carbon with the first handovers of these homes expected in 2023.

**Motion**

1)    To note the progress that had been made in developing the Housing Sustainability approach.

2)    To agree to discharge the Green group motion approved by the City of Edinburgh Council on 5 November 2020.

3)    To agree to receive an update on Housing Sustainability as part of the annual Capital Investment Programme report.

-    moved by Councillor Kate Campbell, seconded by Councillor Watt

**Amendment**

1)    To note the progress that had been made in developing the Housing Sustainability approach and warmly welcomes that all new council housing in design and development from November 2020 would be net zero carbon.

2)    To agree to discharge the Green group motion approved by the City of Edinburgh Council on 5 November 2020.

3)    To agree to receive an update on Housing Sustainability as part of the annual Capital Investment Programme report.

4)    To note that in relation to new Council homes, 'net zero carbon' implied an element of offsetting, and therefore to agree that future updates in the Capital Investment Programme would specify how new council buildings would align with Scottish Building Regulations' silver / gold / platinum categorisation, and how the new Scottish Government's commitment to all new local authority homes being zero emission homes by 2026 would be met in Edinburgh.

5)    To note that achieving significant emissions reductions from existing Council homes was highly dependent on Council homes in mixed tenure blocks; to welcome the establishment of the Mixed Tenure Improvement Service, but nonetheless to note that existing funding and policy levers were unlikely to deliver the rapid reduction in emissions required to meet council targets.

6)    To therefore agree that the Convenor would write to the Cabinet Secretary for Net Zero, Energy and Transport, and the Cabinet Secretary for Social Justice, Housing and Local Government, to urge the Scottish Government to:

a)    Accelerate the Heat in Buildings strategy.

b)    Enhance incentives and introduce regulatory levers as soon as possible to allow local authorities to meet their ambitious carbon reduction and fuel poverty targets, including but not limited to, introducing regulations to set minimum energy efficiency standards at point of sale and major refurbishment to come into force within the next five years, as recommended by the Existing Homes Alliance Scotland in their recent "Pathway to zero carbon homes" report.

-    moved by Councillor Booth, seconded by Councillor Rae

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

**Decision**

To approve the adjusted motion by Councillor Kate Campbell.

(References – Housing, Homelessness and Fair Work Committee of 5 November 2020 (Item 6); report by the Executive Director of Place, submitted.)

## 10.    Updated Housing Revenue Account (HRA) Capital Programme

An updated 2021/22 and 2022/23 Housing Revenue Account (HRA) capital programme was set out, following consultation with Elected Members. The 24-month programme included an assessment of the impact of further restrictions due to Covid-19 on timescales and the re-profiling slippage from 2020/21.

Detail was also provided of the accelerated spend to improve internal common stairwells in areas of highest poverty in the city and the impact of increased resources for the Mixed Tenure Improvement Service (MTIS) approved by Council on 18 February 2021.

**Decision**

1)    To approve the updated 2021/22 HRA capital programme.

2)    To note the draft 2022/23 planned programme and five-year investment programme.

3)    To agree to receive a report in two cycles on the projects outlined in the key priorities in Appendix 3 of the report. This should include, for large scale projects such as external fabric improvements, status updates on community engagement and consultation, design work, the scope of works and indicative time frames for work to begin.

(References – Act of Council No. 1 of 18 February 2021; report by the Executive Director of Place, submitted.)

## 11.    Housing Service Improvement Plan – Repairs Update

On 18 March 2021, the Housing, Homelessness and Fair Work Committee approved a motion which agreed to provide two additional reports alongside the Housing Service

Improvement Plan (HSIP) Update: a report updating on the repairs improvement plan and a report on the process for dampness, mould and condensation (see Item 1).

A separate report on the process for dampness, mould and condensation was also presented to the meeting of 3 June 2021.

**Decision**

1) To note the progress made to date with improvements within the repairs service and the priorities for the next 12 months.

2) To agree to discharge the motion agreed by the Housing, Homelessness and Fair Work Committee on 18 March 2021.

3) To agree to receive an update in six months as part of the Housing Service Improvement Plan (HSIP) six-monthly update report.

4) To agree to a workshop for committee on the monitoring and communication of repairs.

(References – Housing, Homelessness and Fair Work Committee of 18 March 2021 (Item 14); report by the Executive Director of Place, submitted.)

## 12. Housing Service Improvement Plan – Update

An update was provided on the work being taken forward as part of the Housing Service Improvement Plan (HSIP). The measures set out in the improvement plan aimed to significantly improve customer satisfaction, operating performance and reduce costs.

**Decision**

1) To note the progress made with the Housing Service Improvement Plan (HSIP) over the last six months and the 2021/22 forward plan.

2) To agree to receive an update report in six months.

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

## 13. Gas Service Improvement Plan

An update was provided on the progress made with the Gas Service Improvement Plan since it was presented to the Governance, Risk and Best Value Committee on the 23 March 2021. Details were set out in the plan to build on and improve the Council's approach to gas safety. The report was referred to the Housing, Homelessness and Fair Work Committee for information.

An update of the Gas Service Improvement Plan was attached at Appendix 1 of the report.

**Decision**

1) To note the progress made and the updated action plan for the Gas Service Improvement Plan since it was presented to Governance, Risk and Best Value Committee on 23 March 2021.

2)    To note that progress would be reported to the Housing, Homelessness and Fair Work Committee as part of the Housing Service Improvement Plan.

(References – Governance, Risk and Best Value Committee of 23 March 2021 (Item 17); report by the Executive Director of Place, submitted.)

## 14.    Gas Service Improvement Plan – referral from the Governance, Risk and Best Value Committee

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 1, 12 and 15 Part 1 of Schedule 7(A) of the Act.

The Governance, Risk and Best Value Committee had referred a report on a gas service improvement plan, which provided details on the history of inspection, the review of the Council's gas inspection and management and maintenance. Details were set out in the plan to build on and improve the Council's approach to gas safety. The report was referred to the Housing, Homelessness and Fair Work Committee for information.

**Decision**

To note the report.

(References – Governance, Risk and Best Value Committee of 23 March 2021 (item 17; report by the Chief Internal Auditor, submitted.)

## 15.    Rapid Rehousing Transition Plan – Annual Update on Progress

The Scottish Government instructed all local authorities to develop, produce and cost a 5-year Rapid Rehousing Transition Plan (RRTP) by 31 December 2018. Further to this, local authorities were asked to submit updated RRTP's, the second iteration of the Edinburgh RRTP was agreed at the Housing, Homelessness and Fair Work Committee on 18 September 2020 and subsequently submitted to Scottish Government.

It was agreed at the annual updates would be received on progress of the plan. In order to meet the requirement to submit this to Scottish Government by 30 June 2021 this update covers the period from September 2020 to end of March 2021.

**Decision**

1)    To note the progress made to date.

2)    To agree the content for submission to the Scottish Government.

(References – Housing, Homelessness and Fair Work Committee of 18 September 2020 (Item 1); report by the Executive Director of Place, submitted.)

## 16.    Homelessness Services' Performance Dashboard

The Council's Internal Audit service recommended that Homelessness Services, in addition to providing an annual report on the service's statutory returns, should provide additional performance information to Committee.

Approval was sought for the measures contained in the report and agreement that these reports should be provided on a 6-monthly basis, beginning with a report to coincide with the statutory returns report in August 2021

**Decision**

1) To note the performance dashboard.

2) To agree the performance measures contained within the dashboard and reporting cycle for future meetings.

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

## 17. No One Left Behind Phase 2

As part of No One Left Behind Phase 2 (NOLB2) and employability transformation in Scotland, City of Edinburgh Council was expected to receive additional funding from Scottish Government for local employability delivery from 1 April 2022.

Plans were set out for research and coproduction which were currently underway to determine arrangements for future provision in Edinburgh, based on NOLB2 and Network of Employability Support and Training (NEST).

**Decision**

1) To note that it was expected that City of Edinburgh Council would receive funding for No One Left Behind (NOLB2) transformation of local employability delivery from 1 April 2022.

2) To note the joint coproduction exercise and review of the Council's employability grants programme with the new arrangements for NOLB2 to develop plans for specialist employability support and training in Edinburgh from 1 April 2022.

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

## 18. Homelessness Services Internal Audit – Actions Update

An update was provided on the progress of outstanding audit actions from the audit of Homelessness Services undertaken in July 2019. This followed a previous update presented to the Housing, Homelessness and Fair Work Committee on 5 November 2020.

**Decision**

1) To note the progress against recommendations within the Internal Audit of Homelessness Services undertaken in July 2019.

2) To acknowledge the rationale as to why some audit actions had required change and reconsideration due to the need to deliver services differently as a result of the public health crisis.

3) To recognise the complexities and issues which had delayed progress and completion of some actions within the agreed timescales.

(References – Housing, Homelessness and Fair Work Committee of 5 November 2020 (Item 10); report by the Chief Executive, submitted.)

## 19.    Place Services Internal Audit – Actions Update

On 23 March 2021, the Governance, Risk and Best Value Committee considered a report on Overdue Findings and Key Performance Indicators at 10 February 2021. This report was referred to the Housing, Homelessness and Fair Work Committee (see Item 20).

An update was provided to the Housing, Homelessness and Fair Work Committee on progress on management actions arising from Internal Audits which specifically related to services which fell within the remit of the committee.

**Decision**

1)      To note the progress made on recommendations made on Internal Audit actions relating to the Housing Property service.

2)      To recognise the complexities and issues which had delayed progress and had led to revised implementation dates for some management actions.

3)      To note that there were audit actions which had been agreed corporately, and that services which sit within the remit of the Housing, Homelessness and Fair Work Committee were working on.

(References – Governance, Risk and Best Value Committee of 23 March 2021 (item 5; report by the Executive Director of Place, submitted.)

## 20.    Internal Audit: Overdue Findings and Key Performance Indicators as at 10 February 2021 – referral from the Governance, Risk and Best Value Committee

The Governance, Risk and Best Value Committee had referred a report on Internal Audit Overdue Findings and Key Performance Indicators at 10 February 2021, which provided an overview of the status of the overdue Internal Audit (IA) findings as at 10 February 2021, to the Housing, Homelessness and Fair Work Committee for information.

**Decision**

To note the report.

(References – Governance, Risk and Best Value Committee of 23 March 2021 (item 5; report by the Chief Internal Auditor, submitted.)

## 21.    Affordable Housing Policy Update – referral from the Planning Committee

The Planning Committee had referred a report on the Affordable Housing Policy (AHP) performance in 2019/20 and 2020/21, which also provided an update on the use of commuted sums to support the delivery of new affordable homes over the same period, to the Housing, Homelessness and Fair Work Committee for information.

**Decision**

To note the report.

(References – Planning Committee of 19 May 2021 (item 6); report by the Executive Director of Place, submitted.)

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# Minutes

## Housing, Homelessness and Fair Work Committee

### 10.00am, Friday 25 June 2021

**Present**

Councillors Kate Campbell (Convener), Watt (Vice-Convener), Bird (substituting for Councillor Key), Jim Campbell, Day, Macinnes (substituting for Councillor Work, items 1(a)), McLellan, Osler (substituting for Councillor Lang), Rae, Staniforth, Webber and Work (items 1(b) onwards).

## 1. Place Based Investment Programme – 2021/22 Allocations

**a)    Deputation by Causey Development Trust**

The Committee agreed to hear a deputation from the Causey Development Trust in relation to the Place Based Investment Programme – 2021/22 Allocations report.

The deputation outlined the details of the Causey Project which aimed to transform the West Crosscauseway from an area predominately for vehicles to one centred on pedestrians. They felt that streets were prioritising vehicles at the expense of local health, wellbeing, heritage and community and sought to change this by adding cycle lanes, reducing traffic flow and encouraging active travel.

The deputation highlighted that allocating funding to the Causey Development Trust would support the achievement of the project's aims.

**b)    Report by the Executive Director of Place**

Agreement was sought on how the Council's share of the Place Based Investment Programme (PBIP) for 2021/22 (£1.998m) should be allocated. The committee was recommended to ask officers to prepare a more detailed framework for the allocation of future rounds of PBIP money.

**Motion**

1)    To agree to allocate the PBIP funds as follows:

|  |  |
|---|---|
| Wester Hailes Regeneration | 100 |
| Gracemount Civic Square | 150 |
| Portobello Town Hall | 350 |

| | |
|---|---|
| MacMillan Hub, Pennywell | 250 |
| Craigmillar Meanwhile Use | 60 |
| The Causey | 266 |
| Rejuvenating Roseburn | 110 |
| St Oswald's Centre | 350 |
| Roseburn Park, toilet/cafe | 66 |
| Green Bridge, Balerno | 66 |
| Northfield | 230 |

2) To request officers bring forward a further report setting out a framework for allocating future rounds of Place Based Investment Programme money.

3) To agree that should any project allocated money from the Place Based Investment Programme later be judged by officers to be unlikely to achieve the deadline set out at paragraph 4.6, or should any project be double funded due to other grant applications being successful, the money in question would be reallocated by the Executive Director of Place in consultation with the Convener and Vice Convener of Housing, Homelessness and Fair Work Committee.

- moved by Councillor Kate Campbell, seconded by Councillor Watt

**Amendment**

1) To request officers bring forward a further report setting out a framework for allocating future rounds of Place Based Investment Programme money.

2) To agree that should any project allocated money from the Place Based Investment Programme later be judged by officers to be unlikely to achieve the deadline set out at paragraph 4.6, or should any project be double funded due to other grant applications being successful, the money in question would be reallocated by the Executive Director of Place in consultation with the Convener and Vice Convener of Housing, Homelessness and Fair Work Committee. To agree that if such a reallocation was necessary the next Housing, Homeless and Fair Work Committee business bulletin would explain why it was necessary and why the money released was reallocated as it was.

3) To agree to allocate the Place Based Investment Programme money to the following candidate projects:

The Causey – £242k

Craigmillar - 'Meanwhile' site – £60k

Gracemount Civic Square – £150k

Leith Theatre – £250k

MacMillan Hub, Pennywell - £250k

Northfield - £230k

Portobello Town Hall - £350k

Roseburn Park toilet block conversion - £66k

St. Oswald's Centre - £300k

Wester Hailes Regeneration – 100k

- moved by Councillor Staniforth, seconded by Councillor Rae

In accordance with Standing Order 22.12, paragraph 1 of the amendment was accepted as an addendum to the motion.

**Voting**

For the motion          -          9 votes
For the amendment     -          2 votes

(For the motion – Councillors Bird, Jim Campbell, Kate Campbell, Day, McLellan, Osler, Watt, Webber and Work.

For the amendment – Councillors Rae and Staniforth.)

**Decision**

To approve the adjusted motion by Councillor Kate Campbell:

1) To agree to allocate the PBIP funds as follows:

|  |  |
| --- | --- |
| Wester Hailes Regeneration | 100 |
| Gracemount Civic Square | 150 |
| Portobello Town Hall | 350 |
| MacMillan Hub, Pennywell | 250 |
| Craigmillar Meanwhile Use | 60 |
| The Causey | 266 |
| Rejuvenating Roseburn | 110 |
| St Oswald's Centre | 350 |
| Roseburn Park, toilet/cafe | 66 |
| Green Bridge, Balerno | 66 |
| Northfield | 230 |

2) To request officers bring forward a further report setting out a framework for allocating future rounds of Place Based Investment Programme money.

3) To agree that should any project allocated money from the Place Based Investment Programme later be judged by officers to be unlikely to achieve the deadline set out at paragraph 4.6, or should any project be double funded due to other grant applications being successful, the money in question would be reallocated by the Executive Director of Place in consultation with the Convener and Vice Convener of Housing, Homelessness and Fair Work Committee. To agree that if such a reallocation was necessary the next Housing, Homeless and Fair Work Committee business bulletin would explain why it was necessary and why the money released was reallocated as it was.

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

## 2. Business Bulletin

The Housing, Homelessness and Fair Work Committee Business Bulletin for 25 June 2021 was presented.

**Decision**

To note the Business Bulletin.

(Reference – Business Bulletin, submitted.)

# Work Programme

## Housing, Homelessness and Fair Work Committee

## 2 September 2021

| No. | Title / description | Purpose/Reason | Directorate and Lead Officer | Progress updates | Expected date |
|-----|---------------------|----------------|------------------------------|------------------|---------------|
| 1 | Place Directorate – Financial Monitoring | Quarterly and annual report | Executive Director of Place Lead Officer: Susan Hamilton 0131 469 3718 susan.hamilton@edinburgh.gov.uk | | September 2021 November 2021 |
| 2 | Homelessness – Financial Monitoring | Quarterly and annual report | Executive Director of Education and Children's Services Lead Officer: Brendan O'Hara 0131 469 3620 brendan.o'hara@edinburgh.gov.uk | | September 2021 November 2021 |
| 3 | Homelessness Services' Performance Dashboard | Six-monthly report | Executive Director of Education and Children's Services Lead Officer: Nicky Brown 0131 469 3620 nicky.brown@edinburgh.gov.uk | | September 2021 March 2022 |

| | | | | | |
|---|---|---|---|---|---|
| 4 | EDI Group | Annual Report and six-monthly update | Executive Director of Place<br>Lead Officer: David Cooper<br>0131 529 6233<br>david.cooper@edinburgh.gov.uk | | November 2021 |
| 5 | Housing Revenue Account Capital Programme | Annual report | Executive Director of Place<br>Lead Officer: Elaine Scott<br>0131 529 6789<br>elaine.scott@edinburgh.gov.uk | | March 2022 |
| 6 | EICC | Annual report | Executive Director of Place<br>Lead Officer: David Cooper<br>0131 529 6233<br>david.cooper@edinburgh.gov.uk | | November 2021 |
| 7 | Appointments to Working Groups | Annual report | Executive Director of Corporate Services<br>Lead Officer: Jamie Macrae<br>0131 553 8242<br>jamie.macrae@edinburgh.gov.uk | | September 2021 |
| 8 | City of Edinburgh Council Assurance Schedule on Housing Services | Annual report | Executive Director of Place<br>Lead Officer: Elaine Scott<br>0131 529 6789<br>elaine.scott@edinburgh.gov.uk | | November 2021 |
| 9 | Rapid Rehousing Transition Plan | Annual report | Executive Director of Education and Children's Services<br>Lead Officer: Nicky Brown<br>0131 469 3620<br>nicky.brown@edinburgh.gov.uk | | June 2022 |

| | | | | | |
|---|---|---|---|---|---|
| 10 | Homelessness – Statutory Returns | Annual Report | Executive Director of Education and Children's Services<br>Lead Officer: Nicky Brown<br>0131 469 3620<br>nicky.brown@edinburgh.gov.uk | | September 2021 |
| 11 | Strategic Housing Investment Plan (SHIP) | Annual Report | Executive Director of Place<br>Lead Officer: Elaine Scott<br>0131 529 6789<br>elaine.scott@edinburgh.gov.uk | | January 2022 |
| 12 | Land Strategy to Support Delivery of Affordable Housing and Brownfield Regeneration | Annual Report<br><br>Committee decision to provide annual report alongside SHIP | Executive Director of Place<br>Lead Officer: Elaine Scott<br>0131 529 6789<br>elaine.scott@edinburgh.gov.uk | | November 2021 |
| 13 | Empty Homes Annual Update | Annual Report | Executive Director of Place<br>Lead Officer: Elaine Scott<br>0131 529 6789<br>elaine.scott@edinburgh.gov.uk | | November 2021 |
| 14 | Net Increase in Homes and Acquisition | Six-Monthly Business Bulletin | Executive Director of Place<br>Lead Officer: Elaine Scott<br>0131 529 2277<br>elaine.scott@edinburgh.gov.uk | | January 2022 |

**Housing, Homelessness and Fair Work Committee Upcoming Reports**          **Appendix 1**

| Report Title | Directorate | Lead Officer |
|---|---|---|
| **November 2021** | | |
| EICC Annual Update | Place | David Cooper |
| Place Based Investment Fund | Place | David Cooper |
| Empty Homes Update | Place | David Cooper |
| City of Edinburgh Council's Annual Assurance Statement for Housing Services | Place | Elaine Scott |
| Land Strategy to support Delivery of Affordable Housing and Brownfield | Place | Elaine Scott |
| Updated Housing Revenue Account (HRA) Capital Programme | Place | Elaine Scott |
| Post-Fire Procedure for Council Run Accommodation | Place | Elaine Scott |
| Place Directorate – Financial Monitoring | Place | Susan Hamilton |
| Homelessness – Financial Monitoring | ECS | Douglas Pirie/Brendan O'Hara |
| Consultation Response: Local Connection | ECS | Nicky Brown |

# Rolling Actions Log

## Housing, Homelessness and Fair Work Committee

2 September 2021

| No | Date | Report Title | Action | Action Owner | Expected completion date | Actual completion date | Comments |
|---|---|---|---|---|---|---|---|
| 1 | 31.10.19 | Edinburgh International Conference Centre Annual Update | 1) To agree that a draft Service Level Agreement (SLA) be prepared and reported in two committee cycles. | Executive Director of Place | November 2021 | | *It is a long standing requirement that all Arms-Length External Organisations of the Council should enter into a Service Level Agreement (SLA) with the Council.* |

| No | Date | Report Title | Action | Action Owner | Expected completion date | Actual completion date | Comments |
|----|------|--------------|--------|--------------|--------------------------|------------------------|----------|
|    |      |              |        |              |                          |                        | *However, given that there is a Shareholder Agreement in place and the company does not offer a direct service to the Council, it is proposed that Strategic Delivery Agreement (SDA) is put in place.* |

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| No | Date | Report Title | Action | Action Owner | Expected completion date | Actual completion date | Comments |
|---|---|---|---|---|---|---|---|
| | | | | | | | *A draft document has been prepared but some of the terms cannot be finalised until the details of other legal documents are also sufficiently developed. These dependencies are unfortunately not entirely within the control of either the Council or the EICC and require agreement from other parties. It is, however, hoped that this will be completed shortly and the SDA will be reported to the June committee for consideration.* |

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| No | Date | Report Title | Action | Action Owner | Expected completion date | Actual completion date | Comments |
|---|---|---|---|---|---|---|---|
| | | | 2) To request that officers ask the Board for details of how they planned to reduce their carbon footprint. | Executive Director of Place | | | EICC's approach to carbon reduction has been shared with Elected Members. Further information has been requested on their plans for future action and how these will reduce their carbon footprint. This further information has been requested from the EICC. |
| 2 | 05.11.20 | [Consultation Response: Local Connection](#) | Officers will provide Committee with an update on the impact of these changes six months after implementation. | Executive Director of Education and Children's Services | November 2021 | | Update report for March 2021 on agenda |

| No | Date | Report Title | Action | Action Owner | Expected completion date | Actual completion date | Comments |
|---|---|---|---|---|---|---|---|
| 3 | 14.01.21 | Empty Homes Update | Therefore agrees to receive a further report within three cycles setting out the potential to mainstream funding for the EHO post and to greater embed the work of the EHO within the wider homelessness and council tax teams in order to support wider council objectives on ending homelessness. | Executive Director of Place | November 2021 | | |

| No | Date | Report Title | Action | Action Owner | Expected completion date | Actual completion date | Comments |
|---|---|---|---|---|---|---|---|
| 4 | 18.03.21 | Housing Revenue Account (HRA): Impact of a One-Year Rent Freeze | Therefore requests that officers bring back a report to committee setting out the opportunities for Edinburgh, and identifying additional funding streams that could be accessed to increase investment and the likely timeframes for accessing this funding. This should focus particularly on opportunities for increased investment in existing housing stock, regeneration and meeting our sustainability targets through retrofitting, and should form part of the annual HRA review including any risks to accessing these funding streams. | Executive Director of Place | September 2021 | | **Recommended for Closure** – included in the HRA Budget Strategy |

| No | Date | Report Title | Action | Action Owner | Expected completion date | Actual completion date | Comments |
|----|------|--------------|--------|--------------|--------------------------|------------------------|----------|
| 5 | 18.03.21 | [Community-Led Factoring](#) | Agrees to receive a progress update on this work within 12 months, including possible solutions for any areas not currently covered by factoring arrangements. | Executive Director of Place | March 2022 | | |

| 6 | 03.06.21 | Housing Sustainability Update | Therefore agrees that the Convenor will write to the Cabinet Secretary for Net Zero, Energy and Transport, and the Cabinet Secretary for Social Justice, Housing and Local Government, to urge the Scottish Government to:<br><br>a) accelerate the Heat in Buildings strategy, and<br><br>b) enhance incentives and introduce regulatory levers as soon as possible to allow local authorities to meet their ambitious carbon reduction and fuel poverty targets, including but not limited to, introducing regulations to set minimum energy efficiency standards at point of sale and major refurbishment to come into force within the next five years, as recommended by the Existing Homes Alliance Scotland in their recent "Pathway to zero carbon homes" report. | Convener | | | |

| No | Date | Report Title | Action | Action Owner | Expected completion date | Actual completion date | Comments |
|---|---|---|---|---|---|---|---|
| 7 | 03.06.21 | Updated Housing Revenue Account (HRA) Capital Programme | Agrees to receive a report in two cycles on the projects outlined in the key priorities in appendix 3. This should include, for large scale projects such as external fabric improvements, status updates on community engagement and consultation, design work, the scope of works and indicative time frames for work to begin. | Executive Director of Place | November 2021 | | |
| 8 | 03.06.21 | Housing Service Improvement Plan – Repairs Update | To agree to a workshop for committee on the monitoring and communication of repairs. | Executive Director of Place | | | |

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| No | Date | Report Title | Action | Action Owner | Expected completion date | Actual completion date | Comments |
|---|---|---|---|---|---|---|---|
| 9 | 03.06.21 | Approach to Dampness, Mould and Condensation in Council Homes | 1) Agrees that a further report will be brought back in six months to update on the asset management strategy, how data is monitored to ensure investment is targeted to where it is needed most alongside an analysis of the implementation of the new processes including data on the number of cases where mould has been removed and reinstatement work carried out. Agrees that report will contain details of the current condition of council stock, and suggestions for how we can measure improvements to the service tenants receive and the condition of homes. | Executive Director of Place | January 2022 | | |

Page 36

| No | Date | Report Title | | Action | Action Owner | Expected completion date | Actual completion date | Comments |
|----|------|-------------|---|--------|--------------|--------------------------|------------------------|----------|
| | | | 2) | To agree to a workshop for committee members to discuss key reporting outcomes which would inform the update report returning in six months' time. | Executive Director of Place | January 2022 | | |
| | | | 3) | To request a Business Bulletin update on progress made on AOVS to the next committee. | Executive Director of Place | September 2021 | | **Recommended for Closure** |
| | | | 4) | To request that the number of outstanding repairs cases relating to damp, condensation and mould would be reported back to committee. | Executive Director of Place | September 2021 | | **Recommended for Closure** – included in Business Bulletin |

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| No | Date | Report Title | Action | Action Owner | Expected completion date | Actual completion date | Comments |
|---|---|---|---|---|---|---|---|
| | | | 5) To request information on the proportion of Council properties which had extractor fans, outdoor drying facilities and double/triple-glazed windows. | Executive Director of Place | September 2021 | | **Recommended for Closure** – included in Business Bulletin |
| 10 | 10.06.21 | Council Fire Safety Policy 2021-24 (from Policy and Sustainability Committee) | Therefore calls for a report to Housing, Homelessness and Fair Work Committee detailing the council's current post-fire procedure should a fire occur on or near council run accommodation and any suggested updates to that procedure within two cycles. | Executive Director of Place | November 2021 | | |

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| 11 | 24.06.21 | **Motion By Councillor Booth - Suspension of Eviction Action Against Council Tenants for Rent Arrears**<br><br>(from the City of Edinburgh Council) | 6) Further agrees that a report will be provided to the Housing, Homelessness and Fair Work Committee within one cycle and that this report should:<br><br>a. set out options for a review of pre-court engagement with tenants with a view to adopting best practice in encouraging tenants to engage early and constructively with the council when arrears problems first emerge.<br><br>b. Recognising that the council is the custodian of the HRA for tenants, the report should reflect the views of tenants and tenants' representative organisations and therefore asks officers to consult with tenants representatives about any additional measures that could be put in place to avoid court proceedings<br><br>c. Recognising further that the biggest risk of homelessness is to tenants in the private rented sector, as the pre-legal requirements in | Executive Director of Place | | | |

| No | Date | Report Title | Action | Action Owner | Expected completion date | Actual completion date | Comments |
|---|---|---|---|---|---|---|---|
| | | | place for social landlords requiring every action be taken to assist with rent arrears are not in place in the private rented sector. Therefore requests the report includes the most up to date data on evictions across all tenures, and steps the council is taking to support tenants in the PRS to prevent homelessness. | | | | |

Page 40

| No | Date | Report Title | Action | Action Owner | Expected completion date | Actual completion date | Comments |
|---|---|---|---|---|---|---|---|
| 12 | 25.06.21 | Place Based Investment Programme – 2021/22 Allocations | 1) Agrees that should any project allocated money from the Place Based Investment Programme later be judged by officers to be unlikely to achieve the deadline set out at paragraph 4.6, or should any project be double funded due to other grant applications being successful, the money in question shall be reallocated by the Executive Director of Place in consultation with the Convener and Vice Convener of Housing, Homelessness and Fair Work Committee. Agrees that if such a reallocation is necessary the next Housing, Homeless and Fair Work Committee business bulletin will explain why it was necessary and why the money released was reallocated as it was. | Executive Director of Place | September 2021 | | **Recommended for Closure** – in the Business Bulletin |

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| No | Date | Report Title | Action | Action Owner | Expected completion date | Actual completion date | Comments |
|----|------|--------------|--------|--------------|--------------------------|------------------------|----------|
| | | | 2) To agree to a Business Bulletin update in September providing the priorities and process of the PBIF for members to consider. | Executive Director of Place | September 2021 | | **Recommended for Closure** – in the Business Bulletin |

# Business Bulletin

## Housing, Homelessness and Fair Work Committee

**10.00am, Thursday, 2 September 2021**

·EDINBVRGH·
THE CITY OF EDINBURGH COUNCIL

# Housing, Homelessness and Fair Work Committee

| Convener: | Members: | Contact: |
|---|---|---|
| Convener<br>Councillor Kate Campbell<br><br><br><br>Vice Convener<br>Councillor Mandy Watt<br><br> | • Cllr Susan Rae<br>• Cllr Jim Campbell<br>• Cllr Graham Hutchison<br>• Cllr David Key<br>• Cllr Kevin Lang<br>• Cllr John McLellan<br>• Cllr Alex Staniforth<br>• Cllr Gordon Munro<br>• Cllr Norman Work | Jamie Macrae<br>Committee Officer<br>Tel: 0131 553 8242<br><br>Sarah Stirling<br>Assistant Committee Officer<br>Tel: 0131 529 3009 |

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| Recent News | Background |
|---|---|
| **<u>Western Villages – Planning Approval</u>**<br><br>On [Wednesday 23 June 2021](#) , Development Management Sub Committee granted planning permission for Western Villages.  The site is planned to be the first phase of Council led regeneration within Granton Waterfront and will deliver 444 new high-quality homes for social (195), Midmarket (62), Market (63) rent, and for sale (124).  Alongside new homes, the development will create high-quality public realm and green space.  The homes will be net zero carbon with all heat and hot water coming from renewable sources generated locally on the site through a communal air source heat pump farm.  The building fabric of the homes will be enhanced with 'Passiv' principles to ensure the demand for space heating is low.<br><br>A place-based approach has been adopted in the design of the site.  Streets are people focussed connecting to a central, semi-wild green space with natural play areas, biodiverse planting, and amenity space creating a strong identity and a shared asset for the community to enjoy while boosting health and well-being.<br><br>A new active travel network from Pennywell Roundabout to the promenade will also be delivered alongside the development.  This provides a sustainable and healthy connection between the new homes and existing neighbourhoods, amenities and the shoreline.<br><br>The stage 1 building warrant has also been approved and construction works are expected to commence in Spring 2022. | **<u>Contact:</u>**<br>[sat.patel@edinburgh.gov.uk](mailto:sat.patel@edinburgh.gov.uk)<br>0131 469 3185 |
| **<u>LAR Housing Trust: refurbishment of homes at Niddrie Mains Terrace</u>**<br><br>LAR Housing Trust has completed the refurbishment of a housing block at 65 Niddrie Mains Terrace which was formally used by the Council as a Day Service Hub. Finance and Resources Committee approved the disposal of 65 Niddrie Mains Terrace to LAR Housing Trust (LAR) on 5 March 2020.  The property was vacated  by the Council several years ago and required | **<u>Contact:</u>**<br>[elaine.scott@edinburgh.gov.uk](mailto:elaine.scott@edinburgh.gov.uk)<br>0131 529 2277 |

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| Recent News | Background |
|---|---|
| complete renovation to bring it back into use.  Working with officers in Housing and the Edinburgh Health and Social Care Partnership (EHSCP), the opportunity for the purchase of the property was identified to help provide much needed accommodation for adults with learning disabilities and autism.<br><br>The completed homes will be leased to the EHSCP to provide homes for those with specialist housing needs.  The tenants, three of whom are relocating from hospital settings, have already been selected by the EHSCP and the flats will also include accommodation for carers.<br><br>The extensive refurbishment included new wiring, new plumbing, new windows and new utilities, as well as, new kitchens and bathrooms.  Externally it included re-harling, removing chimneys, significant landscaping and some further work on the roof.<br><br>The project has been welcomed by the EHSCP as a lack of suitably robust and accessible housing can lead to people living in inappropriate placements away from their local communities or living in hospital. | 4 |
| **Discretionary Fund**<br><br>As noted in previous Business Bulletins for Housing, Homelessness and Fair Work Committee, additional funding was allocated to the Discretionary fund nationally and as a result Edinburgh's allocation increased by £10,066,139.  This additional funding has been used to 'top up' recipients of the initial grants from £2,000 to £4,000 and criteria was relaxed to consider overall impact of Covid-19 restrictions rather than just those introduced since October 2020.  Additional funding was also awarded to businesses with employees, to encourage staff retention, and a top up payment of £1,000 was made to all recipients of the Taxi and Private Hire Driver Support Fund.<br><br>After running two rounds for general applications and making the top-up payment to the Taxi and Private Hire | **Contact:**<br><br>Elin.williamson@edinburgh.gov.uk<br>0131 469 2801 |

| Recent News | Background |
|---|---|
| Driver Support Fund recipients, a total of 5,829 payments have been awarded:<br><br>&bull; 2,314 general applications received;<br><br>&bull; 1,422 applications approved and paid;<br><br>&bull; 891 applications rejected (primarily due to being eligible for other funding or not providing enough evidence of financial impact);<br>&bull; One application withdrawn; and<br>&bull; 4,407 taxi and private hire drivers.<br><br>Payments have been made to a total of £11,709,000, leaving a balance of £1,153,289, as at 23/7 2021. Following discussions with Federation of Small Business, Edinburgh Chamber of Commerce, Social Enterprise Edinburgh as well as other city Councils, neighbouring Councils and Scottish Government, phase three was launched on Monday 9 August 2021. This includes the following elements:<br><br>&bull; Top up payment of £1,500 for previous travel agent and tour guide recipients of the Discretionary Fund in respect of the ongoing challenges impacting these sectors;<br><br>&bull; Allocation of £150,000 towards Creative Edinburgh re-opening their Practice Support Fund for creative freelancers;<br><br>&bull; Allocation of £100,000 for a Traders Association and Business Engagement Fund for constituted groups to apply for up to £10,000 for the purposes of projects relating to improving trading conditions related to the impact of Covid-19 restrictions; and<br><br>&bull; Invitation to the previous recipients of the Discretionary Fund award who have not been able to access subsequent funding to apply for a final top up payment provided they are able to demonstrate continuing impact due to Covid-19 restrictions. Final award amount will be determined once application window is closed and volume of applicants assessed. | 5 |

| Recent News | Background |
|---|---|

**Forever Edinburgh update**

In April 2021, The Official Guide to Edinburgh and its associated social media channels rebranded to Forever Edinburgh (FE) to coincide with a new consumer campaign, driven by the Council in partnership with Edinburgh Tourism Action Group (ETAG), VisitScotland, Edinburgh Airport and other stakeholders. The campaign's primary aim is to raise awareness of Edinburgh as a visitor destination among the domestic visitor market and support recovery efforts.

To fund this activity, FE secured £45,000 from VisitScotland's Market Readiness fund and a further £85,000 from the Regional Recovery Fund made available from Scottish Government.

The creative proposition Story Never Ends focuses on Edinburgh's unique history and enduring spirit by telling fascinating stories to inspire visits. The campaign is geo-targeting domestic overnight visitors in key English and Scottish cities on social media, Google, YouTube, and retargeting on popular bookings sites like Trainline.com.

The campaign is organised into six summer themes with video and website content. Over 100 new photographs have been produced, which is also available in a toolkit for local businesses and travel trade to use in their own promotional activity.

To support regional recovery efforts, a new City+ section has been created on edinburgh.org with freshly written regional content. The goal is to increase visitor dwell time in Edinburgh by providing more reasons for visitors to stay longer but also to disperse visitors from Edinburgh to the regions. Furthermore, the recently updated press pack now features regional content so journalists and social influencers can support FE in its regional recovery efforts.

The campaign has been very popular with increasing support from industry using #ForeverEdinburgh and huge support from tourism businesses to enable press trips with complimentary accommodation, hospitality and

**Contact:**

Elin.williamson@edinburgh.gov.uk
0131 469 2801

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| Recent News | Background |
|---|---|
| experiences in return for exposure.  As at 23 July 2021, the campaign has had:<br><br>- 27,000 video views + more on social and partner channels<br>    - [Folklore and Myth](#)<br>    - [Shores and Waterways](#)<br>    - [Outdoor Adventure;](#)<br>- 3.4 million reached on paid social media + significantly more on organic;<br>- 7,800 hashtag uses on Instagram; and<br>- 61,000 website page views.<br><br>Going forward, three new summer videos will go live from the start of August until October and a new funding application has been submitted to in partnership with ETAG to VisitScotland.  If the application is successful, the Story Never Ends campaign will be extended into winter and run from October–March with fresh winter themes.<br><br>Finally, a new travel trade section on edinburgh.org is under development and will support the city in its sustainable recovery from the pandemic. | 7 |
| **Edinburgh Project SEARCH**<br><br>As previously reported to Committee, the 2020/21 Edinburgh Project SEARCH (EPS) delivery was severely impacted by the Covid-19 pandemic.  12 young people completed the SQA Employability Award at Edinburgh College with support from Into Work, NHS Lothian and Council staff.  However, due to the restrictions that were in place, they were unable to complete placements which are an integral part of the programme.<br><br>Due to the experience in 2020/21 and advice from senior management in NHS around the uncertainty of future delivery of activity due to Covid-19, the steering group for EPS, consisting of representatives from Edinburgh College, NHS Lothian, Into Work and Council officers, have agreed that the 2021/22 programme will | **Contact:**<br><br>[Elin.williamson@edinburgh.gov.uk](mailto:Elin.williamson@edinburgh.gov.uk)<br>0131 469 2801 |

| Recent News | Background |
|---|---|
| be put on hold and not start in August 2021. There is a potential to look at a January start, however this will be discussed by the Steering Group in September. | |
| In recognition that a number of young people have had the academic experience associated with EPS, but not the work experience element, discussion has taken place around the Council's ability to offer supported work placements under the Young Person's Guarantee programme to these young people. Officers are confident that there are a number of placement offers that would be suitable for young people with a disability or long term health condition available within Council departments. They are currently investigating whether it would be possible to offer six month funded placements to compliment the prior learning that the young people have completed. | |
| The young people would be supported in placements by the Council's Job Coach, who would ensure that necessary adjustments, support for the department mentors and daily contact with the young people was available. This would go some way to providing a similar experience to the original EPS programme and would help prepare the young people to move into future employment opportunities. | |
| The decision to not start the programme in August will allow time to consider the impact of the further lifting of restrictions, plan for future delivery of EPS, carry out recruitment of the additional Job Coach and work towards either a January start or an expanded programme in 2022/23. | |
| **Automatic Opening Vents (AOV) Repairs** | **Contact:** |
| On 3 June 2021, Committee received a deputation from the Moredun Residents Association and agreed to receive an update in this Bulletin on the installation of AOVs in the six Moredun Tower Blocks. | graeme.reid@edinburgh.gov.uk |
| | 0131 529 5904 |
| The AOVs within the blocks are designed to disperse smoke in the event of a fire. There are different types of AOVs in place, at present, which are due to be replaced. Works have been tendered on a number of occasions | |

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| Recent News | Background |
|---|---|
| but, unfortunately, none of the contractors returned a tender.<br><br>The specification has now been revised and a tender was published on Public Contract Scotland on 26 July 2021 with an anticipated return date of 20 August. It is anticipated that the replacement of AOVs will start in the autumn with a planned completion by the end of the year. | |
| **Affordable Housing: Resource Planning Assumptions**<br><br>Resource Planning Assumptions have been announced by Scottish Government for the Affordable Housing Supply Programme; the national programme of grant funding for affordable housing. In Edinburgh this funding is managed by the City of Edinburgh Council.<br><br>For the period 2016/17 to 2020/21, Scottish Government allocated £190 million for Edinburgh and, due to robust performance in delivering affordable housing and a strong pipeline, a further £40 million was secured. This new announcement commits almost £234 million for affordable housing in Edinburgh from 2021/22 to 2025/26. This is an increase of £44 million, roughly 23% more than the funding committed over the last five years.<br><br>The financial certainty this announcement gives will help the Council and our Registered Social Landlord (RSL) partners to forward plan, acquire sites and secure much needed affordable homes. | **Contact:**<br>elaine.scott@edinburgh.gov.uk<br>0131 529 2277 |
| **Scottish Home Awards Finalists**<br><br>The Council's Development and Regeneration Team within the Place Directorate have been shortlisted in the 'Social Housing Developer of the Year' category which recognises achievements in the delivery of new-build affordable homes in Scotland. The other organisations shortlisted for this award are Caledonia Housing Association and Eildon Housing Association.<br><br>Our Craigmillar Town Centre development has also been shortlisted for the following categories – | **Contact:**<br>tricia.hill@edinburgh.gov.uk<br>0131 529 3954 |

| Recent News | Background |
|---|---|
| 'Affordable Housing Development of the Year' and 'Housing Regeneration Project of the Year'. Both of these are nominations for the Council in partnership with CCG (Scotland) [the housebuilder] and Anderson Bell Christie [the architects/designers]. Craigmillar Town Centre is the latest phase of housing-led regeneration delivered by the Council and comprises 194 high-quality, energy efficient, affordable homes for rent by the Council and Edinburgh Living.<br><br>The judging panel assessed more than 130 entries across 18 categories, received from 70 organisations across Scotland. Winners will be revealed at an awards dinner at the DoubleTree by Hilton hotel in Glasgow on Thursday, 16 September 2021. | |
| **Place Based Investment Programme (2021/22)**<br><br>On 25 June 2021, the Housing, Homelessness and Fair Work Committee agreed the following allocations of the Place Based Investment Programme for 2021/22.<br><br><ul><li>The Causey: £266,000;</li><li>Craigmillar – 'Meanwhile' site: £60,000;</li><li>Gracemount civic square: £150,000;</li><li>Green Bridge, Balerno: £66,000;</li><li>MacMillan Hub, Pennywell: £250,000;</li><li>Northfield: £230,000;</li><li>Portobello Town Hall: £350,000;</li><li>Rejuvenating Roseburn: £110,000;</li><li>Roseburn Park toilet block conversion: £66,000;</li><li>St. Oswald's Centre: £350,000; and</li><li>Wester Hailes regeneration: £100,000.</li></ul><br>Since 25 June, work has been ongoing to progress these projects and ensure funding is spent/committed by the end of 2021/22.<br><br>Legal agreements have been signed with Friends of Roseburn Park and Bruntsfield St Oswald's to enable them to draw down funds from the Council to deliver these projects.<br><br>Additional match funding has been identified for the Green Bridge, Balerno project – it is proposed to use the | **Contact:**<br><br>david.cooper@edinburgh.gov.uk<br><br>0131 529 6233 |

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| Recent News | Background |
| --- | --- |
| surplus this will create to enhance paths adjacent to the bridge. | 11 |

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# Housing, Homelessness and Fair Work Committee

**10.00am, Thursday, 2 September 2021**

# Young Person's Guarantee Delivery

| | |
|---|---|
| **Executive/routine** | Executive |
| **Wards** | All |
| **Council Commitments** | 7 and 31 |

## 1. Recommendations

1.1 It is recommended that Committee:

1.1.1 Notes the funding which has been allocated by the Scottish Government for delivery of the Young Person's Guarantee ambition in Edinburgh in the financial year 2021/22;

1.1.2 Notes the priority groups and gaps in provision identified;

1.1.3 Approves the recommendations of the Local Employability Partnership (LEP) to allocate funding to the activities set out in paragraph 4.9; and

1.1.4 Approves the use of a small grants process, as set out in paragraphs 4.10 – 4.12, and agrees to delegate authority to the Executive Director of Place in consultation with the Convener and Vice Convener of Housing, Homelessness and Fair Work for the award of grants under this programme.

**Paul Lawrence**

Executive Director of Place

Contact: Elin Williamson, Senior Manager, Business Growth and Inclusion

E-mail: elin.williamson@edinburgh.gov.uk | Tel: 0751 348 4817

# Report

# Young Person's Guarantee Delivery

## 2.    Executive Summary

2.1    Edinburgh has been awarded funding totalling £4.80m for financial years 2020/21 and 2021/22 from the Scottish Government for delivery of the Young Person's Guarantee (YPG) ambition. This report sets out how the funding for 2020/21 was used and makes recommendations on how the funding for 2021/22 could be utilised.

## 3.    Background

3.1    In response to the report by the Advisory Group on Economic Recovery which highlighted the impact of the Covid-19 pandemic on the opportunities and life chances of young people, Sandy Begbie was tasked by Scottish Government to lead on the development of a YPG. Based on the well-established Edinburgh Guarantee, the ambition of the plan is to ensure that over the next two years, all sectors work together to guarantee that young people aged 16 – 24 have the opportunity to access work, education or training.

3.2    In November 2020, the City of Edinburgh Council was awarded £1.9m for YPG which had to be spent before the end of March 2021. Only committed staffing and client costs were permitted to be carried forward.

3.3    The Scottish Government recommends that all commitments and expenditure for the YPG should be approved through Local Employability Partnerships (LEP) which exist in each local authority area.

3.4    In Edinburgh, the LEP comprises senior officers from: Skills Development Scotland (SDS); Department for Work and Pensions; Edinburgh Chamber of Commerce; NHS Lothian; local colleges and universities; Edinburgh Voluntary Organisation's Council (EVOC); and the Council. The LEP also has a sub-group which focusses specifically on youth employment, the Youth Employability Partnership (YEP).

3.5    In 2020/21 the allocation of £1.9m was committed to supporting:

3.5.1    A YPG delivery team – a manager and four officers employed by Capital City Partnership (CCP) to co-ordinate activity and link with existing providers;

3.5.2    Employer Recruitment Incentive (ERI) funding places for young people;

3.5.3 Kickstart extension funding – 60 places to encourage small and medium sized enterprises to continue to offer a placement to a young person for an additional six months after the initial Kickstart funding;

3.5.4 Fully funded work placements in public and third sector organisations – 40 in Council departments and 40 in external organisations; and

3.5.5 Additional capacity in the existing Activity Agreement Hubs to support extra referrals and offer further mental health support.

## 4. Main report

4.1 In June 2021, the Council received a funding award of £2.9m for delivery of YPG in the current financial year. Scottish Government have advised all expenditure must be used by 31 March 2022, with only committed ERIs being permitted to be carried forward into next financial year (2022/23).

**Employer Recruitment Incentives (ERIs)**

4.2 ERIs are currently paid out in line with the National ERI Framework which was agreed between the Scottish Government and all 32 Local Authorities, on a sliding scale based on whether work is part time or full time and whether it is at National Minimum Wage (NMW) or Real Living Wage (RLW) level. Employers are always encouraged to pay RLW by the end of the ERI.

4.3 As at end July, there were 25 ERIs for young people (under 25) which had commenced since April. 24 were for Modern Apprenticeships and all except one are paid at NMW. The remaining one position is paid at RLW.

4.4 In line with the Council's undertaking for Edinburgh to become a Real Living Wage City, officers will investigate what the impact would be of only providing ERIs to employers paying the RLW.

**Young Person's Guarantee Priority Groups and Targeted Provision**

4.5 The YEP reviewed the existing YPG provision against the new priorities, and suggested the priority groups for additional YPG support in Edinburgh should be:

4.5.1 Care experienced young people;

4.5.2 Young people with a disability or long-term health condition;

4.5.3 Young people from Black Asian and Minority Ethnic backgrounds;

4.5.4 Young people who have been involved with the criminal justice system; and

4.5.5 Young people who identify as Lesbian Gay Bisexual Trans Queer +.

4.6 The review also suggests that additional investment is required around:

4.6.1 Mental health support;

4.6.2 Support for those with additional barriers and who are aged 20+ and post college/university;

4.6.3 Mentoring support for vulnerable young people; and

4.6.4 Creation of additional supported, paid placements/internships.

4.7 In addition, mapping of the current employability landscape by the YPG team, has identified that there are gaps in provision at stages 2 and 5 of the strategic skills pipeline (the pipeline is shown in Appendix 1), with a requirement for more support to assess and remove barriers to employment and to provide in-work support for young people with barriers who have progressed into employment.

4.8 The approach recommended below seeks to align activities with the YPG eligibility criteria and to provide support across the whole employability pipeline, with targeted support at stages 2 and 5 to recognise the identified gaps in provision.  The approach will also seek to target the priority groups (identified in paragraph 4.5 above) as well as delivering support in Scottish Index of Multiple Deprivation areas 1 and 2.

4.9 The LEP has recommended approval of the following projects for funding from the YPG allocation in 2021/22.  These have been agreed in principle by the Scottish Government as aligning with the programme priorities.

| Proposed | Target Groups/ Pipeline Stage | AMOUNT | DELIVERY YEAR/S |
|---|---|---|---|
| Dedicated Youth Business Gateway officer | All eligible young people with focus on priority groups/ stage 5 | £50,000 | 2021 – 2022 |
| 2 x YPG funding assistants | Priority groups/ stage 5 | £80,000 | 2021 – 2022 |
| 2 x Supported Employment Job Coaches | Long term health condition or disability/ stages 3/4/5 | £80,000 | 2021 – 2022 |
| Council management costs | | £50,000 | 2021 – 2022 |
| NHS Care Experience academy | Care experienced young people / stages 3/4 | £250,000 | 2021 – 2022 |
| Creative Arts - Film and Television Programme | All eligible young people with focus on priority groups/ stages 3/4 | £250,000 | 2021 – 2022 |
| Marketing to young people and employers | All eligible young people with focus on priority groups/ all stages | £60,000 | 2021 – 2022 |
| TOTAL | | £820,000 | |

4.10 Due to the requirement for all activity to be delivered by the end of this financial year, it is recommended that a small grants programme also be established to target providing additional programmes at stage 2 of the pipeline (such as additional mental health support, barrier removal and early skills training), as well as at stage 5 (for in work support/mentoring as young people progress into employment).

4.11    It is envisaged that grants will be distributed to organisations working across the city, but that priority will be given to organisations delivering support in Scottish Index of Multiple Deprivation areas 1 and 2.

4.12    It is recommended that this small grants' programme be promoted through Joined up For Jobs, EVOC and other networks.  Once received, the grant applications would be evaluated by the LEP.  It is requested that delegated authority is given to the Executive Director of Place, in consultation with the Convener and Vice Convener of Housing, Homelessness and Fair Work, to approve the award of grant funding based on the evaluation provided by the LEP.

4.13    Current referral routes, such as from schools, SDS, youth providers, Activity Agreement Hubs, the Council's throughcare and aftercare team and third sector partners will also be further developed, with additional links being made with Jobcentre staff, Edinburgh College and other relevant organisations to ensure that every young person who requires assistance is aware of the service.

4.14    A marketing plan is being developed and will aim to use a wide variety of media (including radio, social media, public transport and other locally based venues) to promote the Edinburgh Guarantee as the single point of contact for onward referral.


## 5.    Next Steps

5.1     If Committee approves the recommendations in this report:

5.1.1    Processes will be set up for distribution and monitoring of funding to providers and individual employers and systems will be put in place to undertake and record quarterly reviews of participants to develop progression routes;

5.1.2    Funding will be awarded to the activities set out in paragraph 4.9;

5.1.3    The small grants process will be established and, once evaluated by the LEP, the award of funding will be agreed by the Executive Director of Place in consultation with the Convener and Vice Convener of Housing, Homelessness and Fair Work; and

5.1.4    Officers will continue to engage with recognised referral routes, will develop additional links with relevant organisations and will implement a marketing plan (as set out in paragraphs 4.13 and 4.14 above).

5.2     Noting the information provided on the ERI, officers intend to carry out an analysis of the impact of only providing ERIs to employers paying the RLW.

## 6.    Financial impact

6.1     The funding awarded (£2.9m) will fully cover all proposed activity and provision delivered under the terms of the funding agreements. It will also offset the costs of officers' time for managerial and administration costs.

6.2 The initial projects recommended for approval are listed in paragraph 4.9.

6.3 Although many of the above activities focus on later stages of the pipeline, they cover progression through pipeline stages and can be supported beyond the terms of the YPG funding through existing services to ensure that the service is holistic and not time limited.

6.4 As a large part of funding from this year's allocation remains unspent, in addition to the small grants approach proposed above, discussions with partners and consideration of expansion of current services will continue.

6.5 The Council's existing services have not yet reached capacity and are able to respond to the current demand. However, with furlough coming to an end shortly, the availability of the YPG funding will allow the Council and partners to respond at very short notice to add additional capacity or new services to the programme, in line with the priority areas identified, if required.

## 7. Stakeholder/Community Impact

7.1 This funding is specifically in response to young people who have been affected by the Covid-19 pandemic by having their employment or life chances affected.

7.2 An integrated impact assessment is being prepared and evidences that impacts arising from the Council's approach to administering these funds are expected to be:

7.2.1 Young people with additional barriers to employment are supported to remain economically active and build skills for future careers;

7.2.2 Delivery of a more streamlined and integrated offer of employability services with a no wrong door approach for anyone who accesses the service; and

7.2.3 SMEs are supported to offer sustainable fair work opportunities to young people.

7.3 Working with partners will ensure that there is support in place and options and opportunities to stop individuals becoming economically inactive over the next couple of years, to allow time for the economy to recover.

7.4 The longer-term future of these individuals should be less impacted as they build confidence, skills and qualification for the future.  This will also reduce the future burden on services such as criminal justice, social work, health, benefits system and other statutory services.

7.5 Through the currently suggested activities, it is likely that this funding will offer support to approximately 800 individuals across the city, through 1-2-1 support and guidance, paid work placements, part funded employment opportunities and extended kickstart opportunities.  Additional benefit will be seen in the strengthening of the city's strategic skills pipeline and better partnership working.

7.6 All participants must meet the eligibility criteria laid out by Scottish Government for access to YPG funding and will have at least one barrier to securing and sustaining

training or employment identified.  All participants will be recorded on our Client Management System, Caselink, and will be reported on through SG reporting mechanisms quarterly.

7.7    All key stakeholders have had input into aligning priorities, many of whom have received additional funding from Scottish Government to take forward their own priorities.

## 8.    Background reading/external references

8.1    [Protecting Scotland, Renewing Scotland – The Government's Programme for Scotland 2020 – 2021.](#)

8.2    [Youth Guarantee – No one left behind – initial report](#)

8.3    Scottish Government Funding for Employability Support - Housing, Homelessness and Fair Work Committee on [14 January 2021](#)

## 9.    Appendices

9.1    Appendix 1 - The Strategic Skills Pipeline.

**JOINED UP FOR JOBS** — Edinburgh's Jobs Strategy

# Edinburgh's Strategic Skills Pipeline (Updated January 2021)

**Referral Routes**

**Schools and Community**

**Specialist Agencies**

**Client Self-Referral**

**Stage 1: referral, engagement and assessment**
Outreach, supporting people into regular activity and positive routines

**Stage 2 – needs assessment and barrier removal**
Assessment of clients needs, addressing barriers to employment/training

**Stage 3 – vocational activity**
Delivering accredited training, employability training and job search advice

**Stage 4 – employer engagement and job matching**
Arranging work or volunteer placements, matching job-ready clients to jobs

**Stage 5 – in-work support and aftercare**
Supporting individuals to maintain and progress within the workplace

**NEST Third Party Grants (Stage 1-5):** People requiring specific barrier removal or with niche needs. **771** places per annum.

**Parental Employability Support Fund (Stage 1-5):** Scottish Government funded employability initiatives to support parents into and to progress in employment. **404** places.

**NOLB Activity Agreements (Stage 1):** Young people leaving school without a positive destination. **200** places per annum.

**Edinburgh Guarantee & Joined up for Business (Stage 4-5):** Collaboration with Employers and developers to unlock opportunities and supports for job seekers (Inc. Community Benefit delivery support and Recruitment Centres).

**YEAP (Stage 1-5):** captures city-wide services for supporting young people, with **729** places per annum outside of the NEST Third-Party Grants and Employability Fund.

**Intensive Family Support (Stage 1):** Targeted poverty and social inclusion support for low income families. **45** Edinburgh individuals supported.

**"Data Innovation" and "Construction" Skills Gateways (Stage 2-5):** Sector focused career enabling and development programmes. 20,000 opportunities over an 8 year period with **c. 2000** training places to be offered per annum.

**Integrated Employer Engagement (Stage 4-5):** Collaboration between regional partners to maximise the benefits from employer relationships. C19 Jobs portal with over **1,700** registered users

**EnCompass (Stage 1-4):** People with a history of substance misuse, criminal justice and homeless. **240** places per annum.

**Maximise! (Stage 1):** Supports attainment and well-being of children and their families by offering holistic support and advice on a range of issue. **440** individuals supported.

**All in Edinburgh (Stage 2-5):** Those with a disability (including mental health) or long-term health condition, with focus on work progression under Supported Employment framework. (supported by European Social Fund). **500** places per annum

**SDS Employability Fund (Stage 2-4):** Support to develop skills and confidence. **480** places per annum.

**Modern and Graduate Apprenticeships (Stage 5):** 1250 MA starts per annum.

**Sector Based Work Academies (SWAP) (Stage 4):** Early Years and Health **12** places and Public Sector **12** places.

**Start Scotland (Stage 2-5):** Long-term unemployed to remove barriers to employment. **897** places per annum. In-work support limited to those they secured jobs for from earlier pipeline stages.

**Edinburgh Project SEARCH (Stage 3):** Council/NHS work experience for young people with a disability. **26** places per annum.

**EERI (Stage 4):** Unemployed individuals people with the greatest barriers to employment, **30** places per annum.

**Modern Apprenticeships (Stage 5):** Development roles in various Council disciplines. **100** places per annum.

**CEC Direct Delivered Provision: 156 places**

**ESES City Region Deal Activity: 3745 places**

**CEC Funded Externally Delivered Provision: 3865 places**

**Other Funded Provision: 3380 places**

**ETIES NEXT STEP (stage 4-5):** Short-term unemployed, those facing redundancy, and those requiring in-work support, focusing on regeneration areas. **1100** places per annum (supported by European Social Fund).

**Social Childcare (Stage 4-5):** Provides childcare options where private providers are limited/don't exist, with a focus on regeneration areas. **210** new families per annum.

# Housing, Homelessness and Fair Work Committee

**10.00am, Thursday, 2 September 2021**

# Network of Employability Support and Training

| | |
|---|---|
| **Executive/routine** | Routine |
| **Wards** | All |
| **Council Commitments** | 7, 31 |

## 1. Recommendations

1.1 It is recommended that Housing Homelessness and Fair Work Committee:

1.1.1 Note the co-production exercise and review undertaken in order to update, develop and realign the specification for the Network of Employability Support and Training (NEST) in Edinburgh to include No One Left Behind Phase 2 (NOLB2) provision;

1.1.2 Approve the specification set out in paragraphs 4.2 and 4.3 for the future NEST provision;

1.1.3 Approve that future NEST provision will consist of two elements, as set out in paragraph 4.5;

1.1.4 Note that recommendations for funding from the proposed NEST small grants programme will be reported to Committee following completion of the grants commissioning process; and

1.1.5 Approve, in principle, the direct award of funding to Capital City Partnership (CCP) for the vocational training programme. The funding allocation for this will be confirmed once the NOLB2 funding allocation for Edinburgh is known.

**Paul Lawrence**

Executive Director of Place

Contact: Elin Williamson, Business Growth and Inclusion Senior Manager

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# Report

# Network of Employability Support and Training

## 2. Executive Summary

2.1 This report seeks approval to commission a replacement Network of Employability Support and Training (NEST) that will complement Edinburgh's current employability services and provide person-centred support for each of the individual target groups. Funding will focus on:

2.1.1 A third party grants programme for specialist employability providers to offer innovative solutions to gaps in employability provision in Edinburgh for specific target groups; and

2.1.2 Employability and vocational training to complement current employability support provision. This will offer upskilling and progression opportunities for both those seeking employment and those in employment but facing insecure work or in-work poverty.

## 3. Background

3.1 The No One Left Behind (NOLB) approach is intended to provide a more aligned approach to national and local employability provision in Scotland.

3.2 The first phase of NOLB was put in place in 2019 and funds Youth Employability Hubs and recruitment incentives for employers to create jobs for those with barriers to employment.

3.3 NOLB Phase 2 (NOLB2) involves the ending of two National Training Programmes (Employability Fund and Community Jobs Scotland) on 31 March 2022, with funding being transferred to local authorities for local employability delivery.

3.4 The Council funds third party employability services via grants, under the banner of NEST, supporting Edinburgh citizens to access and progress along the Employability Strategic Skills Pipeline with the goal of securing and sustaining training and employment. Currently, funding of £865,604 is allocated across 17 grants and is managed by Capital City Partnership (CCP). These are due to end on 31 March 2022.

## 4. Main report

4.1 As reported to Committee on 3 June 2021, a joint coproduction exercise has been undertaken for both NEST and NOLB2 implementation. This has engaged with users, beneficiaries and other stakeholders to ensure that services funded in the future are fit for purpose, aligned to the requirements of both programmes, utilising current good practice, preventing duplication and identifying savings that can be made from the combining of both funding streams. This has also taken into consideration other recent employability coproduction for the commissioning of the new Edinburgh Blended Employability Services Contracts, as reported to Committee on 14 January 2021.

4.2 The co-production exercise found that:

4.2.1 The NEST should continue to offer support for those at all five stages of the employability pipeline;

4.2.2 The NEST and employability programmes should be aligned with occupational growth sectors where there are workforce gaps;

4.2.3 Services provided should follow the NOLB ethos and offer holistic, person centred and targeted employability services locally;

4.2.4 Specific target groups that may need additional support from employability services, and especially in the earlier stages of the employability pipeline, include care experienced individuals, young parents, young carers, disabled people, members of the Black, Asian and Minority Ethnic community, those aged 50+, school leavers and those requiring mental health support; and

4.2.5 Consideration needs to be given to continued access to benefits, Education Maintenance Allowance or a training allowance for those participating in the employability programmes.

4.3 In addition, the following points were noted:

4.3.1 There is a continued need for vocational training programmes to complement existing employability delivery and support upskilling. This would ensure there are no gaps in provision following the ending of the Employability Fund programme in March 2022;

4.3.2 Funding to support job creation in the voluntary sector, currently offered through Community Jobs Scotland, can be met through additional funding that is being provided from the Scottish Government for Employer Recruitment Incentives and the work being carried out by Edinburgh Guarantee; and

4.3.3 There is still a need for a grants programme so that smaller specialist employability providers can offer innovative programmes that may not be delivered as part of the specifications of a training framework or core employability services delivered in Edinburgh.

4.4 Implementing the above will deliver the following outcomes:

4.4.1 Enhanced employability services that complement national provision and minimise duplication of other local employability provision;

4.4.2 Training opportunities that would provide progression for those seeking employment or in insecure work and offer routes into sustainable careers;

4.4.3 Innovative employability programmes that are responsive to local needs and specific target groups and meet identified gaps in generic employability services being offered; and

4.4.4 A focus on fair work, specific disadvantaged target groups and reducing inequality so that fewer people will face poverty or inequality.

4.5 It is therefore recommended that the Council brings together future NOLB2 and NEST delivery funding into a single NEST programme with of two elements:

4.5.1 A small grants programme for specialist employability providers, mainly focusing on barrier removal in stages 1-3 in the employability pipeline. It is envisaged that grants will be distributed to organisations working across the city, but that priority will be given to organisations delivering support in Scottish Index of Multiple Deprivation areas 1 and 2; and;

4.5.2 A vocational training programme across all sectors which is focused on addressing skills gaps for those with barriers to employment and providing training in occupational growth sectors where there are (or it is projected there will be) workforce gaps, at stages 4 and 5 in the employability pipeline. It is proposed to directly award this funding to CCP, with strategic oversight for the programme being provided by the Local Employability Partnership (LEP).

4.6 Eligibility criteria will be in place so that the programme is targeted to those with barriers to employment and ensure that priority is given to the target groups identified in 4.1.4 of this report.

4.7 The amount of funding allocated to City of Edinburgh Council for NOLB2 provision is still to be confirmed. However, it is anticipated that funding for the small grants programme will be no less than the current funding available (£865,604) and that the overall future funding will be allocated with the greatest emphasis on the grant programme.

## 5. Next Steps

5.1 If Committee approves the recommendations of this report:

5.1.1 The service specifications for the replacement NEST grants programme and employability training which have been developed based on the criteria set out above will be used for the commissioning of the small grants programme;

5.1.2 This grants commissioning process will commence immediately. A further report will be presented to Committee on the outcome of this process. It is anticipated that this report will come back to Committee in November 2021;

5.1.3 As part of the commissioning process, it is intended to allow applicants to submit draft proposals prior to final submission, in order for the assessors to provide comments and feedback on the strategic fit and appropriateness of the application; and

5.1.4 Officers will liaise with CCP to put the vocational training framework in place, coordinating with existing and new training providers. The Council's Procurement team have offered to support CCP in this process.

5.2 It is expected that the new NEST programme will be in place from 1 April 2022.

## 6. Financial impact

6.1 While the funding allocation for NOLB2 has not yet been confirmed, the principle that this will be allocated to local authorities has been agreed.

6.2 The other costs associated with this programme will be met from the Council's revenue budget currently allocated for employability programmes.

6.3 The final allocation of funding for each element of the NEST programme will only be confirmed once the NOLB2 allocation of funding to City of Edinburgh Council is known. However, it is anticipated that the funding available for the small grants programme will be no less than is currently available (£865,604).

## 7. Stakeholder/Community Impact

7.1 The current services were originally commissioned using a co-production methodology. The review and subsequent procurement and any replacement service specifications required are again being co-produced. This is being undertaken through a fully consultative process that includes and takes account of input from key stakeholders, service providers and service users.

7.2 For the coproduction, a Project Steering Group was established, made up of representatives from the Local Employability Partnership (LEP) including Skills Development Scotland, Department for Work and Pensions, Edinburgh College, Edinburgh Voluntary Organisations Council and City of Edinburgh Council, to oversee the co-production and any subsequent commissioning process. The Coproduction and Procurement plan is set out in Appendix 2.

7.3 Integrated Impact and Data Protection Impact Assessments are being completed to input into service specifications.

## 8. Background reading/external references

8.1 Council Commitments – Delivering an Economy for All

8.2 No One Left Behind: Delivery Plan

## 9. Appendices

9.1 Appendix 1 – Summary of Employability Contracts.
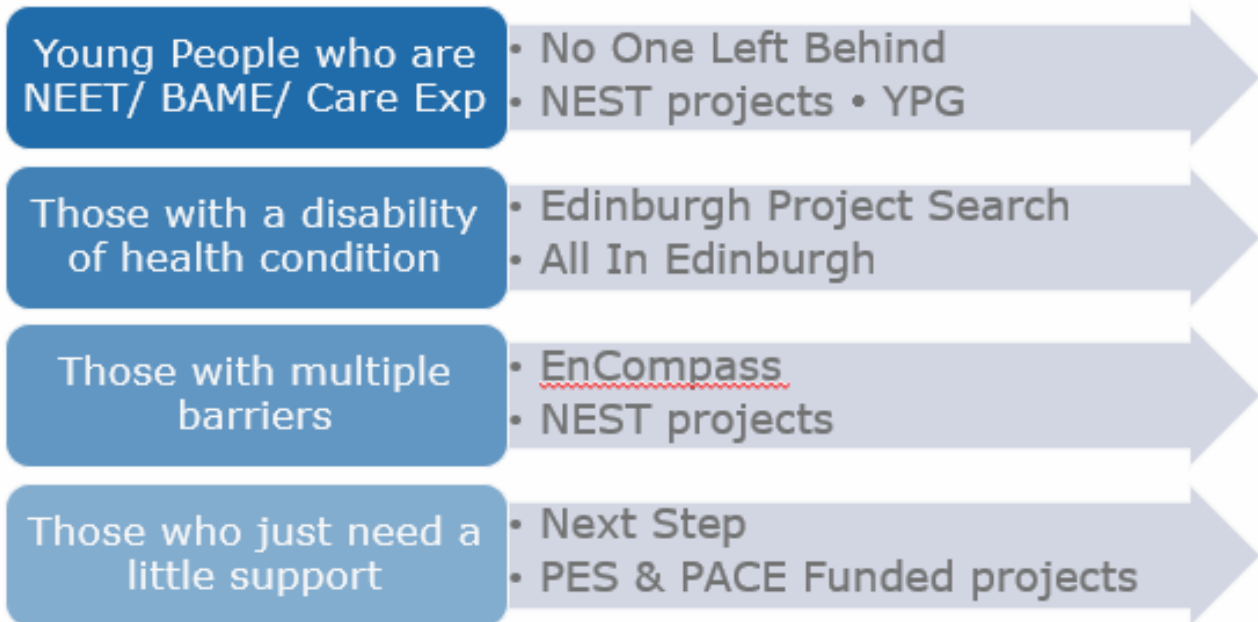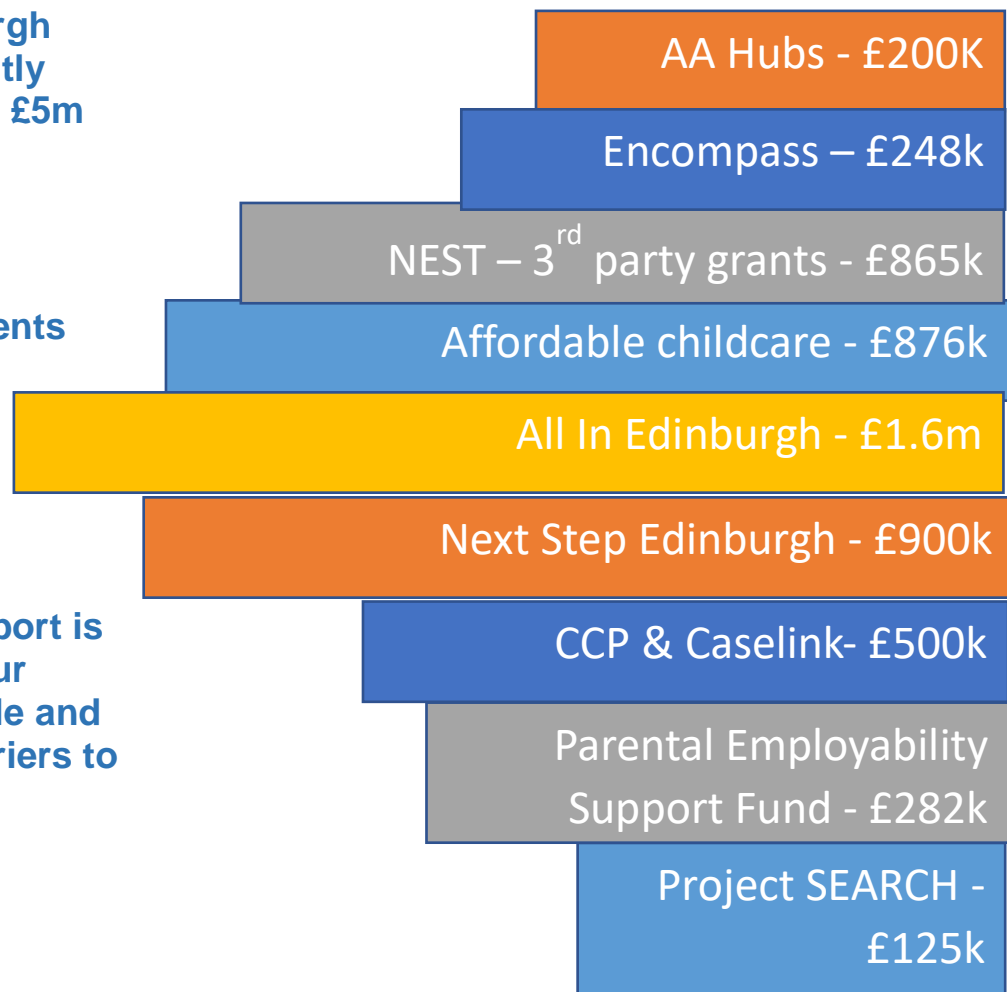
9.2 Appendix 2 – NEST and NOLB 2: Co-production Plan.

**APPENDIX 1 – Summary of Employability Contracts**

**City of Edinburgh Council currently spends almost £5m every year on employability.**

**This complements mainstream provision by DWP and SDS.**

**Specialist support is provided for our most vulnerable and those with barriers to employment.**

AA Hubs - £200K

Encompass – £248k

NEST – 3$^{rd}$ party grants - £865k

Affordable childcare - £876k

All In Edinburgh - £1.6m

Next Step Edinburgh - £900k

CCP & Caselink- £500k

Parental Employability Support Fund - £282k

Project SEARCH - £125k

**Priority Groups**

| | |
|---|---|
| Young People who are NEET/ BAME/ Care Exp | • No One Left Behind<br>• NEST projects • YPG |
| Those with a disability of health condition | • Edinburgh Project Search<br>• All In Edinburgh |
| Those with multiple barriers | • EnCompass<br>• NEST projects |
| Those who just need a little support | • Next Step<br>• PES & PACE Funded projects |

## Employability Services managed in-house

### Edinburgh Guarantee (For All)

Engaging with SMEs, corporate organisations and the public and voluntary sectors, providing free recruitment support to help diversify their workforce. Earlier provision was focused on school leavers/young persons but as a result of Covid-19, this is being expanded to support any person with barriers to employment.

### Edinburgh Project SEARCH

A structured internship and college training programme for young people aged 16-29 with a recognised disability who want to move into employment.

### Modern and Graduate Apprenticeships

Support for young people to move into careers within the Council and partner organisations by managing the Council's Modern and Graduate Apprenticeship agenda.

### No One Left Behind Phase 1 – Activity Agreements

Early engagement and intervention provision for young people who are disengaged from work and training. A model comprising joint casework with partners as well as managing and supporting delivery of one-to-one support and groupwork through third-party contracted Hubs.

### No One Left Behind Phase 1 – Edinburgh Employer Recruitment Incentive

The recruitment incentive aims to support unemployed people with the greatest barriers to employment to find meaningful jobs, including Modern Apprenticeships (MAs). It offers an employer a tiered grant over a period of 52 weeks to employers to take on eligible jobseekers.

### European Social Funding

The European Social Funding programme provides over £1million p.a. in support of employability programmes in Edinburgh, with strict rules around eligibility that must be monitored closely. Funding is added to outsourced services but the overall monitoring and submission to Scottish Government for reclaim is managed in-house.

## Services outsourced

**Encompass (Complex Needs Employability)**

An employability service to assist those with a history of substance misuse, homelessness, offending, psycho-social issues, or complex trauma to move towards employment.

**Next Step (Targeted and Integrated Employability)**

Locally-based outreach facilities across the city, supporting people to move into work or to retain and progress in work.

**All In Edinburgh (Supported Employment)**

A supported employment service to help people with a disability or long-term health condition find a suitable paid job, support them to sustain that job and, when appropriate, progress further. They also assist employers to help them support employees in the workplace.

**Subsidised Childcare for Working Parents**

Subsidised childcare services for parents who want to work but the cost of childcare prevents them from doing so or pushes them into poverty.

**No One Left Behind Phase 1 – Activity Agreements**

Early engagement and intervention provision for young people who are disengaged from work and training. A model comprising joint casework with partners as well as managing and supporting delivery of one-to-one support and groupwork through third-party contracted Hubs.

**Third Party Grants (NEST)**

A programme of niche employability activity to address gaps in provision from other Council contracts and national funding. It supports projects to deliver support for inclusion groups within disadvantaged communities.

**Parental Employability Support Fund**

A grants programme to provide support to address parental job insecurity or unemployment. The aim is to align employability and skills delivery with emerging growth sectors and contribute to the success of the IRES City Region Deal ambitions.

**For our outsourced services, CCP acts as performance managers, ensuring all contracts and grants deliver good value.**

## Edinburgh's Blended Employability Services (EBES)

The Council is currently in the process of commissioning EBES with the new services due to begin on 1 April 2022, subject to Finance and Resources Committee approval in October 2021.

EBES has been developed to complement NEST and other national provision and provide a range of localised options for those who require support.

This has been split into four contract requirements to replace three current employability services provided by Encompass, Next Step and All in Edinburgh:

- **Targeted Employability Service** – an intensive service that upskills unemployed and workless individuals with barriers to employment to help them secure and sustain employment;
- **Supported Employment Service** - a pan-disability service or for those with a long-term health condition, looking to secure, sustain and where appropriate, progress in employment;
- **Complex Needs Employability Service** – for those in recovery from substance misuse, previous offending behaviour, homelessness and other complex issues looking to access and sustain education, training or employment; and
- **In Work Employment Support Service** – for those who are employed but are facing in-work poverty and want to upskill and progress into better and more sustainable employment.

It is anticipated that European Social Funds (ESF) or any equivalent replacement funding, such as the UK Shared Prosperity Fund, will be able to partially fund the EBES provision.

# APPENDIX 2

**Network of Employability Services and Training / No One Left Behind Phase 2: Co-production Plan**

**PROJECT STEERING GROUP**

A Project Steering Group was identified and includes members of the Local Employability Partnership (CEC Business Growth and Inclusion, Capital City Partnership, Edinburgh College, The University of Edinburgh, Skills Development Scotland, The Department for Work and Pensions, Edinburgh Chamber of Commerce (also representing Developing the Young Workforce), Edinburgh Voluntary Organisations Council, IRES City Region Deal)

**TIMELINE**

The timeline for the co-production and procurement are as follows:

| Stage | Timeline |
|---|---|
| **Research** | April – June 2021 |
| **Co-production** | May – July 2021 |
| **Reporting of Co-production finding** | September 2021 |
| **Procurement** | September - November 2021 |
| **Implementation** | January – March 2022 |

The timeline is based on having the new programme in place to begin on 1 April 2022

**CO-PRODUCTION**

Alongside desk research and an evaluation of the economic landscape, Covid-19 impacts, the Poverty Commission findings and analysis of the previous contract performances, surveys were developed to gather the views of citizens, employability providers and stakeholders.

Usually, a number of workshops and co-production sessions would take place in physical spaces with service providers and stakeholders but due to Covid-19, this could only be held virtually. A virtual consultation event was help in May, with a recording of the event being made available on the Joined Up For Jobs (JUFJ) noticeboard and publicised to all stakeholders. This was then supplemented with a service provider survey.

Co-Production has been affected by Covid-19 and has limited the ability to reach out to the wider community, especially in terms of citizens. As meetings have to be virtual, there has

been concern around digital exclusion. For that reason, we asked service providers to also support completing surveys with clients in whatever form they are using to support them at present.

Using Caselink, our Management Information System, we have analysed existing service use and demand and highlighted any other useful findings.

| Communication Plan | | |
|---|---|---|
| **Action** | **Details** | **Date** |
| **Current Contract Holders** | | |
| Third Party Grants (TPG) | All TPG recipients were invited to the 26 May Co-Production event and all other elements of the co-production process. In addition to this, as part of the ongoing contract management, all TPG recipients have discussions with their contract manager. | 26 May 2021 |
| Employability Fund and Community Jobs Scotland | Awaiting further guidance from Scottish Government but all EF and CJS providers were invited to the Co-Production event on 26 May and to take part in all elements of co-production.<br>Meetings with contract holders will take place once Scottish Government guidance is finalised. | 26 May 2021 |
| **Elected Members and Committees** | | |
| Initial committee report to the Housing, Homelessness and Fair Work Committee | An initial briefing was included to inform Elected Members of the NOLB2 implications and the need to look at the future of the Third-Party Grants | June 2021 |
| Virtual meeting with the Convener and Vice Convener of the Housing, Homelessness and Fair Work Committee | Virtual meetings have taken place to discuss the future of NOLB2 and Third-Party Grants. | May 2021 |
| Committee Report to the Housing, Homelessness and Fair Work Committee | The report will provide details of the emerging themes from co-production and an overview of the potential plans. Approval will be sought to proceed with the plans for NOLB2 and TPG. | Sept 2021 |
| Committee Report to the Housing, Homelessness and Fair Work Committee | This report will outline the results of the grants process and the preferred delivery partners identified. | Nov 2021 |

| Stakeholders | | |
|---|---|---|
| Steering Group | Key stakeholders were included to inform the process and outcomes, including development of an Integrated Impact Assessment. The Steering Group includes all members of the Local Employability Partnership:<br>• The City of Edinburgh Council<br>• Capital City Partnership<br>• Edinburgh College<br>• The University of Edinburgh<br>• Skills Development Scotland<br>• The Department for Work and Pensions<br>• Edinburgh Chamber of Commerce (also representing Developing the Young Workforce)<br>• Edinburgh Voluntary Organisations Council<br>• IRES, City Region Deal | May 2021 |
| Focus group with the End Poverty Edinburgh Group | An offer was made to facilitate a focus group with members of the End Poverty Edinburgh Group to gain their opinions and insight. Unfortunately, this didn't take place. | June 2021 |
| Virtual meeting IRES City Region Deal group | An offer was made to host a meeting with IRES members to discuss their strategic input to NOLB2 and TPG to help shape the process. | June 2021 |
| Service Providers | | |
| Information notice on the JUFJ noticeboard | This provided a brief overview of plans and invited interested parties to attend a consultation event on 26 May. | 4 May 2021 |
| Email to JUFJ network with link to JUFJ Notice | This provided the same information as the JUFJ notice but broadened the reach. | May 2021 |
| Virtual consultation event with JUFJ network, Employability Fund providers and Community Jobs Scotland | This included a presentation of the current situation and the options for the future, a rough outline of the services required and the potential procurement options. There was also a presentation from Chris Adams around the wider Council strategies. The session included smaller focus groups to have discussions around set questions.<br><br>30 people signed up to attend on the day. | 26 May 2021 |

| | | |
|---|---|---|
| Promotion of presentations and recording of event to JUFJ network | Following on from the consultation event on 26 May, all presentations and recordings from the event were posted on the JUFJ Noticeboard for those who were unable to attend and to allow closer reading of all presentations. | 27 May 2021 |
| Active promotion of consultation opportunities to BAME network | Following the event on 26 May, a link to the presentations and recordings and some information on the co-production was emailed to contacts in the BAME network to encourage participation in the co-production process. | 31 May 2021 |
| Service Provider and Stakeholder survey to JUFJ network | A service provider survey was circulated to the JUFJ network via the JUFJ noticeboard and emailed to other interested parties. It included the same questions used at the consultation event and was available in Survey Monkey and Word document formats. Email also sent specifically to Council contracted services and Employability Fund providers. | 1 June 2021 |
| Survey to wider audience of employability services | The survey was disseminated by the Steering Group members to each of their networks. | June 2021 |
| Survey to peripheral services and out with JUFJ | The Service Provider Survey was emailed to the wider service provider audience to get a more complete picture and help inform the specification. This include contacts through: <br> • EVOC <br> • Advice Services and Advice Agency Forum (through Mark Upward) <br> • Edinburgh Alcohol and Drugs Partnership (through David Williams) <br> • Health and Social Care Partnership (through Susan Dalgleish, Susan Shippey and Stuart Morrison) <br> • Community Justice (through Victoria Kerr) <br> • Housing and Homelessness (through Nikki Rutherford) <br> • Nick Croft for Employability subgroups of Localities <br><br> In total, seven survey responses from service providers were received. While | 1 June 2021 |

| | this number is low, a presumption is made that the majority of interested parties fed into the co-production through the consultation event. | |
|---|---|---|
| Social Media to promote the Service Provider survey | The JUFJ Twitter account promoted the survey to service providers to encourage wider uptake. | 1 June 2021 |
| Emerging Themes event | An event will take place to provide an overview of the emerging themes from all of the co-production. | August 2021 |
| Bidder Briefing event | After the grants or alternative delivery method are published, an event will take place to provide information and answer questions. | Sept 2021 |
| **Citizens** | | |
| A service User subgroup has been set up to take forward the client engagement and ensure co-production opportunities are maximized. | | |
| Citizens' Survey | A survey was promoted through the JUFJ network, Steering Group, Service User Subgroup and wider network to provide insight and experience from citizens around the employability services. This includes current service users and those who are not currently accessing employability services. It was available for completion on Survey Monkey, a Word document and in printed format.<br><br>Email also sent specifically to Council contracted employability services and Employability Fund providers.<br><br>The survey was also emailed to the wider service provider audience to get a more complete picture and help inform the specification. This included contacts through:<br>• EVOC<br>• Advice Services and Advice Agency Forum (through Mark Upward)<br>• Edinburgh Alcohol and Drugs Partnership (through David Williams)<br>• Health and Social Care Partnership (through Susan Dalgleish, Susan Shippey and Stuart Morrison)<br>• Community Justice (through Victoria Kerr)<br>• Housing and Homelessness (through Nikki Rutherford) | 1 June 2021 |

| | | |
|---|---|---|
| | • Nick Croft for Employability subgroups of Localities<br><br>There were 56 survey responses received. | |
| Citizen focus groups | The Service User Subgroup is actively developing opportunities for focus groups with service users and citizens as an ongoing engagement strategy but specific offers were made in relation to this co-production. In addition to this, the request to host focus groups was publicised widely to encourage uptake:<br>• JUFJ network<br>• Local Employability Partnership<br>• Joined Up For Young People network<br>• End Poverty Edinburgh<br>• EVOC<br>• Low Income Families Together<br>• WHALE Arts<br>• Scran Academy<br><br>To ensure citizens felt able to share their comments, we requested that these were facilitated by individual organisations with set questions and prompts provided.<br><br>Focus groups were completed by LINKnet, Cyrenians and Citadel Youth Centre, with many other organisations encouraging citizens to complete the survey where it wasn't possible to host focus groups. | June 2021 |
| Social Media to promote the citizens' survey | The Council twitter account promoted it weekly<br>Edinburgh Guarantee twitter promoted it<br>JUFJ twitter promoted<br>JCP Lothian and Borders tweeted<br>SDS posted it on their Edinburgh Facebook page | 1 June 2021 |

# Housing, Homelessness and Fair Work Committee

**10.00am, Thursday, 2 September 2021**

# Fair Work Action Plan and Living Wage Edinburgh

| | |
|---|---|
| **Executive/routine** | Executive |
| **Wards** | All |
| **Council Commitments** | |

## 1. Recommendations

1.1 It is recommended that the Housing, Homelessness and Fair Work Committee:

1.1.1 Notes the draft Fair Work Action Plan and the policy levers the Council can draw upon to further the fair work agenda in Edinburgh;

1.1.2 Notes that further engagement with stakeholders on the details of this plan will be carried out in alignment with consultation activities underway for the refresh of the Edinburgh Economy Strategy;

1.1.3 Agrees that a final Fair Work Action Plan will be considered by this Committee following approval of the Edinburgh Economy Strategy in November 2021;

1.1.4 Notes update on progress towards achieving Edinburgh's accreditation as a Living Wage City and the work carried out to date with city partners; and

1.1.5 Agrees the Council actions included in the draft Edinburgh Living Wage City Action Plan.

**Paul Lawrence**

Executive Director of Place

Contact: Chris Adams, Strategy Manager, Policy and Insight

E-mail: chris.adams@edinburgh.gov.uk

# Report

## Fair Work Action Plan and Living Wage Edinburgh

## 2. Executive Summary

2.1 This report responds to commitments made in the Council Business Plan and sets out draft actions for Council leadership to promote fair work in Edinburgh.

2.2 The action plan sets out key commitments for the Council to implement in its role as an employer, a procurer of goods and services, a provider of business support, a provider of employability and skills support, and a convener for change in the city.

2.3 The plan is developed in alignment with engagement and consultation activity underway in refresh of the Edinburgh Economy Strategy and its work to identify actions to 'Promote access to fair work and opportunities for people to progress'.

2.4 The report also provides an update on work to establish an Edinburgh Living Wage Action Group and actions to achieve accreditation for Edinburgh as 'Living Wage City'. Council commitments incorporated in this work are provided for consideration by committee.

## 3. Background

3.1 Numbers 2, 3, 6 and 7 of the Council Commitments pledge to further the fair work agenda by increasing access to employment and training opportunities for young people and people with disabilities, promoting business development opportunities throughout the city, and working with the business community to grow the number of living wage employers year on year in Edinburgh.

3.2 The Edinburgh Poverty Commission published its final report in September 2020. The report made a call to action for the city to end poverty in Edinburgh by 2030, including a critical call for action to ensure people in Edinburgh can access 'Fair work that provides enough to live on'.

3.3 The report cited the Living Wage Places programme, operated by Living Wage Scotland as a key opportunity for the city to radically reduce the number of city workers relying on low pay. This scheme encourages local partners to collaborate and co-design the actions needed to increase the number of local employers committed paying at least a Real Living Wage to all their employees.

3.4 In response to the Commission findings, in December 2020 the Policy and Sustainability Committee agreed the Council's End Poverty in Edinburgh Delivery

Plan 2020-30. This plan incorporated a priority action for the Council to work with employers, Trades Unions, social enterprises, and public sector bodies to establish an action group to make Edinburgh as a Living Wage City in 2021, in line with the accreditation process operated by Living Wage Scotland.

3.5 This commitment was further incorporated within the Council Business Plan in February 2021. Outcome 3 of the plan aims to ensure that 'More people experience Fair Work and receive the living wage', with actions agreed to achieve accreditation for Edinburgh as a Living Wage City and promote the use of living wage and other fair work practices throughout the city economy. This outcome is one of fifteen key aims that have been prioritised in the Planning and Performance Framework, produced in June 2021, to monitor progress and support Committee scrutiny of the Business Plan.

3.6 These actions are embedded within ongoing work to refresh the Edinburgh Economy Strategy in response to the need for a strong and fair recovery from the economic effects of pandemic. A consultation draft of a refreshed Edinburgh Economy Strategy was approved by Policy and Sustainability Committee in June 2021. The draft outlines city and Council actions needed to 'Promote access to fair work and opportunities for people to progress'.

3.7 Consultation on this draft Edinburgh Economy strategy is underway between July and October 2021, with a final draft planned for review by the Policy and Sustainability Committee in November 2021. This draft fair work action plan represents a part of that wider strategy development process.

3.8 In June 2021, the Housing, Homelessness and Fair Work Committee noted, in its Business Bulletin, that work was underway to establish a Living Wage Edinburgh action group.

## 4. Main report

4.1 This paper provides a draft action plan setting out key steps the Council can take to promote fair work in Edinburgh. The report adopts a definition of fair work developed by the Fair Work Convention which proposes that all employees should have access to

4.1.1 **An effective voice in the workplace** - a safe environment where challenges are dealt with constructively and where employee views are sought out;

4.1.2 **An opportunity to access work** - opportunity for people from all backgrounds to access and progress in work and employment;

4.1.3 **Security of income** - secure employment, with predictable hours and income. Paying at least the Real Living Wage and building stability into contractual arrangements;

4.1.4 **Fulfilment at work** - work that provides an opportunity to learn, to use talents and skills, to engage in challenging activities, and to solve problems; and

4.1.5 **Respect at work** - work that protects the health, safety and well-being of workers. Work that treats employees as dignified human beings, recognising their standing and human worth.

4.2 As the action plan provided in Appendix 1 to this paper notes, improvement across these aspects of fair work is critical to the city's ambitions to end poverty by 2030, but also to the city's aims for a strong and fair recovery from the economic effects of pandemic. Such a recovery requires action to support businesses to innovate and adapt, to improve productivity and competitiveness in key sectors.

4.3 Research by as Strathclyde University and others has shown that the adoption of fair work practices can underpin these goals. Businesses which adopt such practices are likely to be more innovative, more in line with consumer expectations, with more committed workforces, improved skills utilisation and better workforce retention. All these factors are key to underpinning the high performance and higher productivity Edinburgh needs for a strong recovery.

**Council actions to promote fair work**

4.4 The action plan provided in Appendix 1 sets out five levers through which the Council can play a critical role to promote fair work in Edinburgh.

4.4.1 As an **employer**, it can ensure that its 18,000+ staff are treated fairly by receiving at a minimum the Real Living Wage and feel secure, supported, fulfilled, and respected in their roles;

4.4.2 As a **purchaser, investor and commissioner of services**, it can enable that procurement and tendering of third parties meet fair work principles;

4.4.3 As a **supporter of business**, it can advise and guide large corporates and SMEs investing in the city to consider implementing fair work options to their workforces;

4.4.4 As a **provider of employability and skills support**, it can help people build the skills they need to access good quality jobs; and

4.4.5 As a **convenor of change**, it can advocate and work with partners to influence and support businesses across the city to make a commitment to fair work, including establishing Edinburgh as a Living Wage City.

4.5 Key draft actions against each of these levers are set out in the plan provided in Appendix 1.

**Edinburgh Living Wage City**

4.6 As a core part of the draft fair work action plan, and in line with Council Business Plan commitments, work is underway to establish an Edinburgh Living Wage City Action Group.

4.7 The group comprises of 10 employers across a range of sectors in the city – including higher education, third sector, financial services, hospitality, culture, retail, tourism, and trades unions – who are committed to working with Living Wage Scotland to achieve and maintain accreditation for Edinburgh as a 'Living Wage City'.

4.8 In order to meet criteria for accreditation, the group has committed to agreeing and implementing a local action plan designed to:

4.8.1 Research and understand the living wage landscape in Edinburgh, and the support/actions needed to encourage growth in take up;

4.8.2 Celebrate employers working together locally to promote the real Living Wage and accreditation take up;

4.8.3 Design and deliver events and actions to encourage and support more Edinburgh businesses to become living wage employers, particularly in key target sectors; and

4.8.4 Promote and encourage adoption of 'Fair Work' business practices in all sectors and types of business in Edinburgh.

4.9 The action group will be chaired by the Convener of the Housing, Homeless, and Fair Work Committee, alongside a business leader co-chair.

4.10 Appendix 2 to this report provides a draft Edinburgh Living Wage City Action Plan. This plan has been prepared in collaboration with members of the Action Group and will be used to submit an application to Living Wage Scotland for Edinburgh's formal accreditation as a Living Wage City.

4.11 The plan incorporates a number of actions for Council leadership, including:

4.11.1 Provision of secretariat support for the group through officers of the Council's Policy and Insight team;

4.11.2 Commitments to maintain living wage accreditation;

4.11.3 Commitment to present the Living Wage Action Plan to the Edinburgh Partnership Board to seek the commitment of all members to the plan and encourage all members to become Living Wage Employers;

4.11.4 Commitment to support actions led by the group to improve understanding of the barriers to and benefits of living wage accreditation among key target sectors in Edinburgh;

4.11.5 Commitment to support actions of the group to promote and encourage Edinburgh employers to pursue living wage accreditation;

4.11.6 Commitment to support actions of the group to celebrate achievement of milestones and celebrate new employers achieving living wage accreditation; and

4.11.7 Commitment to monitor and evaluate the progress of the action group through annual reports published in Living Wage Week each year.

## 5. Next Steps

5.1 Continuing development of the draft Fair Work Action Plan will be carried out in line with consultation and engagement underway in development of the refreshed Edinburgh Economy Strategy.

5.2 A final draft of the Edinburgh Economy Strategy will be considered by Policy and Sustainability Committee in November 2021. Following approval of that report, a final draft of the Council's Fair Work Action Plan will be prepared for consideration by the Housing, Homelessness, and Fair Work Committee. A report on progress towards delivery the Fair Work Action Plan will be considered by Committee on an annual basis.

5.3 Subject to approval of Council commitments, the Edinburgh Living Wage City Action Plan will be submitted to Living Wage Scotland to be considered for accreditation. Progress updates will be reported back to Committee in line with reporting on the Fair Work Action Plan.

5.4 Subject to successful accreditation process, a series of communications and engagement activities will be held to celebrate the city's new status and champion businesses that promote fair work and the living wage in Edinburgh. These actions are planned to commence from Living Wage Week in November 2021.

# 6. Financial impact

6.1 Actions in this report can be taken forward within existing agreed budgets. Any additional impacts arising will be considered as part of future reports to Housing, Homelessness and Fair Work Committee.

# 7. Stakeholder/Community Impact

7.1 Details of stakeholder and community engagement in delivery of a renewed Fair Work Action Plan (including the work of the Living Wage Edinburgh Action Group) are outlined in the main report section and will be considered as part of future reports to Housing, Homelessness and Fair Work Committee.

# 8. Background reading/external references

8.1 Council Commitments

8.2 A Just Capital: Actions to End Poverty in Edinburgh – the final report of Edinburgh Poverty Commission

8.3 End Poverty in Edinburgh Delivery Plan 2020-30

8.4 Business Plan: Our Future Council, Our Future City

# 9. Appendices

9.1 Appendix 1 – Fair Work – Draft Action Plan.
9.2 Appendix 2 – Edinburgh Living Wage City – Draft Action Plan.

# City of Edinburgh Council Fair Work Action Plan

## September 2021

## Contents

# 1. Introduction

This paper provides a draft plan setting out actions the City of Edinburgh Council can take to promote fair work in Edinburgh.

The paper is developed as part of consultation and engagement activity underway in development of a refreshed Edinburgh Economy Strategy, and in fulfilment of commitments to promote fair work made in the Council Business Plan.

## Background

The Edinburgh Poverty Commission published its final report in September 2020. The report made a call to action for the city to end poverty in Edinburgh by 2030, including a call to ensure people in Edinburgh can access 'Fair work that provides enough to live on'.

In response to the Commission findings, in December 2020 the Policy and Sustainability Committee agreed the Council's End Poverty in Edinburgh Delivery Plan 2020-30. This plan incorporated a priority action for the Council to establish an action group to make Edinburgh as a Living Wage City in 2021, in line with the accreditation process operated by Living Wage Scotland.

This commitment was further incorporated within the Council Business Plan in February 2021. Outcome 3 of the plan aims to ensure that 'More people experience Fair Work and receive the living wage'.

These actions are embedded within ongoing work to refresh the Edinburgh Economy Strategy in response to the need for a strong and fair recovery from the economic effects of pandemic. A consultation draft of a refreshed Edinburgh Economy Strategy was approved by Policy and Sustainability Committee in June 2021. The draft outlines city and Council actions needed to 'Promote access to fair work and opportunities for people to progress'.

## A Fair Work Action Plan

This paper builds on these commitments to set out a framework of action to promote fair work. The paper:

- Provides a definition of 'Fair Work', and outlines the challenges and opportunities faced by the city
- Provides an overview of the levers available to the Council to promote fair work across the city, and
- Sets out 30 actions for Council delivery over the next three years to improve access to fair work for Edinburgh citizens.

In setting out the framework, this paper includes an overview of key metrics and measures of progress.

Continued development of this plan will take place in line with consultation on the Edinburgh Economy Strategy over July to October 2021. A final draft action plan will be published for approval by Council following publication of the final Edinburgh Economy Strategy in November 2021.

## 2.  Fair Work: Challenges and Opportunities

Fair work, according to the Fair Work Convention, is work that balances the rights and responsibilities of employers and workers and covers five notable criteria, offering all individuals:



- an **effective voice** in the workplace
- an **opportunity** to access work
- the **security** of income
- **fulfilment** at work
- **respect** at work.
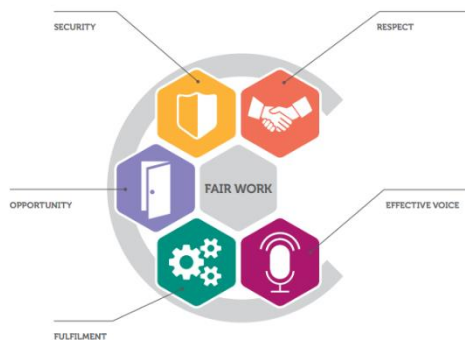
The Convention note that, together, these points can "generate benefits for individuals, organisations and society"[1].

Indeed, the Chartered Institute of Personnel and Development (CIPD) recognise that, fair work "is essential to ensuring that we build back better and deal with the structural inequalities that persist in our workplaces and labour market". They also note that it is "an important tool that supports positive workplace change, innovation and productivity, and is fundamental to delivering Scotland's wider social and economic ambitions"[2].

As Edinburgh seeks to recover from the social and economic impact of the Covid-19 pandemic, there is an opportunity to promote fair work principles to be embedded within the city's economic recovery.

On average, Edinburgh remains a high employment, high wage economy, but there are deep inequalities, concerns around low pay, insecurity, exploitative contracts and limited opportunities for job progression for too many people:

- Pre Covid the majority (65%) of people in poverty in Edinburgh were in working households
- Around one in ten (9%) of all jobs were casual, temporary or non-contract.
- In a survey of citizens 'work does not pay enough' was the single factor most commonly raised as a cause of poverty in Edinburgh – cited by 83% of all respondents.
- 27% of Edinburgh jobs do not provide workers with 'satisfactory' pay, contracts, or hours, and
- Approximately 37,000 Edinburgh workers are paid less than £9.50 ph, the current threshold set by the Living Wage Foundation.

Many of these issues were explored and evidenced in the findings of the Edinburgh Poverty Commission, while recent analysis by CIPD also indicates that across Scotland:

[1] https://www.fairworkconvention.scot/the-fair-work-framework/

[2] Zemanik, M. (2021) *Working Lives Scotland 2021*. London: Chartered Institute of Personnel and Development.

- 26% of employees felt their work impacted negatively on their mental health
- less than a third (31%) of employees believed their job offered good prospects for career advancement
- one-fifth (19%) said they had no effective channel to raise concerns at work[3].

These findings highlight that unfair work can have a negative effect on workers' personal lives and their relationships with their employers, which consequently can be disadvantageous for business development.

## Business benefits of fair work

There is a growing body of evidence to suggest a strong business case for employers to offer fair work to employees. Interviews and analysis carried out by Strathclyde Business School show that competitive pay helped reduce staff turnover, resulting in better performance, productivity, and service quality. Businesses also noted that retaining high performing staff, due to fair work, allowed them to innovate, and invest more in product development and customer service skills.

Further to these findings, the analysis showed that businesses that are committed to fair work are successful in enhancing their reputation and attracting custom due to their 'ethical' attitudes.

Such findings are consistent with other research carried out by the Living Wage Foundation. Their research shows that paying a living wage can be good for business with:

- 83% of businesses saying it improved reputation of their business
- 75% saying it increased motivation and retention rates for employees
- 64% saying it helped differentiate themselves from others in their industry, and
- 58% saying it helped improve relations between managers and their staff.

Similar research indicates a growing expectation among high skilled workers and consumers for businesses to adhere to fair work practices. Living Wage Foundation research finds that:

- 93% of University students want to work for Living wage accredited employers
- 87% of consumers thing companies should voluntarily pay the real living wage, and
- 90% of consumers agree that pay should reflect living costs.

## Fair work and the gender pay gap

From 2017, all employers with more than 250 staff on the payroll must comply with national regulations by reporting and publishing

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[3] Zemanik, M. (2021) *Working Lives Scotland 2021*. London: Chartered Institute of Personnel and Development.

their gender pay gap information. Organisations are obliged to accompany these reports with a statement and action plan explaining the gender pay gap and what measures they will take to address this.

This annual public declaration is important in addressing the gender pay dissimilarities in workplaces, but it does raise further questions about why work is not fair for women in the first place.

Analysis by Close the Gap[4], indicates that there are a number of other factors at play, including:

- a lack of quality part-time and flexible work is available
- "occupational segregation" – the clustering of women and men into different types of work (horizontal segregation) and different levels of work (vertical segregation, sometimes referred to as "the glass ceiling")
- the economic undervaluation of stereotypically "female" work such as care, retail, admin and cleaning (women account for two-thirds of employees earning less than the living wage in Scotland)
- the disproportionate responsibility of women to undertake unpaid care (70% of unpaid care in Scotland is provided by women)
- questionable recruitment, development and progression practices that instil bias and a lack of transparency
- male-oriented workplace cultures

- discrimination in pay and grading systems.

Furthermore, Close the Gap report that the cost of women's labour market inequality in Scotland is £17 billion a year[5] highlighting that new approaches and actions are required to enhance fair work provision across a range of scales and factors. Given that women account for 49% of the labour market and 76% of all part-time workers in Scotland[6], it is clear that there are significant opportunities for driving forward a fair work agenda that is more inclusive for all workers, regardless of gender.

[4] https://www.closethegap.org.uk/content/resources/The-Gender-Pay-Gap-Manifesto---2021-Scottish-Parliament-elections.pdf

[5] *ibid*
[6] https://www.closethegap.org.uk/content/gap-statistics/

## 3.    Actions to promote fair work

As a major institution in Edinburgh, the Council has at its disposal, a number of levers to promote all five components of the fair work framework.

- As an **employer**, it can ensure that its 18,000+ staff are treated fairly by receiving at a minimum the Real Living Wage and feel secure and respected in their roles.
- As a **purchaser, investor and commissioner of services**, it can enable that procurement and tendering of third parties meet fair work principles.
- As a **supporter of business**, it can advise and guide large corporates and SMEs investing in the city to consider implementing fair work options to their workforces.
- As a **provider of employability and skills support**, it can help people build the skills they need to access good quality jobs, and
- As a **convenor of change**, it can advocate and work with partners to influence and support businesses across the city to make a commitment to fair work, including establishing Edinburgh as a Living Wage City.

These levers should not be viewed in isolation but considered as part of a collection of devices in a wider democratic toolkit that can be utilised to influence and affect positive change in the delivery of fair work in the city. It is, however, helpful to view these through the prism of collaboration and partnership working when applying fair work in action.

**Fair Work levers for change**



### Actions as an employer

The City of Edinburgh Council employs over 18,000+ staff delivering over 700 services to people who live and work in the city. The

Council's People Strategy 2021-2024 and Strategic Workforce Plan 2021-2024 approved by Policy and Sustainability Committee in April 2021 are strong foundations for building Council's commitments to fair work.

Connected to the fair work framework created by the Fair Work Convention, the Council's People Strategy[7] has been developed with three key strategic themes in mind:

- **Living our behaviours**: To develop a culture of inclusion, respect and belonging.
- **Maximising our capability and performance**: Ensuring we're recruiting and developing colleagues with the skills, experience and behaviours needed to deliver our priorities.
- **Enhancing our colleague experience**: Looking after each other during change, ensuring our colleagues feel part of our organisation and making wellbeing a priority.

This means making sure that Council employees feel that they are empowered in the workplace, respected in who they are and what they do, and have the opportunity to develop and thrive in the work they do.  Specific actions to take these commitments forward include:

- Consolidate the Council's commitment to paying Scottish Local Government Living Wage. From 1 April 2021, all staff employed by the Council earn at least the Scottish Local Government Living Wage in their base pay, which means that 4,400 of employees in grades 1 to 3 receive a pay increase, equivalent to more than £200 extra per year on average for full-time employees.
- Implement our Equality and Diversity Framework to ensure the Council has a workforce where all people feel value, included and able to be their best at work.
- Commit to engaging Trade Unions and workforce to develop proposals on wider reform to pay and terms to better support service design and delivery
- Commit to encourage and support apprenticeships which are paid at least the real Living Wage rate with an incremental pay structure in place following qualification
- Develop options for casual workforce model so that such staff have security of guaranteed hours and income
- Offer employees access to a range of flexible working options on a temporary or permanent basis (where possible in light of individual business needs).
- Deliver a suite of compelling, engaging and informative learning and development opportunities to staff via the refreshed new digital learning platform, *MyLearningHub*.
- Promote pay transparency by continuing to publish a reduction in the gender pay gap and work towards shrinking

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[7] https://democracy.edinburgh.gov.uk/documents/s33271/Item%207.13%20-%20People%20Strategy%202021-2024%20v2.pdf

the gap in other areas including age, disability, race, and part-time staff

## Actions as a purchaser, investor and commissioner of services

The Council's Sustainable Procurement Strategy has seven key objectives, one of which is improving fair work practices being adopted by suppliers. Other objectives include making procurement spend more accessible to local SMEs/third sector, increasing community benefits delivered by suppliers and contributing to the Council's 2030 net zero carbon target.

In practice, the Council is moving forward with underlining fair work in procurement by:

- agreeing to a minimum weighting of no less than 5% in the evaluation of tenders to influence ethical practices, adopting a higher percentage where appropriate
- updating the Contract Standing Orders in February 2021 to embed these strategic objectives into all Council purchasing activity
- incorporating the Fair Work First Guidance launched by the Scottish Government in January 2021 (and the related procurement policy note SPPN 3/2021) into updated procedures and templates, with training being given to relevant procurement staff and a guidance document issued to assist bidders. Fair Work First was also focused in the second issue of the CPS Supplier Newsletter.

The Fair Work First criteria

- appropriate channels for effective voice, such as trade union recognition
- investment in workforce development
- no inappropriate use of zero hours contracts
- action to tackle the gender pay gap and create a more diverse and inclusive workplace
- providing fair pay for workers (e.g. payment of the Real Living Wage)

The 2020/21 annual procurement strategy report showed progress against these commitments to date, noting that:

- 79% of Council suppliers confirmed they pay Real Living Wage, up from 70% in 2019/20.
- Community benefits were sought in 50 out of 186 regulated contracts in 2020/21, a 20% increase since 2019/20
- With the impact of Covid, community benefits delivery was reduced during 2020/21, however 23 apprenticeships were

created and community engagement increased during the period.

- Examples of community benefits also included support for PPE and foodbank projects, as well as support for upgrades to WHEC garden and Kirkliston Scout hall.

In addition to these, the Council has well established procurement procedures which are considered fully aligned to the principles and intentions of the **Fair Tax Foundation**. These include seeking written confirmation from bidders in regulated tender exercises that they have complied with their taxation obligations.

The supplier pages on the Council's website contain information on how suppliers can ensure they get paid promptly, which include them ensuring they have appropriately registered with HMRC and submitted a valid VAT invoice. Linked to this, in recent years the Council has taken a number of steps to tighten up its processes to ensure the IR35 regulations are fully complied with, involving staff from Commercial and Procurement Services (CPS), HR and Payroll and Legal Services, with the revised procedures and guidance all being reviewed by Internal Audit.

In August 2018, the Council adopted the **Construction Charter Commitments** [8], which set out the expectations the Council has for those contractors who undertake construction work on the Council's behalf. The Charter comprises eight separate commitments to promote the adoption of fair work practices

including HMRC compliance by contractors. CPS provide an annual update to the Finance and Resources Committee on action taken to embed the Charter, and the next update will be submitted to the August meeting of the Committee.

The Council's promotion and embedding of the Charter principles can be demonstrated by a number of recent contract award reports where contractor commitments around the Charter have been specifically highlighted, including high value contracts such as the Housing Capital Works Framework, the Domestic Repair and Maintenance Framework and the Fountainbridge Development Partner contract.

## Actions as a supporter of business

The Council's Business Gateway service engages with engages with over 3,000 entrepreneurs each year, to help more businesses flourish in Edinburgh.

Working with our partners, including the universities, enterprise agencies and business groups, such as Edinburgh Chamber of Commerce, Federation of Small Businesses and Social Enterprise

Edinburgh, the service provides year-round start-up and growth focused workshops, and 1-2-1 growth and digital business advisors. These are to citizens and provide an opportunity to promote and encourage businesses to adopt fair work practices as a part of their business planning. In doing so, fair work guidance will be provided

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[8] https://www.edinburgh.gov.uk/downloads/file/26035/construction-charter

alongside current priorities including Covid-19 recovery, digital skills, women in business, growth and digital skills.

These actions include commitments to:

- Promote the ethical and sustainable values and benefits of fair work to companies looking to invest in the city.
- Embed advice and toolkits for fair work and living wage accreditation into Council operated business support services
- Work with employers to enhance knowledge, understanding and provision of adjustments that can be made to recruit and retain candidates from underrepresented groups (e.g. care experienced, disabled, homelessness, young people, ex-offenders, refugees).
- Explore ways to incentivise Edinburgh businesses to adopt fair work practices through use of procurement, licensing, and regulation powers

## Actions as a provider of employability and skills support

The Council is committed to expanding the Edinburgh Guarantee to support more citizens into positive destinations, with an enhanced focus on helping those with barriers to employment, such as young people and people with disabilities or from a minority ethnicity, into sustainable employment.

Through this programme, and through all employability and skills projects operated or commissioned through the Council and its partners, this plan incorporates key commitments to improve access to good jobs, and to engage with employers to promoate and encourage fair work practices. Commitments include action to:

- Provide employability and skills support to ensure that people from all backgrounds have the help they need to access good quality jobs in Edinburgh
- Advocate for positive change by encouraging businesses that are already signed up to the Edinburgh Guarantee programme to become local champions that can enlist other companies to get involved.
- Promote employment rights and worker representation in Edinburgh
- Create upskill opportunities for people who live or work in Edinburgh and ensure there is effective provision of apprenticeships, work placements and work experience young people and those seeking a career change or return to work.
- Work with the city's further and higher education institutions and employers to increase accessibility to vocational training programmes particularly in sectors which will flourish in the post-Covid-19 pandemic recovery.

## Actions as a convenor of change

The Council has a key role to play in bringing together partners across the city to drive change. Within the context of fair work, key actions the Council can lead on include:

- Work with representatives from the private, public and voluntary sectors (including Trade Unions) to achieve accreditation for Edinburgh as a 'Living Wage City'
- Develop and promote a robust communications and engagement plan to acknowledge, celebrate and champion Living Wage employers in Edinburgh.
- Develop a five-year action plan targeting anchor organisations to double the number of workers in the city earning the minimum of the real Living Wage.
- Collaborate with key partners and stakeholders in the public, private and voluntary sectors, including Trade Unions, to promote all aspects of Fair Work
- Establish a short-term Gig Economy Forum to make recommendations to the Scottish and UK Governments about how best to support workers in this sector
- Advocate for positive change by engaging underrepresented groups to understand the barriers to accessing fair work and develop an outreach approach of mitigation (e.g. care experienced, disabled, homelessness, young people, ex-offenders, refugees).

## 4.    Next steps

This draft action plan is being developed in alignment with consultation and engagement activities underway to support the refresh of the Edinburgh Economy Strategy, and its commitments to ensure Edinburgh makes a strong and fair recovery from the economic effects of pandemic.

Consultation for the strategy takes place between July and October 2021, with a final draft prepared for consideration by the Policy and Sustainability Committee in November 2021.

Following approval of that strategy, a final Fair Work Action Plan will be considered for approval by the Housing, Homelessness, and Fair Work Committee.

A report on progress towards delivery the Fair Work Action Plan will be considered by Committee on an annual basis.

## 5. Table of actions

### Ensure all Council employees can access fair work
Actions as an employer

1. Lead by example as a key Living Wage employer in the city.

2. Increase support for apprenticeships, which are paid at least the real Living Wage rate with an incremental pay structure in place following qualification.

3. Ensure staff have an effective voice and support in the workplace through Trade Union representation, best practice employment policies and the colleague networks who support workers that share a common protected characteristic.

4. Implement our Equality and Diversity Framework and deliver on the commitments in our Diversity & Inclusion Strategy and Plan to ensure the Council has a workforce where all people feel value, included and able to be their best at work

5. Develop and establish a workers' association to provide representation and a forum for workers on casual contracts to inform Council policy in the delivery of a fair work experience.

6. Further support the conversion of fixed-term and temporary agency workers to permanent employment contracts, where appropriate and possible within service areas.

7. Ensure colleagues are aware of flexible working options to support inclusivity, work/life balance and wellbeing.

8. Further develop compelling, engaging and informative learning and development opportunities to staff via the refreshed new digital learning platform, *MyLearningHub*.

9. Promote pay transparency by publishing pay gap reports and work towards closing gaps.

## Use the Council's spending power to promote fair work
### Actions as a commissioner and procurer of goods and services

1. Increase training and awareness of fair work for Council staff and bidding organisations. Demonstrate the benefits of fair work to supply chains contractors including promoting the Real Living Wage and opportunities for training and development.

2. Undertake a review of the Council's Sustainable Procurement Policy, that will build on and complement work already undertaken across the Council to promote fair work and the Real Living Wage through existing policies and strategies, and include an objective of increasing the number of Council suppliers who pay the Real Living Wage and are accredited.

3. Apply Fair Work First guidance to every new regulated tender, ensuring that businesses bidding for Council contracts are committed to the Fair Work First criteria, including providing fair pay.

4. Gather and interrogate available data from the last two financial years on tenderers to regulated Council contracts who are not currently Real Living Wage accredited employers to better understand the Living Wage landscape by sector and use this information to target future increases in accreditation.

5. Increase community benefits delivered by suppliers, including employment and training opportunities to support people into fair work.

6. Promote the Council's Construction Charter commitments, to promote the adoption of fair work practices among contractors undertaking construction work on the Council's behalf.

## Support and advise Edinburgh businesses on how to adopt and implement fair work practices

**Actions as a provider of support services to business**

1. Promote the ethical and sustainable values and benefits of fair work to companies looking to invest in the city.

2. Embed advice and toolkits for fair work and living wage accreditation into Council operated business support services.

3. Work with employers to enhance knowledge, understanding and provision of adjustments that can be made to recruit and retain candidates from underrepresented groups (e.g. care experienced, disabled, homelessness, young people, ex-offenders, refugees).

4. Explore ways to incentivise Edinburgh businesses to adopt fair work practices through use of procurement, licensing, and regulation powers

## Support Edinburgh citizens to access and maintain fair work opportunities
**Actions as a provider of employability and skills support**

1. Provide employability and skills support to ensure that people from all backgrounds have the help they need to access good quality jobs in Edinburgh

2. Advocate for positive change by encouraging businesses that are already signed up to the Edinburgh Guarantee programme to become local champions that can enlist other companies to get involved.

3. Promote employment rights and worker representation in Edinburgh

4. Create upskill opportunities for people who live or work in Edinburgh and ensure there is effective provision of apprenticeships, work placements and work experience young people and those seeking a career change or return to work.

5. Work with the city's further and higher education institutions and employers to increase accessibility to vocational training programmes particularly in sectors which will flourish in the post-Covid-19 pandemic recovery.

## Work with businesses and anchor institutions to promote Edinburgh as a Fair Work City
**Actions as a convener of change**

1. Work with representatives from the private, public and voluntary sectors (including Trade Unions) to achieve accreditation for Edinburgh as a 'Living Wage City' and to promote all aspects of Fair Work as described in this plan

2. Develop and promote a robust communications and engagement plan to acknowledge, celebrate and champion Living Wage employers in Edinburgh.

3. Develop a five-year action plan targeting anchor organisations to double the number of workers in the city earning the minimum of the real Living Wage.

4. Establish a short-term Gig Economy Forum to explore actions that could improve working conditions, rights and quality of employment for workers in this sector and make recommendations to the Scottish and UK Governments.

5. Advocate for positive change by engaging underrepresented groups to understand the barriers to accessing fair work and develop an outreach approach of mitigation (e.g. care experienced, disabled, homelessness, young people, ex-offenders, refugees).

# Edinburgh Living Wage City – Draft Action Plan

September 2021

## Contents

# Executive Summary

In September 2020 the Edinburgh Poverty Commission called on employers and institutions across the city to come together and radically increase the number of Real Living Wage accredited businesses in the city. This action was needed, it said, in order to reduce the number of people in the city for whom work is not enough to keep their families out of poverty.

Building on existing commitments by the City of Edinburgh Council and other partners, this plan is a key step towards delivering on that challenge. It has been developed by the **Edinbugh Living Wage Action Group**, a collaboration of employers, public sector bodies, trade unions, social enterprises, and business organisations, all committed to the promotion of fair work.

The group aims to:

- Encourage more Edinburgh employers to become Real Living Wage accreditated businesses,
- Reduce the number of Edinburgh workers earning below the living wage, and increase the number who experience fair work, and
- Make a critical contribution to the city's goal to End Poverty by 2030.

## The context

Low pay in Edinburgh is real and widespread. Some 37,000 workers in Edinburgh earn less than the Real Living Wage of £9.50 per hour and 27% of Edinburgh workers are in jobs that do not provide 'satisfactory' pay, contracts, or hours. Such low paid and insecure work is a key driver of poverty in the city. Even pre-pandemic, data showed that 65% of all people in poverty in Edinburgh were in working households.

Edinburgh remains a city where work is not always the secure pathway it needs to be. This plan recognises that meaningful actions are needed to ensure that jobs in Edinburgh pay enough for families to live on.

At the same, the city is at an early and uncertain stage in its economic recovery from pandemic. Edinburgh businesses in 2021 carry an estimated £0.5bn of additional debt as a result of Covid, 36% are worried about how they will make debt repayments, and 53% are worried about trading conditions in the city.

This context makes it a challenging time for many businesses to commit to taking on additional costs in the form of higher wages. As such, this plan will make sure that any action to encourage or promote Living Wage Accreditation among employers in Edinburgh is carried out with full understanding of the pressures businesses face, and rooted in real engagement with employers from key target sectors.

## The plan

With this context in mind, this plan sets out the tasks the Edinbugh Living Wage Action Group will take over the next five years. It includes actions designed to:

- **Learn**, research and further understand the Living Wage landscape in Edinburgh, and the support needed to encourage growth in take up.
- **Promote and encourage** real Living Wage accreditation in the city, towards delivering a radical increase in the number of Living Wage employers in Edinburgh, and
- **Celebrate** those employers who commit to the Living Wage, and the city's successes building a the real Living Wage movement.

## The targets

Through the actions in this plan, over the next five years the group aim to:

- Support an additional 500 Edinburgh businesses to become living wage accredited employers
- Bring some 40,000 employees up to the real living wage minimum standard, and
- Ensure that growth in Real Living Wage take up is focused on those sectors where low pay and insecure work in the city is most prevalent.

# 1.    Introduction

This report provides an action plan to support Edinburgh's commitment to become a Living Wage City.

The plan has been developed by the **Edinburgh Living Wage City Action Group** and has the full support of key city anchor institutions including the **City of Edinburgh Council** and the **Edinburgh Partnership**.

The commitment to becoming a Living Wage City arises from the calls to action made by the **Edinburgh Poverty Commission,** and its conclusion that:

> *"Edinburgh has a thriving local economy with high rates of employment and high average pay, but even here work is not always the secure pathway out of poverty that it needs to be.*
>
> *We call on Edinburgh's employers, Trades Unions, social enterprises, and public sector bodies to come together in a new alliance to make Edinburgh a Living Wage City in 2021"*

In response to this call to action, the City of Edinburgh Council Business Plan, published in February 2021, built on existing pledges to promote fair work in the city by committing the Council *"to achieve accreditation for Edinburgh as a living wage city and promote the use of living wage and fair work practices throughout the city economy"*.

In taking forward this commitment, the plan forms part of a number of actions connecting the city's End Poverty Edinburgh Delivery Plan, Edinburgh Economy Strategy, and Local Outcome Improvement Plan with ongoing work on youth employability and the Edinburgh Guarantee all of which share core objectives to promote fair work as part of a route to **End Poverty in Edinburgh by 2030**.

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Council          End Poverty in       Edinburgh          Edinburgh
Business Plan  ◆  Edinburgh        ◆  Economy         ◆  Living Wage
                 Delivery Plan        Strategy           City Action Plan
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## The Real Living Wage and Living Wage Places

The Real Living Wage is an independently calculated rate based on the cost of living and is paid voluntarily by employers. For 2021 The rate is currently £9.50 and is calculated each year in November by The Resolution Foundation on an analysis of the wage that employees need to earn in order to afford the basket of 'goods' required for a decent standard of living. This basket of goods includes housing, childcare, transport and heating costs.

This rate is significantly higher than the statutory minimum and living wage rates set by the UK Government.  Adults working for employers who pay a minimum of the Real Living Wage receive at least 6.6% more per hour than the equivalent worker receiving the statutory minimum.

|  | **The UK Minimum Wage** *Government set minimum wage for under 23 year olds* | **The National Living Wage** *Government set minimum wage for over 23 year olds* | **The Real Living Wage** *The only wage rate based on what people need to get by.* |
|---|---|---|---|
| **What is it? (per hour)** | Ranges from **£8.36** for 21-22 year olds to **£4.30** for Apprentices | **£8.91** for over 23 year olds | **£9.50** for anyone over 18 years old |
| **Is it the Law?** | Yes, this is a statutory minimum. | Yes, this is a statutory minimum. | No, this is a voluntary standard. |
| **How is it set?** | A negotiated settlement between Government, Trade Unions and employers. | A % of median earnings, aiming to reach 66% of median earnings by 2024. | An annual calculation based on the cost of living in the UK. |

Living Wage Scotland was launched in April 2014 with the aim of increasing the number of employers in Scotland who are recognised for paying their staff the Real Living Wage. Established by The Poverty Alliance, Living Wage Scotland works in partnership with the Living Wage Foundation and is funded

by the Scottish Government. Businesses which commit to paying the Real Living Wage to all their staff, and who have a plan to pay living wage to all contractors can become an **accredited Living Wage Employer** as part of the scheme administered by Living Wage Scotland.

In the past five years, the campaign has seen local authorities, health boards and private sector companies across all sectors and industries commit to paying their staff a decent wage. During 2021 Living Wage Scotland celebrated reaching the milestone of 2,000 living wage accredited employers in Scotland, meaning over 45,600 workers every year receive a pay rise that genuinely reflects increases in the cost of living.

### Making Living Wage Places

As part of its campaign work, the Living Wage Foundation established a new scheme to formally recognise place-based approaches to promoting Living Wage accreditation: **Making Living Wage Places**.

The Making Living Wage Places programme seeks to recognise the places that are leading the way on the real Living Wage. It is designed as an opportunity to encourage collaboration between key local institutions and harness place identity as a motivator for more employers to join the Living Wage movement.

The scheme builds on findings of research conducted by the Smith Institute which analysed the ripple effects, on wages, productivity, and local spending, that occur when clusters of employers in a city region commit to paying the real living wage.

In recent years, towns and cities such as Dundee, Glenrothes, Cardiff, Salford and others have established themselves as Living Wage Places, with the aim of making local actions to encourage such ripple effects. Evidence to date points to the effectiveness of these approaches in significantly increasing the number of local employers committed to paying at least a Real Living Wage to all their workers.

### Edinburgh Living Wage City Action Group

The Edinburgh Living Wage City Action Group is a collaboration of Edinburgh based employers working together to:

- Achieve and maintain accreditation for Edinburgh as a 'Living Wage City' as a part of the Making Living Wage Places scheme.
- Agree and help implement a local action plan designed to:
  - **Research** and understand the living wage landscape in Edinburgh, and the support/actions needed to encourage growth in take up
  - **Celebrate** employers working together locally to promote the real Living Wage and accreditation take up
  - Design and deliver events and actions to **encourage** and support more Edinburgh businesses to become living wage employers, particularly in key target sectors
  - **Promote** and encourage adoption of 'Fair Work' business practices in all sectors and types of business in Edinburgh

In doing so, the group aims to:

- reduce the number of Edinburgh workers earning below the living wage
- increase the number who benefit from 'Fair work', and
- make a critical contribution to the city's goal to End Poverty by 2030

Terms of reference note that:

- the group is comprised of 10-12 members appointed by invitation of the chair(s)
- all members are Edinburgh based and either current Living Wage Accredited employers, or actively seeking Living Wage accreditation at the point of joining the group

- membership should be representative of key employment sectors in the city, and key sectors for targeting increases in living wage accreditation
- the group will meet at least quarterly in formal session, with further meetings arranged as required to meet agreed actions
- Secretariat support will be provided by City of Edinburgh Council, Policy and Insight team.

The group will be led by two co-chairs including:

- **A City of Edinburgh Council co-chair** – this position will be held by the Convener of the Council's Housing, Homelessness, and Fair Work Committee, and
- **A Business leader co-chair** - this position is currently open and to be confirmed in consultation with the group.

## Membership

At the time of drafting this plan, the group comprises ten members covering key sectors including:

- Local Authority
- Anchor institutions such as Universities and Chambers of Commerce
- Financial Services
- Tourism and visitor economy
- Hospitality and culture
- Independent retail
- Trades Unions
- Community and third sector

In future development, the group has committed to continued review of membership with new members invited to join to address any identified gaps or priority programmes. In particular, the group has identified an intention to seek members or support from key target areas including the Hospitality, Construction, and Care sectors.

| Name | Position | Organisation | LW status |
|---|---|---|---|
| **Cllr Kate Campbell (co-chair)** | Convener, Housing Homelessness and Fair Work Committee | City of Edinburgh Council | Accredited |
| **Helene van der Ploeg** | Business Manager | Space & Broomhouse Hub | Accredited |
| **Joanne Davidson** | Director of Policy | Edinburgh Chamber of Commerce | Accredited |
| **Meredith Adams** | Sustainability Manager - Social Impact | ABRDN | Accredited |
| **Dougie Cameron** | Chief Operating Officer | Centre of the Moving Image | Accredited |
| **Michael Apter** | Managing Director | Paper Tiger | Accredited |
| **Louise Kidd** | HR Partner Reward | University of Edinburgh | Accredited |
| **Sandy MacDonald** | Director, Public Policy and Communications | Scottish Financial Enterprise | Accredited |
| **Kat Brogan** | Managing Director | Mercat Tours | Accredited |
| **Mary Alexander** | Deputy Regional Secretary | Unite the Union | Pursuing Accreditation |

## Geographical Focus

The work of the group is to focus on influencing employers within Edinburgh City, as defined by local authority boundaries.

In doing so, the group recognises that the city operates within a wider regional economic geography and that partners across the city region are committed to actions designed to promote fair work and living wage accreditation. As such, a priority of the group will be to engage and build links with regional partners to build knowledge, share best practice and maximise available opportunities to build the living wage movement across the region.

## 2.    Setting the context

### City of Edinburgh Profile



Population = 525,000

Working age population expected to grow by 9% by 2040

62% of residents are of working age

CIty of Edinburgh

343,000 jobs in Edinburgh pre-pandemic

79% are Economically Active

High pay, high skilled, low unemployment economy (pre-pandemic)

**Key facts:**

- Average hourly pay in Edinburgh in 2020  £17.49
- But some 37,000 workers earned less than the real Living Wage of £9.50 per hour
- Largest sectors in the city include:
  - Professional and admin services – 60,000 jobs
  - Health and care – 51,000 jobs
  - Hospitality and catering – 33,000 jobs
  - Finance and insurance – 33,000 jobs
  - Education – 33,000 jobs
  - Retail – 27,000 jobs
  - Public sector – 19,000 jobs
  - Arts and Culture – 18,000 jobs

The recovery from pandemic represents the biggest challenge Edinburgh's economy has faced for a generation.  The city remains the most successful economy in Scotland, but over the next decade the extent to which the city can thrive will depend upon the building of a fair and sustainable recovery from the economic storm brought over the past two years.

Evidence tells us that over the next few years:

- **Real recovery will be slow…**  While recent upturns in activity are welcome, projections show that it may be 2026 before Scotland's economy recovers all the output lost during the pandemic.
- **…with a continuing risk of insolvency for many Edinburgh businesses…** The experience of pandemic for many businesses has involved an increase in debt burdens.  Analysis by the Federation of Small Businesses show that Edinburgh firms now carry £0.5bn of additional debt as a result of Covid. 36% of firms are worried about how they are going to make debt repayments.
- **…particularly in key sectors such as Retail, Hospitality and Tourism…** Visitors to Edinburgh fell significantly during 2020 severely impacting on sectors such as retail, hospitality and tourism - hotel occupancy rates in the city were down by over 80% at times during 2020.  While relaxation of covid measures has benefitted these sectors recently, latest data suggests that spend in the city centre is still at least 20% below its pre-pandemic level.
- **Unemployment has risen, but will be slow to fall…** By Spring 2021 over 18,000 people in Edinburgh were claiming unemployment related benefits, more than three times the level recorded pre-pandemic.  The lesson from previous recessions is that unemployment rates are slower to return to normal than other economic indicators, and it may be several years before the labour market returns to the conditions that held pre-pandemic.
- **Inequality is on the increase…**Edinburgh has long been marked by deep inequalities, with the gap between rich and poor larger in this city than anywhere else in Scotland.  The impact of pandemic has been to widen these gaps.

- **…with people on low pay jobs most likely to have lost income…**
  While a substantial proportion of Edinburgh's economy has been able to transition and continue operating through working at home during lockdowns, those in the lowest wage sectors have been most impacted by lost hours, redundancy, or by having to continue to work in difficult conditions
- …**meaning women, young people, people with disabilities, those with caring responsibilities, are all likely to be hardest hit**. These are the groups most likely to work in sectors most affected by pandemic effects. Data shows, for instance, that job numbers among people under 24 are falling twice as fast as the workforce as a whole in Edinburgh.

> *"The wages of average jobs do not keep up with the cost of living…This means working becomes only a means to survival and not prospering."*
>
> **Edinburgh Poverty Commission contributor**

These challenges act to exacerbate the pre-pandemic challenges Edinburgh's economy faced with regard to fair work and poverty. Evidence gathered by the Edinburgh Poverty Commission showed, for instance, that:

- Pre Covid the majority (65%) of people in poverty in Edinburgh were in working households
- Around one in ten (9%) of all jobs were casual, temporary or non-contract.
- In a survey of citizens 'work does not pay enough' was the single factor most commonly raised as a cause of poverty in Edinburgh – cited by 83% of all respondents.
- 27% of Edinburgh jobs do not provide workers with 'satisfactory' pay, contracts, or hours, and
- Approximately 37,000 Edinburgh workers are paid less than £9.50 ph, the current threshold set by the Living Wage Foundation.

## Who is affected by low pay in Edinburgh?

Relatively little firm data is available on the 37,000 people in Edinburgh who work below living wage levels, but much information can be derived from analysis on Scottish datasets and research.

New research published by the Living Wage Foundation, for instance, shows that 11% of workers across Scotland as a whole are affected by low paid, insecure work. Overall, the research shows that:

- 13% of BAME workers are affected by low paid insecure work, as are
- 17% of workers under 25 and 15% of disable workers
- 'Worst' performing nationwide sectors with high employment base in Edinburgh include:
  - Wholesale and Retail – 14% of workers
  - Health and social work – 10% of workers
  - Construction – 19% of workers
  - Hospitality and catering – 22% of workers
  - Arts and culture – 22% of workers
  - Admin and support services – 19% of workers

A July 2021 report by Skills Development Scotland highlights that low pay sectors are likely to be major sources of jobs growth in the Edinburgh and South East Scotland City Region in the near future.

Over 60,500 new job openings are expected to be created by empoyers in Retail, Health, Construction, Hospitality, Arts, and Admin services in the region during 2021-24.

These account for 65% of the total forecast jobs requirement of the whole regional economy.

Further analysis shows that workers who are low paid are also likely to be affected by other aspects of insecure work with:

- 12% receiving less than 24 hours notice for changes to working hours

- 90% get shifts cancelled without full pay, and 42% have experienced unexpected cancellation of shifts
- 35% said short notice periods for shifts had a negative impact on their household finances
- 23-25% said they had had to pay higher transport or childcare costs due to short notice periods for shifts or work schedules.

Overall the connection between these findings and increased poverty is clear. 66% of working adults living in poverty are low paid. In addition to the characteristics cited above, such adults are more likely than average to be women and more likely not to have educational or professional qualifications.

## Living Wage Accreditations in Edinburgh

Latest data shows that over 420 businesses in Edinburgh are accredited Living Wage employers. Excluding very large employers (such as City of Edinburgh Council and University of Edinburgh) these businesses employ an estimated 33,000 jobs in the city, or an average of 79 jobs per accredited business.

In recent years the growth of living wage accreditation in the city has been notable, expanding by an average of 65 new accreditations per annum, or some 4,800 additional covered employees.

Overall, Living Wage accredited businesses account for some 2% of the total business base (20,715 enterprises), but over 10% of total employees in the city.

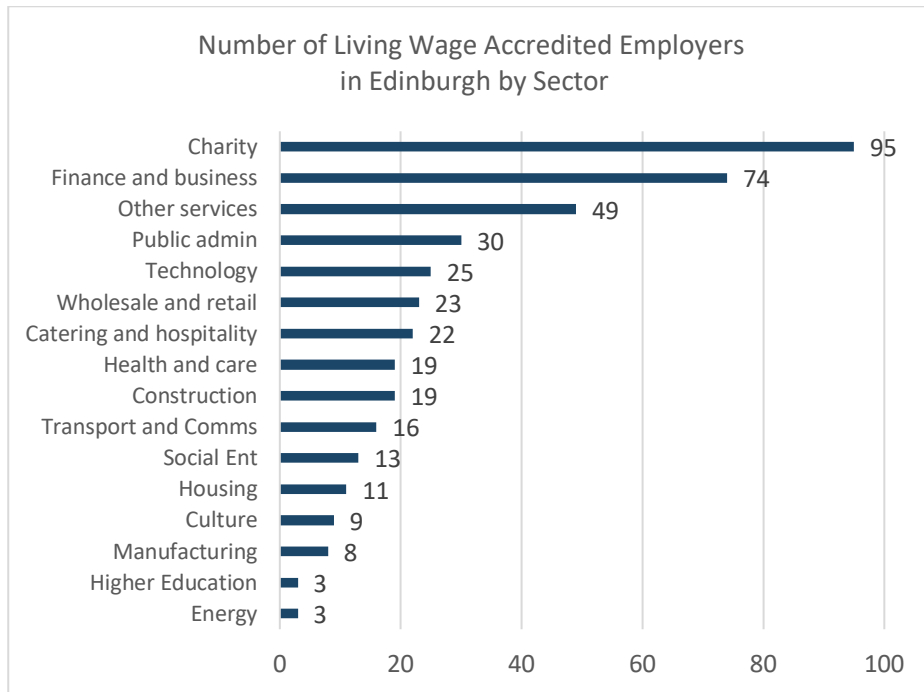| 420 Living Wage Accredited Businesses in Edinburgh | 2% of all employers |
|---|---|
| More than 33,000 people work for Living Wage Employers in Edinburgh | 10% of all employees |



Edinburgh Living Wage Accreditations
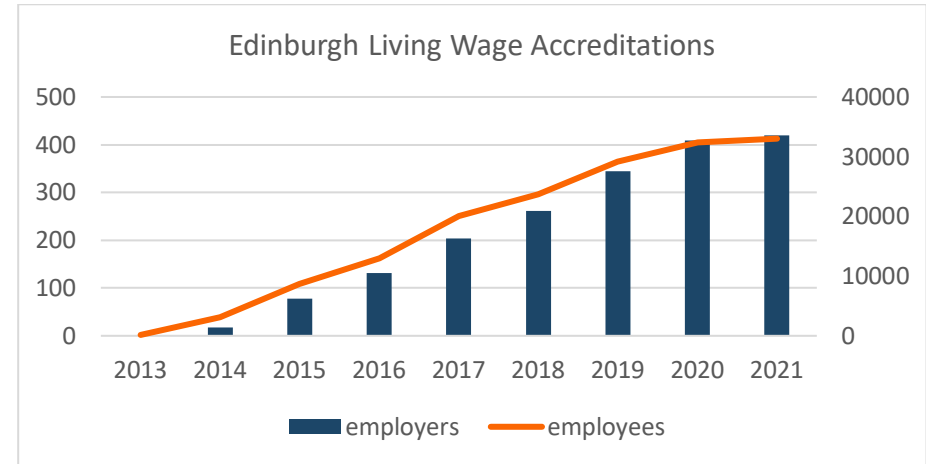
Analysis by sector shows that living wage accreditation take up is highest among charitable sector, financial sector, public sector and other service sector businesses. These four sectors account for almost 60% of all accredited businesses.

By contrast, take up rates are lower in many of the sectors which have been identified as high employers in the city, as well as those which are identified as accounting for high numbers of low paid workers.

For instance:

- Only 23 Wholesale and Retail businesses in the city are accredited, representing only 1% of the 2,425 such employers in Edinburgh
- Only 22 Catering and hospitality businesses are accredited, representing only 1% of the 1,840 such employers in Edinburgh
- Only 19 Health and Care businesses are accredited, despite the sector being one of the largest employers in the city, and
- Only 19 Construction businesses are accredited, representing only 1% of the 1,615 such employers in Edinburgh
- Only 19 Health and care businesses are accredited, representing 1.8%

**Number of Living Wage Accredited Employers in Edinburgh by Sector**

| Sector | Number |
|---|---|
| Charity | 95 |
| Finance and business | 74 |
| Other services | 49 |
| Public admin | 30 |
| Technology | 25 |
| Wholesale and retail | 23 |
| Catering and hospitality | 22 |
| Health and care | 19 |
| Construction | 19 |
| Transport and Comms | 16 |
| Social Ent | 13 |
| Housing | 11 |
| Culture | 9 |
| Manufacturing | 8 |
| Higher Education | 3 |
| Energy | 3 |

Further analysis of accredited businesses in the city identify other areas where improvments may be targeted. For instance:

- Although public sector and charitable sector accreditations are high, there remain significant numbers of notable national and local institutions based in the city which are not currently accredited
- Although accreditation rates in the financial sector are high, there remain significant globally recognised employers based in the city which are not currently accredited
- Not all of the city's major higher and further education institutions are currently accredited

In addition to these, Edinburgh's capital city status offers opportunities to expand the living wage movement into new and influential areas of civic society. Edinburgh is home to sporting, cultural, religious and other institutions with significant influence beyond the boundaries of the city.

As with other sectors, analysis of living wage take up highlights notable target organisations for the Action Group to engage with and promote the benefits and impacts of accreditation.

**Conclusions**

Taken together, these findings suggest that:

- Edinburgh's economy remains at a fragile point in its recovery from pandemic.
- The combination of additional debt and slow recovery in turnover make it a challenging time for any businesses to consider committing to taking on additional costs in the form of higher wages.
- Any action to encourage or promote Living Wage Accreditation among employers in Edinburgh needs to carried out with full understanding of the pressures businesses face, and to be rooted in real engagement with employers from key target sectors.
- At the same time, the city's commitment to eradicating poverty can only be achieved by improving working conditions and moving the city's population of 37,000 low paid workers into real living wage employment
- This will require at least 470 new Living Wage Accredited employers in the city, and
- These new accreditations need to include significant increases in targeted key sectors including Retail, Hospitality, Construction, and Health and Care.

On current trends it would take over 7 years to reach that number of new accreditations, with no guarantee that the level of take up would sufficiently penetrate into the sectors needed for a real improvement in the experience of the lowest paid workers. This suggests that additional, focused activity is needed in the city to promote, engage, and celebrate the living wage movement.

As well as targeted key sectors, however, data also suggests that a strong strategic approach should focus on influencing accreditation and take up in the large number of major employers and nationally important public,

private and third sector institutions in the city which are not yet accredited living wage employers.  While most of these employers are likely to be paying above living wage for most of their staff already, significant impacts can be made by such employers committing to accredition, through:

- Improving and expanding living wage accreditation throughout their supply chains, and
- Providing a strong market signal to all employers and workers that Edinburgh is a city where all workers can expect to be paid at least a real living wage.

The analysis also highlights a number of areas where information available to date is limited and where more learning and research is required.  More work is needed, for instance, to better understand:

- What barriers there are to accreditation among employers in the key sectors highlighted?
- What incentives or support would be most effective in encouraging employers to pursue accreditation?
- What are the most persuasive arguments for businesses considering a commitment to accreditation?
- What examples can we show of the business benefits of accreditation in practice in Edinburgh?
- What evidence can we gather on the impact of living wage accreditation and fair work for workers experiencing poverty in Edinburgh?
- How can we better understand the Gig Economy in Edinburgh, and what actions can we take to support workers in these sectors?
- How can we better understand underrepresented groups with barriers to accessing fair work and living wage jobs (e.g. care experienced, disabled, homelessness, young people, ex-offenders, refugees)?

## 3. Targets

The Edinburgh Poverty Commission set a challenge to End Poverty in the city by 2030. As a key part of this, the commission challenged the city to take 37,000 workers out of low pay, and into secure jobs which pay a minimum of a real living wage.

The analysis above, and this challenge, suggests a number of targets for the Edinburgh Living Wage Action Group to work towards. They suggest that over a five year period, the group should aim to:

- Support an additional 500 Edinburgh businesses over the next five years to become living wage accredited employers
- Assuming an average of 79 employees per accredited business, this provides a target of 40,000 new employees supported by living wage policies
- This implies an overall target of at least 900 living wage accredited businesses in Edinburgh by 2026, or 4% of the current business base.
- This would represent an additional 200 accreditations (or 40 per year) above the recent recorded annual rate of growth.
- This should include targets to ensure that
  o All Edinburgh Partnership Board members are accredited (including NHS Lothian)
  o All Edinburgh Higher and Further Education Institutions are accredited
  o All public sector institutions located in the city are accredited
  o A key target list of other major employers and institutions is agreed by the action group
- In addition to these, targets should aim to ensure at least a double of take up rates in specific key sectors. This includes ensuring an increase in accreditation rates from 1% to 4% in the following sectors such that:
  o An additional 75 accreditations in the Wholesale and Retail sector

o An additional 50 accreditations in the Hospitality and Catering sector, and
o An additional 50 accreditations in the Construction sector, and
o An additional 20 accreditations in the Health and Social Care sector.

All these targets, it is proposed are profiled over five years on a straight line basis, with the recognition that rates of progress will vary around this trend over time.

These targets should be reviewed by the Action Group on an annual basis in light of progress and new challenges.

| | 2021 | 2022 | 2023 | 2024 | 2025 | 2026 | Total |
|---|---|---|---|---|---|---|---|
| **All Sectors** | | | | | | | |
| **New accreditations per annum** | | 100 | 100 | 100 | 100 | 100 | **500** |
| **New employees covered by accreditations** | | 7,900 | 7,900 | 7,900 | 7,900 | 7,900 | **39,500** |
| **Total Accreditations** | 419 | 519 | 619 | 719 | 819 | 919 | |
| **Target sectors** | | | | | | | |
| **New Retail/Wholesale accreditations** | | 15 | 15 | 15 | 15 | 15 | **75** |
| **New Hospitality/Catering accreditations** | | 10 | 10 | 10 | 10 | 10 | **50** |
| **New Construction accreditations** | | 10 | 10 | 10 | 10 | 10 | **50** |
| **New Health and Social Care accreditations** | | 4 | 4 | 4 | 4 | 4 | **20** |

## 4.   Edinburgh Living Wage City Action Plan

This section sets out key actions for partners to commit to towards meeting the targets outlined above.

Progress against these actions will be reviewed on a quarterly basis by the Action Group, with revisions and additions agreed at least annually.

| Edinburgh Living Wage City Action Plan 2021-26 | | | | |
|---|---|---|---|---|
| **1** | **Demonstrate Leadership** | **Lead Partner/Group** | **Yr 1** | **Yr 2** | **Yr 3-5** |
| 1.1 | Identify a business co-chair to provide credible leadership and influence across the business community | Edinburgh LW City Action Group | ✓ | | |
| 1.2 | Maintain members' commitment to living wage accreditation and the living wage movement | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 1.3 | Further encourage accreditation through supply chains of member organisations | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 1.4 | Promote the real Living Wage on member Websites | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 1.5 | Recruit major accredited companies to Edinburgh LW City Action Group where capacity is required | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 1.6 | Review resourcing requirements and seek opportunities for funding to promote living wage city action plan delivery | Edinburgh LW City Action Group | ✓ | | |
| 1.7 | Present Living Wage Action Plan to the Edinburgh Partnership Board to seek the commitment of all members to the plan and encourage all members (including NHS Lothian) to become Living Wage Employers. | Edinburgh LW City Action Group | ✓ | | |
| 1.8 | Agree a refreshed Edinburgh Economy Strategy that puts fair work at the core of the city's economic recovery from pandemic | City of Edinburgh Council | ✓ | | |
| 1.9 | Agree a new City of Edinburgh Council Fair Work Action Plan to set out and drive council actions to promote fair work among employees and businesses in Edinburgh | City of Edinburgh Council | ✓ | | |
| 1.10 | Identify and agree individual group members to lead on specific appropriate actions in this plan | Edinburgh LW City Action Group | ✓ | | |
| | | | | | |
| **2** | **Learn** | **Lead Partner/Group** | **Yr 1** | **Yr 2** | **Yr 3-5** |
| 2.1 | Arrange meetings with senior members of key target sectors to capture insight into sector and opportunities for influence and engagement<br>• Retail, Hospitality and catering, Construction, Care | Edinburgh LW City Action Group | ✓ | ✓ | |

| | | | Yr 1 | Yr 2 | Yr 3-5 |
|---|---|---|---|---|---|
| 2.2 | Hold target sector focused events with businesses to understand barriers to take up and what incentives or support would be most effective in encouraging employers to pursue accreditation | Edinburgh LW City Action Group | ✓ | ✓ | |
| 2.3 | Hold a series of discussion sessions with End Poverty Edinburgh to explore and articulate the importance of fair work on people living in poverty | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 2.4 | Hold workshops with sample employees from member organisations to explore the experience of workers in living wage organisations | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 2.5 | Establish a short-term Gig Economy Forum to understand the real experiences of, and to explore actions that could improve working conditions, rights and quality of employment for workers in the gig economy | City of Edinburgh Council | ✓ | | |
| 2.6 | Engage with underrepresented groups to understand the barriers to accessing fair work and develop an outreach approach of mitigation (e.g. care experienced, disabled, homelessness, young people, ex-offenders, refugees). | City of Edinburgh Council | ✓ | ✓ | |
| 2.7 | Hold workshops with existing living wage employers in Edinburgh to understand and gather case studies on the business benefits of fair work and living wage accreditation | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 2.8 | Explore the potential for use or development of exisiting schemes (including Fair Fringe Charter, Construction Charter, Living Hours campaign and others) to promote living wage take up and wider fair work goals | Edinburgh LW City Action Group | ✓ | ✓ | |
| 2.9 | Engage with national funding bodies to explore ways of embedding living wage and fair work goals within funding agreements for key target sectors | Edinburgh LW City Action Group | ✓ | ✓ | |
| 2.10 | Engage and work with action groups from other UK Living Wage Places to learn from experiences and identify best practice for implementation in Edinburgh | Edinburgh LW City Action Group | ✓ | ✓ | |
| | | | | | |
| **3** | **Promote** | **Lead Partner/Group** | **Yr 1** | **Yr 2** | **Yr 3-5** |
| 3.1 | Launch Edinburgh's accreditation as Living Wage City in LW Week November 2021 | Edinburgh LW City Action Group | ✓ | | |
| 3.2 | Develop and deliver a Communications Strategy to maximise awareness and understanding of the Real Living Wage and this action plan | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 3.3 | Develop and launch a project website and social media presence | Edinburgh LW City Action Group | ✓ | | |
| 3.4 | Promote Living Wage at annual business events, business breakfasts (or others) | Edinburgh Chamber of Commerce | ✓ | ✓ | ✓ |
| 3.5 | Promote the value of LW accreditation to employers and use research data to support such benefits e.g. increased productivity, lower staff turnover etc. | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 3.6 | Assist local applications for UK Living Wage Awards | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 3.7 | Hold sector focused events to raise profile and interest with contributions from advocates/role models from their sector | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |

| 3.8 | Arrange introductory meetings with priority target organisations identified by the Action Group | Edinburgh LW City Action Group | ✓ | ✓ | |
| 3.9 | Arrange an ongoing programme of media content highlighting current LW employers in partnership with City of Edinburgh Council Communications Team | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| | | | | | |
| **4** | **Celebrate** | **Lead Partner/Group** | **Yr 1** | **Yr 2** | **Yr 3-5** |
| 4.1 | Invite all accredited companies to annual LW week celebration & hold bespoke event | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 4.2 | Prepare and publish a suite of case studies of local accredited employers and employees | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 4.3 | Organise an annual Fair Work event to celebrate all Edinburgh's Fair Work Employers | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 4.4 | Arrange for the co-chairs of the Action Group to write in welcome to each new accreditation and support with press release | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 4.5 | Work with local news media to celebrate key milestones achieved towards the action plan's five year target | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| | | | | | |
| **5** | **Monitor** | **Lead Partner/Group** | **Yr 1** | **Yr 2** | **Yr 3** |
| 5.1 | Nominate LW City lead implementation officer | Edinburgh LW City Action Group | ✓ | | |
| 5.2 | Publish annual public report in living wage week each year showing progress towards delivery of action plan | Edinburgh LW City Action Group | ✓ | ✓ | ✓ |
| 5.3 | Report on impact of procurement, community benefits and LW commitments to relevant City of Edinburgh Council Committees | City of Edinburgh Council | ✓ | ✓ | ✓ |

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# Housing, Homelessness and Fair Work Committee

**10.00am, Thursday, 2 September 2021**

## 2022/23 Housing Revenue Account (HRA) Budget Consultation

| | |
|---|---|
| **Executive/routine** | **Executive** |
| **Wards** | **All** |
| **Council Commitments** | |

## 1. Recommendations

1.1 It is recommended that Housing, Homelessness and Fair Work Committee:

1.1.1 Agrees to seek tenants' views on the Housing Revenue Account (HRA) budget strategy and potential mitigations of the one-year rent freeze for inclusion in the 2022/23 HRA budget report;

1.1.2 Notes the potential impact on delivery of the five-year HRA capital programme of rising construction costs, materials and skills shortages and Covid safe operating practices; and

1.1.3 Agrees to receive a report on the outcome of the consultation and the 2022-32 HRA Budget Strategy in January 2022.

**Paul Lawrence**

Executive Director of Place

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# Report

# 2022/23 Housing Revenue Account (HRA) Budget Consultation

## 2. Executive Summary

2.1 The 30-year Housing Revenue Account (HRA) Business Plan 2022/23-2051/52 is the financial framework that underpins the Housing Service. The plan is reviewed annually in consultation with tenants and a five-year Capital Programme and one-year Capital Investment Budget is approved by Council.

2.2 Tenants have previously prioritised the acceleration and expansion of affordable housebuilding, investment in homes to make them more modern and easier to heat, delivered alongside accessible and responsive local services. The report sets out the long term ambitious strategy that seeks to deliver on new build and net zero carbon commitments and move to a holistic area-based approach that takes account of existing and new buildings, easy access to well-designed green, open spaces, local amenities, and connectivity to the wider community through sustainable, affordable travel.

2.3 The business plan is rolled forward annually, this includes a review of the assumptions taking into account delivery to date, revised income and expenditure and wider market impacts. On 18 February 2021, the City of Edinburgh Council approved a composite motion from the Conservative, Green and Liberal democrat groups which agreed '*that there be no rent rise in 2021/22'.* The one-year rent freeze has meant a reduction of £2.014m in projected gross rental income in 2021/22. Unless income is increased in future years to compensate this equates to a £93.921m reduction over the lifetime of the business plan. In addition the review of assumptions, including the impact of Brexit and COVID-19 on increases in material costs and supply chain volatility, has increased the overall gross deficit to £113.412m.

2.4 The report sets out options to mitigate the impact of the reduction in income and increases in costs. These options will be put to tenants as part of the annual budget consultation. Appendix 1 sets out the options that have been developed with the help of Edinburgh Tenants Federation (ETF), Tenant Information Service (TIS) and the Housing Service Improvement Plan working group.

## 3. Background

3.1 On 2 February 2021, Finance and Resources Committee approved the 2021-2031 HRA budget Strategy which included a plan to invest £2.8bn over ten years to deliver Council commitments, including the delivery of new homes, net zero carbon emissions by 2030, funded by a 2% rent increase. The report was referred onto the City of Edinburgh Council for approval.

3.2 The Council also approved the three-year Council Business Plan: Our Future Council, Our Future City which brought together the Council's strategic priorities into a single plan. Over the coming years the focus of the Council Business Plan will be on the following key priorities: ending poverty and preventing adverse outcomes such as homelessness and unemployment; becoming a sustainable and net zero city; and making sure wellbeing and equalities are enhanced for all.

3.3 On 18 February 2021, the City of Edinburgh Council approved a composite motion from the Conservative, Green and Liberal Democrat Groups which agreed *'the recommendations by the Executive Director of Place in the Housing Revenue Account Budget Strategy for 2021/31 and the outline 10-year HRA capital programme 2021-31, subject to agreement that there be no rent rise in 2021/22'*.

3.4 On 18 March 2021, Committee received a report setting out the impact of the one-year rent freeze on the 2021/22 revenue budget, and the potential mitigations that need to be put in place in 2022/23 to secure the 10-year capital investment programme to deliver Council commitments.

3.5 On 3 June 2021, Committee agreed a revised two-year capital investment programme, following consultation with Elected Members. The 24-month programme included an assessment of the impact of further restrictions due to COVID-19 on timescales and the re-profiling of slippage from 2020/21.

## 4. Main report

4.1 The HRA is funded from tenants' rents, fees and service charges for services provided to tenants and assets held on the HRA account. The HRA is self-contained and has no direct impact on the Council's General Fund budget. Each year tenants are consulted on the HRA budget strategy and their investment priorities.

**Current and future priorities**

4.2 Since 2015 the majority (over 80%) of tenants who responded to previous budget consultations have supported the investment plan, funded by a 2% rent increase, identifying the following priorities:

4.2.1 Building new affordable homes;

4.2.2 Investing in making existing homes easier and cheaper to heat;

4.2.3 Improving core housing services, such as day to day housing management, and repairs and maintenance of Council homes, as well as wider estate management; and

4.2.4 Reducing the cost of living through the delivery of a variety of different services, including, for example, an energy advice service, a tenant discount scheme, and community food growing.

4.3 Last year's consultation also sought views on the changing focus of the investment strategy from investing in the interiors of homes, to buildings and neighbourhoods. It generated a similar profile of responses, with 76% of tenants confirming support for the investment plan funded by a 2% rent increase, with a further 22% supporting increasing rents beyond 2%, if priorities could be delivered more quickly.

4.4 The 2021- 2031 HRA budget Strategy approved at Finance and Resources Committee on 2 February 2021 is very ambitious. It seeks to maximise investment and improve performance, whilst not passing the costs directly onto tenants by ensuring there is an affordable and stable rent strategy. A significant amount of the investment programme seeks to ensure homes meet and, where appropriate, exceed Government compliance targets (Scottish Housing Quality Standard (SHQS), Energy Efficiency Standard for Social Housing (EESSH) and EESSH2), health and safety compliance and Council led city wide targets (20,000 new affordable homes and net zero carbon) are met. In addition, the Housing Service is driving forward an improvement plan (HSIP) that seeks to increase satisfaction, improve performance and reduce cost by up to 12% of operating expenditure by 2025/26. It is also seeking to address the mixed tenure challenges through the Mixed Tenure Improvement Service pilot.

4.5 The net zero carbon agenda accounts for almost £0.7bn until 2030. The Council's target is extremely ambitious and is a whole 15 years earlier than that from the Scottish Government. This causes issues in terms of aligning funding to help cover costs.

4.6 The Scottish Government's EESSH2 target is also extremely ambitious, with a target for all Social Landlord homes to meet a minimum Standard Assessment Procedure (SAP) score of 81 by 2032. EESSH2 can in some circumstances be achieved by simply adding a low carbon technology in to a home. This approach does not address underlying building fabric and energy usage issues and ultimately leads to a performance gap where the anticipated energy savings in reality are not being realised by the tenant. As such the Council will be adopting a holistic whole house fabric first approach to meet and exceed EESSH2 where possible. This approach will seek to design out poor performance, effectively save energy as predicted and align energy retrofit and asset management. There is no clear funding strategy for this from Scottish

Government for Council owned homes, which means it falls to rental income to cover the majority of the borrowing costs for the investment.

4.7 Progressing whole house retrofit across mixed tenure blocks will be an additional challenge due to the increase level of investment required by private owners in those blocks. Currently the Scottish Government Home Energy Efficiency Programme for Scotland Area Based Schemes (HEEPS:ABS) programme can help to unlock mixed tenure challenges by supporting owners to invest in energy efficiency measures in their homes. However, this will only go some way to addressing the issue. It is estimated that it could cost on average between £25,000 - £40,000 (depending on the property archetype) for whole house retrofit per flat. The cap for HEEPS:ABS funding per household is £7,500 (£12,000 if homes are seen to be in extreme fuel poverty), so a significant gap remains.

4.8 The core Scottish Government funding programme for the development and delivery of large-scale low and zero carbon heat in buildings projects known as the Low Carbon Infrastructure Transition Programme (LCITP) is not yet fully defined in terms of how this fund will be structured over the coming years. Currently it is difficult to know how this fund will be administered and over what time period. The Council will continue to liaise with Scottish Government to maximise funding opportunities.

4.9 The commitment for the Council to deliver 10,000 of the 20,000 new affordable homes by December 2027 is included within the Business Plan. It is assumed that 50% of these homes will be for social rent, paid for and retained on the HRA. Scottish Government, in conjunction with COSLA, have been working to review grant benchmark levels. The new benchmark proposed to increase baseline grant subsidy for Council social rented homes from £57,000 to £71,500, with further subsidy for additional quality measures for advanced energy efficiency, open space, working space etc.  With the Council's new build homes committed to high quality standards (e.g. already built to 'Silver Standard Active' and piloting a design brief to achieve net zero carbon), it is expected that Council homes could attract grant subsidy of around £80,000.  Whilst this increase is welcomed, it is mostly offset by a significant increase in costs, following a review of core assumptions. Also, unless overall funding increases, fewer homes could be delivered. Officers continue to work with Scottish Government to mop up any underspends across the national programme and to increase overall funding allocation for Edinburgh.

**Reviewing the Business Plan**

4.10 Each year the 30-year financial model is reviewed (the HRA Business Plan) and rolled forward. A detailed review of assumptions is carried out. Assumptions are benchmarked against peers and where relevant, include market and industry standards.

4.11 This year's review of the business plan financial assumptions is taking place against a notably challenging background; including recent significant COVID-19 and Brexit related materials costs and supply volatility, a national and international focus on construction as a key economic recovery vehicle resulting in world-wide materials shortages, skills shortages across the construction sector, particularly around low carbon solutions and a sudden step to an extremely buoyant construction sector and housing market.

4.12 There are some assumptions that have improved the financial position, some that have not changed and others that have had a negative impact. These are set out in detail in the financial section of the report. Overall, the impact of increasing capital investment costs as a result of COVID-19 and Brexit, when compounded by the reduction in income (as a result of the rent freeze), has resulted in a baseline business plan that shows a gross deficit of £113.412m, starting in 2028/29 and lasting until the end of the business plan. During the deficit period (24 years) there is an annual average of £4.726m of expenditure above income. All reserves are exhausted by year six.

**Funding the Strategy**

4.13 In order to bring the HRA business plan back into a healthy position a variety of different options need to be considered:

4.13.1 **Increase income -** a rent increase of 5.0% would be required in 2022/23. This would be an average weekly increase of £5.11 across all homes.

4.13.2 **Deliver investment over a longer period of time -** The 2021/22 HRA Budget Strategy sought to build 10,000 new Council led homes by 2027, achieve net zero carbon by 2030 and bring existing homes and neighbourhoods up to similar standard of new build over the next 20 years. If the whole house retrofit programme was delivered over the same timescale as that of Scottish Government (by 2045), this would substantially reduce borrowing requirements and return the business plan to surplus.

4.14 Cost reductions were considered but have been removed from the final options. The Housing Service Improvement Plan assumes a 12% reduction in annual expenditure by 2025/26. This is already an ambitious improvement programme. It is therefore not realistic to assume that a further reduction in revenue expenditure could be achieved through efficiencies alone. A 5% reduction in the overall capital investment programme would bring the HRA back into a stable position, however it is more realistic to explore delivering investment over a longer period of time rather than reducing the overall number of new homes built or those brought up to net zero carbon standards. The consultation takes into account long standing priorities of tenants and political commitments and presents options for delivering these outcomes over different timeframes based on the level of rental income that can be raised.

4.16    The HRA business plan and associated rent levels are reviewed, consulted on and ultimately approved by Council each year. Keeping tenants at the heart of service design remains critical, however, the short-term view of funding against a long-term view of investment is challenging and has its limitations. It can take on average around three years to build a home from inception to completion (acquiring land, design and planning, procurement and construction). Similarly, large scale refurbishment/regeneration projects can take around 12 months to design, procure, seek statutory approvals and carry out construction. In addition to this, a longer-term rent strategy provides certainty and stability to tenants, so they are not impacted by sudden changes in the market year to year. It also provides opportunities for improved treasury management. The more certainty that can be given in the medium to long term capital programme can enable officers to maximise favourable borrowing opportunities.

4.17    Back in 2007, the Council agreed to a five-year rent structure to deliver the SHQS. This year, as part of the consultation, tenants will be asked if they would be open to a longer-term rent strategy that locked in rent increases over the next three to five years. Regardless of whether a long-term rent strategy is preferred, tenants' views would continue to be sought annually through a regular process of tenant engagement and customer insight.

4.18    A ring-fenced contingency was established in 2017/18 to mitigate the impact of lower than expected income recovery and/or unexpected increases in expenditure. The HRA business plan assumes a £15m contingency fund will be built up by the end of 2022/23, rising to £25m by 2026/27. Depending on the rent strategy and associated mitigations adopted for 2022/23 (as set out in Appendix 1) this contingency would never drop below £10m throughout the lifetime of the HRA business plan. If rents were not increased in 2022/23 and mitigations not employed the contingency and reserves would be exhausted by year five (2026/27) and the business plan would have a £196.343m deficit, starting in 2027/28.

**The Consultation**

4.19    The consultation has been designed and developed in conjunction with the Tenant Information Service, Edinburgh Tenants Federation and the Housing Service Improvement Group (formerly the Rent Matters Working Group) made up of individual tenants as set out in Appendix 1.

4.20    Officers and tenants have met three times since July 2021 to help plan and deliver this year's consultation. The group have helped to shape the core messages and questions that have made up this year's consultation, with a focus on using plain English and including relevant information to help ensure the consultation is as accessible as possible.

4.21    The group felt it was important to establish whether tenants get some help with their rent and whether that impacts on the way in which they vote. They also felt the use of figures was more meaningful to tenants than percentages which have

been used in previous years. In addition, the group have supported the continued inclusion of free text boxes alongside multiple-choice questions, to allow tenants to expand on their answers. This feedback has been reflected in this year's questions.

4.22    The group also helped to develop the way the budget consultation questions are presented to tenants. Every tenant will receive a letter inviting them to respond to the budget consultation. This will include a table illustrating what the various rent options would mean by property type, along with supporting information to help bring the HRA Budget Strategy to life and make it real for tenants.

4.23    Colleagues from Communications have helped to develop the design for the consultation and the associated promotional materials. This year, there was a particular focus on the design of the letter to tenants, to make this eye catching and distinctive from other Council communications. It was also important to ensure a balance between written information and visual depictions.

4.24    Last year's budget consultation was adapted in response to the Covid pandemic, which meant it was not possible to carry out face-to-face promotion such as roadshows in local council offices and door knocking. However, the range of other promotional platforms used for the consultation meant that every tenant was still given an opportunity, and a variety of options, to participate. National feedback from tenant participation organisations and forums indicates a continued trend away from face-to-face as the default option for tenant engagement. The last eighteen months have led to increased awareness of and confidence in the use of other methods, including digital, with many tenants engaging differently and in ways they hadn't previously considered. The national picture indicates that this will continue to be built on, with tenants offered a range of ways to engage.

4.25    Assuming the report is approved, the consultation will launch on Monday 6 September and run for ten weeks. It will be promoted in a range of ways, including individual letters posted to every tenant; an online consultation; social media; text messaging; communications to Registered Tenant Organisations; email footers for Council officers; and through word of mouth.

4.26    In addition to the above methods, tenant focus groups will be carried out and the consultation questions will also be included in the annual Tenants Survey. The Tenants' Survey is carried out by an independent third party, procured by the Council. The Council provides a random sample of tenants contact details, weighted by locality. As was the case last year, this year's survey will again be carried out via telephone. The survey will run alongside the budget consultation between September/ October 2021 and will capture 1,000 survey responses (a statically robust sample size). Tenants will be surveyed from all property types and from all localities.

## 5.    Next Steps

5.1    Assuming the report is approved, the consultation will launch on Monday 6 September and run for ten weeks.

5.2    Workshops will be held with elected members on investment priorities and different options for funding the strategy.

5.3    Officers will continue to work with Scottish Government to maximise funding opportunities for new affordable homes and energy efficiency measures.

5.4    The outcome of the consultation and draft budget strategy will be presented to Housing, Homelessness and Fair Work Committee in January 2022.


## 6.    Financial Impact

6.1    The 2021/22 HRA Budget Strategy, funded by annual 2% rent increases, presented at Council on 18 February 2021 set out a healthy 30 year business plan. It projected a small deficit of £25.300m between years 9 and 21 (2029/30 and 2041/42); with an average annual deficit of £1.9m over these 13 years; less than 1.2% of average annual expenditure. The deficit only related to in year expenditure exceeding income, there was enough in reserves to completely offset it. The HRA was in net surpluses of £84.3m over 10 years and £137.0m over 30 years.

6.2    The rent freeze in 2021/22 increased the overall deficit by 179% from £25.300m to £70.594m, lasting two years longer (2029/30 – 2043/44). The reserves and ringfenced contingency were exhausted by year 13 (five years into the deficit period), only recovering in year 30 of the plan.

6.3    The Business Plan is reviewed annually and is rolled forward based on the previous year's outturn and approved rent levels.  Key assumptions have been updated. A summary of the key changes is set out below:

6.3.1    **Investment in existing homes and estates** – the core capital investment assumption on existing homes and estates has increased by c.9% over the first ten years of the Business Plan (before inflation). The increase is mainly due to using more informed assumptions for Whole House Retrofit investment based on the design principles and stock condition work currently underway.

6.3.2    **Investment in new building development** – the investment on building new homes has increased by c.20% (before inflation) as a result of higher development costs to achieve net zero carbon measures, automatic fire suppression systems and wider place making, as well as increased material and labour costs; though the increased costs is partly offset by the increased grant subsidy assumption as discussed in paragraph 4.9.

6.3.3 **Tenants claiming Universal Credits (UC) and rent arrears** – an increased number of tenants are expected to make claims for UC and/or accumulating higher amounts of rent arrears due to reduced or loss of household income as a result of Covid, affecting rental collection.

6.3.4 **Inflation and resources to deliver the capital programme** – the inflation applied to capital investment has been increased based on market intelligence/ industry projection, anticipating the impact of COVID-19 and Brexit on increasing material and labour costs. Resources have also been increased to deliver the ambitious capital investment programme, both internally and through the commission of external consultants to help progressing the WHR strategy and area-based regeneration.

6.4 The overall impact of the changes has resulted in the deficit further increasing to £113.412m, starting in 2028/29 and last to the end of the business plan); with an average annual deficit of £4.726m over these 25 years. The reserves and ringfenced contingency are exhausted by year six.

6.5 The graph below sets out the original 2021/22 budget strategy (funded by 2% rent increases), the revised BP with 0% rent increase in 2021/22 and 2% thereafter and the revised impact on reserves and contingency as a result of the review of the core business plan assumptions.
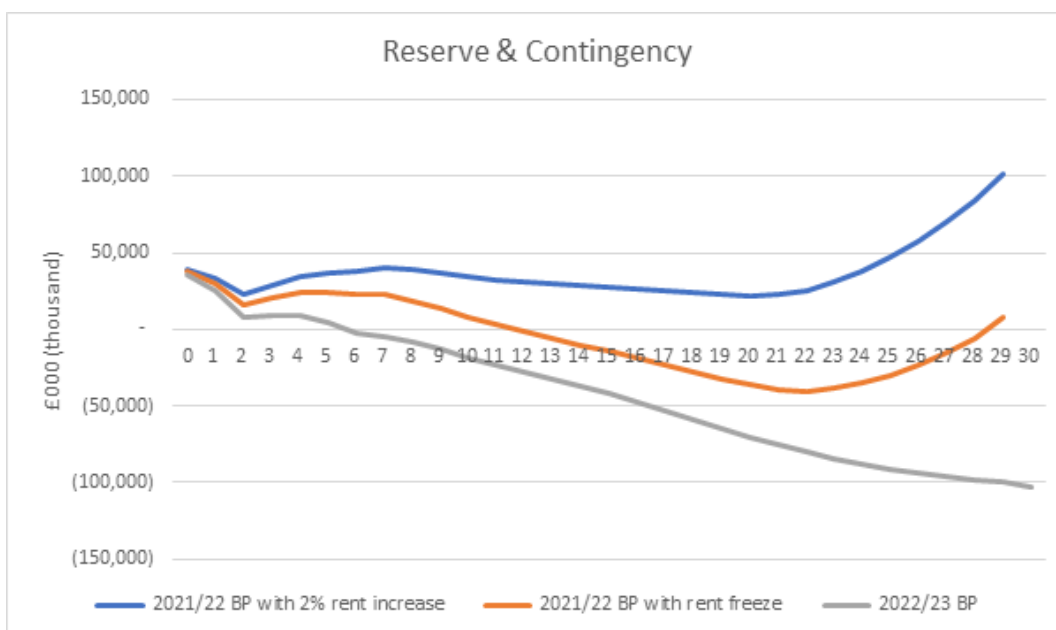


6.6 If a rent freeze was agreed for a further year (2022/23, followed by 2% thereafter) the HRA business plan would sink further into deficit (£196.343m from 2027/28 until the end of business plan), with the reserves and ringfenced contingency exhausted by year five (2026/27). Elongating capital investment would not be enough to bring the plan back into surplus; it would either require significant rent increases or a further reduction in housing management. This could not be achieved through efficiencies alone and would require the withdrawal or reduction of housing services.

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6.7 The HRA business plan seeks to drive forward an ambitious investment programme, whilst also keeping rents affordable. The HSIP aims to make the housing service as efficient as possible, as well as levering in external funding from government to reduce the cost of investment passed onto tenants.

6.8 A small deficit can be managed on a programme of this scale and longevity. All the options set out in the consultation (Appendix 1) ensure that the Business Plan is not in deficit in the first 10 years, with it returning to surplus over the 30 years and retaining a small contingency balance throughout. In any given year the average deficit is no more than £2m (less than 1% of operating expenditure). The first 10 years of the programme seeks to meet the Council's new build commitment (10,000 homes) and significantly improve existing stock, including a large majority of the Net Zero Carbon retrofit target. Financial planning becomes less accurate in the medium to long term. It is likely there will be cost savings in the retrofit investment due to improving technology and as the sector grows and matures, providing a more cost competitive market.

## 7.    Stakeholder/Community Impact

7.1 Each year the views of tenants are sought on the HRA budget strategy, investment plan, services and associated rent levels.  In addition to helping to plan the annual budget consultation, the Housing Service Improvement Group have a role in monitoring and shaping the HSIP.

7.2 There is a regular programme of tenant engagement and customer insight.  This includes regular satisfaction surveys, focus groups, tenant panels, tenant led service inspections and scrutiny, resident and community meetings.

7.3 As part of the current Service Level Agreement with ETF work is underway to jointly develop a revised Tenant Scrutiny Framework.  The scrutiny framework will support the delivery of the Tenant Participation Strategy objectives and will detail roles and responsibilities of all key partners; accountability structures; how tenant's views are gathered and how these influence decisions taken in relation to housing service including HSIP.

7.4 The annual Tenants' Survey is carried out by an independent third party, procured by the Council. The Council provides a random sample of tenants contact details, weighted by locality.

7.5 As part of ongoing work to develop our approach to the delivery of neighbourhood management and improvements, further engagement on the future approach to Neighbourhood Environment Projects (NEPs) will be carried out with tenants' groups, Neighbourhood Networks and elected members to explore how communities can be best supported to influence how the investment in their local neighbourhoods is prioritised.

## 8. Background reading/external references

8.1 Housing Revenue Account (HRA) Budget Strategy 2021/22, Housing, Homelessness and Fair Work Committee, 5 November 2020.

8.2 Housing Sustainability Update, Housing, Homelessness and Fair Work Committee, 5 November 2020.

8.3 HRA Budget Strategy 2021-31, City of Edinburgh Council, 18 February 2021.

## 9. Appendices

9.1 Appendix 1 – 2022/23 DRAFT Budget consultation questions.

## Appendix 1 – Rent Options

*The consultation has been designed and developed in conjunction with the Tenant Information Service, Edinburgh Tenants Federation and the Housing Service Improvement Group (formerly the Rent Matters Working Group) made up of individual tenants.*

*The proposed rent options for this year's budget consultation are set out below.*

*Question: The rent freeze in 2021/22 means that we have less money available to invest in Council homes and neighbourhoods. In order to be able to afford all the investment already committed to, we would need to deliver the investment over a longer period of time. We are considering five options for rent increase in 2022/23. If we increase the rents by a higher amount, we will be able to deliver the investment in line with the original timescale. If we increase the rents by a smaller amount, the investment will take longer than originally planned.*

*Please select the option you support below and let us know your view on the rent increase options.*

| Rent increase option for 2022/23 | Average fortnightly rent increase | Make all homes net zero carbon | Gross deficit | Deficit years | Lowest contingency balance |
|---|---|---|---|---|---|
| 1.8% | + £3.68 per fortnight | Take eight years longer than original timescale | £5.857m | 2036/37 to 2040/41 (5 years) | £12.486m |
| 2% | + £4.08 per fortnight | Take seven years longer than original timescale | £11.720m | 2036/37 to 2042/43 (7 years) | £12.883m |
| 3.0% | + £6.13 per fortnight | Take five years longer than original timescale | £8.257m | 2035/36 to 2043/44 (9 years) | £10.226m |
| 4.0% | + £8.17 per fortnight | Take two years longer than original timescale | £11.401m | 2032/33 to 2043/44 (12 years) | £11.943m |
| *5.0%* | *+ £10.21 per fortnight* | *Original timescale by 2030* | *£13.431m* | *2029/30 to 2042/43 (14 years)* | *£12.731m* |

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# Housing, Homeless and Fair Work Committee

**10.00am, Thursday, 2 September 2021**

# Rent Collection and Assistance for Council Tenants

| | |
|---|---|
| **Executive/Routine** | Routine |
| **Wards** | All |
| **Council Commitments** | |

## 1. Recommendations

1.1 Housing, Homelessness and Fair Work Committee is asked to:

1.1.1 Note the information provided on the Council's rent collection service and the legal protections and processes for formal action to recover arrears where this is required;

1.1.2 Note the approach taken to provide advice and support to help tenants remain in their homes;

1.1.3 Note that formal debt recovery action recommenced with the Scottish Government moving Edinburgh into level 0 Covid-19 lockdown restrictions;

1.1.4 Note the information on the steps being taken by the Council to support tenants in the Private Rented Sector to prevent homelessness; and

1.1.5 Agree to discharge the amended motion on the suspension of eviction action against tenants for rent arrears as approved at the City of Edinburgh Council on 24 June 2021.

**Paul Lawrence**

Executive Director of Place

Contact: Elaine Scott, Housing Services Manager

E-mail: elaine.scott@edinburgh.gov.uk | Tel: 0131 529 2277

# Report

# Rent Collection and Assistance for Council Tenants

## 2.    Executive Summary

2.1    This report responds to and seeks to discharge the amended motion on eviction action against tenants for rent arrears as approved at the City of Edinburgh Council on 24 June 2021.  It provides information on operational practice in the management of Council tenant rent arrears, tenant representative views and the legal protections and processes by which formal action to recover arrears is taken where this is required.

2.2    Any tenant who has concerns about being able to pay their rent or who gets into arrears is offered every advice and support to help them remain in their home wherever possible.  The overall approach supports the Rapid Rehousing Transition Plan (RRTP) objective and activities around the prevention of homelessness, is in line with best practice and focuses on early intervention.  All attempts to prevent legal action are taken through proactive and ongoing engagement with tenants and/or any support or advice agencies who may be assisting them.  Formal action up to and including eviction action is only used as a last resort measure.

2.3    A multi-disciplinary response team for Council tenants who are at high risk of court/eviction action, has been formed as part of the RRTP.  The team brings together officers from across the Council to provide joined up advice and support services, with the aim of keeping tenants in their home and preventing homelessness as a result of tenancies being abandoned or eviction action.

2.4    As a response to the growing number of homeless presentations from the private rented sector (PRS), a PRS team has also been developed as part of the RRTP. The aim of this team is to reduce the number of people becoming homeless from the private rented sector and to work with private landlords and lettings agents to support households to access mid-market rent (MMR) and private rented housing. The report also provides information on the legal processes for any eviction action that apply to tenants renting from private landlords/letting agents.

## 3.    Background

3.1    The Council's approach to the collection of rent for Council homes is based around best practice and aims to prevent tenants getting into debt they cannot afford.

Tenants are encouraged to engage as early as possible with the housing service and a wide range of support and advice services are available to help tenants to meet their rent payment responsibilities.

3.2     The focus since the start of the Covid-19 pandemic has been to maintain essential income collection to the Housing Revenue Account (HRA) balanced with the need to support tenants who were struggling to pay rent due to changes in their circumstances. The Rent Service for tenants has continued to be provided with some changes implemented to limit face to face contact to ensure safety of the tenants, the public and staff.

3.3     There are legal protections in place that set out pre-action requirements that must be met before social landlords can take any formal action to recover rent due. These requirements ensure that the Council as a landlord has done everything possible to engage with tenants in arrears, including assistance being provided on Housing Benefit (HB)/Universal Credit (UC), tenants being aware of independent advice available to them and reasonable repayment arrangements being offered.

3.4     The Council benchmarks on an ongoing basis with other social landlords on rent collection/arrears management, Welfare Reform including UC and the approach during the Covid-19 pandemic through the Scottish Housing Network and Scottish Rent Forum.  These benchmarking forums include Council landlords across Scotland, and they support the sharing of information, operational practices and the development of best practice in rent collection services.  Officers also work closely with the Council's Advice Shop, Department of Work and Pensions (DWP) and independent Advice Agencies in Edinburgh who help tenants with debt and other wider support needs.

3.5     Through the Coronavirus (Scotland) Act (2020) the Scottish Government put in place additional protections for tenants in the social and private rented sectors facing difficulties in meeting their rent payment responsibilities during the Covid-19 pandemic.  These measures currently remain in place up to 31 March 2022.  The Scottish Government has however made it clear that the changes brought in through the emergency legislation do not affect tenants' obligations under their tenancy agreements and joint statements were issued from Scottish Government and key stakeholders covering the social and private rented sector regarding the use of eviction action.

3.6     As agreed by Full Council no new notices of proceedings for court action due to rent arrears, requests for decrees in court or enforcement of decrees were actioned between the Council decision on 24 June 2021 and Scottish Government moving Edinburgh to level 0 lockdown restrictions on 19 July 2021. Eviction action remains a last resort, but court action remains an essential measure that often triggers engagement with the tenant to help them resolve their arrears.

## 4. Main report

4.1 The Council has a duty to collect the rental income and to ensure equal access and a consistency of service to tenants. Payment of rent is every tenants' responsibility, and this is reinforced from the start and throughout their tenancy with the Council. The Council Rent Service is focused on early intervention and provides every advice and support to help tenants stabilise the underlying cause of arrears and to offer affordable repayment arrangements based on the individual household circumstances. Support is also available through the Income Maximisation Service, the Council's Advice Shop and on how to apply for appropriate financial assistance for any households that are struggling to pay, such as Discretionary Housing Payments and Scottish Welfare Fund Crisis Grants. Information and advice on employability services can also be provided where appropriate.

4.2 Formal debt recovery processes are only considered as a last resort but are an essential measure in maintaining a payment culture that helps mitigate the financial risks to income that pay for the service and helps fund investment in existing and new homes. The use of formal debt recovery action including the serving of new notices of proceedings during the current Covid-19 pandemic is aligned with the practice adopted by most social landlords to manage the risks to income collection and of tenants getting into high levels of debt.

4.3 Edinburgh Tenants Federation (ETF) have consistently reinforced that tenants should meet their rent payment responsibilities but emphasise the importance of tenants coming forward to get advice and assistance if they are having difficulties to avoid them getting into debt. An assessment of the effectiveness of the rent communications used by the Council was the last Tenant Led Inspection carried out on the Housing Service. This covered general communications to tenants on their rent payment responsibilities and communications to tenants in arrears on ways to access support and advice.

4.4 Regular dialogue is maintained with ETF and other agencies providing advice and/or support to tenants to look at ways to get tenants to engage as early as possible with the range of advice and assistance available. They are also kept up to date and input where relevant into improvements being made to Rent Services and as part of the Housing Service Improvement Plan.

4.5 As requested in point 6 of the motion engagement was undertaken with ETF representatives on any additional measures that could be put in place to help avoid court proceedings being necessary. The following were identified as potentially beneficial in encouraging more tenants to come forward to get the advice and assistance available at an early stage and work is being taken forward jointly with ETF to implement the suggested actions.

4.5.1 Joint development of a communications plan to encourage tenants to come forward for advice and assistance not just on rent payments but wider household costs such as energy; and

4.5.2    Importance of face to face contact with officers was noted and it was agreed to look at how we can safely return to providing opportunities for tenants to get advice through initiatives such as drop in events within the Localities.

4.6    The Council will continue to make sure that tenants benefit from any current and future financial assistance which may be made available by the Scottish Government to help anyone who may be struggling financially as a result of the Covid-19 pandemic. A list of services and information on a range of potential assistance available to help alleviate financial hardship is provided in Appendix 2.

4.7    Where it has not been possible to sustain the tenancy, information is provided and followed up with households to ensure they know how to access assistance from homeless services if this was required. No evictions from Council tenancies have been carried out since the initial Covid-19 lockdown in March 2020. During 2019/20 there were 25 evictions for rent arrears.

4.8    During 2020/21 tenant rent arrears increased due to a significant number of tenants facing changes in their household financial circumstances and the suspension of formal debt recovery measures to ensure tenants were not at increased risk of losing their home during the Covid-19 pandemic. Rent collected as a percentage of total rent due was 96.8% compared to 99.6% for 2019/20.

4.9    The average level of debt for tenants in arrears at the end of March 2021 was £1,184. The level of individual debt however varies significantly with over 500 tenants with a history of non-payment and debt levels of over £4,000 and 20 of these having debt of over £10,000. Formal debt recovery processes, that can often trigger engagement, remain an important measure in getting tenants to engage. Every effort is then made to stabilise the arrears and to seek reasonable repayments to pay back the outstanding rent due. For some households the repayment periods will be lengthy due to the balances outstanding and the level of repayments that are reasonable given the households financial circumstances.

**Formal Debt Recovery Processes for Council Tenants**

4.10   Before the Council can progress to serve a Notice of Proceedings to start the formal stage of debt recovery through the Sheriff Court it must demonstrate that it has complied with statutory pre-action requirements introduced under the Housing (Scotland) Act 2001 as amended in 2010 Act. The approach has always been for court action to be utilised as a last resort and the Council had been operating with similar pro-active measures to help avoid the need for eviction action prior to these becoming mandatory. The requirements for social landlords are to:

- Give clear information about the tenancy agreement and the unpaid rent or other financial obligations;
- Make reasonable efforts to give help and advice on eligibility for HB/UC housing costs and other types of financial assistance;
- Give information about sources of help and advice with the management of debt;
- Make efforts to agree with the tenant a reasonable plan for future payments;

- Consider the likely result of any application for HB or housing costs that has not yet been decided;
- Consider other steps the tenant is taking which are likely to result in payment within a reasonable time; and
- Consider whether the tenant is complying with the terms of an agreed plan for future payments.

4.11 During the Covid-19 pandemic the Scottish Government introduced emergency legislation to provide additional protection from eviction for tenants in the social and private rented sectors. For Council tenants the Coronavirus (Scotland) Act 2020 extended the period for Notices of Proceedings (legal notice to inform tenants that their landlord intends to take their case to court) to become valid from 28 days to six months. There was also a ban on evictions being enforced when Local Authority areas were in tier three or four Covid-19 lockdown levels.

4.12 Work to engage and support tenants continues during the period until the notice becomes valid to seek to prevent further action being necessary. Where decree for eviction is awarded by the Sheriff Court, the Council does not automatically enforce the legal authority to repossess a tenants' home but these being granted can often trigger a response where all other contacts attempts or attempts to work with the tenant have been unsuccessful. Decrees are valid for a period of six months, and the Council will continue to work with the tenant to try to keep them in their home.

4.13 Court action and potential eviction has always been a last resort measure but as part of ongoing improvements to the Rent Service an additional checkpoint has been introduced to the process before arrears cases would be considered for court. This makes sure any formal action is only considered if there is long standing history of failure to pay rent, extending before the Covid-19 pandemic and/or there is evidence the household could pay but is choosing not to. Additional checks are then carried out to confirm all the pre-action requirements have been met after which cases will be referred on to a new multi-disciplinary team as a final offer of support and assistance.

**Multi-disciplinary Team**

4.14 As reported to the Housing, Homelessness and Fair Work Committee on 3 June 2021 a multi-disciplinary team including was established as part of the RRTP to develop a joined up response for Council tenants who are at serious risk of court/eviction action and are not engaging with their housing officer. The overall purpose of the team that includes representation from Housing, Homelessness, Advice Services, Family and Household Support, Adult Protection, and Children and Families Social Work Services is to actively reach out to offer a range of support to tenants, with the aim of keeping the them in their home, thus preventing homelessness.

4.15 Initial outcomes for this targeted approach are positive with the majority of tenants who have engaged with the team currently engaging with support and assistance to sustain their tenancy, the authority to progress with eviction action is on hold and potential homelessness is being prevented. Of the initial 19 Council tenants with

long term/and or significant arrears referred through the multi-disciplinary team 84% (16 tenants) have positively engaged with the support. During the first quarter of 2020/21 there have been 32 referrals and the team are now working with a further 24 households with attempts being made to establish contact, offer support and to develop trusting relationships.

4.16    In response to point 6 of the motion to look at ways to encourage tenants to engage early and constructively with the council when arrears problems first emerge and the RRTP objective to prevent homelessness work is being taken forward to:

4.16.1 Consider how the multi-disciplinary approach can be extended to identify households who may be at a higher risk of homelessness and where a focused response across services may be beneficial at an earlier stage;

4.16.2 Improve pre-tenancy advice and information including information on rent payment responsibilities, planning for household costs and getting support early for any pre-existing debt;

4.16.3 Look at alternative methods of communication with tenants on rents such as automated text messaging and more use of email that is increasingly being used by tenants as their preferred communication method; and

4.16.4 Continue to implement more convenient ways for tenants to pay including the use of a mobile app and text payments.

**Private Rented Sector**

4.17    Similar to the social letting sector there are some legal protections in place for the PRS and landlords/letting agents have to follow specific legal procedures if they want to evict tenants and tenants do not need to leave their tenancy until an eviction order is granted by the First-tier Tribunal for Scotland. Under the additional Covid-19 pandemic protections landlords need to give tenants six months' notice unless they are ending the tenancy for certain specified reasons such as criminal behaviour by the tenant. There are also pre-action requirements similar to those in the social rented sector that must be met before landlords can seek to end a tenancy on the grounds of rent arrears. All grounds for eviction in the private rented sector are currently discretionary rather than mandatory, ensuring that a Tribunal will be able to consider the impact Covid-19 has had on both the landlord and tenant being taken into account before deciding whether it is reasonable to issue an eviction order or not.

4.18    Between 1 April 2020 and 30 June 2021 there were 2,550 homeless presentations, with 286 (11%) households presenting to the Council after losing their tenancy in the PRS.

4.19    A PRS team was established in November 2019 in response to a growing number of homeless presentations from the PRS. The aim of this team is to reduce the number of people becoming homeless from private rented accommodation and to work with private landlords and lettings agents to establish the PRS as a housing option for homeless households.

4.20 The PRS service has been maintained during Covid-19 pandemic and the team have been working with tenants and landlords to ensure that households' rights are protected. When required staff have mediated between tenants and landlords to achieve good outcomes for households, including the removal of threat of eviction, resolution of outstanding issues including repairs and negotiating more affordable payment plans for repayment of arrears.

4.21 The PRS team have assisted 367 households, with homelessness prevented for 66% of households (244 cases) with a move to a new PRS or MMR tenancy or the household being supported to remain in their current PRS tenancy. 123 households who had been assessed as homeless prior to the PRS team having contact were also moved on to new PRS or MMR tenancies

4.22 A financial inclusion officer is now in place to work with households to look at affordability (ensuring best options are provided), repayment plans and applications for financial assistance to help reduce rent arrears. They have secured over £100,000 in financial assistance for households including Discretionary Housing Payments, Scottish Welfare Fund and wider welfare benefit entitlements depending on the household circumstances.

4.23 The Council also commissions Crisis to deliver Edinburgh Help to Rent. This is a scheme to help homeless households' access and keep a private rented tenancy in Edinburgh. The scheme provides a rent deposit guarantee bond and offers rent in advance, furniture and access to support if needed. Since its inception 97 bonds have been issued.

## 5. Next Steps

5.1 Officers will continue to engage with other agencies and key stakeholders to share information and develop good practice to support Council and PRS tenants and seek to prevent them losing their homes.

5.2 The actions set out in section 4.5 and 4.16 will be further developed and implemented.

## 6. Financial impact

6.1 The Housing Service is funded from tenants' rents, fees and service changes for services provided and assets held on the HRA account. Improvements to tenants' homes and the Council house building programme is funded primarily from rental income. There are potential risks to income collection if formal debt recovery processes were not to be not utilised as one of the essential measures used to help tenants meet their rent payment responsibilities.

6.2 More information on the HRA Business Plan and the contingency funds to mitigate risks to income collection are detailed in a separate report to this Committee on the HRA Budget Strategy 2022/23.

6.3    The RRTP incorporates a plan increasing investment in early intervention and prevention, such as the PRS team, to reduce the demand for temporary accommodation.

## 7.    Stakeholder/Community Impact

7.1    Each year the views of tenants are sought on the HRA budget strategy, investment plan, services and associated rent levels. There is a regular programme of tenant engagement and customer insight.  This includes regular satisfaction surveys, focus groups, tenant panels, tenant led service inspections and scrutiny, resident and community meetings and annual budget consultation.

7.2    The Rent Service provided to tenants including payment options, welfare reform and service improvements are discussed at regular meetings with ETF.

## 8.    Background reading/external references

8.1    Rapid Rehousing Transition Plan – Annual Update on Progress, Housing, Homelessness and Fair Work Committee, 3 June 2021

## 9.    Appendices

9.1    Appendix 1- Motion on Suspension of Eviction Action Against Council Tenants for Rent Arrears agreed by Full Council on 24 February 2021.

9.2    Appendix 2 - Advice Services/Financial Assistance.

**Appendix 1**

Motion on Suspension of Eviction Action Against Council Tenants for Rent Arrears agreed by Full Council on 24 February 2021.

1)  Notes that since February/March 2021, the Council has served around 20 notices of proceeding for court action on tenants for rent arrears and that since the Sheriff Court re-opened in October 2020, decree has been granted to the council in eight cases. The decrees are valid for a period of up to six months.

2)  Further notes that none of these have been progressed to eviction.

3)  Acknowledges that substantial advice and assistance is offered to tenants before an eviction notice is pursued, and that court action remains a last resort for tenants who do not engage or make reasonable payments;

4)  Nonetheless notes that the Covid pandemic has not yet ended, that Edinburgh remains under Covid restrictions, that many businesses are currently unable to operate and therefore many citizens currently have severely restricted income;

5)  Therefore agrees that until such time as the Scottish Government moves Edinburgh into level 0 lockdown restrictions; or until September 2021 at which point a detailed report will be brought to the HHFW committee for a decision:

    a. the council will suspend evictions of any tenant in relation to rent arrears;

    b. the council will not use decrees granted by the Sheriff court to evict tenants for rent arrears;

    c. all current decrees granted to the council by the Sheriff Court for non-payment of rent shall be suspended; and

    d. new notice of proceedings to initiate court action due to rent arrears will be suspended

6)  Further agrees that a report will be provided to the Housing, Homelessness and Fair Work Committee within one cycle and that this report should:

    a. set out options for a review of pre-court engagement with tenants with a view to adopting best practice in encouraging tenants to engage early and constructively with the council when arrears problems first emerge;

    b. recognising that the council is the custodian of the HRA for tenants, the report should reflect the views of tenants and tenants' representative organisations and therefore asks officers to consult with tenants' representatives about any additional measures that could be put in place to avoid court proceedings; and

    c. recognising further that the biggest risk of homelessness is to tenants in the private rented sector, as the pre-legal requirements in place for social landlords requiring every action be taken to assist with rent arrears are not in place in the private rented sector. Therefore, requests the report includes the most up to date data on evictions across all tenures, and steps the council is taking to support tenants in the PRS to prevent homelessness.

**Appendix 2**

**Advice Services/Financial Assistance**

There is a range of support, advice and financial assistance that may be available to assist households.  Eligibility will be dependent on individual household circumstances but includes:

- Advice and assistance from the Housing Income Maximisation Service for benefit issues and complex claims/circumstances;
- Free welfare benefits and debt advice services from Council Advice Shop and other local advice agencies across Edinburgh;
- Universal Credit help to claim service through Citizens Advice Service;
- Discretionary Housing Payments;
- Housing Benefit;
- Universal Credit for working age households - includes £20 uplift up to September 2021 due to the Covid-19 pandemic;
- Council Tax Reduction Scheme - includes an additional £130 Covid-19 support for households eligible for this scheme;
- Free school meals and clothing grants - includes substitute payments for free school meals during school closures during Covid-19 pandemic;
- The Scottish Child Payment Scheme;
- Scottish Welfare Fund Crisis Grants;
- Scottish Welfare Fund – Covid-19 Self Isolation Support Grants;
- Scottish Government Best Start Grants for households with children including;
  - Scottish Government Pregnancy and Baby Payment
  - Scottish Government Early learning payment
  - Scottish Government School Age Payment
  - Child Winter Heating Assistance
  - Job Start Payments
  - Educational Maintenance Allowance for those aged 16-18 staying on after 4th year.

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# Housing, Homelessness and Fair Work Committee

**10:00am, Thursday, 2 September 2021**

# Homelessness Services – Statutory Returns

**Executive/routine**
**Wards**
**Council Commitments**

## 1. Recommendations

1.1 Committee is asked to note the summary of the Council's statutory homelessness returns.

**Paul Lawrence**

Executive Director for Place

Contact: Nicky Brown, Interim Service Director, Housing, Family Support and Fair Work

E-mail: nicky.brown@edinburgh.gov.uk | Tel: 0131 529 7589

# Homelessness Services – Statutory Returns

## 2. Executive Summary

2.1 All local authorities are required to submit a range of data, quarterly, to the Scottish Government as part of their statutory returns process.

2.2 The latest publication of these returns was on 29 June 2021 and covered the period 1 April 2020 – 31 March 2021.

2.3 This report will highlight key areas of performance and the link to the full publication can be found in section 8.

2.4 This report contains comparisons with the previous years' data, however it is important to note that the global pandemic may have impacted on some of these performance areas.

## 3. Background

3.1 The Council produces and reports several statistics related to the performance and delivery of homelessness services in the city.

3.2 These figures are collated by the Scottish Government through the returns process and are published to allow scrutiny and comparisons between local authorities.

## 4. Main report

4.1 In 2020-21, the number of households assessed as homeless by the Council showed a decrease of 44% in comparison to the previous year. This was against a national decrease of around 13% in households assessed as homeless.

4.2 Included in these returns is a further reduction in repeat homelessness. Repeat homelessness is where a household is assessed as homeless, less than a year after their previous homelessness is resolved.

4.3 Repeat homelessness was 5.5% in 2020-21. This is a reduction from 5.8% in 2019-20. This is broadly in line with the national figure for repeat homelessness at 5.4% in 2020-21.

4.4 The most common reason for homelessness nationally in 2020-21, is domestic ejection (being asked to leave accommodation), followed by a non-violent dispute within a household.

4.5     In Edinburgh in 2019-20, loss of private sector tenancy was the second most common reason for a homeless presentation. There has been a 65% reduction in homeless presentations where the applicant household has lost their private rented tenancy in 2020-21.

4.6     To ensure that we prevent homelessness wherever possible, the Council has employed officers to specifically work with people at risk of homelessness from the private rented sector.  Results indicate that this work is having a positive impact and that homelessness has been prevented for many households.  Reductions in evictions from this sector will also have contributed to the decrease in numbers.

4.7     In 2020-21, the percentage of households sleeping rough the night before presenting as homeless was 5.3%, this was above the national average of 4.4%. However, this was consistent with 2019-20, when it was 5.2%.

4.8     The Council continues to focus on maintaining contact with service users.  Figures show that the Council maintains contact from advice and assessment to conclusion of the homelessness case in 86% of cases. This is consistent with 2019-20.

4.9     The Council continued to report breaches of the unsuitable accommodation order (families or pregnant women in unsuitable accommodation).  In 2020-21, the order was breached 19 times.  This is a 95% reduction on 2019-20.

4.10    A failure to accommodate occurred on 525 occasions during 2020-21.  This was a 20% reduction on 2019-20 figures.

4.11    It is still the case that around 75% of the failures to accommodate also happened outside normal Council opening hours, where the availability of accommodation can be limited, particularly if the service user has had several placements which have ended unsuccessfully or risk factors are involved.

4.12    In order, to tackle the challenges in providing accommodation outside normal hours for vulnerable services users, the Council and its partners have developed and expanded rapid access accommodation services.  This is accommodation which can be accessed 24 hours per day directly by street-based outreach workers.

4.13    The Council's Homelessness Task Force was reconvened with a focus on identifying further solutions for the most vulnerable service users, as when people have experienced severe trauma in their lives it can make it difficult to sustain traditional forms of temporary accommodation.

## 5.     Next Steps

5.1     Officers will provide more regular updates on performance to Committee through the Homelessness Services Dashboard, also on the agenda for 2 September 2021 Housing, Homelessness and Fair Work Committee.

5.2     Officers will provide an annual summary of the 2021-22 statutory returns in August 2022.

## 6. Financial impact

6.1 None.

## 7. Stakeholder/Community Impact

7.1 None.

## 8. Background reading/external references

8.1 https://www.gov.scot/publications/homelessness-scotland-2020-2021/

## 9. Appendices

9.1 None.

# Housing, Homelessness and Fair Work Committee

**10.00am, Thursday, 2 September 2021**

## Homelessness Services' Performance Dashboard

**Executive/routine**
**Wards**
**Council Commitments**

## 1. Recommendations

1.1 Housing, Homelessness and Fair Work Committee is asked to note:

1.1.1 The content of the performance dashboard for quarter one of 2021/22 attached at Appendix 1; and

1.1.2 That the next Performance Dashboard will be presented to Committee in March 2022.

**Paul Lawrence**

Executive Director of Place

Contact: Nicky Brown, Acting Service Director of Housing, Family Support and Fair Work

E-mail: nicky.brown@edinburgh.gov.uk | Tel: 0131 529 7589

# Homelessness Services' Performance Dashboard

## 2.    Executive Summary

2.1    The Council's Internal Audit service recommended that Homelessness Services, in addition to providing an annual report on the service's statutory returns, should provide additional performance information to Committee.

2.2    Committee agreed the measures to be contained in the performance dashboard on 3 June 2021. The dashboard provides Committee with performance information which is linked to the Council's Business Plan, the Poverty Commission Delivery Plan and the delivery of the Rapid Rehousing Transition Plan activities. This report provides data related to the first quarter of 2021/22.

## 3.    Background

3.1    The Homelessness and Housing Support Service discharges the Council's statutory duties to homeless people or people at risk of homelessness.

3.2    The Council is required to complete statutory returns to the Scottish Government on a range of measures related to the delivery of homelessness services.

3.3    The returns are currently reported to Committee annually after summer recess, this will continue to be the case.

3.4    This reporting framework will ensure that Committee is provided with information around performance measures for the service on a more regular basis, with measures that are directly related to service developments and investment in services.

## 4.    Main report

4.1    The dashboard is attached as Appendix 1. Measures are provided under each of the four Business Plan and Poverty Commission Delivery Indicators relating to Homelessness. Below is an overview of performance related to each of the four sub indicators.

**Sub Indicators Related to Business Plan and Poverty Commission Delivery Plan - Number of households assessed as homeless (measures 1 – 11).**

4.2 There continues to be fewer households assessed as homeless when compared to pre-Covid levels. The Council and RSL partners continue to allocate a significant proportion of homes to homeless households at an average of 75% and 53% of total lets respectively.

4.3 The Council and partners continue to support homeless households to access the Private Rented Sector with 15 rent deposit guarantee bonds issued in the period, via Edinburgh Help to Rent.

**Sub Indicators Related to Business Plan and Poverty Commission Delivery Plan - Number of households who seek housing advice who do not go on to present as homeless (measures 12 – 19).**

4.4 Homelessness prevention continues to be a priority with 341 households who sought housing advice not going on to present as homeless. The Private Rented Services Team diverted 24 households to the Private Rented Sector and 12 households to Mid-Market Rent properties in the period, meaning homelessness was prevented for these households.

4.5 The Income Maximisation Capacity Building Officer has delivered training to over 200 staff over 40 sessions, building frontline officers' knowledge in this area. Prevention work will be bolstered in the next quarter with additional staff commencing in post in the following roles: Income Maximisation Officers, Partnership & Prevention Officer, and the Multi-Disciplinary Team Officers.

**Sub Indicators Related to Business Plan and Poverty Commission Delivery Plan - Percentage of households in unsuitable temporary accommodation (measures 20 - 21).**

4.6 The percentage of households in unsuitable temporary accommodation on the last day of the month was on average 24% of households. Between April and June there was a decrease in the number of households in shared house and bed & breakfast accommodation.

4.7 Officers continue to work towards increasing the stock of suitable temporary accommodation which will meet the requirements of the Unsuitable Accommodation Order, due to commence on 1 October 2021.

**Sub Indicators Related to Poverty Commission Delivery Plan - The total number of households in temporary accommodation on last day of the month (measures 22 -30).**

4.8 The total number of households in temporary accommodation on the last day of the month has fluctuated during the period, averaging 4, 406. There was a slight reduction in the number of households in temporary accommodation between April and June (27).

4.9 PSL properties, which will be classed as suitable accommodation and form a key part of the strategy to transform temporary accommodation stock continues to grow,

with 1,552 households in a PSL property at the end of April and 1,602 households in this form of accommodation at the end of June, an increase of 50.

4.10    There also continues to be significantly fewer people rough sleeping in the city than there was prior to Covid-19 when there was an average of 80 – 120 people per night.  This has reduced to an average of 13 people between April and June 2021.

## 5.    Next Steps

5.1    The performance dashboard will be completed twice yearly for Committee with the next report presented to Committee in March 2022.

## 6.    Financial impact

6.1    There are no direct financial implications from this performance information report.

## 7.    Stakeholder/Community Impact

7.1    N/A

## 8.    Background reading/external references

8.1    Homelessness Statutory Returns Report

## 9.    Appendices

9.1    Appendix 1 – Homelessness Services Performance Dashboard.

# Homelessness & Advice Services Performance Dashboard

| Measure Number | Measure | Quarter 1 | | | | Commentary |
|---|---|---|---|---|---|---|
| | | Apr-21 | May-21 | Jun-21 | Quarter 1 Total or Average | |
| | **Sub Indicators Related to Business Plan and Poverty Commission Delivery Plan - Number of households assessed as homeless.** | **143** | **145** | **116** | **404** | |
| 1 | Average case length for closed cases | 661 | 614 | 602 | **626** | Quarter total provided as average |
| 2 | Percentage of households moving into settled accommodation | 66.0% | 73.90% | 57.40% | **65.70%** | |
| 3 | No and % of CEC lets to homeless households | 79 lets out of 101 (78%) | 59 out of 78 (76%) | 55 out of 79 (70%) | **193 out of 258 (75%)** | |
| 4 | No and % of RSL lets to homeless households | 36 lets out of 55 (65%) | 31 out of 70 (44%) | 32 out of 61 (52%) | **99 out of 186 (53%)** | |
| 5 | Number of people moving into housing first tenancies | 5 | 3 | 1 | **9** | Total for Pathfinder project 120 |
| 6 | Number of households accessing MMR | 0 | 5 | 2 | **7** | |
| 7 | Number of households accessing settled housing in PRS | 5 | 16 | 6 | **27** | |
| 8 | Number of bonds issued via Edinburgh Help to Rent | 3 | 5 | 7 | **15** | Total bonds issued since service start 97 |
| 9 | Repeat Homelessness (%) | 0.70% | 2.10% | 0.90% | **1.20%** | |
| 10 | Number of employability referrals | Information not available at present | Information not available at present | 2 | **Information not available at present** | |
| 11 | Number of households who have a support assessment completed | 143 | 145 | 116 | **404** | |
| | **Sub Indicators Related to Business Plan and Poverty Commission Delivery Plan - Number of households who seek housing advice who do not go on to present as homeless.** | **119** | **88** | **134** | **341** | |

| | | | | | | |
|---|---|---|---|---|---|---|
| 12 | MDT Team Court Case interventions | 5 referrals and 4 allocated cases | 22 referrals and 15 allocated cases | 5 referrals and 5 allocated | **32 referrals and 24 allocated** | |
| 13 | PRS Team households diverted to PRS | 10 | 5 | 9 | **24** | |
| 14 | PRS Team households diverted to MMR | 5 | 5 | 2 | **12** | |
| 15a | PRS Team Financial Inclusion Officer Financial Gains | Staff not in post yet | £19,500 | £21,150 | **£ 40,650** | Postholder started in May |
| 15b | Advice Shop Income Max Officers Financial Gains | Staff not in post yet | Staff not in post yet | Staff not in post yet | **Staff not in post yet** | |
| 16 | Partnership & Prevention Officer - Training Sessions / Staff No's Trained | Staff not in post yet | Staff not in post yet | Staff not in post yet | **Staff not in post yet** | |
| 17 | Income Max Capacity Building Officer - Training Sessions / Staff No's Trained | 11 sessions delivered 71 staff trained | 19 sessions delivered 100 staff trained | 10 sessions delivered 32 staff trained | **40 sessions delivered 203 staff trained** | |
| 18 | Number of Advice Line calls answered | 501 | 562 | 576 | **1639** | |
| 19 | Number of email enquiries (Advice Shop) | 288 | 300 | 380 | **968** | |
| **Sub Indicators Related to Business Plan and Poverty Commission Delivery Plan - Percentage of households in unsuitable temporary accommodation.** | | **25%** | 24% | 24% | **24%** | Quarter total provided as average |
| 20 | Number of households in shared houses on last day of the month | 686 | 641 | 659 | **662** | |
| 21 | Number of households in bed & breakfast on last day of the month | 420 | 419 | 399 | **413** | |
| **Sub Indicators Related to Poverty Commission Delivery Plan - The total number of households in temporary accommodation on last day of the month.** | | **4440** | **4365** | **4413** | **4406** | Quarter total provided as average |
| 22 | Average length of stay in temporary accommodation (including SH & B & B) | 301* | * | * | * | |
| 23 | Average number of rough sleepers | 8 | 11 | 19 | **13** | |
| 24 | Number of households in PSL on last day of the month | 1552 | 1575 | 1602 | **1576** | Quarter total provided as average |
| 25 | Number of households in Homeshare on last day of the month | 34 | 33 | 34 | **34** | Quarter total provided as average |
| 26 | Number of households in Private Rented Temporary Accommodation on last day of the month | 657 | 660 | 654 | **657** | Quarter total provided as average |
| 27 | Number of households in managed units / CEC run HAWS on last day of the month | 98 | 97 | 107 | **101** | Quarter total provided as average |
| 28 | Number of households in commissioned services on last day of the month | 476 | 472 | 487 | **478** | Quarter total provided as average |
| 29 | Number of households in dispersed flats on last day of the month | 464 | 466 | 469 | **466** | Quarter total provided as average |

| 30 | Number of households in Covid-19 isolation accommodation on last day of the month | 3 | 2 | 2 | **2** | Quarter total provided as average |
|---|---|---|---|---|---|---|
| | Welcome Centre | 50 | 0 | 0 | **N/A** | |

*Average figure to Dec 2020 - issues extracting figures after swith to Northgate, work ongoing to rectify this

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# Housing, Homelessness and Fair Work Committee

**10.00am, Thursday, 2 September 2021**

## Prevention Duty: Recommendations from the Prevention Review Group

| | |
|---|---|
| **Executive/routine** | Executive |
| **Wards** | All |
| **Council Commitments** | |

## 1. Recommendations

1.1 Housing, Homelessness and Fair Work Committee is asked to note:

1.1.1 The recommendations of the Prevention Review Group; and

1.1.2 That officers will provide Committee with further updates when more information becomes available.

**Paul Lawrence**

Executive Director of Place

Contact: Nicky Brown, Acting Service Director for Housing, Family Support and Fair Work

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# Report

## Prevention Duty: Recommendations from the Prevention Review Group

## 2. Executive Summary

2.1 The findings of the Prevention Review Group were published and submitted to Scottish Government on 18 February 2021. These set out recommendations to identify legal duties on local authorities and other public bodies to prevent homelessness.

2.2 This report provides an overview of the recommendations and next steps.

## 3. Background

3.1 The Homelessness and Rough Sleeping Action Group (HARSAG) was set up by the Scottish Government in October 2017. The group made 70 recommendations regarding the solutions and actions needed to eradicate rough sleeping, transform the use of temporary accommodation and bring an end to homelessness in Scotland.

3.2 All the recommendations were accepted by Scottish Government, including a request to identify legal duties on local authorities and other public bodies to prevent homelessness, also known as a potential Prevention Duty.

3.3 Currently Section 32 (2) of the Housing (Scotland) Act 1987 states that where a Local Authority is:

    3.3.1 Satisfied that an applicant is threatened with homelessness (likely to become homeless within 2 months); and

    3.3.2 Satisfied that he or she did not become threatened with homelessness intentionally; and

    3.3.3 It must take reasonable steps to try to ensure that accommodation does not cease to be available for occupation by the applicant.

3.4 The Scottish Government asked Crisis to gather together an independent group of experts to form the Prevention Review Group, to develop legislative proposals to prevent homelessness. The Group was specifically tasked with ensuring that legal duties to prevent homelessness are effective and clear.

## 4. Main Report

4.1 The [Prevention Review Group recommendations](#) are far reaching. A summary of the key recommendations is noted below.

4.2 The group recommend that a local authority must assist anyone threatened with homelessness within the next six months, rather than two months at present.

4.3 Furthermore, a duty on public bodies to ask and act is suggested. This will mean that services such as Police, GPs, Head Teachers, Social Workers and Health Visitors must identify the risk of homelessness in their interactions with service users and act on this. This duty also extends to social and private landlords.

4.4 Where a public body makes a referral to the Local Authority, the Local Authority will be under a duty to act on this referral, treating it as a formal homeless application and making every effort to contact the household.

4.5 Anyone leaving an institution within the next six months, such as prison or hospital should be considered as threatened with homelessness.

4.6 Related to this the recommendations call for a statutory duty to be placed on Health & Social Care Partnerships to identify the housing circumstances of patients and put in place assistance to ensure that patients are prevented from becoming homeless and assist in finding suitable housing.

4.7 For those with multiple or complex needs it is suggested that a named professional will be required to lead contact with the service user and coordinate the service provision.

4.8 The recommendations note that services must meet the needs of young people and Local Authorities should provide family mediation as part of their homelessness prevention service.

4.9 16 and 17 year olds primary homelessness assistance is recommended to be provided by Children's Social Work.

4.10 The group also suggest specific recommendations for people at risk of homelessness as a result of domestic abuse, including a duty to support people to access exclusion orders and provide support to allow people to remain in their home where this is their preference.

4.11 For social landlords the recommendations state that they must identify and mitigate the risks of homelessness that arise for their tenants and they should notify the local authority as early as possible where the risk of homelessness is growing.

4.12 It is suggested that the emergency coronavirus legislation for pre-action requirements, for private landlords acting on rent arrears, should be made permanent. This legislation requires provision of information and support for tenants.

4.13 The group also recommend that the statutory framework for homelessness is amended to ensure that the prevention duty is clarified and strengthened, including calling for a prescribed a range of reasonable steps to be used to prevent or

alleviate homelessness.  It also recommends that the criteria for identifying appropriate housing options shifts to focus on the stability and suitability of the accommodation.  Stability refers to a recommendation that accommodation must be expected to be available for a minimum of 12 months.

4.14    Should the recommendations be accepted as is by the Scottish Government it is likely to put additional pressure on Homelessness & Housing Support Services, with an increase in the number of households seeking assistance.

4.15    In preparation for any Prevention Duty coming into force the service has recently employed a Partnership & Prevention Housing Officer.  The partnership working officer will seek ways in which to prepare the service for any future duty including training frontline Council staff, wider public service staff and staff working in the third sector to use their existing conversations with service users to identify where there may be a risk of homelessness and how to refer to the Council.

## 5.    Next Steps

5.1    The Scottish Government have not formally responded to the Prevention Review Groups recommendations.

5.2    Officers will continue to seek further information from Civil Servants as to the next steps.

5.3    Officers will provide Committee with an update when further information becomes available.

## 6.    Financial Impact

6.1    There are no financial implications arising directly from the contents of this report. However, it is anticipated that should a Prevention Duty be implemented this will result in an adverse financial impact.

## 7.    Stakeholder/ Community Impact

7.1    A series of stakeholder events took place to develop the recommendations.

7.2    A Prevention Commission was established as the forum for people with lived experience of homelessness to contribute to the development of the recommendations.


## 8.    Background reading/external references

8.1    preventing-homelessness-in-scotland.pdf (crisis.org.uk)


## 9.    Appendices

 None.

# Housing, Homelessness and Fair Work Committee

**10.00am, Thursday 2 September 2021**

# Appointments to Working Groups 2021/22

| | |
|---|---|
| **Executive/routine** | Executive |
| **Wards** | All |
| **Council Commitments** | |

## 1. Recommendations

1.1 To agree the remits of the working groups set out in Appendices 1 and 2 of the report.

1.2 To appoint membership of the working groups as set out in Appendices 1 and 2 of the report.

**Stephen S. Moir**
Executive Director of Corporate Services

Contact: Sarah Stirling, Area Support Team Clerk
Legal and Assurance Division, Corporate Services Directorate
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# Appointments to Working Groups 2021/22

## 2. Executive Summary

2.1 The Housing, Homelessness and Fair Work Committee is required to annually re-appoint the membership of its working groups. The proposed membership structures and remits of each are detailed in Appendices 1 and 2 of this report.

## 3. Background

3.1 The appointment of committees, joint committees and joint boards is a reserved matter for Full Council.

3.2 On 6 August 2020 the Policy and Sustainability Committee agreed the Review of Political Management Arrangements report which outlined that, due to the impact of the Covid-19 emergency and remaining resource pressures, working groups would only meet if:

3.2.1 There is officer capacity and resource available.

3.2.2 It is required for specific actions to progress.

3.2.3 They take place virtually.

3.3 A report agreed by Full Council on 24 June 2021 on Political Management Arrangements recommended that working groups would remain virtual in the short term, and that "An assessment should be made as to whether, in the long term, some working groups should remain virtual. The findings of this assessment would be reported back to Council as part of the next review of political management arrangements."

3.4 On 5 November 2020 the Housing, Homelessness and Fair Work Committee dissolved the Edinburgh Homelessness Forum.

## 4. Main report

4.1 The Committee is required to appoint the membership of its working groups for 2021/2022.

4.2 While there is no requirement for the membership of working groups to be proportionate to that of the Council, it is suggested that this is good practice.

4.3     The proposed membership therefore reflects the overall political balance on the Council. It is, however, open to the Committee to alter the membership where it feels this is warranted.

4.4     The current membership structures and remits are set out in Appendices 1 and 2 of this report.

## 5.    Next Steps

5.1     Not applicable.

## 6.    Financial impact

6.1     Not applicable.

## 7.    Stakeholder/Community Impact

7.1     Not applicable.

## 8.    Background reading/external references

8.1     [Minute of the Policy and Sustainability Committee of 6 October 2020](#)

8.2     [Minute of the Housing, Homelessness and Fair Work Committee of 5 November 2020](#)

8.3     [Minute of the City of Edinburgh Council of 24 June 2021](#)

8.4     [Review of Political Management Arrangements – report by the Chief Executive](#)

## 9.    Appendices

9.1     Appendix 1 – Homelessness Task Force

9.2     Appendix 2 – Economic Advisory Panel

# Homelessness Task Force

## Homelessness Task Force

**Membership - 5 members**

(1 SNP, 1 Labour, 1 Conservative, 1 Green, 1 SLD)

Councillor Kate Campbell (Convener)      Councillor Booth

Councillor Watt                                          Councillor Aldridge

Councillor Whyte

**Remit**

- Build on existing prevention work which further reduces homelessness presentations.

- Reduce the number of people rough sleeping, accessing temporary accommodation and living in insecure accommodation.

- Increase the supply of quality council led temporary accommodation provision, reducing the reliance on bed and breakfast.

- Ensure that appropriate support is available for all homeless people who require it.

**Last Met:** 4 August 2021 (next meeting 6 October 2021)

**Expected completion date:** to be reviewed in September 2022

# Economic Advisory Panel

**Economic Advisory Panel**

**Membership - 2 members**

Convener and Vice-Convener of the Housing, Homelessness and Fair Work Committee.

**Remit**

- Build on existing joint working with key economic partners.
- Support business engagement in the delivery of the Edinburgh Economy Strategy.
- Work with the Council to advise and collaborate on actions to make sure that Edinburgh's economic growth is sustainable and benefits all citizens.

**Last Met:** 20 May 2021 (next meeting 9 September 2021)

**Expected completion date:** to be reviewed in September 2022

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# Housing, Homelessness and Fair Work Committee

**10.00am, Thursday, 2 September 2021**

# No One Left Behind Activity Agreement Hubs – North East and North West Edinburgh

| | |
|---|---|
| **Executive/routine** | Routine |
| **Wards** | **1 – Almond, 4 – Forth, 5 – Inverleith, 14 – Craigentinny/Duddingston, 17 – Portobello/Craigmillar** |
| **Council Commitments** | 7 and 31 |

## 1. Recommendations

1.1 It is recommended that Committee notes the:

1.1.1 Actions taken to ensure continued delivery of valuable support for vulnerable young people in North Edinburgh; and

1.1.2 Award of funding to a new delivery partner in North East and North West Edinburgh.

**Paul Lawrence**

Executive Director of Place

Contact: Elin Williamson, Senior Manager, Business Growth and Inclusion

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·EDINBVRGH·
THE CITY OF EDINBURGH COUNCIL

# Report

## No One Left Behind Activity Agreement Hubs – North East and North West Edinburgh

## 2. Executive Summary

2.1 This report provides an update on the information contained in the Business Bulletin of 25 June 2021 on recent delivery issues and solutions put in place to ensure ongoing delivery of the No One Left Behind (NOLB) Activity Agreement (AA) Hubs for North East (excluding Leith) and North West Edinburgh.

## 3. Background

3.1 Scottish Government provides funding to Local Authorities for the delivery of AA to support young people aged 16 - 26 who have not secured or sustained a positive destination upon leaving school. This is currently funded under the NOLB programme.

3.2 Following an intensive small grants programme in late 2019/early 2020, five grants of £40,000 per annum were awarded for service provision in each of the four localities and a central city centre Hub.

3.3 The services work with some of the most vulnerable young people who have left, or are about to leave, school without a positive destination such as further education, training or employment.

3.4 The services also work closely with schools, Skills Development Scotland and other third sector providers to ensure that there is a pathway for young people to build confidence and skills and progress along the strategic skills pipeline into relevant vocations training or towards employment.

3.5 The third sector organisations delivering these across the city are: Dunedin Canmore Youth Projects in South East; Dunedin Canmore and CHAI for South West; Canongate Youth in the City Centre; and with The Citadel and Community Renewal covering North East and North West between them.

3.6 The awards were approved at Housing, Homelessness and Fair Work committee on 20 January 2020 and for the delivery period of April 2020 – March 2023.

## 4.    Main report

4.1    Each of the NOLB AA Hubs has continued to support young people during the Coronavirus (Covid-19) pandemic, with services pivoting to become more focussed on wellbeing and ongoing support to try to mitigate the effects of the pandemic on the young people's mental health.  As restrictions have eased, many of the providers have been able to reinstate face to face support for the most vulnerable young people.

4.2    However, towards the end of 2020, the service delivered in North West and North East Edinburgh was showing signs of failing to deliver suitable support. Initially these issues were dealt with informally by the Council's internal NOLB team, and Capital City Partnership (CCP), who act as contract manager for the grants on behalf of the Council. From March, a series of monthly performance meetings were held to try to resolve these issues.

4.5    At a meeting with CCP on 9 June 2021, Community Renewal intimated their intention to withdraw from delivering the Hub activity in North West and North East Edinburgh (excluding the wider Leith area which is covered by The Citadel) at the end of Quarter 1, 30 June 2021. A written notification to this effect was received on 11 June 2021.

4.6    As AA provision was still required in North East and North West Edinburgh, Council officers and CCP staff commenced a small grants programme with a two-week application window through the Joined up for Jobs network.  This used the same specification as the original process but the delivery period was amended to cover the 21 months remaining of the funding term.

4.7    Two bids were received for the opportunity and the bids were scored, against a number of set criteria, by senior officers from Skills Development Scotland, the Council and CCP.

4.8    Following scoring, the bid submitted by Barnardos scored highest and was subsequently approved by the Executive Director of Place, under the Scheme of Delegation urgency provision, to ensure continuation of service.

4.9    Council officers and officers from CCP worked with Community Renewal staff to ensure the smooth transition of the small number of remaining clients to alternative provision and worked with other partners to ensure that interim service was in place for any new referrals that may come forward.


## 5.    Next Steps

5.1    The NOLB AA team and CCP officers will continue to support Barnardos to establish their team as part of the wider NOLB AA Hubs provision, ensuring that all NOLB AA processes and procedures are followed.

5.2    All NOLB AA Hub contracts will continue to be monitored by CCP on the Council's behalf, with the Council based NOLB AA team working with each Hub to strengthen

delivery and integrate provision with other providers in the wider Joined up for Jobs network.

## 6. Financial impact

6.1    There is no additional financial impact to the Council.  The funding awarded to Barnardos was the remainder of the funding term previously allocated to Community Renewal.  This had already been committed from Scottish Government NOLB funding and will fully cover all proposed activity and provision delivered under the terms of the funding agreement.

## 7. Stakeholder/Community Impact

7.1    The swift actions of the team who support and monitor the NOLB AA Hubs has ensured that a solution was agreed and put in place with very little disruption to the young people who were accessing the service.

7.2    The successful provider, Barnardos, already had access to premises in North West Edinburgh and were able to begin service from 5 July 2021 meaning there was no actual break in service delivery.

7.3    Discussions also began with several partners in North East Edinburgh to secure premises to deliver services for young people in the greater Craigmillar area, but this proved a little more difficult. They did however start to contact young people who were transferring over and arranged one-to-one sessions where required.

7.4    They have now secured space at an accessible community based facility, where they are able to meet with young people and operate small groupwork sessions where required.

7.5    The young people who required additional support during the process were supported by either the NOLB AA central team and the Young Person's Guarantee team to ensure that they remained engaged and reassured during the transition period.

7.6    The referral process was unaffected as the central team deal with all incoming referrals and all partners have since been notified of the change.

## 8. Background reading/external references

8.1    None.

## 9. Appendices

9.1    None.

# Housing, Homelessness and Fair Work Committee

**10.00am, Thursday, 2 September 2021**

# Place Directorate - Revenue Monitoring 2020/21 – provisional out-turn and 2021/22 month three position

| | |
|---|---|
| **Executive/routine** | Routine |
| **Wards** | All |
| **Council Commitments** | |

## 1.    Recommendations

1.1    It is recommended that the Committee notes:

1.1.1    That the Housing Revenue Account (HRA) provisional out-turn position for the 2020/21 financial year is a balanced budget after a contribution of £11.103m towards the Strategic Housing Capital Investment Programme. This is an improvement of £0.505m on the approved budget and the most recent update to Committee;

1.1.2    The Place General Fund (GF) 'business as usual' revenue budget provisional out-turn position for 2020/2021 is a £0.116m overspend (excluding COVID-19 impact) for services within the remit of this Committee which is in line with previous updates to the Committee;

1.1.3    The Place GF revenue budget provisional out-turn for 2020/21 in respect of the net cost impact of COVID-19 is £2.207m for services within the remit of this Committee. This is consistent with the most recent update to Committee;

1.1.4    The HRA 2021/22 month three forecast is a balanced position after the budgeted contribution to Strategic Housing Investment of £9.941m; and

1.1.5    The Place GF 2021/22 month three 'business as usual' forecast for services within the remit of this Committee is a £0.300m overspend in respect of emergent pressures and a forecast Covid-19 cost of £0.550m which is in line with provision made within the approved budget.

**Paul Lawrence**

Executive Director of Place

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# Report

## Place Directorate - Revenue Monitoring 2020/21 – provisional out-turn position and 2021/22 month three position

## 2.  Executive Summary

2.1    This report sets out the provisional 2020/21 out-turn revenue monitoring position for the Housing Revenue Account (HRA) and Place Directorate General Fund (GF) for services within the scope of this Committee. As of the time of writing, closure of the Council's accounts for 2020/21 is continuing and this paper represents a provisional update. The final outturn position will be reported to Committee in due course.

2.2    The 2020/21 provisional out-turn for the HRA is a balanced position after providing £11.103m from revenue for the planned capital investment programme in forthcoming years to support investment priorities.  This is a favourable position compared to the budget of £10.598m and a favourable increase of £0.505m compared to the month nine forecast.

2.3    At out-turn, the GF COVID-19 provisional impact for services within the remit of this Committee is a net cost of £2.207m. This represents the impact on GF Housing related services from ensuring adherence with public health guidance to protect staff, tenants and customers; including reduced income generated by Housing Property Services as a result of 'emergency only' activity and increased costs of operating the stair cleaning service.  This is a small increase on the £2.150m net cost forecast at month nine.

2.4    The 2020/21 provisional 'business as usual' (excludes COVID-19 impact) out-turn for the GF services within the remit of this Committee is an overspend of £0.116m. This is a small favourable movement relative to the £0.128m overspend forecast at month nine.

2.5    The 2021/22 month three revenue forecast has been prepared on an exception basis, focusing on emerging pressures and risks.  The GF 'business as usual' forecast overspend of £0.300m is representative of pressures identified within Business Growth and Inclusion with the £0.550m forecast COVID-19 cost acknowledging there may be an income impact in respect of Housing Property operations representative of part year restriction of operations whilst following public health guidance. The COVID-19 forecast is in line with provision made within the Council's approved budget.

2.6     The 2021/22 month three HRA forecast assumes that the revised budget position of a contribution of £9.941m will be achieved.

## 3.     Background

3.1     The HRA is a ring-fenced statutory account. The HRA is funded from rents for Council housing and related assets and is used to fund the provision of Council housing in line with tenants' priorities. The annual approved HRA budget is derived from the longer term strategy approved by Council.

3.2     This report provides an update on financial performance against the approved revenue budgets for 2020/21 and 2021/22. The 2020/21 out-turn position is provisional as work is ongoing to close the accounts and this will then be subject to the rigour of the external audit process. The 2021/22 month three revenue forecast has been prepared on an exception basis, focusing on emerging pressures and risks

## 4.     Main report

**Housing Revenue Account – 2020/21 Provisional Out-turn**

4.1     The approved HRA budget for 2020/21 is derived from the longer-term strategy, approved by Council in February 2020. It comprises a budgeted revenue income of £103.138m and costs of £92.540m. This enabled a planned contribution of £3.656m revenue towards in-year capital investment and £6.942m to the Strategic Housing Investment Fund in accordance with the finance strategy for future planned investment. The total budgeted contribution from 2020/21 revenue is £10.598m. The provisional out-turn (compared to the budget and forecast reported at month nine) as set out in Appendix 1,shows an overall increased contribution of £0.505m. Due the impact of Covid-19 on the capital programmes, the total £11.103m contribution will be made to the Strategic Housing Investment Fund.

**Movements from month nine reporting and associated risks**

4.2     The summary movements in respect of HRA income, costs and revenue contribution to Strategic Housing Investment Fund are as follows:

4.2.1   **Income** –The final out-turn for income collection is lower than forecast in Period 9, but was still within the budgeted provision. The second lockdown and changes in a significant number of household financial circumstances, alongside the suspension of formal debt recovery measures (to ensure tenants were not at increased risk of losing their home during the pandemic) did impact on overall collection. Sufficient contingency has been built into the HRA to account for an increase in rent arrears due to the transition of a significant number of tenants into Universal Credit (UC). Overall collection of rental income remains positive with 99% of income collected against the Scottish Housing Regulator Charter Indicator for 2020/21; and

4.2.2 **Costs** – In line with previous 2020/21 routine financial performance reporting (with the exception of extraordinary COVID-19 costs) all aspects of HRA expenditure is materially lower than budget.  The COVID-19 related measures to ensure safe working for colleagues and tenants included the retrofitting of vehicles with washing facilities, IT costs to accelerate rollout of Total Mobile to support safe remote working during lockdown, training and other equipment and materials required to ensure safe working for the continued operations of Housing Property. It also includes housing management spend on Concierge overtime to cover shifts due to staff shielding, Personal Protective Equipment (PPE), office refurbishment to operate safely as Council Resilience Centres, additional cleaning and communication materials (e.g. newsletters, posters and other signage).  Debt servicing costs have materially reduced due to a combination of a lower than budgeted increase in the principal borrowed and effective treasury management practices.

**Housing Revenue Account – 2021/22 month three forecast**

4.3 At month three, an assessment of risks and pressures has been undertaken in tandem with detailed work in respect of the iteration of the HRA Business Plan and annual tenant consultation which will be undertaken to form 2022/23 budget proposals and longer term strategy. This process has concluded that the delivery of restated 2021/22 annual budget presented in March 2021 and shown within Appendix 2 is a reasonable position.

4.4 Risks including the impact of Universal Credit and economic conditions on rental income, the impact on repairs and maintenance services as public health guidance is relaxed and extraordinary COVID-19 related costs will be closely monitored and reported as appropriate moving forward.  This is also true of potential opportunities in respect of reducing debt charges.

**General Fund – 2020/21 Provisional Out-turn**

4.5 **Business as usual** – the provisional out-turn 'business as usual' position for GF services within the remit of the Committee is a £0.116m over-spend (excluding COVID-19 impact).  The previously reported 'at risk' element of the Business Growth and Inclusion 2020/21 saving was mitigated by one-off measures which were delivered across this and related services.  The overspend, in the main refers to an increase in utility charges in respect of stair lighting.

4.6 **COVID-19 Impact** – the provisional out-turn GF COVID-19 impact for services within the remit of this Committee is a net cost of £2.207m, which is a small increase on the reported position at month nine.  The impact of re-introducing an essential repairs service has been assessed and extra-ordinary costs to protect staff and tenants from the risk have been allocated to the HRA.  The net cost of £2.207m is reflective of net reduced income generated by Housing Property Services as a consequence of operational changes required to support public health guidance (£2.101m) and net costs related to the operation of the Stair Cleaning service to protect staff and customers (£0.106m).  This treatment is in accordance

with Audit Scotland guidance in relation to accounting for COVID-19 impacts and is included within the provisional out-turn for the Council overall.

**General Fund – 2021/22 month three forecast**

4.7    The 2021/2022 GF forecast for services within the remit of this Committee has been undertaken on an exceptions basis, focusing on identified pressures and risks.  The £0.300m forecast in terms of 'business as usual' is reflective of costs within the Business Growth and Inclusion service. The service and wider Place Senior Management Team (SMT) are currently working to bring this identified pressure back within the appropriate financial envelope.

4.8    £0.425m of investment income was allocated to services within the remit of the Committee as part of the February and May 2021 budget motions.  £0.175m was allocated on a one off basis to be spent in year on Edinburgh Guarantee for All, as was £0.250m for work to be undertaken on the regulation of short term lets.  The forecast assumes these budgets will be fully utilised.

4.9    Services within the remit of this Committee have been successful in securing external funding to achieve aims and objectives.  It is our intent to include the impact of said funding in future updates to this Committee to broaden the financial perspective of reporting.

4.10   The 2021/22 GF month three Covid-19 cost has been estimated at £0.550m and is representative of a part year impact on income generation by Housing Property Services in line with public health guidance.  This forecast is circa 26% of the actual income loss in 2020/21 and is in line with provision approved within the Council budget.

4.11   The above 2021/22 month three forecast for the HRA and Place GF form part of the overall 'balanced budget' positions set out at Finance and Resources Committee on 12 August 2021.

## 5.    Next Steps

5.1    The Place Directorate is committed to delivering mitigating management action to address identified budget pressures wherever possible. Progress will be reported to Committee at agreed frequencies.  Work is regularly undertaken to identify and mitigate financial risks as part of a rolling process of budget management.

5.2    Risks to 2021-22 budget management strategy will be reassessed based on provisional out-turn and post Covid-19 service resumption plans and other strategies within the operating context of this Committee. The outcome of this review will be reported as part of the routine 2021-2022 financial reporting.

## 6.    Financial impact

6.1    The Council's Financial Regulations set out Executive Directors' responsibilities in respect of financial management, including regular consideration of their service

budgets.  The Executive Director of Place regularly reviews the directorate budget position alongside the identification and implementation of management actions to mitigate budget pressures.

## 7.   Stakeholder/Community Impact

7.1   Consultation was undertaken as part of the HRA and GF budget setting processes.

7.2   Successful delivery of the HRA budget will support investments to improve the energy efficiency of Council Homes.

## 8.   Background reading/external references

8.1   Revenue Monitoring Update - Month Nine Position, Housing, Homelessness and Fair Work Committee – 18 March 2021

8.2   Finance and Resources Committee 12 August – 2020/21 Out-turn.  [Link not yet available]

8.3   Finance and Resources Committee 12 August – 2021/22 Month three. [Link not yet available]

## 9.   Appendices

9.1   Appendix 1 – Place Directorate - HRA Revenue Projection: 2020/2021 – provisional out-turn position

9.2   Appendix 2 – Place Directorate – HRA Revenue Projection; 2021/2022 – month three position.

**Appendix 1 – Place Directorate - HRA Revenue Projection: 2020/2021 – Provisional Out-turn Position**

| | 2020/2021 Budget | 2020/2021 Provisional Out-turn | 2020/2021 Provisional Out-turn Variance | 2020/2021 Month 9 Reported Variance | Movement Month 9 Forecast v Provisional Out-turn |
|---|---|---|---|---|---|
| | £m | £m | £m | £m | £m |
| Net Income | -103.138 | -102.084 | 1.054 | 0 | 1.054 |
| Strategic Housing Investment Fund | 6.942 | 11.103 | 4.161 | 3.656 | 0.505 |
| **Total Income** | **-96.196** | **-90.981** | **5.215** | **3.656** | **1.559** |
| | | | | | |
| Housing Management | 33.339 | 31.887 | -1.452 | -0.09 | -1.362 |
| Property Maintenance | 22.478 | 20.426 | -2.052 | -2.84 | 0.788 |
| Covid-19 - Extraordinary costs * | 0.000 | 4.124 | 4.124 | 3.316 | 0.808 |
| Debt Service | 36.723 | 34.544 | -2.179 | -0.386 | -1.793 |
| Housing Investment (CFCR) | 3.656 | 0.000 | -3.656 | -3.656 | 0.000 |
| **Total Expenditure** | **96.196** | **90.981** | **-5.215** | **-3.656** | **-1.559** |
| | | | | | |
| **2020/2021 Contribution to Future Capital Expenditure** | **10.598** | **11.103** | **0.505** | **0.000** | **0.505** |
| | | | | | |
| Note - The Strategic Investment Fund is made up of the Repairs and Renewals Reserve and the Council Tax Discount Fund.  The budgeted draw-down forms part of the Capital Investment Programme funding strategy. | | | | | |
| CFCR denotes Capital Funded from Current Revenue. | | | | | |
| * Denotes costs identified as being attributable to ways of working complaint with public health guidance. | | | | | |

**Appendix 2 – Place Directorate - HRA Revenue Projection: 2021/2022 – Month Three Position**

| | 2021/2022 Budget | 2021/2022 Month three forecast | 2021/2022 Month three forecast variance |
|---|---|---|---|
| | £m | £m | £m |
| Net Income | -102.699 | -102.699 | 0.000 |
| **Total Income** | **-102.699** | **-102.699** | **0.000** |
| | | | |
| Housing Management | 34.100 | 34.100 | 0.000 |
| Operations - Repairs and Maintenance plus Environmental Maintenance | 21.009 | 21.009 | 0.000 |
| Covid-19 Extraordinary Costs * | 0.000 | 0.000 | 0.000 |
| Debt Service | 37.649 | 37.649 | 0.000 |
| | 92.758 | 92.758 | 0.000 |
| | | | |
| Contribution to Strategic Investment Fund | 9.941 | 9.941 | 0.000 |
| **Total Expenditure** | **102.699** | **102.699** | **0.000** |
| | | | |
| Notes: | | | |
| The Strategic Housing Investment Fund which is made up of the Repairs and Renewals Reserve and the Council Tax Discount Fund.  It is an element of the funding strategy for the capital investment programme. | | | |
| * Denotes costs related to ways to working with are compliant with public health guidance. | | | |

# Housing, Homelessness and Fair Work Committee

**10.00am, Thursday, 2 September 2021**

## Homelessness and Housing Support - Revenue Outturn 2020/21 and Revenue Monitoring 2021/22 – month three position

| | |
|---|---|
| **Executive/routine** | Routine |
| **Wards** | All |
| **Council Commitments** | |

## 1. Recommendations

1.1 Members of the Housing, Homelessness and Fair Work Committee are asked to note:

    1.1.1 An overall net residual budget pressure of £2.562m for Communities and Families at month three; and

    1.1.2 That this pressure includes a net residual budget pressure of £1.2m for the Homelessness and Housing Support service.

**Julien Kramer**

Interim Executive Director of Communities and Families

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# Report

## Homelessness and Housing Support - Revenue Outturn 2020/21 and Revenue Monitoring 2021/22 – month three position

## 2. Executive Summary

2.1 The report sets out the 2020/21 revenue outturn and 2021/22 projected month three revenue monitoring position for the Homelessness and Housing Support service, based on analysis of actual expenditure and income to the end of June 2021, and expenditure and income projections for the remainder of the financial year.

2.2 The projected net residual pressure of £1.2m in 2021/22 is part of an overall net residual pressure of £2.562m for Communities and Families.

2.3 Work is ongoing to identify mitigating measures and to change the current mix of temporary accommodation, reducing the reliance on expensive and unsuitable accommodation. The service is also actively implementing preventative services to support households and avoid the need for them to enter temporary accommodation.

## 3. Background

3.1 The following commentaries are based on the position as of the end of June and, as such, reflect organisational structures as of that point. Subsequent forecasts will reflect the transfer of functions and associated changes in senior management responsibility underpinning the organisational restructuring approved by Council on 27 May 2021.

3.2 The 2020/21 net budget for Homelessness and Housing Support was £30.7m and this has increased to £43.9m in 2021/22 to take account of the increased use of temporary accommodation during the COVID-19 pandemic.

3.3 This report sets out the 2020/21 revenue outturn and the projected position for the Homelessness and Housing Support revenue budget for 2021/22.

## 4. Main report

**2020/21 Outturn**

4.1 A forecast pressure of £9.3m was reported to the Committee meeting of 18 March 2021 based on the month 9 position. The outturn position was a reduced pressure of £8.839m primarily due to more housing benefit being received than previously forecast. This pressure was a result of the impacts of the COVID-19 pandemic and due to three main factors: the provision of additional accommodation for those rough sleeping; the provision of temporary accommodation for people who may have no recourse to public funds; and a lack of move on or settled accommodation across all tenures.

4.2 The households in temporary accommodation increased from 3,570 in March 2020 to 4,431 in March 2021, an increase of 24%. The majority of this increase was supported within more expensive forms of temporary accommodation such as Bed and Breakfast and shared accommodation.

**2021/22 - month 3 forecast**

4.3 To acknowledge the ongoing financial impact of the growth seen in 2020/21 the Council approved additional funding of £12m for 2021/22. In addition, a further amount of £0.4m was approved to increase preventative services which is being utilised alongside £0.563m of additional COVID-19 related Rapid Re-housing Transition Plan (RRTP) funding provided by the Scottish Government.

4.4 The households in temporary accommodation have reduced slightly since March but this is due to the closure of the Welcome Centre which was provided during the October 2020 – May 2021 period. The number of households in temporary accommodation at the end of June 2021 was 4,413. The Welcome Centre will re-open in October 2021 and be provided to May 2022.

4.5 Based on expenditure for the April to June period, and assuming the same level of provision and unit costs for the remainder of the year, there is a forecast residual pressure of £1.2m.

4.6 To operate within the approved budget for 2021/22 there is a requirement to reduce current costs, which can be achieved through a reduction in households in temporary accommodation, reduced unit costs, changes in the mix of temporary accommodation or a combination all factors.

4.7 The financial impact for the remainder of 2021/22 will depend on a number of factors such as: the number of homeless presentations as restrictions are relaxed, how quickly allocations to permanent accommodation can be made, the implementation of new legislation relating to the removal of local connection, Scottish Government requirements regarding support for clients with no recourse to public funds, unit costs for temporary accommodation and the rate at which changing the mix of temporary accommodation towards more efficient and suitable accommodation can be achieved and the impact of new preventative services.

## 5.    Next Steps

5.1    Work is ongoing to identify mitigating measures and to change the current mix of temporary accommodation, reducing the reliance on expensive and unsuitable accommodation.

5.2    The service is actively implementing preventative services to support households and avoid the need for them to enter temporary accommodation.  Services are also being implemented to target households currently in temporary accommodation to ensure all options are being considered in assisting them, where appropriate, to achieve a settled tenancy.  The impact of these services will be actively monitored and reported to the Council Leadership Team on a regular basis.

5.3    Officers will continue to seek to identify appropriate properties for use as Home Share as instructed by members.

5.4    Officers will work with partners and landlords in the city to increase the amount of suitable temporary accommodation available.

## 6.    Financial impact

6.1    The report highlights the 2020/21 outturn position of an £8.839m pressure due to the impact of the COVID-19 pandemic.

6.2    The report highlights that additional funding of £12m was approved for 2021/22 to address the ongoing impacts of COVID-19 and at month three there is a residual forecast pressure of £1.2m. This is included in the overall net residual budget pressure of £2.562m reported for Communities and Families.

6.3    This position is subject to active monitoring, management of risks and identification of further mitigation.

## 7.    Stakeholder / Community Impact

7.1    There is no direct relevance to the report's contents. A detailed report summarising the response to the Council's engagement on budget priorities for 2021/22 and beyond was considered by the Finance and Resources Committee on 2 February and referred on to Council as part of the 2021/22 budget-setting meeting.  There is no direct relevance of the report's contents to impacts on carbon, adaptation to climate change and sustainable development. 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

8.1    None

# 9. Appendices

9.1    None

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# Housing, Homelessness and Fair Work Committee

**10.00am, Thursday, 2 September 2021**

## Place Services Internal Audit – Actions Update

| | |
|---|---|
| **Executive/routine** | Routine |
| **Wards** | All |
| **Council Commitments** | |

## 1.    Recommendations

1.1    Housing, Homelessness and Fair Work Committee is asked to note the progress made on the overdue Internal Audit management actions relating to the Housing Property and Homelessness services and the audit actions, which have been agreed corporately, and which services which sit within the remit of this Committee are working on.

**Paul Lawrence**

Executive Director of Place

Contact: Nicky Brown, Interim Service Director, Housing, Family Support and Fair Work

E-mail: nicky.brown@edinburgh.gov.uk | Tel: 0131 529 7589

# Report

# Place Services Internal Audit – Actions Update

## 2.    Executive Summary

2.1    This report sits alongside the referral report from the Governance, Risk and Best Value Committee on 27 April 2021 on overdue findings and provides an update on progress on management actions arising from Internal Audits which specifically relate to services which fall within the remit of this Committee.

## 3.    Background

3.1    On 27 April 2021, the Governance, Risk and Best Value Committee considered a report on overdue findings and key performance indicators presented by Internal Audit.

3.2    This report was referred to Housing, Homelessness and Fair Work Committee for information and is included on this meeting agenda.

## 4.    Main report

4.1    The Internal Audit report includes two management actions which relate to Internal Audit CW1910 – Life Safety.  These are referenced at numbers 52 and 53 in Appendix 2 of the original report.  Both actions were low rated findings:

4.1.1    Issue 4.1.2 (reference 52) – this management action related to investigating the feasibility of implementing a technology solution to enable recording of the outcomes of fire inspections in low rise buildings where the Council has responsibility.  This action was implemented on 7 December 2020 and additional evidence was submitted on 22 July 2021.  This is still being considered; and

4.1.2    Issue 4.1.1 (reference 53) - this management action relates to taking a refreshed approach to water risk assessments.  This action is currently showing as overdue (it was originally expected to be completed by 31/12/2020).  A business case for implementation is still in development and once complete, the implementation date for this action will be revised and an update provided to Internal Audit.

4.2    The report also includes three management actions which relate to audit CW1808 – Homelessness Service:

    4.2.1    Issue 3.1.2 (reference 49) – additional information is currently being considered by Internal Audit and it is hoped this is action will soon be closed; and

    4.2.2    Issues 2.2.3 (reference 50) and 3.1.3 (reference 51) – these actions have now been closed.

4.3    There are a small number of overdue management actions which relate to Internal Audits on Council processes which are being implemented across all Council Services.  These include services within the remit of this Committee.  These include:

**RES1809 – Suppler Management Framework and CIS Payments**

    4.3.1    Issue 1.3 (ref 156) – relates to support and guidance for contract managers. The implementation date for this action has been revised to 30/09/2021 to allow time for training needs to be identified and incorporated into the Place training matrix.

**CE1902 – Policy Management Framework**

    4.3.2    Issue 1.2b – relates to a review of the completeness and accuracy of the Council's policies and online policy register.  The date for implementation of this action has been revised to 30/09/2021 to enable the required review to be completed.

**CW1702 - Resilience BC**

    4.3.3    The actions under this audit all now have revised implementation dates to recognise that the Council will prepare new Business Impact Assessments once service resumption post COVID-19 is completed and a new Senior Management Structure for the Council has been implemented.

## 5.    Next Steps

5.1    Officers will continue to progress with implementation of management actions arising from Internal Audits and will aim to conclude these within the agreed timescales.

## 6.    Financial impact

6.1    There are no financial impacts arising from this report.

## 7.    Stakeholder/Community Impact

7.1    None.

## 8.     Background reading/external references

8.1     None.


## 9.     Appendices

9.1     None.

# Housing, Homelessness and Fair Work Committee

**10am, Thursday, 2 September 2021**

## Internal Audit: Overdue Findings and Key Performance Indicators as at 27 April 2021 – referral from the Governance, Risk and Best Value Committee

**Executive/routine**
**Wards**
**Council Commitments**

## 1.    For Decision/Action

1.1     The Governance, Risk and Best Value Committee has referred the attached report to the Housing, Homelessness and Fair Work Committee for information.

**Stephen S. Moir**

Executive Director of Corporate Services

Contact: Martin Scott, Assistant Committee Officer
Legal and Assurance Division, Corporate Services Directorate
Email: martin.scott@edinburgh.gov.uk

# Referral Report

## Internal Audit: Overdue Findings and Key Performance Indicators as at 27 April 2021 – referral from the Governance, Risk and Best Value Committee

## 2.    Terms of Referral

2.1    On the 8 June 2021 the Governance, Risk and Best Value (GRBV) Committee considered a report on Internal Audit Overdue Findings and Key Performance Indicators as at 27 April 2021, which provided an overview of the status of the overdue Internal Audit (IA) findings as at 27 April 2021. A total of 100 open IA findings remained to be addressed across the Council as at 27 April 2021. This excluded open and overdue Internal Audit findings for the Edinburgh Integration Joint Board and the Lothian Pension Fund.

2.2    The Governance, Risk and Best Value Committee agreed:

2.2.1    To note the status of the overdue Internal Audit (IA) findings as at 27 April 2021.

2.2.2    To refer the report to the relevant Council Executive committees and the Edinburgh Integration Joint Board Audit and Assurance Committee for information in relation to the current Health and Social Care Partnership position.

2.2.3    To agree to provide a briefing note on progress of actions 28 and 29 - the Edinburgh Alcohol and Drug Partnership (EADP) – Contract Management to Members of the Governance Risk and best Value Committee.

## 3.    Background Reading/ External References

3.1    Governance, Risk and Best Value Committee – 8 June 2020 – Webcast

3.2    Minute of the Governance, Risk and Best Value Committee – 8 June 2021

## 4.    Appendices

Appendix 1 – report by the Chief Internal Auditor

# Governance, Risk and Best Value Committee

**10:00am, Tuesday, 8 June 2021**

# Internal Audit: Overdue Findings and Key Performance Indicators as at 27 April 2021

| | |
|---|---|
| **Item number** | |
| **Executive/routine** | Executive |
| **Wards** | |
| **Council Commitments** | |

## 1.     Recommendations

1.1     It is recommended that the Committee:

1.1.1   notes the status of the overdue Internal Audit (IA) findings as at 27 April 2021; and,

1.1.2   refers this paper to the relevant Council Executive committees and the Edinburgh Integration Joint Board Audit and Assurance Committee for information in relation to the current Health and Social Care Partnership position.

**Lesley Newdall**

Chief Internal Auditor

Legal and Risk Division, Resources Directorate

E-mail: lesley.newdall@edinburgh.gov.uk | Tel: 0131 469 3216

# Report

# Internal Audit: Overdue Findings and Key Performance Indicators as at 27 April 2021

## 2.    Executive Summary

**Progress with Closure of Open and Overdue Internal Audit Findings**

2.1    Following the Corporate Leadership Team (CLT) decision to temporarily reallocate capacity within directorates to prioritise focus on the closure of IA findings in November 2020, IA has noted a steady increase in the number of overdue findings proposed for closure by management between December 2020 and March 2021 (KPI 4 in Appendix 1).  However, this was offset by a reduction of the number of findings proposed for closure in April 2021.

2.2    It is important to note that the number of management actions associated with overdue IA findings passed to IA for review and potential closure (KPI 15 in Appendix 1) has remained fairly consistent, with a slight decrease evident between March and April 2021.

2.3    During the period 10 February 2021 to 27 April 2021 a total of 18 findings (5 open and 13 overdue) and 68 management actions have been closed following review by IA.

2.4    All 26 historic overdue findings reopened in June 2018 have now been closed.

2.5    There has also been a decrease in the number of management actions where the latest implementation date has been missed between March and April, although a significant increase was evident between February and March 2021 (KPI 16 in Appendix 1). This confirms that ongoing focus is required to ensure that future implementation dates are achieved and not missed.

2.6    There has been no significant change in the overall ageing profile of overdue findings in the last quarter (KPIs 8 to 11 in Appendix 1).  Whilst the proportion of findings between three and six months old and more than one-year overdue have both increased, this is offset by a decrease in the proportion of findings less than three months old, and between six months and one year overdue.

2.7    Further detail on the monthly trends in open and overdue findings is included at Appendix 1.

**Current Position as at 27 April 2021**

2.8     A total of 100 open IA findings remain to be addressed across the Council as at 27 April 2021. This excludes open and overdue Internal Audit findings for the Edinburgh Integration Joint Board and the Lothian Pension Fund.

2.9     Of the 100 currently open IA findings:

   2.9.1   a total of 37 (37%) are open, but not yet overdue;

   2.9.2   63 (63%) are currently reported as overdue as they have missed the final agreed implementation dates.  This reflects an increase of 4% in comparison to the February 2021 position (59%).

   2.9.3   70% of the overdue findings are more than six months overdue, reflecting an increase of 2% in comparison to February 2021 (68%) with 19% aged between six months and one year and 51% more than one year overdue.

   2.9.4   evidence in relation to 13 of the 63 overdue findings is currently being reviewed by IA to confirm that it is sufficient to support closure; and,

   2.9.5   50 overdue findings still require to be addressed.

2.10    The number of overdue management actions associated with open and overdue findings where completion dates have been revised more than once since July 2018 is 64, reflecting a decrease of 10 when compared to the March 2021 position.  This excludes the four-month date extension that was applied to reflect the impact of Covid-19.

**Key Performance Indicators**

2.11    Recognising the impacts of Covid-19, IA key performance indicators (KPIs) have not been applied to audits completed by IA during the 2020/21 plan year, however IA has noted an anecdotal increase in the time required to agree and finalise IA reports.

2.12    Key performance indicators will be reintroduced for audits completed during the 2021/22 plan year

2.13    It is also acknowledged that IA is currently taking longer to respond to increased volumes of requests to validate closure of management actions whilst progressing delivery of the 2020/21 and commencing delivery of the 2021/22 annual plan.

## 3.     Background

3.1     Overdue findings arising from IA reports are reported monthly to the Corporate Leadership Team (CLT) and quarterly to the GRBV Committee.

3.2     This report specifically excludes open and overdue findings that relate to the Edinburgh Integration Joint Board (EIJB) and the Lothian Pension Fund (LPF). These are reported separately to the EIJB Audit and Assurance Committee and the Pensions Audit Sub-Committee respectively.

3.3 Each finding raised by IA in audit reports typically includes several management actions that are required to be delivered 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 As at 27 April 2021, there are a total of 100 open IA findings with 63 findings (63%) now overdue.

4.2 The movement in open and overdue IA findings during the period 10 February 2021 (reported to GRBV in March 2021) to 27 April 2021 is as follows:

| Analysis of changes between 10/02/2021 and 27/04/2021 | | | |
|---|---|---|---|
| | **Position at 10/02/21** | **Added** | **Closed** | **Position at 27/04/21** |
| **Open** | 115 | 3 | 18 | 100 |

| Overdue | 68 | 8 | 13 | 63 |
|---|---|---|---|---|

**Historic Overdue Findings**

4.3    The one final remaining medium rated historic overdue finding from the population of 26 historic findings that were reopened in 2018 was closed in March 2021.
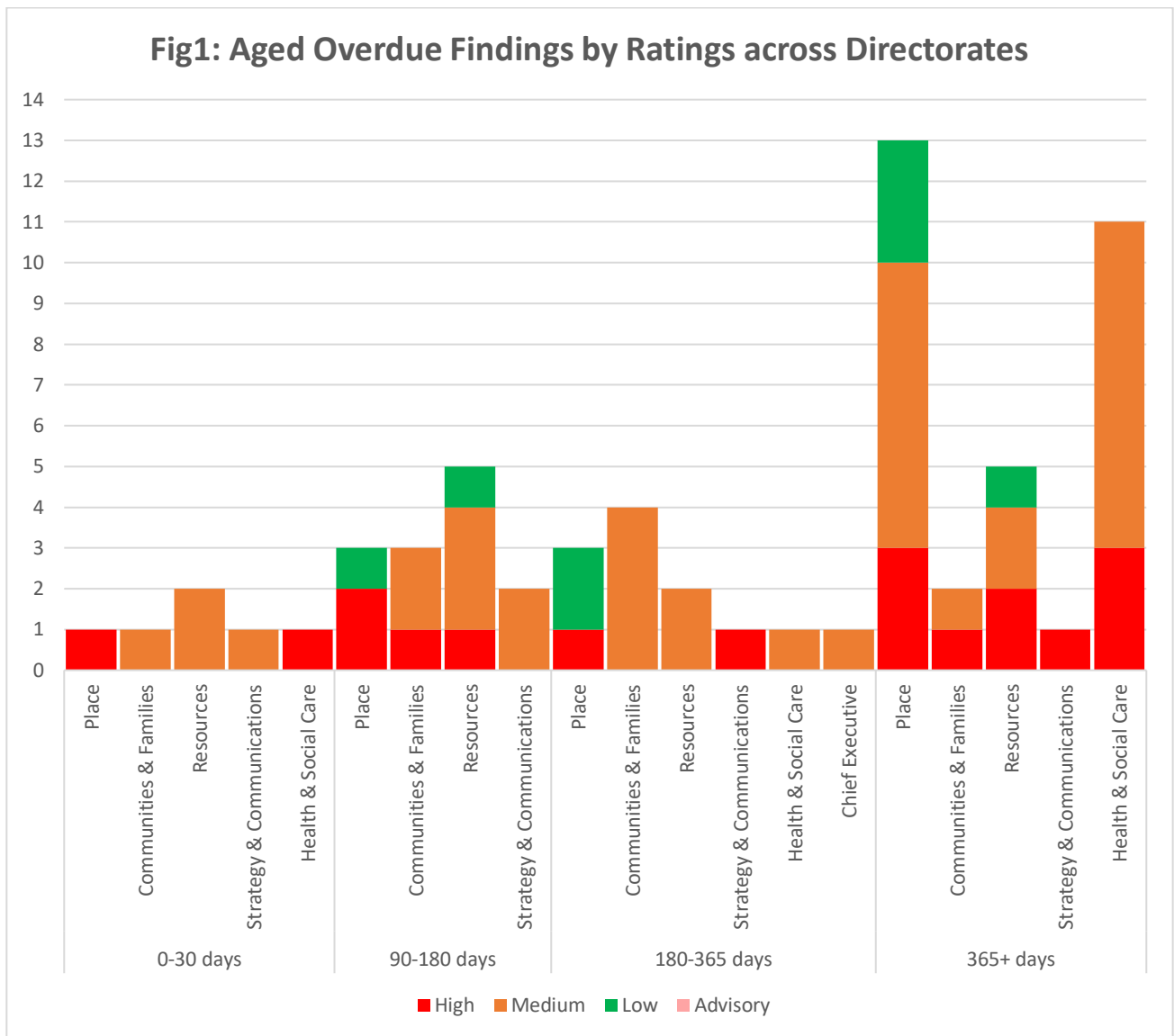
**Overdue Findings**

4.4    The 63 overdue findings comprise 18 High; 37 Medium; and 8 Low rated findings.

4.5    However, IA is currently reviewing evidence to support closure of 13 of these findings (3 High and 10 Medium), leaving a balance of 50 overdue findings (15 High; 27 Medium; and 8 Low) still to be addressed.

**Overdue Findings Ageing Analysis**

4.6    Figure 1 illustrates the ageing profile of all 63 overdue findings by rating across directorates as at 27 April 2021.



Fig1: Aged Overdue Findings by Ratings across Directorates

4.7 The analysis of the ageing of the 63 overdue findings outlined below highlights that Directorates made good progress in the last quarter with resolving findings overdue for less than three months and findings overdue between six months and one-year, as the proportion of those findings has decreased. However, this is offset by an increase in the proportion of findings overdue between three and six months and findings overdue for more than a year.

- 6 (10%) are less than 3 months (90 days) overdue, in comparison to 14% as at February 2021;
- 13 (20%) are between 3 and 6 months (90 and 180 days) overdue, in comparison to 18% as at February 2021;
- 12 (19%) are between 6 months and one year (180 and 365 days) overdue, in comparison to 24% as at February 2021; and,
- 32 (51%) are more than one year overdue, in comparison to 44% as at February 2021.

**Management Actions Closed Based on Management's Risk Acceptance**

4.8 The following three management actions have been closed on the basis that management has retrospectively accepted either the full or residual elements of the risks highlighted by IA in original audit reports. These are:

4.8.1 Customer and Digital Services - Certification and Licences (High)

- Management has accepted the residual risk that the Council does not have a view of its full population of software application licences, and cannot determine whether these are sufficient; being used in line with supplier agreements; and whether additional licence costs should be incurred, or savings achieved due to licence shortages or surpluses.
- Management has advised that this is due to current and historic software and licence procurement processes applied across the Council.

4.8.2 Customer and Digital Services – CGI Sub-Contract Management (Medium)

- Management has accepted the risk that the performance of CGI sub-contractors who provide technology services is not proactively monitored to prevent potential incidents.
- Management has advised that this risk has been accepted as it is not currently possible to change the sub-contract management clauses in the CGI contract.
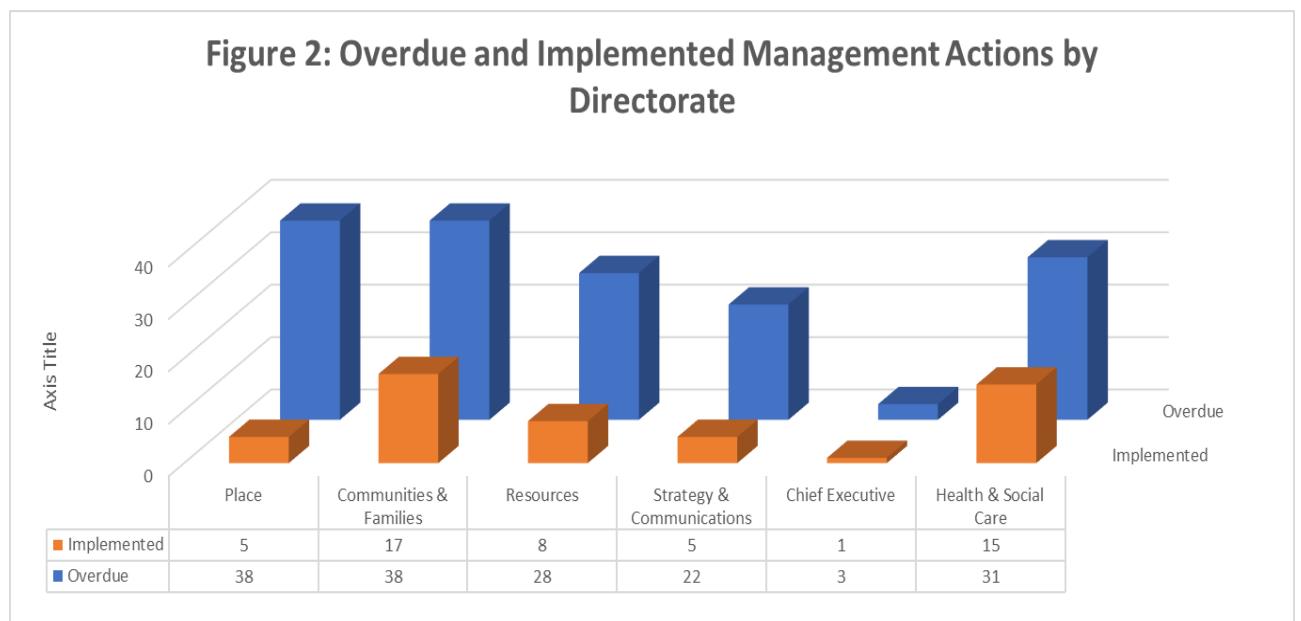
4.8.3 Health and Social Care – Emergency Prioritisation and Complaints (ATEC 24 Customer Engagement) (Low)

- Management has accepted the risks associated with obtaining customer feedback on the service, and using this as the basis to implement service improvements based on evidence provided that an alternative approach

is being adopted.  Management has confirmed that the residual risk has been recorded on the service risk register.

**Agreed Management Actions Analysis**

4.9     The 100 open IA findings are supported by a total of 269 agreed management actions. Of these, 160 (59%) are overdue as the completion timeframe agreed with management when the report was finalised has not been achieved.  This reflects a 1% increase from the February 2021 position (58%).

4.10    Of the 160 overdue management actions, 51 (31.8%) have a status of 'implemented' and are currently with IA for review to confirm whether they can be closed, leaving a balance of 109 (68.1%) to be addressed.

4.11    Appendix 2 provides an analysis of the 160 overdue management actions highlighting:

- their current status as at 27 April 2021 with:
  - 51 implemented actions where management believe the action has been completed and it is now with IA for validation;
  - 92 started where the action is open, and implementation is ongoing; and,
  - 17 pending where the action is open with no implementation progress evident to date.
- 82 instances (51%) where the latest implementation date has been missed; and
- 64 instances (40%) where the implementation date has been revised more than once.

4.12    Figure 2 illustrates the allocation of the 160 overdue management actions across Directorates, which includes the 51 actions that are with IA for validation and review to confirm whether they can be closed.



Figure 2: Overdue and Implemented Management Actions by Directorate

| | Place | Communities & Families | Resources | Strategy & Communications | Chief Executive | Health & Social Care |
|---|---|---|---|---|---|---|
| Implemented | 5 | 17 | 8 | 5 | 1 | 15 |
| Overdue | 38 | 38 | 28 | 22 | 3 | 31 |

**Revised Implementation Dates**

4.13  Figure 3 illustrates that there are currently 64 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 a decrease of 10 in comparison to the position reported in February 2021(74).

4.15  Of these 64 management actions, 28 are associated with High rated findings; 31 Medium; and 5 Low, with the majority of date revisions in Health and Social Care Partnership.



Figure 3 - management actions with more than one revised completion date since July 2018
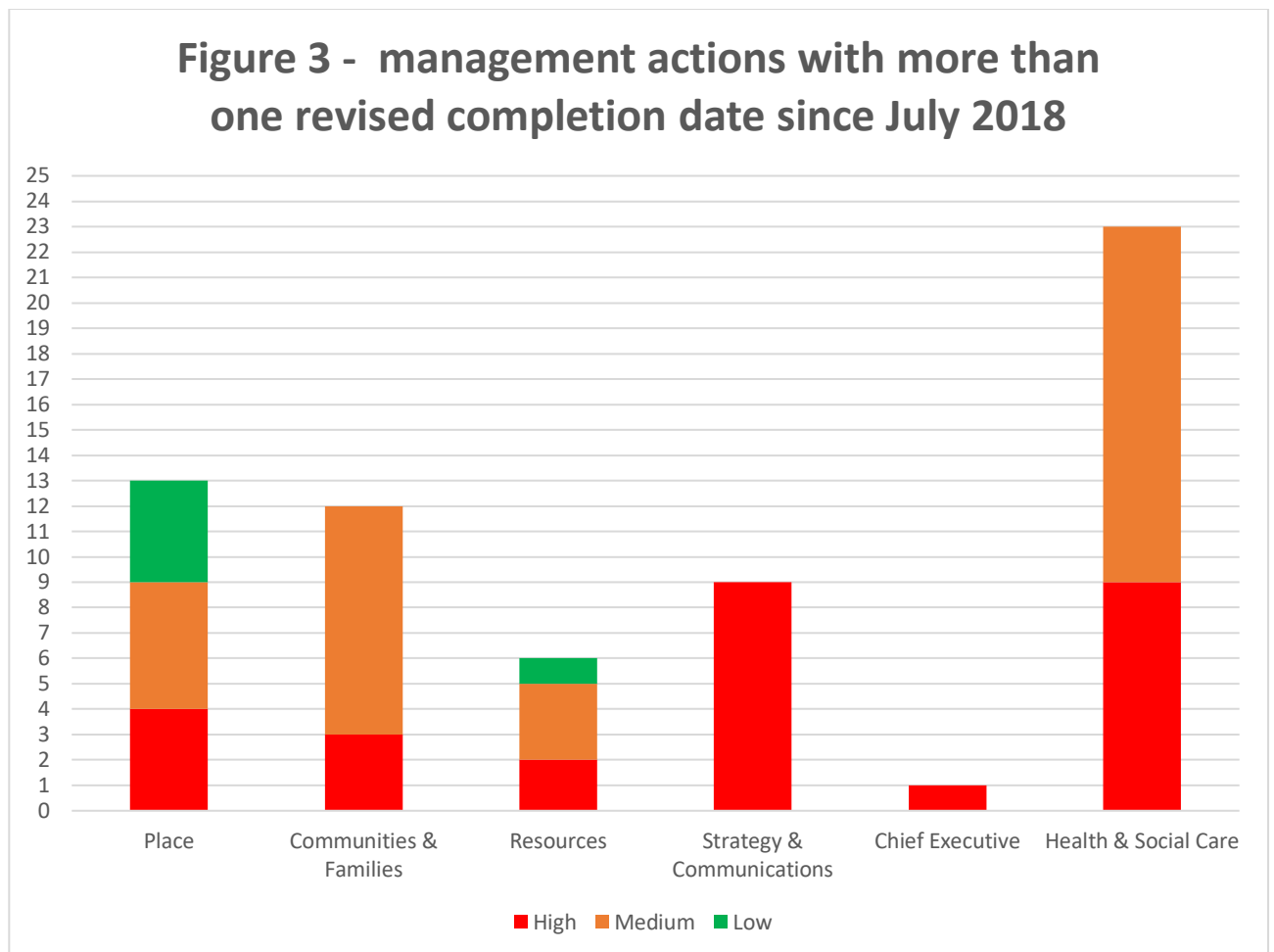
**Key Performance Themes Identified from the IA Dashboard**

4.16  The IA dashboard has not been applied in the current plan year as the Council continues to focus on its Covid-19 resilience response, and will be applied to support delivery of the 2021/22 IA annual plan. This dashboard will ensure that end to end transparency relating to audit performance, both from services and the IA team itself is reported upon.

## 5. Next Steps

5.1    IA will continue to monitor the open and overdues findings position, providing monthly updates to the CLT and quarterly updates to the Governance, Risk and Best Value Committee.

## 6. Financial impact

6.1    There are no direct financial impacts arising from this report, although failure to close findings and address the associated risks in a timely manner may have some inherent financial impact.

## 7. Stakeholder/Community Impact

7.1    If agreed management actions supporting closure of Internal Audit findings are not implemented, the Council will be exposed to the service delivery risks set out in the relevant Internal Audit reports. Internal Audit findings are raised as a result of control gaps or deficiencies identified during reviews therefore overdue items inherently impact upon effective risk management, compliance and governance.

## 8. Background reading/external references

8.1    [Internal Audit report - Historic Internal Audit Findings - May 2018 Committee - Item 7.3](#)

8.2    [Internal Audit: Overdue Findings and Key Performance Indicators at 30 October 2020 – Paper 8.3](#)

## 9. Appendices

9.1    Appendix 1 – Monthly Trend Analysis of IA Overdue Findings and Management Actions

9.2    Appendix 2 – Internal Audit Overdue Management Actions as at 27 April 2021

# Appendix 1 - Monthly Analysis of IA Overdue Findings and Management Actions

| | Overall Status | | Stable with limited change | |
|---|---|---|---|---|

| | Key Performance Indicator (KPI) | 07/12/2020 | | 11/01/2021 | | 10/02/2021 | | 22/03/2021 | | 27/04/2021 | | Trend |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | **IA Findings** | | | | | | | | | | | |
| 1 | Open findings | 123 | 100% | 119 | 100% | 115 | 100% | 107 | 100% | 100 | 100% | Not applicable |
| 2 | Not yet due | 59 | 48% | 45 | 38% | 47 | 41% | 43 | 40% | 37 | 37% | Not applicable |
| 3 | Overdue findings | 64 | 52% | 74 | 62% | 68 | 59% | 64 | 60% | 63 | 63% | Orange |
| 4 | Overdue - IA reviewing | 12 | 19% | 17 | 23% | 20 | 29% | 18 | 28% | 13 | 21% | Red |
| 5 | High Overdue | 19 | 30% | 23 | 31% | 19 | 28% | 17 | 27% | 18 | 29% | Orange |
| 6 | Medium Overdue | 36 | 56% | 41 | 55% | 39 | 57% | 38 | 59% | 37 | 59% | Orange |
| 7 | Low Overdue | 9 | 14% | 10 | 14% | 10 | 15% | 9 | 14% | 8 | 13% | Orange |
| 8 | <90 days overdue | 11 | 17% | 16 | 22% | 10 | 15% | 11 | 17% | 6 | 10% | Green |
| 9 | 90-180 days overdue | 7 | 11% | 9 | 12% | 12 | 18% | 10 | 16% | 13 | 21% | Red |
| 10 | 180-365 days overdue | 21 | 33% | 20 | 27% | 16 | 24% | 16 | 25% | 12 | 19% | Green |
| 11 | >365 days overdue | 25 | 39% | 29 | 39% | 30 | 44% | 27 | 42% | 32 | 51% | Red |
| | | | | | | | | | | | | |
| | **Management Actions** | | | | | | | | | | | |
| 12 | Open actions | 364 | 100% | 340 | 100% | 315 | 100% | 296 | 100% | 269 | 100% | Not applicable |
| 13 | Not yet due | 175 | 48% | 138 | 41% | 133 | 42% | 120 | 41% | 109 | 41% | Not applicable |
| 14 | Overdue actions | 189 | 52% | 202 | 59% | 182 | 58% | 176 | 59% | 160 | 59% | Orange |
| 15 | Overdue - IA reviewing | 39 | 21% | 52 | 26% | 51 | 28% | 61 | 35% | 51 | 32% | Orange |
| 16 | Latest date missed | 60 | 32% | 73 | 36% | 76 | 42% | 95 | 54% | 82 | 51% | Orange |
| 17 | Date revised > once | 86 | 46% | 82 | 41% | 74 | 41% | 71 | 40% | 64 | 40% | Orange |

Trend Analysis - key

| | |
|---|---|
| Red | Adverse trend - action required |
| Orange | Stable with limited change |
| Green | Positive trend with progress evident |

No trend analysis is performed on open findings and findings not yet due as these numbers will naturally increase when new IA reports are finalised

# Appendix 2 - Internal Audit Overdue Management Actions as at 27 April 2021

**Glossary of terms**

1. Project – This is the name of the audit report.
2. Owner – The Executive Director responsible for implementation of the action.
3. Issue Type – This is the priority of the audit finding, categorised as Critical; High; Medium; or Low
4. Issue – This is the name of the finding.
5. Status – This is the current status of the management action. These are categorised as:
   - Pending (the action is open and there has been no progress towards implementation),
   - Started (the action is open, and work is ongoing to implement the management action), and
   - **Implemented** (the service area believes the action has been Implemented and this is with Internal Audit for validation).
6. Agreed Management action – This is the action agreed between Internal Audit and Management to address the finding.
7. Estimated date – the original agreed implementation date.
8. Revised date – the current revised date. **Red** formatting in the dates field indicates the last revised date is overdue.
9. Number of revisions – the number of times the date has been revised since July 2018.
10. **Amber** formatting in the dates field indicates the date has been revised more than once.
11. Contributor – Officers involved in implementation of an agreed management action.

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 1 | Asset Management Strategy<br><br>Issue 1: Visibility and Security of Shared Council Property<br><br>Stephen Moir, Executive Director of Resources | **Medium** | Review of existing shared property<br><br>Started | 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. | Estimated Date: 31/10/2018 Revised Date: 01/03/2026 **No of Revisions 3** | Audrey Dutton Gohar Khan Layla Smith Michelle Vanhegan Peter Watton |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| Page 198 | Asset Management Strategy and CAFM system 18/19<br><br>RES1813 Asset Management Strategy and CAFM: Issue 3 - Property and Facilities Management Data Completeness; Accuracy; and Quality<br><br>Stephen Moir, Executive Director of Resources | **High** | 3.1 Ensuring Data Completeness, Accuracy, and Quality<br><br>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. 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 | Estimated Date: 31/03/2016<br>Revised Date: 01/08/2022<br>No of Revisions 1 | Alan Chim<br>Andrew Field<br>Audrey Dutton<br>Brendan Tate<br>Gohar Khan<br>Layla Smith<br>Michelle Vanhegan<br>Peter Watton |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| | | | | 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. | | |
| 3 <br> Page 199 | Asset Management Strategy and CAFM system 18/19 <br><br> RES1813 Asset Management Strategy and CAFM: Issue 3 - Property and Facilities Management Data Completeness; Accuracy; and Quality <br><br> Stephen Moir, Executive Director of Resources | High | 3.2 Resolution of known data quality issues <br><br> Started | 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. | **Estimated Date: 31/03/2016 Revised Date: 01/08/2022 No of Revisions 2** | Alan Chim Andrew Field Audrey Dutton Brendan Tate Gohar Khan Graeme McGartland Layla Smith Michelle Vanhegan Peter Watton |
| 4 | Assurance Actions and Annual Governance Statements <br><br> CW1903 Issue 1: Assurance Management Framework | High | CW1903 Issue 1.1c: Develop and implement an assurance management framework <br><br> Started | An assurance management framework will be developed and Implemented that covers the points raised by Internal Audit and includes: liaison with directorates to assess current and best practice; clearly defined roles and responsibilities for first line directorates and the second line Corporate Governance team; process flow; monitoring / reporting / closure requirements; an assessment of existing automated tools to determine whether they can support the process; issue guidance; The framework will be Implemented and rolled out across Council divisions and directorates to support completion of the 2021/22 | **Estimated Date: 31/12/2020 Revised Date: 30/04/2021 No of Revisions 2** | Chris Peggie Donna Rodger Gavin King Hayley Barnett Laura Callender Mirka Vybiralova |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| | Andrew Kerr, Chief Executive | | | annual governance statement for inclusion in the Council's 31 March 2022 annual financial statements. | | |
| 5 | Brexit impacts - supply chain management<br><br>CW1905 Issue 1: Divisional and Directorate Brexit supply chain management risks<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | **Medium** | CW1905 Rec. 1.1c: Communities and Families - Divisional and directorate supply chain management<br><br>**Implemented** | As discussed and agreed at the Corporate Leadership Team (CLT) on 29th July 2020, these findings will be Implemented as recommended by Internal Audit and in line with an earlier CLT decision (8 July 2020) that the most significant corporate concurrent risks (including Brexit supply chain risks) that could potentially impact the Council will be identified by October 2020. It is acknowledged that divisional and directorate supply chain risks will need to be identified to support this process. | **Estimated Date: 30/10/2020 Revised Date:**<br><br>**No of Revisions 0** | Andy Gray Bernadette Oxley Crawford McGhie Michelle McMillan Nichola Dadds Nickey Boyle |
| 6 | Brexit impacts - supply chain management<br><br>CW1905 Issue 1: Divisional and Directorate Brexit supply chain management risks<br><br>Judith Proctor, Chief Officer - HSCP | **Medium** | CW1905 Rec. 1.1d: Health and Social Care Partnership - Divisional and directorate supply chain management<br><br>**Implemented** | As discussed and agreed at the Corporate Leadership Team (CLT) on 29th July 2020, these findings will be Implemented as recommended by Internal Audit and in line with an earlier CLT decision (8 July 2020) that the most significant corporate concurrent risks (including Brexit supply chain risks) that could potentially impact the Council will be identified by October 2020. It is acknowledged that divisional and directorate supply chain risks will need to be identified to support this process. | **Estimated Date:30/10/2020**<br><br>**Revised Date: No of Revisions 0** | Angela Ritchie Moira Pringle Tom Cowan Tony Duncan |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 7 | Brexit impacts - supply chain management

CW1905 Issue 1: Divisional and Directorate Brexit supply chain management risks

Gavin King, Democracy, Governance and Resilience Senior Manager | Medium | CW1905 Rec. 1.1e: Strategy and Communications - Divisional and directorate supply chain management

Pending | As discussed and agreed at the Corporate Leadership Team (CLT) on 29th July 2020, these findings will be Implemented as recommended by Internal Audit and in line with an earlier CLT decision(8 July 2020) that the most significant corporate concurrent risks (including Brexit supply chain risks) that could potentially impact the Council will be identified by October 2020. It is acknowledged that divisional and directorate supply chain risks will need to be identified to support this process. | Estimated Date: 30/10/2020 Revised Date:

No of Revisions 0 | Andy Nichol Donna Rodger Gillie Severin Michael Pinkerton Paula McLeay |
| 8 | Brexit impacts - supply chain management

CW1905 Issue 2: Brexit governance and risk management

Andrew Kerr, Chief Executive | Medium | CW1905- Recom. 2.1a: Resilience team - Adequacy & effectiveness of the Brexit risk management & governance process

Pending | 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. | Estimated Date: 30/09/2020 Revised Date:

No of Revisions 0 | Donna Rodger Gavin King Mary-Ellen Lang |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 9 | Budget Setting and Management<br><br>RES 1903 Issue 1: Savings proposals documentation and risk assessments<br><br>Stephen Moir, Executive Director of Resources | Medium | RES 1903 Issue 1.1: Savings proposals documentation and risk assessments<br><br>Implemented | 1. Savings plan and business case templates will both be reviewed to ensure that they align to major projects documentation. In addition, a procedural document will be created which details the amount and depth of documentation, which is required to support savings plans, based on outcomes of the prioritisation matrix assessment. 2. The Finance budget monitoring RAG (Red, Amber, Green) delivery risk assessment categories will each be formally defined, and consistently applied to all savings delivery progress updates provided to Directorate management teams, CLT, and service committees. | Estimated Date: 30/09/2020 Revised Date: 01/02/2021<br><br>No of Revisions 0 | John Connarty Alison Henry Annette Smith Donna Rodger Emma Baker Hugh Dunn Layla Smith Michelle Vanhegan |
| | Budget Setting and Management<br><br>RES 1903 Issue 2: Budget setting and management processes<br><br>Stephen Moir, Executive Director of Resources | Medium | RES 1903 Issue 2.1: Budget setting and management processes and timetable<br><br>Started | Guidance will be developed for budget setting and management as described in the recommendation above and issued to support the 2021/22 budget setting process. | Estimated Date: 31/12/2020 Revised Date: 01/05/2021 No of Revisions 0 | Alison Henry Annette Smith Emma Baker Hugh Dunn John Connarty Layla Smith Michelle Vanhegan |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 11 | Budget Setting and Management<br><br>RES 1903 Issue 2: Budget setting and management processes<br><br>Stephen Moir, Executive Director of Resources | Medium | RES 1903 Issue 2.2: Clarity of roles and responsibilities<br><br>Started | The respective roles and responsibilities for first line budget managers and second line Finance and Change Strategy teams in relation to the annual budget setting and ongoing budget management process will be clearly defined in a procedure document and communicated with documentation reflecting guidance on this matter issued by CIPFA. | Estimated Date: 31/12/2020 Revised Date: 01/05/2021 No of Revisions 0 | Alison Henry Annette Smith Emma Baker Hugh Dunn John Connarty Layla Smith Michelle Vanhegan |
| | Budget Setting and Management<br><br>RES 1903 Issue 3: Continuous improvement: Lessons learned and customer feedback.<br><br>Stephen Moir, Executive Director of Resources | Medium | RES 1903 Issue 3.1: Annual budget setting lessons learned methodology<br><br>Started | 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: 31/05/2021 No of Revisions 1 | John Connarty Alison Henry Annette Smith Donna Rodger Emma Baker Hugh Dunn Layla Smith Michelle Vanhegan |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 13 | Budget Setting and Management<br><br>RES 1903 Issue 3: Continuous improvement: Lessons learned and customer feedback.<br><br>Stephen Moir, Executive Director of Resources | Medium | RES 1903 Issue 3.2: Finance customer and staff feedback surveys<br><br>Started | Finance will conduct customer and staff feedback exercises every two years. A feedback process will be developed and Implemented that is aligned with the lessons learned methodology as described in recommendation 3.1. In addition, feedback from each exercise will be consolidated and used to generate improvement actions. The survey results and improvement actions will be reported to service managers and staff. | Estimated Date: 31/12/2020 Revised Date: 01/05/2021 No of Revisions 0 | Alison Henry Annette Smith Hugh Dunn John Connarty Layla Smith Michelle Vanhegan |
| 14 | Budget Setting and Management<br><br>RES 1903 Issue 4: Training for budget managers<br><br>Stephen Moir, Executive Director of Resources | Medium | RES 1903 Issue 4.1: Training for budget managers<br><br>Started | Finance is not currently responsible for providing training for budget managers as this was centralised into, Learning and Development in 2016. However, following discussions earlier this year, it has been agreed that responsibility for budget managers training will transfer back from Learning and Development to Finance. Once these responsibilities have been transferred, Finance will establish a process to ensure that all first line budget managers have completed the two training modules with supporting checks performed to ensure that the training has been completed. Please note that the 'Evidence required to close' listed above is for indicative purposes only. During Internal Audit's review of any evidence submitted, further supporting evidence may be required to close the action. Evidence should be uploaded to TeamCentral as actions progress and no later than 10 working days before agreed implementation date. This will allow Internal Audit sufficient time to review the evidence. | Estimated Date:30/09/2020 Revised Date:31/12/2021 No of Revisions 1 | Alison Henry Annette Smith Hugh Dunn John Connarty Layla Smith Michelle Vanhegan |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| Page 205 | CGI Partnership Management and Governance<br><br>RE1904 Issue 1 - CGI Governance and performance management framework<br><br>Stephen Moir, Executive Director of Resources | Medium | RES1904 - Rec 1.1 Independent assurance<br><br>Implemented | 1. Whilst these areas are not covered as specific clauses in the current contract, management agrees that it is important to obtain independent assurance in relation to CGI operational performance, and will request provision of the following either within the terms of the current contract (if possible) or as part of the next contract refresh to support achievement of Scottish Government Cyber Essentials Plus Accreditation and ongoing compliance with the new Scottish Government public sector cyber framework: a) evidence of ongoing CGI International Organisation for Standardisation (ISO) accreditation for all standards relevant to the technology services delivered by CGI (for example ISO27001). b) completion of an annual independent IT health check regardless of CGI ISO accreditation outcomes that will provide additional assurance in relation to security and ongoing compliance with the current Scottish Government Cyber Essentials Plus Accreditation and new cyber security framework requirements. It is acknowledged that this will likely incur additional cost for the Council, however this may be offset by reduced Internal and External audit assurance costs where reliance can be placed on completion of the independent health check. c) the requirement for CGI to address any assurance findings raised with evidence provided to the Council to confirm their resolution. 2. Management accepts this risk on the basis that it is not possible to change the terms of the contract to include an increased number of contractually free audits to support provision of ongoing independent internal and external audit assurance. | Estimated Date: 31/03/2021 Revised Date:<br><br>No of Revisions 0 | Alison Roarty Heather Robb Jackie Galloway Layla Smith Michelle Vanhegan Nicola Harvey |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 16 | CGI Partnership Management and Governance<br><br>RE1904 Issue 1 - CGI Governance and performance management framework<br><br>Stephen Moir, Executive Director of Resources | Medium | RES1904 - Rec 1.2 CGI governance framework<br><br>Started | The governance framework has changed reflecting the Council's evolving technology needs and ongoing continuous feedback and improvement in delivery of CGI services, and some aspects of the governance framework detailed in the contract have become outdated. A governance document has been designed and agreed with CGI that includes all established partnership meetings and details their purpose; attendees; documents and information to be provided in advance of the meetings; and meeting agendas. The design of the current governance framework will be further considered as part of the next CGI contract refresh. | Estimated Date: 31/03/2021 Revised Date:<br><br>No of Revisions 0 | Alison Roarty Heather Robb Jackie Galloway Layla Smith Michelle Vanhegan Nicola Harvey |
| 17 | CGI Partnership Management and Governance<br><br>RE1904 Issue 1 - CGI Governance and performance management framework<br><br>Stephen Moir, Executive Director of Resources | Medium | RES1904 - Rec 1.3 Key performance indicators<br><br>Started | Accepted. A review will be performed to determine which KPIs can be refreshed within the terms of the current contract, and all existing KPIs will be reviewed as part of the next contract refresh. | Estimated Date: 31/03/2021 Revised Date:<br><br>No of Revisions 0 | Alison Roarty Heather Robb Jackie Galloway Layla Smith Michelle Vanhegan Nicola Harvey |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 18 | Cyber Security - Public Sector Action Plan<br><br>RES1808: Issue 1: Critical Operational Cyber Security Controls<br><br>Stephen Moir, Executive Director of Resources | Medium | RES1808: Issue 1: Recommendation 1.2 - Cyber Essentials Accreditation<br><br>Started | 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. | Estimated Date: 30/09/2019 Revised Date: 01/05/2021 No of Revisions 2 | Alison Roarty Heather Robb Layla Smith Michelle Vanhegan Mike Brown Nicola Harvey |
| 19 | Digital Services Change Initiation<br><br>CW1901 Change Initiation: Issue 1 - Inconsistencies in the change management processes<br><br>Stephen Moir, Executive Director of Resources | Medium | CW1901: Recommendation 1.2.1 - Review of service levels for CGI review and response to change requests<br><br>Started | Service levels for CGI review of and responses to change requests will be reviewed and consideration given to implementing the following changes where this is possible within the terms of the current contract: creating bespoke service levels for individual complex change requests with any additional costs associated with bespoke service levels incorporated into the cost of the change request. Where bespoke service levels are agreed, a process will be established to ensure that these are communicated to both Digital Services and the change requestor. CGI and the Council will also consider and implement (if appropriate) an initial review of change requests to confirm that they are of an acceptable level of quality and include sufficient information to support an initial assessment of the requirement for a Data Privacy Impact Assessment prior to acceptance. Progress against delivery of both standard and bespoke service levels for CGI review of and response to change requests will continue to be monitored by both the Council and CGI via established governance processes. | Estimated Date: 31/12/2020 Revised Date:<br><br>No of Revisions 0 | Alison Roarty Derek Masson Heather Robb Jackie Galloway Layla Smith Michelle Vanhegan Nicola Harvey |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 20 | Digital Services Incident and Problem Management

RES1907 Incident and Problem Management: Issue 1 - Next steps for incident resolution

Stephen Moir, Executive Director of Resources | Low | RES1907 Recommendation 1.1.1 - Incident Reports

Started | Agreed – updates will be provided into the problem management records that feed into the Problem Review Board. | Estimated Date:31/12/2020 Revised Date: No of Revisions 0 | Alison Roarty Heather Robb Jackie Galloway Layla Smith Michelle Vanhegan Nicola Harvey Richard Burgess |
| 21 | Digital Services Incident and Problem Management

RES1907 Incident and Problem Management: Issue 1 - Next steps for incident resolution

Stephen Moir, Executive Director of Resources | Low | RES1907 Recommendation 1.1.2 - Partnership Board and Client Service Reports

Started | Agreed – the Client Service reports, and Partnership Board documents will be amended in relation to problem records to make reference to updates of the problem records being recorded in the Problem Review Board input. | Estimated Date: 31/12/2020 Revised Date:

No of Revisions 0 | Alison Roarty Heather Robb Jackie Galloway Layla Smith Michelle Vanhegan Nicola Harvey Richard Burgess |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 22 | Drivers<br><br>Management and use of Driver Permits and fuel FOB cards<br><br>Paul Lawrence, Executive Director of Place and SRO | Medium | Management and use of Driver Permits and Fuel FOB cards Rec 4<br><br>Started | 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; | Estimated Date: 01/02/2019 Revised Date: 31/08/2021 No of Revisions 4 | Alison Coburn Claire Duchart David Givan Gareth Barwell George Gaunt Katy Miller Martin Young Nicole Fraser Scott Millar Steven Wright |
| 23 | Drivers<br><br>Recording and addressing driving incidents<br><br>Paul Lawrence, Executive Director of Place and SRO | Medium | Recording and addressing driving incidents Rec 2<br><br>Started | 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; | Estimated Date: 01/04/2019 Revised Date: 30/06/2021 No of Revisions 3 | Adam Fergie Alison Coburn Claire Duchart David Givan Gareth Barwell George Gaunt Katy Miller Martin Young Nicole Fraser Scott Millar Steven Wright |
| 24 | Drivers<br><br>Recording and addressing driving incidents<br><br>Paul Lawrence, Executive Director of Place and SRO | Medium | Recording and addressing driving incidents Rec 3<br><br>Started | 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; | Estimated Date: 01/02/2019 Revised Date: 31/10/2021 No of Revisions 3 | Adam Fergie Alison Coburn Claire Duchart David Givan Gareth Barwell George Gaunt Katy Miller Martin Young Nicole Fraser Scott Millar Steven Wright |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 25 | Drivers<br><br>Recording and addressing driving incidents<br><br>Paul Lawrence, Executive Director of Place and SRO | Medium | Recording and addressing driving incidents<br><br>Started | Six monthly reporting will be provided to the Corporate Leadership Team together with details of relevant actions taken. | Estimated Date: 01/10/2019 Revised Date: 01/12/2020 No of Revisions 1 | Adam Fergie Alison Coburn Claire Duchart David Givan Gareth Barwell George Gaunt Katy Miller Martin Young Nicole Fraser Scott Millar Steven Wright |
| 26 | Drivers - findings only report<br><br>1: Completion of Driver Licence checks<br><br>Paul Lawrence, Executive Director of Place and SRO | High | 1.2 - Agreed Management Action – Establish an accurate population of Council drivers<br><br>Started | 1. An e mail will be prepared and issued by the Executive Director of Place. This will include an explanation of the requirement for Council vocational and grey fleet drivers to complete ad return the DVLA driver licence check permissions forms to Fleet Services and include a date for completion. The e mail will also reinforce the escalation process to be applied where that driving permission forms are not received and will confirm that driver permits will be revoked where completed forms are not returned on time. 2. Fleet services will engage with the Business Hub team within Strategy and Communications and to determine what support can be provided to enable effective resolution of the current position and the nature of ongoing support required. 3. This action is already in progress as a number of leavers have now been removed from the Fleet Services Tranman driver database. Once all permission forms have been received, a full reconciliation will be performed. Subsequent reconciliations will then be performed monthly and will be moved to quarterly if no significant issues are experienced. 4. Reports are currently received monthly from the Business Hub (Strategy and Communications) and Per Temps for agency workers, | Estimated Date: 01/11/2020 Revised Date: 01/03/2021 No of Revisions 0 | Alison Coburn David Givan Gareth Barwell George Gaunt Nicole Fraser Scott Millar |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| Page 211 | | | | but these include all leavers and do not specifically highlight those who are drivers. As part of our engagement with the Strategy and Communications Business Hub, we will determine whether leaver reports can be provided that include details of vocational and grey fleet drivers. If this is not possible, we will engage with Continuous Improvement to determine whether it is possible to design and implement an electronic process that compares the employee data in the leavers reports with the data retained in the Fleet Services Tranman driver database to identify those leavers who are drivers. If this is not possible, a manual comparison will continue to be performed and leavers who are drivers will be removed from the Tranman database and advised to Davis 5 and 6 - Once the data cleanse and reconciliation has been performed, the Council will have an accurate record of all known vocational, grey fleet, and agency drivers that details where checks have been performed and permits issued. The ongoing reconciliation to be performed at 2 above will ensure that this remains complete and accurate 7. E Davis will perform the licence checks as soon as permission forms are received by them. Davis also provides management information in relation to permissions that are due to expire. MI re permissions that are due to expire. | | |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 27 | Drivers - findings only report<br><br>1: Completion of Driver Licence checks<br><br>Paul Lawrence, Executive Director of Place and SRO | **High** | 1.3 - Driver permit revocation<br><br>Started | 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. | **Estimated Date: 04/05/2020 Revised Date: 29/01/2021 No of Revisions 1** | Alison Coburn David Givan Gareth Barwell George Gaunt Graeme Hume Nicole Fraser Scott Millar |
| 28 | Edinburgh Alcohol and Drug Partnership (EADP) – Contract Management<br><br>Risk and Supplier Performance Management<br><br>Judith Proctor, Chief Officer - HSCP | **High** | Rec 1 - Risk Management<br><br>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. | **Estimated Date: 30/03/2018 Revised Date: 01/03/2021 ==No of Revisions 4==** | Angela Ritchie David Williams Tony Duncan |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 29 | Edinburgh Alcohol and Drug Partnership (EADP) – Contract Management<br><br>Key Person Dependency and Process Documentation<br><br>Judith Proctor, Chief Officer - HSCP | **Medium** | Rec 5 - Records Management Policy<br><br>Started | Records retention policy: Direction will be requested from the Information Governance team in relation to Records Management Policy requirements and how they should be applied to retention, archiving and destruction of contract management information. Any lessons learned will be shared with the Health and Social Care contracts management team. | **Estimated Date:30/03/2018 Revised Date:01/02/2021 No of Revisions: 5** | Angela RitchieDavid WilliamsTony Duncan |
| 30 | Emergency Prioritisation & Complaints<br><br>CW1806 Issue 1: ATEC 24 Operational Framework<br><br>Judith Proctor, Chief Officer - HSCP | **Medium** | CW1806 Issue 1.1(2): ATEC 24 Review of Operational Processes - Call Prioritisation<br><br>**Implemented** | 2. Call prioritisation procedures will be designed and Implemented, including recording the rationale for call prioritisation and delivery of training to staff. A review schedule for these procedures will be Implemented with the last review date and date of next scheduled review clearly identifiable i.e. every 3 years. | **Estimated Date: 29/11/2019 Revised Date: 01/02/2021 No of Revisions 2** | Andy Jones Angela Ritchie Tom Cowan |
| 31 | Emergency Prioritisation & Complaints<br><br>CW1806 Issue 1: ATEC 24 Operational Framework | **Medium** | CW1806 Issue 1.2(3): ATEC 24 Service Level Agreements - Partnership Protocol<br><br>**Implemented** | 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. | **Estimated Date: 29/11/2019 Revised Date: 01/03/2021 No of Revisions 3** | Andy Jones Angela Ritchie Tom Cowan |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | Judith Proctor, Chief Officer - HSCP | | | | | |
| 32 | Emergency Prioritisation & Complaints<br><br>CW1806 Issue 1: ATEC 24 Operational Framework<br><br>Judith Proctor, Chief Officer - HSCP | Medium | CW1806 Issue 1.1(6): ATEC 24 Review of Operational Processes - Response Recording<br><br>Implemented | 6. Roll out of handheld devices to allow automated reporting will be progressed. | Estimated Date: 30/04/2020 Revised Date: 01/03/2021 No of Revisions 1 | Andy Jones Angela Ritchie Tom Cowan |
| 33 | Emergency Prioritisation & Complaints<br><br>CW1806 Issue 1: ATEC 24 Operational Framework<br><br>Judith Proctor, Chief Officer - HSCP | Medium | CW1806 Issue 1.4(1): ATEC 24 Quality Assurance Framework - Methodology<br><br>Implemented | 1. A documented quality assurance process aligned to Technology Enabled Care Services Association (TSA) guidelines will be developed and communicated for call handling and response visits. The process will include quality assurance roles and responsibilities, frequency and scope of quality assurance checks, sampling methodologies to be applied. | Estimated Date: 30/04/2020 Revised Date: 01/02/2021 No of Revisions 2 | Andy Jones Angela Ritchie Tom Cowan |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 34 | Emergency Prioritisation & Complaints<br><br>CW1806 Issue 1: ATEC 24 Operational Framework<br><br>Judith Proctor, Chief Officer - HSCP | Medium | CW1806 Issue 1.4(2): ATEC 24 Quality Assurance Framework - Application<br><br>Implemented | 2. Quality assurance outcomes will be linked to supervision and training and performance objectives, with regular one to ones scheduled to ensure action is taken to address any competence issues or gaps identified. | Estimated Date: 30/04/2020 Revised Date: 01/02/2021 No of Revisions 2 | Andy Jones Angela Ritchie Tony Duncan |
| Page 215 | Emergency Prioritisation & Complaints<br><br>CW1806 Issue 1: ATEC 24 Operational Framework<br><br>Judith Proctor, Chief Officer - HSCP | Medium | CW1806 Issue 1.4(3): ATEC 24 Quality Assurance Framework - Review<br><br>Pending | 3. Where systemic themes or trends are identified from quality assurance reviews, management will consider whether existing operational processes should be revisited. | Estimated Date: 30/04/2020 Revised Date: 01/05/2021 No of Revisions 1 | Andy Jones Angela Ritchie Tom Cowan |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 36 | Emergency Prioritisation & Complaints

CW1806: Issue 2: Third Party Service Provision - Health & Social Care Partnership

Judith Proctor, Chief Officer - HSCP | 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. | Estimated Date: 30/11/2019 Revised Date: 31/08/2021 No of Revisions 4 | Angela Ritchie Brian Henderson Colin Beck Tony Duncan |
| 37 | Emergency Prioritisation & Complaints

CW1806: Issue 2: Third Party Service Provision - Health & Social Care Partnership

Judith Proctor, Chief Officer - HSCP | Medium | CW1806: Issue 2(2): Partnership Protocol HSCP/Contact Centre

Started | Agreed, once the SLA is finalised, a Partnership Protocol will be developed in conjunction with Customer Contact Centre colleagues. | Estimated Date: 28/02/2020 Revised Date: 30/09/2021 No of Revisions 3 | Alison Roarty Angela Ritchie Brian Henderson Colin Beck Lisa Hastie Tom Cowan |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 38 | H&SC Care Homes - Corporate Report<br><br>A1.1: Care Homes Self Assurance Framework<br><br>Judith Proctor, Chief Officer - HSCP | Medium | A1.1: Care Homes Self Assurance Framework<br><br>Implemented | 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. | Estimated Date: 30/06/2019 Revised Date: 01/05/2021 No of Revisions 1 | Angela Ritchie Jacqui Macrae |
| 39 | H&SC Care Homes - Corporate Report<br><br>A2.3: Welfare Fund and Outings Funds<br><br>Judith Proctor, Chief Officer - HSCP | Medium | A2.3(2) Establishment of welfare fund committees<br><br>Implemented | 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. | Estimated Date: 31/07/2018 Revised Date: 01/05/2021 No of Revisions 5 | Angela Ritchie Jacqui Macrae |
| 40 | H&SC Care Homes - Corporate Report<br><br>A3.1: Training<br><br>Judith Proctor, Chief Officer - HSCP | Medium | A3.1(1) Manager review of training<br><br>Implemented | This will be included as part of a new monthly controls process to be Implemented and monitored via completion of a monthly spreadsheet. A working group has been established to document all processes to be included. | Estimated Date: 30/06/2019 Revised Date: 01/05/2021 No of Revisions 3 | Angela Ritchie Jacqui Macrae |
| 41 | H&SC Care Homes - Corporate Report<br><br>A3.3: Performance & Attendance Management | Medium | A3.3(2) Health & Social Care Teams - 6 monthly and annual performance conversations | Health and Social Care Teams Will ensure that annual performance conversations (once completed) are recorded on the iTrent system. | Estimated Date: 30/06/2018 Revised Date: 01/05/2021 No of | Angela Ritchie Jacqui Macrae |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | Judith Proctor, Chief Officer - HSCP | | **Implemented** | | **Revisions 5** | |
| 42 | H&SC Care Homes - Corporate Report<br><br>A3.3: Performance & Attendance Management<br><br>Judith Proctor, Chief Officer - HSCP | **Medium** | A3.3(4) Health & Social Care Teams - quarterly review of absence and performance management<br><br>**Implemented** | 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 Domestics and Handymen reporting to them The Business Support Officer is required to monitor and report through the Customer process on a monthly basis. The staff nurse / charge nurse to be appointed at Gylemuir will ensure that this is performed for all NHS staff. | **Estimated Date:30/06/2018 Revised Date:01/05/2021 No of Revisions 3** | Angela Ritchie Jacqui Macrae |
| 43 | H&SC Care Homes - Corporate Report<br><br>A3.4: Agency Staffing<br><br>Judith Proctor, Chief Officer - HSCP | **Medium** | A3.4(2) Analysis of the agency staff and hours worked charges<br><br>**Implemented** | The BSO will assist the UM (See A2.1). A paper is being presented to the Health and Social Care Senior Management Team week commencing 15th January 2018 that proposes a solution where information will be provided to Locality Managers who will prepare reports for Care Homes. If this solution is agreed, it will be Implemented immediately. | **Estimated Date: 31/03/2018 Revised Date: 01/05/2021 No of Revisions 4** | Angela Ritchie Jacqui Macrae |
| 44 | H&SC Care Homes - Corporate Report<br><br>A3.5: Adequacy of Resources<br><br>Judith Proctor, Chief Officer - HSCP | **Medium** | A3.5(1) Care Inspectorate Dependency Assessments requirements<br><br>**Implemented** | Unit managers submit monthly reports to Cluster manager and Locality management team. Locality management team responsible for ensuring resource meets the demand based on dependency scoring. | **Estimated Date: 31/01/2019 Revised Date: 01/05/2021 No of Revisions 5** | Angela Ritchie Jacqui Macrae |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 45 | H&SC Care Homes - Corporate Report<br><br>A2.3: Welfare Fund and Outings Funds<br><br>Judith Proctor, Chief Officer - HSCP | Medium | A2.3(3) Production of annual accounts and review by welfare fund committee<br><br>Started | A working group has been established that will focus on welfare. The remit of the group will focus on welfare committees; constitutions; accounts; criteria and donations. 2 officers from the working group have been assigned responsibility to write and implement welfare guidelines Task assigned to Business Officer for annual accounts and daily bookkeeping. Guidelines to be written for consistency. | Estimated Date: 31/07/2018 Revised Date: 01/05/2021 No of Revisions 4 | Angela Ritchie Jacqui Macrae |
| 46 | HMO Licensing<br><br>PL1803 Issue 1 Licensing system - Data Integrity and Performance Issues<br><br>Paul Lawrence, Executive Director of Place and SRO | High | PL1803 Issue 1.2 Escalation of system issues<br><br>Implemented | 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 | Estimated Date: 31/03/2020 Revised Date: 31/03/2021 No of Revisions 1 | Alison Coburn Andrew Mitchell David Givan George Gaunt Grace McCabe Isla Burton Michael Thain Sandra Harrison |
| 47 | HMO Licensing<br><br>PL1803 Issue 2 - Collection and processing of HMO licence fees<br><br>Paul Lawrence, Executive Director of Place and SRO | High | PL1803 Issue 2.1 BACs payment reference<br><br>Started | It should be noted that measure are 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 | Estimated Date: 30/03/2020 Revised Date: 05/10/2020 No of Revisions 1 | Alison Coburn Andrew Mitchell David Givan George Gaunt Grace McCabe Isla Burton Michael Thain Sandra Harrison |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | | | | 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. | | |
| 48 | HMO Licensing<br><br>PL1803 Issue 3 - Operational Performance and Reporting<br><br>Paul Lawrence, Executive Director of Place and SRO | Medium | PL1803 Issue 3.6 HMO Key Performance Indicators and Performance Reporting<br><br>Started | 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. | Estimated Date: 31/01/2020 Revised Date: 01/06/2020 No of Revisions 0 | Alison Coburn Andrew Mitchell David Givan George Gaunt Grace McCabe Isla Burton Michael Thain Sandra Harrison |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 49 | Homelessness Services<br><br>CW1808 Issue 3: Provision of homelessness advice and information<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | **Medium** | CW1801 Recommendation 3.1.2: Updating homelessness information on website<br><br>**Implemented** | 3.1.2 - Following the engagement events with key stakeholders, the Council's website will be updated to include the information set out within the recommendation, and any other information relevant to key stakeholders. Webpages will be subject to regular review to ensure the information remains up to date and in line with policies and legislation. | **Estimated Date: 30/04/2020 Revised Date: 31/03/2021 No of Revisions 3** | Debbie Herbertson Nichola Dadds Nicky Brown |
| 50 | Homelessness Services<br><br>CW1808 Issue 2: Homelessness data quality and performance reporting<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | **High** | CW1808 Recommendation 2.2.3 - Performance Reporting<br><br>Started | 2.2.3 - We will report performance information through a dashboard to the Housing and Economy Committee, officers are currently working with elected members to finalise the key performance indicators required. | **Estimated Date: 31/01/2020 Revised Date: 31/08/2021 No of Revisions 3** | Emma Morgan Nichola Dadds Nicky Brown |
| 51 | Homelessness Services<br><br>CW1808 Issue 3: Provision of homelessness | **Medium** | CW1801 Recommendation 3.1.3: Homelessness information leaflet | 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 | Estimated Date:30/04/2020 Revised Date:30/06/2021 | Debbie Herbertson Nichola Dadds Nicky Brown |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | advice and information<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | | Started | centres, Citizen Advice Bureaus, charities and other local support and advice agencies. | No of Revisions1 | |
| Page 222 | Life Safety<br><br>CW1910 - Life safety: Issue 4 Housing Property Services – fire and water safety processes<br><br>Paul Lawrence, Executive Director of Place and SRO | Low | CW1910 Rec. 4.1.2 Housing Property Services – fire safety inspections in low rise properties<br><br>Implemented | Housing Property Services will investigate the feasibility of implementing a technology solution to enable recording of the outcomes of fire inspections in low rise buildings where the Council has responsibility with Digital Services. If a solution is feasible, a change request for implementation of the new system will be prepared and submitted to CGI, the Council's technology partner. | Estimated Date: 18/12/2020 Revised Date:<br><br>No of Revisions 0 | Alison Coburn Alistair Latona Michael Thain Patricia Blore Willie Gilhooly |
| 53 | Life Safety<br><br>CW1910 - Life safety: Issue 4 Housing Property Services – fire and water safety processes<br><br>Paul Lawrence, Executive Director of Place and SRO | Low | CW1910 Rec. 4.1.1 Housing Property Services – water risk assessments<br><br>Started | 1. The Scientific Services team have reviewed the comment above against current legislation and will implement the following refreshed approach: Rather than a rolling programme covering all 20,000 Housing Property Services (HPS) properties equally, different types of property are classed in different priority risk categories. The Council has responsibility for 44 multi storey blocks and 33 Sheltered Housing complexes. These properties are all classed as high risk and assessments will be carried out within the stated two-year period currently specified in the Council's water policy, and then every two years going forward. The remaining properties on the Housing estate are considered low level priority and legislation states that | Estimated Date: 31/12/2020 Revised Date:<br><br>No of Revisions 0 | Alison Coburn Gareth Barwell Jemma Tennant Robbie Beattie |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | | | | these surveys should be undertaken over a five-year period. Risk assessments will be carried out on sample properties for these low risk properties. For example, in a street of 100 homes with 20 different house types, only 20 surveys would be required. 2. Providing that Housing Property Services as the risk owner allocate sufficient budget resource, Scientific Services are comfortable that this work will not put a strain on their current resources and as the approach adopted is in line with the Council's Water Safety Policy and applicable regulations, there is no need to record completion in relevant divisional and directorate risk registers. | | |
| | Local Development Plan<br><br>Financial Modelling<br><br>Paul Lawrence, Executive Director of Place and SRO | **High** | Funding<br><br>Started | 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 Givan George Gaunt Kate Hopper Michael Thain Sandra Harrison |
| 55 | Local Development Plan<br><br>Governance arrangements over infrastructure appraisals<br><br>Paul Lawrence, Executive Director of Place and SRO | **Medium** | Infrastructure Governance arrangements<br><br>Started | 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 Givan George Gaunt Kate Hopper Michael Thain Sandra Harrison |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 56 Page 224 | Localities Operating Model<br><br>1. Localities Governance and Operating Model<br><br>Gillie Severin, Strategic Change Delivery Manager | **High** | 1.1 Recommendation - Localities Operating Model Post Implementation Review<br><br>Started | 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. | **Estimated Date: 31/03/2020 Revised Date: 31/03/2023 No of Revisions 2** | Alison Coburn David Givan Donna Rodger Evelyn Kilmurry George Gaunt Jackie Irvine Nichola Dadds Ruth Currie Sarah Burns |
| 57 | Localities Operating Model<br><br>1. Localities Governance and Operating Model<br><br>Gillie Severin, Strategic Change Delivery Manager | **High** | 1.2 Recommendation – Development and Delivery of Council Locality Improvement Plan Actions<br><br>Started | 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 | **Estimated Date: 31/03/2020 Revised Date: 31/03/2023 No of Revisions 2** | Alison Coburn Alison Henry David Givan Donna Rodger Evelyn Kilmurry George Gaunt Michele Mulvaney Paul Lawrence |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | | | | 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. | | Paula McLeay Sarah Burns |
| Page 225  58 | Localities Operating Model  1. Localities Governance and Operating Model  Gillie Severin, Strategic Change Delivery Manager | High | 1.3 Recommendation - Locality Service Delivery Performance Measures  Started | 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 | **Estimated Date:31/03/2020 Revised Date:31/03/2023 No of Revisions2** | Alison Coburn Donna Rodger Evelyn Kilmurry Michele Mulvaney Paula McLeay Sarah Burns |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | | | | that new management actions will be raised at that time to track implementation progress. | | |
| Page 226 | Localities Operating Model<br><br>1. Localities Governance and Operating Model<br><br>Gillie Severin, Strategic Change Delivery Manager | High | 1.4 Recommendation - Engagement with Council centralised divisions<br><br>Started | 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. | **Estimated Date: 31/03/2020 Revised Date: 31/03/2023 No of Revisions 2** | Alison Coburn David Givan Donna Rodger Evelyn Kilmurry George Gaunt Sarah Burns |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 60 <br><br> Page 227 | Localities Operating Model <br><br> 1. Localities Governance and Operating Model <br><br> Gillie Severin, Strategic Change Delivery Manager | High | PL1801 1.5 Recommendation - Locality budget planning and financial management <br><br> Started | 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. | Estimated Date: 31/03/2020 Revised Date: 31/03/2020 No of Revisions 2 | Alison Coburn Annette Smith Donna Rodger Evelyn Kilmurry Hugh Dunn John Connarty Michelle Vanhegan Sarah Burns Susan Hamilton |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 61 Page 228 | Localities Operating Model<br><br>1. Localities Governance and Operating Model<br><br>Gillie Severin, Strategic Change Delivery Manager | High | 1.6 Recommendation - Risk Management<br><br>Started | 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. | Estimated Date: 31/03/2020 Revised Date: 31/03/2023 No of Revisions 2 | Alison Coburn David Givan Donna Rodger Evelyn Kilmurry George Gaunt Sarah Burns |
| 62 | Localities Operating Model<br><br>1. Localities Governance and Operating Model<br><br>Gillie Severin, Strategic Change | High | 1.7 Recommendation - Succession Planning<br><br>Started | 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 | Estimated Date:31/03/2020 Revised Date:31/03/2023 No of Revisions2 | Alison Coburn David Givan Donna Rodger Evelyn Kilmurry George Gaunt Sarah Burns |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| Page 229 63 | Delivery Manager | | | 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. | | |
| | Lone working  HSC1902: Lone working - Development of detailed action plan  Judith Proctor, Chief Officer - HSCP | High | HSC1902 Lone working - Issue 1: Development of detailed action plan  Implemented | The Partnership working group will be established by the Head of Operations and a detailed action plan which covers all the recommendations within the report produced by 31 December 2020. The detailed plan will be reviewed by internal audit to confirm that it addresses all findings raised in this report, and individual management actions raised to support subsequent follow-up by internal audit to ensure that the control gaps identified have been effectively addressed. The implementation date of 28 February 2021 reflects time to work collaboratively with internal audit to agree this. | Estimated Date: 28/02/2021 Revised Date:  No of Revisions 0 | Angela Lindsay Mike Massaro-Mallinson Nikki Conway |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 64 | New Facilities Management Service Level Agreement<br><br>RES1814 - Facilities Management SLA: Janitorial Services Governance Framework<br><br>Stephen Moir, Executive Director of Resources | **High** | RES1814 - Facilities Management SLA: Issue 1.1 Key Performance Indicators<br><br>**Implemented** | A suite of KPI's is currently being developed in conjunction with the Communities & Families. While an element of these are service led, Facilities Management are keen to ensure a customer led component to these. These KPI's will be based on industry standards and will be linked to Facilities Management performance data and the outcomes of quality assurance reviews. Once agreed, KPI's will be communicated through training sessions, web updates and included in the SLA and janitorial handbook which is distributed both to staff and to our customers and key stakeholders. Monthly dashboards will be produced highlighting performance against indicators. These will be both for internal service use and for customer reporting. | Estimated Date: 31/03/2020 Revised Date: 01/08/2020 No of Revisions 0 | Audrey Dutton Gohar Khan Layla Smith Mark Stenhouse Michelle Vanhegan Peter Watton |
| 65 | New Facilities Management Service Level Agreement<br><br>RES1814 - Facilities Management SLA: Janitorial Services Governance Framework<br><br>Stephen Moir, Executive Director of Resources | **High** | Facilities Management SLA: Issue 1.3 Ongoing quality assurance reviews<br><br>**Implemented** | 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. | Estimated Date: 31/03/2020 Revised Date: 01/08/2021 No of Revisions 1 | Audrey Dutton Gohar Khan Layla Smith Mark Stenhouse Michelle Vanhegan Peter Watton |
| 66 | Out of Support Technology and Public Sector Network | **Low** | RES1807 - 1.1 Public Services Network governance | 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 | **Estimated Date: 31/01/2020 Revised Date:** | Alison Roarty Heather Robb Julie Rosano Layla Smith |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | Accreditation<br><br>RES1807 - Issue 1: Public Services Network governance framework<br><br>Stephen Moir, Executive Director of Resources | (green) | arrangements<br><br>Started | 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. | **30/06/2021**<br>**No of Revisions 2** | Michelle Vanhegan Mike Brown Nicola Harvey |
| 67 | Payments and Charges<br><br>CW1803 Payments and Charges Issue 4: Processing and recording Licensing Fees<br><br>Paul Lawrence, Executive Director of Place and SRO | **Medium** | CW1803 Rec. 4.1 - Procedures supporting processing and recording licencing fees<br><br>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. | **Estimated Date: 20/12/2019 Revised Date: 01/05/2020 No of Revisions 0** | Alison Coburn Andrew Mitchell David Givan Gavin Brown George Gaunt Michael Thain Sandra Harrison |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 68 | 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 Started | 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. | Estimated Date:31/03/2020 Revised Date:01/08/2020 No of Revisions 0 | Alison Coburn David Givan Gavin Brown Gavin Graham George Gaunt Michael Thain Sandra Harrison |
| 69 | 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 Started | 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. | Estimated Date: 31/03/2020 Revised Date: 01/08/2020 No of Revisions 0 | Alison Coburn David Givan Gavin Brown Gavin Graham George Gaunt Michael Thain Sandra Harrison |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 70 | Payments and Charges<br><br>CW1803 Payments and Charges Issue 5: Processing and recording of Parking Permit fees<br><br>Stephen Moir, Executive Director of Resources | Medium | CW1803 Rec. 5.4 - NSL income reconciliation<br><br>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. | **Estimated Date: 28/02/2020 Revised Date: 30/06/2021 No of Revisions 3** | Annette Smith Dougie Linton Gavin Graham Hugh Dunn John Connarty Layla Smith Michelle Vanhegan Susan Hamilton |
| 71 | Planning and S75 Developer Contributions<br><br>End to end developer contribution processes, procedures, and training<br><br>Paul Lawrence, Executive Director of Place and SRO | High | PL1802 Iss 2 Rec 2.2 Quality Assurance<br><br>Started | Planning has made significant progress on specific parts of the contributions process and will deliver other improvements to this process to address the recommendations. The capture and tracking of the financial contributions will be performed using the Council's PPSL accounts receivable system. The Planning team's existing quality assurance process will be extended to include the end to end developer contributions process to be designed and applied as per recommendation 1. The quality assurance process will cover the areas recommended by Internal Audit at 1 to 4 above, including use of the Council's PPSL accounts receivable system to record and monitor financial contributions received ISO accreditors will also be requested to include the Developer contributions quality assurance process within the scope of their review which is scheduled for completion by October 2020. | Estimated Date: 31/12/2020 Revised Date: 01/05/2021 No of Revisions 0 | Alison Coburn Alison Henry Annette Smith Ben Wilson David Givan George Gaunt Graham Nelson Hugh Dunn Kevin McKee Kevin Ryan Michael Thain Michelle Vanhegan Nick Smith Rebecca Andrew |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 72 | Policy Management Framework CE1902 Policy Management Framework Issue 1: Completeness and accuracy of Council policies and the online policy register Gavin King, Democracy, Governance and Resilience Senior Manager | **High** | CE1902 - 1.2c Policy Register review: Ongoing review of policy register – Strategy and Communications **Implemented** | A working group led by Strategy and Communications with representation from Internal Audit and each Directorate will be established to identify and implement a process to support timely review and upload of approved policies, and Integrated Impact Assessments (IIA) for inclusion within the online register. Following this, further actions to meet the recommendations will be communicated to all Directorates and Divisions. | **Estimated Date: 30/11/2020 Revised Date: 31/12/2020 No of Revisions 1** | Chris Peggie Donna Rodger Laura Callender Ross Murray |
| 73 | Policy Management Framework CE1902 Policy Management Framework Issue 3: Policy framework guidance Gavin King, Democracy, Governance and Resilience Senior Manager | **Medium** | CE1902 3.1a Policy framework – definitions for policies, procedures, and guidance **Implemented** | Clear definitions will be established for policies; procedures; and guidance and will reflect that policies outline the Council's response to legislation; regulations and statutory requirements, specifying what the Council will do to ensure compliance, whilst procedures and guidance detail how policy objectives will be achieved. The definitions will be agreed by the Corporate Leadership Team and The Policy and Sustainability Committee and will be communicated across all Council Directorates and Divisions. | **Estimated Date: 31/10/2020 Revised Date: 01/03/2021 No of Revisions 0** | Beth Hall Donna Rodger Kevin Wilbraham Laura Callender Ross Murray |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 74 | Policy Management Framework<br><br>CE1902 Policy Management Framework Issue 3: Policy framework guidance<br><br>Gavin King, Democracy, Governance and Resilience Senior Manager | **Medium** | CE1902 3.1b Policy framework - First- and second-lines roles and responsibilities<br><br>**Implemented** | Following the outcomes of the Working Group (see recommendation 1.2c), First line (directorate) and second line (Strategy and Communications) roles and responsibilities in relation to the policy management framework and confirmation of its ongoing application will be communicated across Directorates and Divisions and included in the guidance published on the Orb. | **Estimated Date: 31/10/2020 Revised Date: 01/03/2021 No of Revisions 0** | Donna Rodger Laura Callender Ross Murray |
| 75 | Policy Management Framework<br><br>CE1902 Policy Management Framework Issue 3: Policy framework guidance<br><br>Gavin King, Democracy, Governance and Resilience Senior Manager | **Medium** | CE1902 3.1c Policy framework - review of guidance, templates and orb pages<br><br>Pending | Guidance and supporting templates on the Orb will be reviewed and refreshed to include links to agreed policy definitions and templates and the policy register and checks performed to confirm that these can be accessed. | **Estimated Date: 31/10/2020 Revised Date: 01/03/2021 No of Revisions 0** | Laura Callender Ross Murray |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 76 Page 236 | Policy Management Framework  CE1902 Policy Management Framework Issue 1: Completeness and accuracy of Council policies and the online policy register  Paul Lawrence, Executive Director of Place and SRO | High | CE1902 - 1.2b Policy Register review: Initial review of online policy register – Place  Started | Following receipt of the Directorate policy register extract provided by Strategy and Communications, each Directorate will perform an initial review of their section of the policy register to identify out of date and draft documents. A status update will be provided to Strategy and Communications for each document currently published online, to confirm whether the published version is the most up to date approved version and no immediate action is required. is out of date but has been recently reviewed and reported to Committee in the annual policy assurance statement – a copy of the most recent version held by the Directorate or Division will then be sent to by Strategy and Communications for publication on the current online register. is out of date or in draft with no recently approved version available. Strategy and Communications will then remove the current online version from the online policy register and note that the document is being reviewed. Strategy and Communications will update the current online policy register on the basis of returns and Directorates will commence their wider policy review set out at 1.2d. | Estimated Date:31/01/2021 Revised Date:31/05/2021 No of Revisions1 | Alison Coburn David Givan Gareth Barwell George Gaunt Karl Chapman Lindsay Robertson Michael Thain Veronica Wishart |
| 77 | Portfolio Governance Framework  CE1801 Issue 1: Project and portfolio management and scrutiny  Gillie Severin, | High | CE1801 Issue 1.4: Whole of life toolkit  Pending | Strategic Change and Delivery will include guidance for project managers on whole life costing based on the approach adopted by finance | Estimated Date: 29/05/2020 Revised Date: 01/10/2020 No of Revisions 0 | Alison Henry Annette Smith Donna Rodger Hugh Dunn Rebecca Andrew Simone Hislop |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | Strategic Change Delivery Manager | | | | | |
| 78 | PVG and Disclosures<br><br>CF1904: Issue 2 - PVG processes and guidance<br><br>Andy Gray, Head of Schools & Lifelong Learning | Medium | CF1904: Rec 2.1a - Updating PVG requirements for all roles<br><br>Implemented | All divisions will be requested to review and update lists of PVG related posts. Managers will also be reminded that PVG requirements for any new roles should be assessed and recorded on the divisional list. | Estimated Date: 31/03/2021 Revised Date:<br><br>No of Revisions 0 | Bernadette Oxley Claire Thompson Jackie Irvine Laura Zanotti Nichola Dadds Nickey Boyle |
| 79 | Records Management - LAAC<br><br>CW1705 Issue 2: Review of additional files<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | Medium | CW1705 Issue 2.1: Review of additional files<br><br>Implemented | The total volume of files at Westerhailes will be quantified. Once this has been completed, a risk-based sample approach will be applied to review the files and identify any that may have been merged. | Estimated Date: 31/03/2020 Revised Date: 31/03/2021 No of Revisions 3 | Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 80 | Records Management - LAAC<br><br>CW1705 Issue 2: Review of additional files<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | **Medium** | CW1705 Issue 2.2: Impact analysis<br><br>**Implemented** | The outcomes of the review of additional files (as detailed at recommendation 2.1) will be shared with the Senior Responsible Officers together with an impact analysis detailing the resourcing and associated costs of including the files within the project scope, and recommendations made as to whether the scope of the project should be extended to include these files, or whether reliance should be placed on the new business as usual process to be Implemented as detailed at Finding 3. Where the decision is taken to include the potentially merged files within the scope of the project, they will be transferred across to the project team and logged for review. The project team will work to a completion 29 May with a date of 26 June for validation by Internal Audit. | **Estimated Date: 26/06/2020 Revised Date: 31/03/2021** **No of Revisions 4** | Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir |
| 81 | Records Management - LAAC<br><br>CW1705 Issue 1: Project file review process<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | **Medium** | CW1705 Issue 1.1: Review and Refresh of the project file review process.<br><br>**Implemented** | Agreed actions will be Implemented as recommended by Internal Audit. The project team will work to an end of January date for implementation of the quality assurance within the project team with an end of February date for Internal Audit to review the process applied. | **Estimated Date: 28/02/2020 Revised Date: 31/12/2020** **No of Revisions 3** | Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 82 | Records Management - LAAC<br><br>CW1705 Issue 1: Project file review process<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | Medium | CW1705 Issue 1.2: Process communication and training<br><br>Implemented | Agreed actions will be Implemented as recommended by Internal Audit. The project team will work to an end of January date for implementation of quality assurance within the project team with an end of February date for Internal Audit to review the process applied. | Estimated Date: 28/02/2020 Revised Date: 31/12/2020 No of Revisions 2 | Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Louise McRae Nickey Boyle Nicola Harvey Stephen Moir |
| 83 | Records Management - LAAC<br><br>CW1705 Issue 1: Project file review process<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | Medium | CW1705 Issue 1.3: Quality assurance checks<br><br>Started | 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 | Estimated Date: 31/03/2020 Revised Date: 31/03/2022 No of Revisions 4 | Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | | | | 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. | | |
| Page 240 | Records Management – LAAC<br><br>CW1705 Issue 3: Pre destruction business as usual file review process<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | Medium | CW1705 Issue 3.1: Pre destruction business as usual file review process<br><br>Started | 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. | Estimated Date:28/02/2020 Revised Date:30/06/2021 No of Revisions 5 | Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 85 | Records Management - LAAC<br><br>CW1705 Issue 3: Pre destruction business as usual file review process<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | **Medium** | CW1705 Issue 3.2a (C&F): Communication and training<br><br>Started | 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. | **Estimated Date: 30/06/2020 Revised Date: 31/08/2021 No of Revisions 3** | Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Louise McRae Nickey Boyle Nicola Harvey Stephen Moir |
| 86 | Records Management - LAAC<br><br>CW1705 Issue 3: Pre destruction business as usual file review process<br><br>Judith Proctor, Chief Officer - HSCP | **Medium** | CW1705 Issue 3.2b (H&SCP): Communication and training<br><br>Started | 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. | Estimated Date: 30/06/2020 Revised Date: 31/08/2021 No of Revisions 1 | Alison Roarty Angela Ritchie Louise McRae |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 87 | Records Management - LAAC<br><br>CW1705 Issue 3: Pre destruction business as usual file review process<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | **Medium** | CW1705 Issue 3.3a (C&F): Quality assurance process<br><br>Started | 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. | Estimated Date: 30/06/2020 Revised Date: 31/08/2021 No of Revisions 1 | Alison Roarty Ani Barclay Donna Rodger Freeha Ahmed John Arthur Louise McRae Nickey Boyle Nicola Harvey Ruth Currie Stephen Moir |
| 88 | Records Management - LAAC<br><br>CW1705 Issue 3: Pre destruction business as usual file review process<br><br>Judith Proctor, Chief Officer - HSCP | **Medium** | CW1705 Issue 3.3b (H&SCP): Quality Assurance Process<br><br>Started | 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. | Estimated Date: 30/06/2020 Revised Date: 31/08/2021 No of Revisions 1 | Alison Roarty Angela Ritchie Louise McRae |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 89 | Resilience BC<br><br>Completion and adequacy of service area business impact assessments and resilience arrangements<br><br>Judith Proctor, Chief Officer - HSCP | **High** | Rec 6.1c H&SC - Review of third-party contracts to confirm appropriate resilience arrangements<br><br>**Implemented** | Existing third-party contracts supporting critical services should be reviewed by Directorates in consultation with contract managers / owners to confirm that they include appropriate resilience arrangements. Where gaps are identified, Procurement Services should be engaged to support discussions with suppliers regarding inclusion of appropriate resilience clauses requiring third parties to establish adequate resilience arrangements for both services and systems that are tested (at least annually) with the outcomes shared with / provided to the Council. Where these changes cannot be incorporated into existing contracts, they should be included when the contracts are re tendered. | **Estimated Date: 20/12/2019 Revised Date: 31/03/2021 No of Revisions 2** | Angela Ritchie Jacqui Macrae |
| 90 | Resilience BC<br><br>Resilience responsibilities<br><br>Judith Proctor, Chief Officer - HSCP | **High** | Rec 3.3 H&SC - Defining and allocating operational resilience duties<br><br>Started | Operational resilience responsibilities for completion and ongoing maintenance of Directorate and Service Area Business Impact Assessments; Resilience plans; and coordination of resilience tests in conjunction with the Resilience team will be clearly defined and allocated. The total number of employees with operational resilience responsibilities will be determined with reference to the volume of business impact assessments and resilience plans that require to be completed and maintained to support recovery of critical services. | **Estimated Date: 20/12/2018 Revised Date: 30/06/2021 No of Revisions 6** | Angela Ritchie Jacqui Macrae |
| 91 | Resilience BC<br><br>Resilience responsibilities<br><br>Judith Proctor, Chief Officer - HSCP | **High** | Rec 4.3 H&SC - Objectives for operational Resilience responsibilities<br><br>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 | **Estimated Date: 31/07/2019 Revised Date: 30/06/2021 No of Revisions 2** | Angela Ritchie Jacqui Macrae |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | | | | Directorate and Council's annual governance statements. | | |
| 92 | Resilience BC<br><br>Completion and adequacy of service area business impact assessments and resilience arrangements<br><br>Paul Lawrence, Executive Director of Place and SRO | High | Rec 3.1 a) Place - Development of Resilience Plans/protocols for statutory and critical services<br><br>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. | Estimated Date:19/06/2020 Revised Date:31/12/2022 No of Revisions1 | Alison Coburn Claire Duchart David Givan Gareth Barwell Gavin King George Gaunt Karl Chapman Lindsay Robertson Mary-Ellen Lang Michael Thain |
| 93 | Resilience BC<br><br>Completion and adequacy of service area business impact assessments and resilience arrangements<br><br>Stephen Moir, Executive Director of Resources | High | Rec 3.1b Resources - Development of Resilience Plans/protocols for statutory and critical services<br><br>Started | Rebased action October 2020 Following a refresh of Business Impact Assessments and the new organisational structure, resilience plans/protocols will be developed, with support and training from Resilience, for high-risk essential services. A list of these services is to be provided by Resilience for approval by CLT. Date revised to 31 December 2022. | Estimated Date: 19/06/2020 Revised Date: 31/12/2022 No of Revisions 1 | Annette Smith Gavin King Hugh Dunn Katy Miller Layla Smith Mary-Ellen Lang Michelle Vanhegan Nick Smith Nicola Harvey Peter Watton |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 94 | Resilience BC<br><br>Completion and adequacy of service area business impact assessments and resilience arrangements<br><br>Judith Proctor, Chief Officer - HSCP | **High** | Rec 3.1c H&SC - Development of Resilience Plans/protocols for statutory and critical services<br><br>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. | Estimated Date: 19/06/2020<br>Revised Date: 31/12/2022<br>No of Revisions 1 | Angela Ritchie Jacqui Macrae |
| Page 245 95 | Resilience BC<br><br>Completion and adequacy of service area business impact assessments and resilience arrangements<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | **High** | Rec 3.1d C&F - Development of Resilience Plans/protocols for statutory and critical services<br><br>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. | Estimated Date: 19/06/2020<br>Revised Date: 31/12/2022<br>No of Revisions 1 | Donna Rodger Gavin King Laura Zanotti Mary-Ellen Lang Michelle McMillan Nichola Dadds Nickey Boyle Ruth Currie |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 96 | Resilience BC<br><br>Completion and adequacy of service area business impact assessments and resilience arrangements<br><br>Gavin King, Democracy, Governance and Resilience Senior Manager | High | Rec 3.1e S&C - Development of Resilience Plans/protocols for statutory and critical services<br><br>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. | Estimated Date: 19/06/2020 Revised Date: 31/12/2022 No of Revisions 1 | Donna Rodger Mary-Ellen Lang |
| 97 | Resilience BC<br><br>Completion and adequacy of service area business impact assessments and resilience arrangements<br><br>Paul Lawrence, Executive Director of Place and SRO | High | Rec 6.1a Place - Review of third-party contracts to confirm appropriate resilience arrangements<br><br>Started | Existing third-party contracts supporting critical services should be reviewed by Directorates in consultation with contract managers / owners to confirm that they include appropriate resilience arrangements. Where gaps are identified, Procurement Services should be engaged to support discussions with suppliers regarding inclusion of appropriate resilience clauses requiring third parties to establish adequate resilience arrangements for both services and systems that are tested (at least annually) with the outcomes shared with / provided to the Council. Where these changes cannot be incorporated into existing contracts, they should be included when the contracts are re tendered. | Estimated Date: 20/12/2019 Revised Date: 31/03/2021 No of Revisions 3 | Alison Coburn Annette Smith Claire Duchart David Givan Gareth Barwell George Gaunt Hugh Dunn Iain Strachan Karl Chapman Lindsay Robertson Mary-Ellen Lang Michael Thain Mollie Kerr |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 98 | Resilience BC<br><br>Completion and adequacy of service area business impact assessments and resilience arrangements<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | High | Rec 6.1d C&F - Review of third-party contracts to confirm appropriate resilience arrangements<br><br>Started | Existing third-party contracts supporting critical services should be reviewed by Directorates in consultation with contract managers / owners to confirm that they include appropriate resilience arrangements. Where gaps are identified, Procurement Services should be engaged to support discussions with suppliers regarding inclusion of appropriate resilience clauses requiring third parties to establish adequate resilience arrangements for both services and systems that are tested (at least annually) with the outcomes shared with / provided to the Council. Where these changes cannot be incorporated into existing contracts, they should be included when the contracts are re tendered. | **Estimated Date: 20/12/2019 Revised Date: 31/03/2021 No of Revisions 2** | Annette Smith<br>Hugh Dunn<br>Iain Strachan<br>Mary-Ellen Lang<br>Michelle McMillan<br>Mollie Kerr<br>Nichola Dadds<br>Nickey Boyle<br>Ruth Currie |
| 99 | Resilience BC<br><br>Completion and adequacy of service area business impact assessments and resilience arrangements<br><br>Gavin King, Democracy, Governance and Resilience Senior Manager | High | Rec 6.1e S&C - Review of third-party contracts to confirm appropriate resilience arrangements<br><br>Started | 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. | **Estimated Date: 20/12/2019 Revised Date: 31/03/2021 No of Revisions 2** | Annette Smith<br>Donna Rodger<br>Hugh Dunn<br>Iain Strachan<br>Mary-Ellen Lang<br>Mollie Kerr |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 100 | Resilience BC

Completion and adequacy of service area business impact assessments and resilience arrangements

Paul Lawrence, Executive Director of Place and SRO | **High** | Rec 6.2a Place - Annual assurance from Third Party Providers

Started | Following receipt of initial assurance from all third-party providers for statutory and critical services (as per rec 6.1), annual assurance that provider resilience plans remain adequate and effective should be obtained. This should include confirmation from the provider that they have tested these plans and recovery time objectives for systems and recovery time and point objectives for technology systems agreed with the Council were achieved. It is recommended that contract managers include this requirement as part on ongoing contract management arrangements. Where this assurance cannot be provided, this should be recorded in Service Area and Directorate risk registers. Date revised to reflect that following receipt of initial assurance by 31 March 2021, annual assurance should be obtained by 31 March 2022. | **Estimated Date:28/06/2019 Revised Date:31/03/2022 No of Revisions3** | Alison Coburn Claire Duchart David Givan Gareth Barwell George Gaunt Karl Chapman Lindsay Robertson Mary-Ellen Lang Michael Thain |
| 101 | Resilience BC

Completion and adequacy of service area business impact assessments and resilience arrangements

Stephen Moir, Executive Director of Resources | **High** | Rec 6.2b Resources - Annual assurance from Third Party Providers

Started | Following receipt of initial assurance from all third party providers for statutory and critical services (as per rec 6.1), annual
assurance that provider resilience plans remain adequate and effective should be
obtained. This should include
confirmation from the provider that they have tested these plans and recovery time objectives for systems and recovery time and point objectives for technology systems agreed with the Council were achieved.
It is recommended that contract managers include this requirement as part on ongoing contract management arrangements.

Where this assurance cannot be provided, this should be
recorded in Service Area and Directorate risk registers. Date revised to reflect that following receipt of initial | **Estimated Date: 28/06/2019 Revised Date: 31/03/2022 No of Revisions 2** | Annette Smith Hugh Dunn Iain Strachan Katy Miller Layla Smith Mary-Ellen Lang Michelle Vanhegan Mollie Kerr Nick Smith Nicola Harvey Peter Watton |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | | | | assurance by 31 March 2021, annual assurance should be obtained by 31 March 2022. | | |
| 102 | Resilience BC<br><br>Completion and adequacy of service area business impact assessments and resilience arrangements<br><br>Judith Proctor, Chief Officer - HSCP | **High** | Rec 6.2c H&SC - Annual assurance from Third Party Providers<br><br>Started | 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. | **Estimated Date: 21/06/2019 Revised Date: 31/03/2022 No of Revisions 2** | Angela Ritchie Jacqui Macrae |
| 103 | Resilience BC<br><br>Completion and adequacy of service area business impact assessments and resilience arrangements<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | **High** | Rec 6.2d C&F - Annual assurance from Third Party Providers<br><br>Started | Following receipt of initial assurance from all third party providers for statutory and critical services (as per rec 6.1), annual assurance that provider resilience plans remain adequate and effective should be obtained. This should include confirmation from the provider that they have tested these plans and recovery time objectives for systems and recovery time and point objectives for technology systems agreed with the Council were achieved.<br>It is recommended that contract managers include this requirement as part on ongoing contract management arrangements.<br>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 | **Estimated Date: 28/06/2019 Revised Date: 31/03/2022 No of Revisions 2** | Anna Gray Laura Zanotti Mary-Ellen Lang Michelle McMillan Nichola Dadds Nickey Boyle |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | | <span style="background-color:red">**High**</span> | | initial assurance by 31 March 2021, annual assurance should be obtained by 31 March 2022. | | |
| 104 | Resilience BC<br><br>Completion and adequacy of service area business impact assessments and resilience arrangements<br><br>Gavin King, Democracy, Governance and Resilience Senior Manager | **High** | Rec 6.2e S&C - Annual assurance from Third Party Providers<br><br>Started | Following receipt of initial assurance from all third party providers for statutory and critical services (as per rec 6.1), annual assurance that provider resilience plans remain adequate and effective should be obtained. This should include confirmation from the provider that they have tested these plans and recovery time objectives for systems and recovery time and point objectives for technology systems agreed with the Council were achieved.<br>It is recommended that contract managers include this requirement as part on ongoing contract management arrangements.<br>Where this assurance cannot be provided, this should be recorded in Service Area and Directorate risk registers. Date revised to reflect that following receipt of initial assurance by 31 March 2021, annual assurance should be obtained by 31 March 2022. | **Estimated Date: 28/06/2019 Revised Date: 31/03/2022 No of Revisions 2** | Donna Rodger Mary-Ellen Lang |
| 105 | Resilience BC<br><br>Adequacy, maintenance and approval of Council wide resilience plans<br><br>Gavin King, Democracy, Governance and Resilience Senior Manager | **Medium** | Rec 4) Update of Council Business Continuity Plan to include key elements from Business Area Resilience Plans/Protocols<br><br>Started | The Council Business Continuity Plan (BCP) was developed and signed off the Chief Executive in May 2019.Following Directorate review and update of Business Area Resilience Plans and protocols, the Council BCP will be updated to include key elements of Directorate plans. | Estimated Date: 18/12/2020 Revised Date: 31/03/2024 No of Revisions 1 | Donna Rodger Mary-Ellen Lang |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
|---|---|---|---|---|---|---|
| 106 | Risk Management<br><br>RES1910 Risk Management: Issue 1 Risk Management Framework and 1st Line of Defence training<br><br>Stephen Moir, Executive Director of Resources | **Medium** | RES1910 Rec 1.2: Communicating operational risk management arrangements and updating training materials<br><br>**Implemented** | The operational aspects of the risk management framework will be shared across Council divisions and directorates and also incorporated into current training activities and materials (March 2021). | **Estimated Date:31/03/2021 Revised Date: No of Revisions 0** | Layla Smith Lesley Newdall Michelle Vanhegan Nick Smith Rebecca Tatar |
| 107 | Risk Management<br><br>RES1910 Risk Management: Issue 1 Risk Management Framework and 1st Line of Defence training<br><br>Andrew Kerr, Chief Executive | **Medium** | RES1910 Rec 1.3: Identification of first line employees requiring risk management training<br><br>**Implemented** | Directorates and divisions will be requested to identify all first line employees who should attend risk management training, with refreshed training delivered and training attendance recorded. Where there has been no attendance, this will be escalated to heads of divisions and directors. | **Estimated Date: 28/02/2021 Revised Date: No of Revisions 0** | Angela Ritchie Judith Proctor |
| 108 | Risk Management<br><br>RES1910 Risk Management: Issue 7 Risk appetite<br><br>Stephen Moir, Executive Director of Resources | **Medium** | RES1910: Rec 7.1 Operational guidance for risk appetite<br><br>**Implemented** | The new risk management operational processes will include guidance on how to determine (where relevant) and score an assessment of target risk that will be used as a proxy for risk appetite. | **Estimated Date: 31/03/2021 Revised Date: No of Revisions 0** | Layla Smith Lesley Newdall Michelle Vanhegan Nick Smith Rebecca Tatar |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 109 | Risk Management<br><br>RES1910 Risk Management: Issue 3 First line management of risk<br><br>Stephen Moir, Executive Director of Resources | **Medium** | RES1910 Rec 3.2 Corporate Risk Team - Quarterly risk matters newsletter<br><br>**Implemented** | A quarterly risk matters newsletter sharing the outcomes of ongoing horizon scanning will also be created and published by the corporate risk management team. | **Estimated Date: 31/03/2021 Revised Date:**<br><br>**No of Revisions 0** | Layla Smith Lesley Newdall Michelle Vanhegan Nick Smith |
| | Road Services Improvement Plan<br><br>PL1808 Issue 1. Roads Improvement Plan financial operating model and project governance<br><br>Paul Lawrence, Executive Director of Place and SRO | **High** | PL1808 - 1.2 Roads Service Improvement Plan approval<br><br>**Implemented** | On appointment of the tier 3 and 4 management team, a re-base of the improvement plan will take place and the revised plan will be submitted to the Council's Change Board and the Transport and Environment Committee for approval, with ongoing progress updates provided to both forums. | **Estimated Date: 31/07/2020 Revised Date: 01/12/2020 No of Revisions 0** | Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Jordan Walker Nicole Fraser Sean Gilchrist |
| 111 | Road Services Improvement Plan<br><br>PL1808 Issue 2. Roads services performance monitoring and quality assurance<br><br>Paul Lawrence, | **High** | PL1808 - 2.2 Roads services quality assurance framework<br><br>**Implemented** | 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 | **Estimated Date: 30/06/2020 Revised Date: 31/03/2021 No of Revisions 1** | 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 | Contributors |
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| | Executive Director of Place and SRO | | | 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. | | |
| 112 | Road Services Improvement Plan PL1808 Issue 3. Roads inspection, defect categorisation, and repairs Paul Lawrence, Executive Director of Place and SRO | Low | PL1808 - 3.2a) Inspector training and qualifications **Implemented** | 1. Design and implement a training framework for all relevant Inspectors in line with the newly adopted 'Road Safety Inspection and Defect Categorisation Procedure' | **Estimated Date: 31/01/2020 Revised Date: 01/06/2020 No of Revisions 0** | Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Jordan Walker Nicole Fraser Sean Gilchrist |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 113 | Road Services Improvement Plan<br><br>PL1808 Issue 1. Roads Improvement Plan financial operating model and project governance<br><br>Paul Lawrence, Executive Director of Place and SRO | High | PL1808 - 1.1 Roads Service Improvement Plan review (including financial operating model)<br><br>Started | 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. | Estimated Date: 30/04/2020 Revised Date: 01/06/2021 No of Revisions 1 | Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Jordan Walker Nicole Fraser Sean Gilchrist |
| 114 | Road Services Improvement Plan<br><br>PL1808 Issue 1. Roads Improvement Plan financial operating model and project governance<br><br>Paul Lawrence, Executive Director of Place and SRO | High | PL1808 - 1.3 Roads Service Improvement Plan project governance<br><br>Started | Accepted. The re-based plan will be managed in line with the Project Management Toolkit for Major Projects. The plan will be managed by the Roads service Performance Coordinator once appointed in the revised structure. | Estimated Date: 20/12/2020 Revised Date: 01/05/2021 No of Revisions 0 | 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 | Contributors |
|---|---|---|---|---|---|---|
| 115 | Road Services Improvement Plan<br><br>PL1808 Issue 1. Roads Improvement Plan financial operating model and project governance<br><br>Paul Lawrence, Executive Director of Place and SRO | High | PL1808 - 1.4 Post implementation reviews<br><br>Started | A post implementation review of both the new organisational structure (31 March 2020) and completed Roads Service Improvement Plan (the Plan) actions (March 2021) will take place to assess the effectiveness of the new service and any requirements for change, and the impact of the changes delivered through the Plan. | Estimated Date: 31/03/2021 Revised Date: 01/08/2022 No of Revisions 1 | Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Jordan Walker Nicole Fraser Sean Gilchrist |
| 116 | Road Services Improvement Plan<br><br>PL1808 Issue 2. Roads services performance monitoring and quality assurance<br><br>Paul Lawrence, Executive Director of Place and SRO | High | PL1808 - 2.1 Service Delivery Performance Monitoring<br><br>Started | One of the roles included in the new Roads structure is a Roads Service Performance Coordinator. The team member appointed to this role will be responsible for designing; implementing; and maintaining a performance and quality assurance framework that will incorporate the recommendations made to support ongoing monitoring and management of the Roads service. This will involve ensuring that all Roads teams develop team plans that include key performance measures; outline their respective roles and responsibilities for delivery; and are aligned with overall Council's commitments that are relevant to Roads. | **Estimated Date: 31/07/2020 Revised Date: 30/09/2021 No of Revisions 2** | Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Jordan Walker Nicole Fraser Sean Gilchrist |
| 117 | Road Services Improvement Plan<br><br>PL1808 Issue 3. Roads inspection, defect categorisation, and repairs | Low | PL1808 - 3.2b) Inspector training and qualifications<br><br>Started | 2. Ensure all relevant Inspectors are accredited by an appropriately accredited professional body. | **Estimated Date: 31/08/2020 Revised Date: 01/01/2021 No of Revisions 0** | Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Jordan Walker |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | Paul Lawrence, Executive Director of Place and SRO | | | | | Nicole Fraser Sean Gilchrist |
| 118 | Road Services Improvement Plan<br><br>PL1808 Issue 3. Roads inspection, defect categorisation, and repairs<br><br>Paul Lawrence, Executive Director of Place and SRO | Low | PL1808 - 3.3 Management information for planned inspections<br><br>Started | On appointment, the new Service Performance Coordinator and Team Leader – Safety Inspections will work with Pitney Bowes (the supplier of the Confirm system) to develop a new process to plan and monitor safety inspection performance | **Estimated Date: 31/03/2020 Revised Date: 30/06/2021 No of Revisions 4** | Alison Coburn Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Jamie Watson Jordan Walker Nicole Fraser Sean Gilchrist |
| 119 | Road Services Improvement Plan<br><br>PL1808 Issue 4. Roads - Management of public liability claims<br><br>Paul Lawrence, Executive Director of Place and SRO | Low | PL1808 - 4.1 Management of public liability claims<br><br>Started | 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. | **Estimated Date: 28/05/2020 Revised Date: 31/12/2020 No of Revisions 1** | 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 | Contributors |
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| 120 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance<br><br>Andy Gray, Head of Schools & Lifelong Learning | **High** | CF1901: Issue 1.1(b) - Review of Admissions Operational Procedures<br><br>**Implemented** | 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** | Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir |
| 121 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance<br><br>Andy Gray, Head of Schools & Lifelong Learning | **High** | CF1901: Issue 1.1(c) - Placing Appeals Procedures<br><br>**Implemented** | 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. | **Estimated Date: 31/08/2020 Revised Date: 22/02/2021 No of Revisions 1** | Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 122 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance<br><br>Andy Gray, Head of Schools & Lifelong Learning | **High** | CF1901: Issue 1.2 - Review & Update of School Websites<br><br>**Implemented** | A communication will be issued to all schools to request a review of their school website to ensure: current academic year handbooks are published; links to relevant content on the Council website remain current; only standard approved Council forms are published; and all privacy notices published on School websites are directly linked to the Council's statement. | Estimated Date: 31/12/2020 Revised Date: 01/05/2021 No of Revisions 0 | Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie |
| 123 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions & Appeals<br><br>Andy Gray, Head of Schools & Lifelong Learning | **High** | CF1901 Issue 2.1(a): Committee on Pupil Student Support Recording of Officer Review<br><br>**Implemented** | 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. | **Estimated Date: 30/06/2020 Revised Date: 22/02/2021 No of Revisions 1** | Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 124 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions & Appeals<br><br>Gavin King, Democracy, Governance and Resilience Senior Manager | **High** | CF1901 Issue 2.1(b): Committee on Pupil Student Support Remit, Review & Recording of Outcomes<br><br>**Implemented** | 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. | Estimated Date: 30/06/2020 Revised Date: 30/11/2020 No of Revisions 1 | Andy Gray Arran Finlay Donna Rodger Hayley Barnett Lesley Birrell Nickey Boyle Ruth Currie |
| 125 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 3: Process Documentation & Delivery Responsibilities<br><br>Andy Gray, Head of | **Medium** | CF1901 Issue 3.1(a): Development & Communication of end to end processes and role/responsibilities<br><br>**Implemented** | 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. | **Estimated Date: 31/08/2020 Revised Date: 22/02/2021 No of Revisions 1** | Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | Schools & Lifelong Learning | | | | | Sheila Haig Stephen Moir |
| 126 | School admissions, appeals and capacity planning CF1901: School admissions, appeals and capacity planning - Issue 3: Process Documentation & Delivery Responsibilities Andy Gray, Head of Schools & Lifelong Learning | Medium | CF1901 Issue 3.1(d): Roles & Responsibilities Outwith Annual Process Implemented | The working group will review the roles and responsibilities for any tasks performed outwith the annual P1/S1 admissions, appeals and capacity planning process. These will be documented and communicated to all teams involved in the process. The review will include identifying key contacts for common non-annual admissions queries, for example, home schooling; private schooling; dealing with refugees; and requests for current or future capacity information, to ensure that they can be appropriately redirected and resolved. | Estimated Date: 31/08/2020 Revised Date: 22/02/2021 No of Revisions 3 | Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir |
| 127 | School admissions, appeals and capacity planning CF1901: School admissions, appeals and capacity planning - Issue 4: Data Access, Security & Retention Andy Gray, Head of Schools & Lifelong Learning | Medium | CF1901: Issue 4.1: Access to Personal Data Implemented | Files and shared folders will be reviewed, and appropriate access permissions and password controls Implemented. | Estimated Date: 31/07/2020 Revised Date: 22/02/2021 No of Revisions 1 | Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir |

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| 128 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 4: Data Access, Security & Retention<br><br>Andy Gray, Head of Schools & Lifelong Learning | **Medium** | CF1901: Issue 4.4(a): Document Retention & Disposal; All Services<br><br>**Implemented** | The Information Governance Unit will be engaged to confirm data retention and disposal requirements. Where necessary the data retention schedule will be updated. Document retention and disposal requirements will be reinforced across all services processing admissions and appeals including schools. All appeals information currently retained outwith the relevant period will be destroyed in line with the Council's disposal guidelines and a retention schedule and destruction log maintained. | **Estimated Date: 30/06/2020 Revised Date: 22/02/2021 No of Revisions 1** | Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir |
| 129 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 4: Data Access, Security & Retention<br><br>Andy Gray, Head of Schools & Lifelong Learning | **Medium** | CF1901: Issue 4.4(b): Document Retention & Disposal; Schools<br><br>**Implemented** | 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. | **Estimated Date: 30/06/2020 Revised Date: 22/02/2021 No of Revisions 1** | Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 130 Page 262 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 5: Provision of Training & Support<br><br>Andy Gray, Head of Schools & Lifelong Learning | **Medium** | CF1901 Issue 5: Induction and annual refresher training programme<br><br>**Implemented** | Following conclusion of the working group, Communities and Families will develop a programme of training which includes input across all services areas involved will be designed and delivered to schools' senior leadership teams to ensure that they are aware of and understand: Revised policy and procedures where relevant Applicable legislative and regulatory requirements and Council policies The end to end capacity planning, admissions and appeals process, including management of waiting lists Roles, responsibilities and accountabilities of all teams involved in the process Data access, security, and retention requirements Conflicts of interest requirements Parent and carer engagement guidance Details of ongoing support and information available to manage capacity planning in relation to late placing requests and upheld appeals, including timetabling and accommodation adjustments | **Estimated Date: 31/10/2020 Revised Date: 01/03/2021 No of Revisions 0** | Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir |
| 131 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance<br><br>Andy Gray, Head of Schools & Lifelong Learning | **High** | CF1901: Issue 1.3(a) - Review of Operational Forms<br><br>Pending | The remit of the working group led by the Communities and Families Senior Education Officer will include a review of all admissions forms published on the Council website and Orb to ensure that they remain fit for purpose and include all necessary accessibility and privacy statements. | Estimated Date: 31/12/2020 Revised Date: 01/05/2021 No of Revisions 0 | Alison Roarty Arran Finlay Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 132 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance<br><br>Andy Gray, Head of Schools & Lifelong Learning | High | CF1901: Issue 1.3(c) - Issue of 'Request Granted' Letters<br><br>Pending | The working group remit led by the Communities and Families Senior Education Officer will include consideration of continued need for formal 'request granted template letters or whether an email to parents / guardians is an acceptable alternative option. Where emails are the preferred option, guidance will be provided to schools to ensure that the terms and limitations of the placement offer are included. | Estimated Date: 31/12/2020 Revised Date: 01/05/2021 No of Revisions 0 | Alison Roarty Arran Finlay Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir |
| 133 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance<br><br>Andy Gray, Head of Schools & Lifelong Learning | High | CF1901: Issue 1.3(d) - Issuing Standard Letters & Forms<br><br>Pending | A communication will be issued by Schools and Life Long Learning management to all schools reminding them to comply with placing request processes as outlined on the Orb, including the requirement to: issue a standard request refusal letter for all application refusals which includes all required paragraphs and is supported by a copy of the frequently asked questions document; and use standard Council forms only. The communication will advise schools to provide feedback where standard forms are not considered to meet the needs of the school, for example, if an additional section for course subjects studied at secondary school is required. Feedback from schools will be considered as part of the working group's review of operational forms. | Estimated Date: 31/12/2020 Revised Date: 01/05/2021 No of Revisions 0 | Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 134 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions & Appeals<br><br>Andy Gray, Head of Schools & Lifelong Learning | **High** | CF1901 Issue 2.3(a): Validation of Registration & Enrolment Applications<br><br>Pending | 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. | **Estimated Date: 30/06/2020 Revised Date: 22/02/2021 No of Revisions 1** | Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie |
| 135 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions & Appeals<br><br>Andy Gray, Head of Schools & Lifelong Learning | **High** | CF1901 Issue 2.3(b): Quality Assurance Checks in Schools<br><br>Pending | 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. | **Estimated Date: 30/06/2020 Revised Date: 22/02/2021 No of Revisions 1** | Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 136 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions & Appeals<br><br>Andy Gray, Head of Schools & Lifelong Learning | **High** | CF1901 Issue 2.4: Managing Conflicts of Interest<br><br>Pending | 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. | **Estimated Date: 30/06/2020 Revised Date: 22/02/2021 No of Revisions 1** | Arran Finlay Claire Thompson Michelle McMillan Nickey Boyle Ruth Currie |
| 137 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 4: Data Access, Security & Retention<br><br>Andy Gray, Head of Schools & Lifelong Learning | **Medium** | CF1901: Issue 4.2: Secure Email Transmission<br><br>Pending | 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. | **Estimated Date: 30/09/2020 Revised Date: 01/02/2021 No of Revisions 0** | Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Michelle Vanhegan Neil Jamieson Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 138 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 1: Policies, Procedures & Guidance<br><br>Andy Gray, Head of Schools & Lifelong Learning | **High** | CF1901: Issue 1.1(d)/(e) - Communicating Guidance on Website & Orb<br><br>Started | 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. | **Estimated Date: 30/09/2020 Revised Date: 01/02/2021 No of Revisions 0** | Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir |
| 139 | School admissions, appeals and capacity planning<br><br>CF1901: School admissions, appeals and capacity planning - Issue 2: Operational Processes - Admissions & Appeals<br><br>Andy Gray, Head of Schools & Lifelong Learning | **High** | CF1901 Issue 2.5: Placing Request Appeals - key resource dependencies<br><br>Started | The working group led by the Communities and Families Senior Education Officer, will establish key dependencies and resource planning requirements. This will include interdependencies and resources required to support preparation of key reports. Changes will be trialled in the current year and the updated process Implemented for 2021. | Estimated Date: 31/03/2021 Revised Date: 01/08/2021 No of Revisions 0 | Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 140 | School admissions, appeals and capacity planning

CF1901: School admissions, appeals and capacity planning - Issue 3: Process Documentation & Delivery Responsibilities

Andy Gray, Head of Schools & Lifelong Learning | Medium | CF1901 Issue 3.1(b): Internal Partnership Protocols

Started | 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. | Estimated Date: 31/08/2020 Revised Date: 22/02/2021 No of Revisions 1 | Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir |
| 141 | School admissions, appeals and capacity planning

CF1901: School admissions, appeals and capacity planning - Issue 3: Process Documentation & Delivery Responsibilities

Andy Gray, Head of Schools & Lifelong Learning | Medium | CF1901 Issue 3.1(c): Annual Process - Debrief & Lessons Learned

Started | 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. | Estimated Date: 31/08/2020 Revised Date: 22/02/2021 No of Revisions 1 | Alison Roarty Arran Finlay Donna Rodger Gavin King Hayley Barnett Layla Smith Matthew Clarke Michelle Vanhegan Neil Jamieson Nick Smith Nickey Boyle Nicola Harvey Ruth Currie Sheila Haig Stephen Moir |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 142 | Social Media - Controls over access to SM Accounts<br><br>2. Social media operational security and privacy issues<br><br>Michael Pinkerton, Media Manager | Medium | CE1901 Rec 2.3 Communications team - operational security and privacy issues<br><br>**Implemented** | The Communications team will address points 1; 2; 3; 5; and 9 in advance of finalising the social media operational framework. It is important to note that the recommendation to provide unique user profiles and passwords for all Sprout social users could potentially be cost prohibitive, however the feasibility of this option will be assessed, and the risks associated with sharing user profiles and passwords reduced as far as possible. | **Estimated Date: 12/02/2021 Revised Date:**<br><br>**No of Revisions 0** | David Ure |
| 143 | Social Media - Controls over access to SM Accounts<br><br>1. Social media operational framework<br><br>Michael Pinkerton, Media Manager | High | CE1901 Rec1.5 Social Media Risks<br><br>Pending | The risks associated with the ongoing use of social media that are highlighted in this report will be assessed and recorded in the Strategy and Communications risk register together with details of mitigating actions to ensure that they are addressed. | **Estimated Date: 30/10/2020 Revised Date:**<br><br>**No of Revisions 0** | David Ure Donna Rodger |
| 144 | Social Media - Controls over access to SM Accounts<br><br>3. Social media training<br><br>Michael Pinkerton, Media Manager | Medium | CE1901 Rec3.1 Social media training needs assessment<br><br>Pending | 1. A training needs assessment for social media account owners and users will be developed as part of the social media operational framework and supporting guidance with support (where required) from Human Resources. The training needs assessment will be provided to all Council directorates and divisions with a request that it is completed for all new social media account owners and users. 2. Directorates and divisions will be requested to ensure that social media training is classified as an essential learning activity within their | **Estimated Date: 16/04/2021 Revised Date:**<br><br>**No of Revisions 0** | David Ure Donna Rodger |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | | | | essential learning programmes for those roles that include a social media remit / responsibility. | | |
| 145 | Social Media - Controls over access to SM Accounts<br><br>3. Social media training<br><br>Michael Pinkerton, Media Manager | Medium | CE1901 Rec3.2 Refresh of social media training materials<br><br>Pending | 1. Existing training materials and the e learning module content will be reviewed and refreshed with support from Human Resources (where required) to ensure that it is aligned with applicable legislation and regulations. 2. The e learning module will be updated to ensure that sufficient information is provided prior to testing and that correct answers are provided to incorrect responses. 3. Ownership of the content of the social media e learning model will be agreed between Strategy and Communications and Human Resources. | **Estimated Date: 25/01/2021 Revised Date:**<br><br>**No of Revisions 0** | David Ure Donna Rodger |
| 146 | Social Work Centre Bank Account Reconciliations<br><br>Corporate Appointee Client Fund Management<br><br>Judith Proctor, Chief Officer - HSCP | High | Recommendation 1a - Health & Social Care<br><br>Started | 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. | **Estimated Date: 28/06/2019 Revised Date: 01/08/2021 No of Revisions 2** | Alison Roarty Angela Ritchie Colin Beck Louise McRae Tony Duncan |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 147 | Social Work Centre Bank Account Reconciliations<br><br>Corporate Appointee Client Fund Management<br><br>Judith Proctor, Chief Officer - HSCP | **High** | 2.2. Updating procedures to include an annual review of Corporate Appointee contracts<br><br>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. | **Estimated Date: 30/04/2018 Revised Date: 01/08/2021 No of Revisions 2** | Alison Roarty Angela Ritchie Colin Beck Louise McRae Tony Duncan |
| 148 | Social Work Centre Bank Account Reconciliations<br><br>Corporate Appointee Client Fund Management<br><br>Judith Proctor, Chief Officer - HSCP | **High** | Rec. 8 Business Support and Senior Social Worker - refresher training closing and reallocation of client fund accounts<br><br>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. | **Estimated Date: 31/05/2018 Revised Date: 01/08/2021 No of Revisions 3** | Alison Roarty Angela Ritchie Colin Beck Louise McRae Tony Duncan |
| 149 | Social Work Centre Bank Account Reconciliations<br><br>Corporate Appointee Client Fund Management<br><br>Judith Proctor, Chief Officer - HSCP | **High** | Rec 1b - Business Support - review of Corporate Appointee processes<br><br>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 | **Estimated Date: 31/05/2018 Revised Date: 01/08/2021 No of Revisions 2** | Alison Roarty Angela Ritchie Colin Beck Louise McRae Tony Duncan |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| | | <span style="color:red">■</span> | | 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 | | |
| 150 | Street Lighting and Traffic Signals<br><br>Street Lighting - Inventory and Maintenance<br><br>Paul Lawrence, Executive Director of Place and SRO | **Medium** | PL1810 Issue 2: Rec 1 - Street lighting inventory completeness and electrical testing results<br><br>Started | Rebased as at 30/03/2021Clear processes will be designed, recorded (in the Street Lighting Operational guide), and Implemented to ensure that following completion of wards in the EESLP:- progress with electrical testing is monitored and actioned; and- checks are performed over the completeness and accuracy of all inventory data held on Confirm (e.g. routine sample testing across the wards).Following the completion of further wards in the EESLP, Internal Audit will perform sample testing to ensure the data held on Confirm is accurate and complete, and that electrical testing outcomes are being recorded. IA will also confirm that the inventory checks have been designed and Implemented. It is expected that the EESLP will complete in late 2021, and therefore an implementation date of 31/03/2022 has been agreed with IA. | **Estimated Date: 20/12/2019 Revised Date: 31/03/2022 No of Revisions 4** | Alan Simpson Alison Coburn Claire Duchart Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Lindsey McPhillips Nicole Fraser Robert Mansell Tony Booth |
| 151 | Street Lighting and Traffic Signals<br><br>Street Lighting and Traffic Signals: Process and quality assurance documentation and training<br><br>Paul Lawrence, Executive Director of Place and SRO | **Low** | PL1810 Issue 3 - Rec 1 Operation and maintenance procedures<br><br>Started | Street Lighting and Traffic Signals Operational Guides will be developed, Implemented, and reviewed to ensure that processes align with current regulatory requirements. Operational Guides will be Implemented within six months of implementation of the Roads Improvement Plan, or by 30 September 2019, whichever comes first. | **Estimated Date: 30/09/2019 Revised Date: 31/05/2021 No of Revisions 4** | Alan Simpson Alison Coburn Claire Duchart David Givan Gareth Barwell Gavin Brown George Gaunt Lindsey McPhillips Mark Love Nicole Fraser Robert Mansell Tony Booth |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 152 | Street Lighting and Traffic Signals<br><br>Street Lighting and Traffic Signals: Process and quality assurance documentation and training<br><br>Paul Lawrence, Executive Director of Place and SRO | Low | PL1810 Issue 3: Rec 2 - Refresher training for existing employees<br><br>Started | An essential Learning Matrix that specifies the refresher training that the team requires to complete on an ongoing basis has been developed and provided to Learning and Organisational Development for their review and feedback, with no response received as yet. The matrix will now be Implemented, and employee training requirements will be assessed (and agreed) as part of the Annual Conversations. | **Estimated Date: 20/12/2019 Revised Date: 30/06/2021 No of Revisions 7** | 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 |
| 153 | Street Lighting and Traffic Signals<br><br>Traffic Signals: Evidence of pre installation design and acceptance testing<br><br>Paul Lawrence, Executive Director of Place and SRO | Low | PL1810 Issue4: Rec 3 - Checklist retention procedures<br><br>Started | Processes for the completion and retention of the checklist to be included in appropriate Operational Guide. | **Estimated Date: 31/03/2020 Revised Date: 31/05/2021 No of Revisions 4** | Alan Simpson Alison Coburn Claire Duchart Cliff Hutt David Givan Gareth Barwell Gavin Brown George Gaunt Lindsey McPhillips Mark Love Nicole Fraser Robert Mansell Tony Booth |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 154 | Supplier Management Framework and CIS Payments<br><br>RES1809 Issue 2: Contracts and Grants Management Strategic Direction<br><br>Stephen Moir, Executive Director of Resources | **High** | RES1809 Issue 2.2: Contract Management Compliance Reviews<br><br>**Implemented** | The C&GM team will design and implement a rolling programme of compliance reviews, focused on the Tier 1 and 2 contracts, this programme to take account of the limited resources in the team, and other ongoing work. The scope of these reviews will, as appropriate, include the recommendations above. Again, this work will be dependent upon active service area engagement and responsiveness, including for service areas to implement identified actions. It is to be noted, however, that the staffing resources in the C&GM team may not be sufficient to include all aspects referred to above, including follow-up and monitoring of implementation. | Estimated Date: 31/12/2020<br>Revised Date: 01/05/2021<br>No of Revisions 0 | Annette Smith Gavin Brown Hugh Dunn Iain Strachan Layla Smith Michelle Vanhegan Mollie Kerr |
| 155 | Supplier Management Framework and CIS Payments<br><br>RES1809 Issue 1: Contract Management by Directorates and Service Areas<br><br>Paul Lawrence, Executive Director of Place and SRO | **High** | RES1809 Issue 1.2(3): Supplier management quality assurance - Place<br><br>Pending | Place This will be incorporated into the Place regular monitoring reports on procurement to provide assurance that risk assessments are happening, especially for tier 1 and 2 contracts and that appropriate action is taken. This will be undertaken in conjunction with the Contracts and Grants Management and Commercial Partner team in procurement to ensure consistency of approach and shared learning. | Estimated Date: 31/03/2021<br>Revised Date: 01/08/2021<br>No of Revisions 0 | Alison Coburn David Givan Gareth Barwell George Gaunt Karl Chapman Lindsay Robertson Michael Thain |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 156 | Supplier Management Framework and CIS Payments<br><br>RES1809 Issue 1: Contract Management by Directorates and Service Areas<br><br>Paul Lawrence, Executive Director of Place and SRO | **High** | RES1809 Issue 1.3(3): Contract manager support and guidance - Place<br><br>Pending | Place This recommendation is accepted, and this will be added as appropriate to the Place mandatory training matrix at the next review. | **Estimated Date: 31/08/2020 Revised Date: 01/01/2021 No of Revisions 0** | Alison Coburn David Givan Gareth Barwell George Gaunt Karl Chapman Lindsay Robertson Michael Thain |
| 157 | Supplier Management Framework and CIS Payments<br><br>RES1809 Issue 1: Contract Management by Directorates and Service Areas<br><br>Jackie Irvine, Chief Social Work Officer & Head of Safer & Stronger Communities | **High** | RES1809 Issue 1.4(3): Review of contract waivers - C&F<br><br>Started | 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. | **Estimated Date: 27/03/2020 Revised Date: 01/11/2020 No of Revisions 1** | Anna Gray Claire Thompson David Hoy Michelle McMillan Nichola Dadds Nickey Boyle |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| Page 275 | Supplier Management Framework and CIS Payments<br><br>RES1809 Issue 2: Contracts and Grants Management Strategic Direction<br><br>Stephen Moir, Executive Director of Resources | **High** | RES1809 Issue 2.3: Project Governance supporting implementation of the Public Contracts Scotland Tendering technology system<br><br>Started | This system is already well-established in other public sector partners, and supported by the Scottish Government, and has been identified by Scotland Excel as an appropriate e-solutions system to support contract and supplier management. Training sessions have already been held, including a day session focussed entirely on contract management functionality. All members of the team have had access to the system for a suitable period of time, to allow for learning on a test system and have built up a thorough knowledge of the system's capability to upload contract documentation. The mass upload of contract documentation is a key factor in the successful roll out of the system, and the team continues to get support from contemporary teams in Scottish Government and other public sector partners who have carried this out. Training sessions have been held with a number of contract managers across 4 directorates, focussing on 6 Tier 1 contracts, some with cross-directorate delivery. 40 suppliers have also been involved in the trial to date. The team are continuing to monitor the trial, with regular updates from contract managers and will use all lessons learned to prepare the project plan for full roll out of the system. The C&GM team will design and apply a suitable project management and governance framework to support PCS-T implementation. This will include additional suitable system testing, and training for service area contract managers who would be using the system to store and access contract documentation. As stated above, the team is already also working with public sector partners, to identify best practice to assist the successful roll out the contract management module. Commercial and Procurement Services are already considering the possible adoption of PCS-T as the Council's eProcurement system, bringing an end to | Estimated Date: 31/12/2020<br>Revised Date: 31/12/2021<br>No of Revisions 1 | Annette Smith<br>Gavin Brown<br>Hugh Dunn<br>Iain Strachan<br>Layla Smith<br>Michelle Vanhegan<br>Mollie Kerr |

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| | | <td style="background:red"></td> | | end approach to procurement and management of contracts. This work is continuing, and the PCS-T Working Group which has been established within Commercial and Procurement Services will take forward both aspects. If it is decided to adopt PCS-T for the Council's actual procurement processes, and not just contract management, then it is noted that the actual implementation of that would take longer, as there would be a greater direct impact upon other Council services. | | |
| Page 276<br>159 | Unsupported Technology (Shadow IT) and End User Computing<br><br>CW1914 Issue 1: Digital strategy and governance<br><br>Stephen Moir, Executive Director of Resources | **Medium** | CW1914 Rec 1.1 - Digital strategy development<br><br>Started | The Council's digital strategy is currently being refreshed as part of the Adaptation and Renewal Programme and will include consideration of use of both networked and cloud-based systems solutions that are aligned with the Council's strategic and service delivery objectives and applicable security and compliance requirements. A separate cloud strategy will also be prepared as part of the overarching digital strategy that outlines the opportunities and risks associated with ongoing and future use of cloud-based shadow IT systems. The digital strategy will be developed following engagement and consultation with Council directorates; divisions; citizens; and other organisations (where required). | Estimated Date: 31/12/2020 Revised Date: 30/06/2021 No of Revisions 1 | Alison Roarty Heather Robb Layla Smith Michelle Vanhegan Nicola Harvey |

| Ref | Project/Owner | Issue Type | Issue/Status | Agreed Management Action | Dates | Contributors |
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| 160 | Waste & Cleansing Services - Performance Management Framework<br><br>PL1807 Issue 1: Waste and Cleansing Performance Management Framework<br><br>Paul Lawrence, Executive Director of Place and SRO | Low | PL1807 1.3 Waste and Cleansing Policy<br><br>Started | 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. | **Estimated Date: 27/12/2019 Revised Date: 01/11/2020 No of Revisions 1** | Alison Coburn Andy Williams David Givan Gareth Barwell George Gaunt |

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

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