

Governance, Risk and Best Value Committee

10.00am, Tuesday, 19 January 2021

Annual Assurance Schedule – Place Directorate

Executive/routine Wards Council Commitments	Executive All
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1. Recommendations

- 1.1 Governance, Risk and Best Value Committee is asked to:
 - 1.1.1 Note the Place directorate annual assurance schedule, submitted for scrutiny;
 - 1.1.2 Note the information provided on operational governance arrangements for major projects and transport projects and local place improvements; and
 - 1.1.3 Note that the Place directorate annual assurance schedule 2020-21 will be submitted for scrutiny in 12 months' time.

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Report

Annual Assurance Schedule – Place Directorate

2. Background

- 2.1 Each year the City of Edinburgh Council requires that Executive Directors complete Certificates of Assurance that represent their view of the effectiveness and appropriateness of controls in their areas of responsibility. These Certificates support the Annual Governance Statement which is a component part of the authority's Statement of Accounts.
- 2.2 An Assurance Schedule, to help prompt Executive Directors and relevant Heads of Service to consider various aspects of their control environment, is circulated in advance of Certificates. The schedule will help highlight any areas of concern.
- 2.3 A review of the process was initiated in response to feedback received in relation to last year's exercise resulting in the implementation of a 'comply or explain' model. The format and design of documentation was also updated to reduce manual administration and implement auto-population of improvement actions.
- 2.4 Improvement actions from the assurance exercise are used to inform the related Corporate Governance Framework Self-assessment exercise. Together both exercises combine to provide a holistic look across the Council's control framework, incorporating both design and application. Both processes will continue to be reviewed in line with feedback.

3. Main report

- 3.1 The Place Directorate schedule (Appendix 1) was completed and returned to the Democracy, Governance and Resilience Service, after which a Certificate of Assurance was issued. This informed the drafting of the Annual Governance Statement, submitted to Council as part of the Unaudited Annual Accounts on 30 June 2020.
- 3.2 The Certificates of Assurance require Heads of Service and Executive Directors to confirm that:

- 3.2.1 They have considered the effectiveness of controls in their service area/directorate, including controls in place to mitigate major risks to their service area/directorate's objectives;
- 3.2.2 To the best of their knowledge, appropriate controls are in operation upon which they can place reasonable assurance and that there are no significant matters arising that should be raised specifically in the Annual Governance Statement (or otherwise); and
- 3.2.3 They have identified actions that will be taken to continue improvement.
- 3.3 The schedule is completed by the Executive Director or by a nominated senior manager.
- 3.4 Before signing their Certificate of Assurance, the Executive Director should ensure that the schedule has been completed accurately.

Operational Governance Arrangements

- 3.5 On 3 December 2019, Committee requested a report on the operational governance arrangements in place to ensure that significant projects are delivered. Committee also requested details for transport projects.
- 3.6 In 2019, the Council had a robust framework for governance of major projects, which includes reporting to Governance, Risk and Best Value Committee as part of the overall approach to scrutiny. Monthly updates were also prepared for the Council Leadership Team and regular programme updates (at least annually) were planned.
- 3.7 At that time, the Place Directorate had 22 projects included on the Council's Major Change Programme (list shown in Appendix 4).
- 3.8 The approach to managing major projects in Place was reviewed in 2018/19 and this led to the appointment of a dedicated Senior Responsible Officer for both the Tram to Newhaven extension and Edinburgh Waterfront.

Transport Projects and Local Place Improvements

- 3.9 All transport infrastructure projects are selected within the conditions set out in the Council's Transport Asset Management Plan (TAMP). The TAMP also sets out how the Council will manage its Road Assets and is produced in accordance with national guidance and recommended good practice developed through the SCOTS Road Asset Management Project. It is widely recognised that the application of modern asset management practices can enable improved value for money. The "Road Asset" comprises of carriageways, footways, structures, street lighting, traffic management systems and street furniture.
- 3.11 The purpose of the TAMP is to formalise strategies for investment in Road Asset groups and define service.
- 3.12 Individual projects for investment are selected using strategies that were created to look at the whole life cost of maintaining the asset over a 20 year period. The strategies enable long term predictions to be made and mean that decisions about funding levels can be taken with due consideration of the future maintenance

funding liabilities that are being created. A system of prioritisation is also used to select transport infrastructure projects, in line with Council objectives. This includes additional prioritisation weightings for footfall, cycle use and bus use.

- 3.13 An organisational review of the Council's Roads and Transport teams was completed in Summer 2020 and a new service structure for Roads and Transport Infrastructure and Transport Network and Street Enforcement was implemented on 3 August 2020. A Roads and Transport Infrastructure Improvement Plan with details of the new service structure and contact details for each service area was reported to Transport and Environment Committee on [1 October 2020](#).
- 3.14 Within the Roads and Transport Infrastructure team a local projects team is being created to manage the delivery of local improvement projects in the future.

4. Next Steps

- 4.1 An improvement plan for the Place Directorate is attached at Appendix 2. This includes actions in relation to identified internal control weaknesses. In each instance a responsible officer and a deadline for completion is included. It should be noted that this process was completed prior to the full early impact of the COVID-19 pandemic had arisen and it is therefore likely that elements of the improvement plan will need to be reassessed and deadlines for delivery reviewed.
- 4.2 The process will continue to be reviewed in line with feedback to ensure that effective assurance is provided.
- 4.3 Relevant improvement actions will be included in the Corporate Governance Framework Self-Assessment exercise for 2020-21 where there is an impact on the design of the Council's corporate control framework.
- 4.4 The 2020-21 Annual Assurance Schedule will be presented to Governance, Risk and Best Value Committee in 12 months for scrutiny.

5. Financial impact

- 5.1 The annual assurance process and production of the annual governance statement is contained within relevant service area budgets.
- 5.2 An effective control framework is key in ensuring that the Council is able to achieve Best Value (Economy, Efficiency and Effectiveness) in the stewardship of its resources and delivery of intended outcomes.

6. Stakeholder/Community Impact

- 6.1 The assurance schedule exercise acts as a prompt for service areas to think about good governance and the internal control environment. Action plans support improvements in areas where weaknesses have been identified.
- 6.2 Completed schedules are reviewed by the Democracy, Governance and Resilience Senior Manager and are provided to the Chief Internal Auditor for comment.

- 6.3 The Annual Assurance Schedule template was drafted using input from the Council's subject matter experts. This included contributions from Resilience, Internal Audit, Health and Safety, Governance, Legal Services, Financial Services and Human Resources.
- 6.4 Outcomes and areas of significant control weakness identified in the Corporate Governance Framework Self-assessment Exercise are used to inform the structure and content of assurance schedules through a process of continuous review.

7. Background reading/external references

- 7.1 [City of Edinburgh Council – 30 June 2020– Unaudited Annual Accounts](#)

8. Appendices

- 8.1 Appendix 1 – Place Directorate Annual Assurance Schedule
- 8.2 Appendix 2 – Place Directorate Action Plan
- 8.3 Appendix 3 – Place Directorate overview and delivery update
- 8.4 Appendix 4 – Place Major Projects (March 2020)

Assurance Statement						
Ref	Statement	Response		Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
1	Internal Control Environment	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
1.1	I have internal controls and procedures in place throughout my directorate that are proportionate, robust, monitored and operate effectively.	Partially compliant	The Council's Chief Internal Auditor reported to Governance Risk and Best Value Committee in August 2020 that for the year ended 31 March 2019 the Council's established control environment; governance and risk management arrangements have not adapted or evolved sufficiently to support effective management of the changing risk environment and the Council's most significant risks, putting achievement of the Council's objectives at risk. The Chief Internal Auditor's opinion for the year ended 31 March 2020 is not yet available therefore this response is based on the previous year. Review of the control environment with Place in 2019/20 indicated that improvements have been made however further improvements continue to be identified as part of operational reviews, internal audit and external scrutiny. In 2019/20 improvements in the Building Standards service were recognised by Scottish Government.	Annual Internal Audit Plan (based on most significant risks to the Council) CLT Change Board – programme/project management framework Council Companies/ALEOs – Governance Hub, Observers, annual reporting to Executive Committee and GRBV Community planning – Edinburgh Partnership, Community Plan 2018-28 Contingency planning and business continuity arrangements EIJB – scrutiny and accountability arrangements agreed through scheme Enterprise Risk Management Policy and Risk Management Procedure External validation/review eg. external audit, independent assurance providers GRBV quarterly scrutiny of top risks GRBV scrutiny of CLT risk register, delivery of Internal Audit Plan and of all Internal Audit reports Health and safety audits Informal and formal reviews eg. internal audit, quality assurance audits Overdue audit recommendations report monthly to CLT and quarterly to GRBV Policies that mitigate risks eg. Anti-bribery, Fraud Prevention, Whistleblowing Quarterly corporate risks scrutinised at CLT Quarterly Risk and Assurance Committees Regular 121 meetings between the Council's Chief Executive and the Chief Executives of key ALEOs Report template and guidance – section on risks Reporting/review/monitoring at all levels – committee, CLT, SMTs, service level Risk Appetite Statement	Internal controls and procedures are regularly reviewed within service areas and, where appropriate, changes are made to ensure that they are proportionate, robust and operate effectively. As improvements are identified, implementation of changes are progressed by service managers. Management actions recommended as a result of Internal Audit reviews are now reviewed to ensure that they can be delivered and that the timescales for completion are realistic timescales. This is monitored on a monthly basis at both Service Area and Directorate Senior Management Team. Additional support is offered to managers to progress actions. Actions arising from external reviews are progressed in accordance with the agreement made with the external organisation. In 2019/20 the Transport and Environment Committee agreed to the development of two new improvement plans in the Roads and Transport Infrastructure and Road Network Management and Enforcement area, to reflect the new structure of the Council's transport service and an improvement plan was development and implementation of actions commenced in Housing service areas.	
1.2	I have controls and procedures in place to manage the risks in delivering services through council companies, partners and third parties.	Partially compliant	In 2019/20, a review by the Board of Marketing Edinburgh has highlighted that improvements are required in the operational governance of the company.	Risk Management Groups Risk management policies and strategies (eg procurement, standing orders, project management, health and safety, information governance) Risk Management Procedure Risk management tools Schools assurance programme Shareholder or service level agreements Team Central – monitoring implementation of audit recommendations Training, eLearning and workshops for staff and members Wide ranging internal and external counter fraud activity	Controls and procedures in place include Service Level Agreements, funding agreements, Shareholder Agreements and in other service delivery agreements. A monitoring officer is identified for each organisation and reviews of service delivery are carried out as per the agreement. For Council ALEOs and some funded organisations, a Council Officer act as Observer to the Board.	Support the Council's Governance team to provide clarity on roles and responsibilities for Board Observers.
1.3	My internal controls and procedures and their effectiveness are regularly reviewed and the last review did not identify any weaknesses that could have an impact on the Annual Accounts.	Compliant	The findings of service area, internal audit or external scrutiny have not identified any weaknesses in Place's internal controls which would have an impact on the Annual Accounts.		See 1.1 and 1.2. The improvements identified have not identified any weaknesses that could have an impact on the Annual Accounts.	
1.4	The monitoring process applied to funding/operating agreements has not identified any problems that could have an impact on Annual or Group Accounts.	Partially compliant	Marketing Edinburgh's company accounts for 2018/19 have not yet been submitted as there were outstanding actions required to finalise the audited accounts. These actions are high priority and are being progressed urgently by the Board. No other issues have been identified within other Council Arms Length Companies or external funded organisations.		Council ALEOs have confirmed compliance with the funding/operating agreements in place and the financial arrangements for good governance. This has been confirmed by the Observer to each Board. The Board of Marketing Edinburgh has confirmed that the annual accounts for 2018/19 have not yet been submitted to Companies House and that this is being addressed as a priority. Board Observers and other officers will continue to work ALEO Boards and externally funded organisations to ensure compliance with the Council and legislative governance requirements.	
2	Risk and Resilience	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)

2.1	I have risk management arrangements in place to identify the key risks to my directorate (and the Council).	Compliant		Budget Planning CLT Change Board – programme/project management framework CLT scrutiny Contingency planning and business continuity arrangements Council Business Plan Enterprise Risk Management Policy	Robust arrangements are in place for risk management across the Directorate and are embedded within service areas. The Senior Management Team discuss risk management on a regular basis and the Place Risk Register is reviewed and updated on a quarterly basis.	
2.2	I have effective controls and procedures in place to record and manage the risks identified above to a tolerable level or actions are put in place to mitigate and manage the risk.	Compliant		GRBV quarterly scrutiny of top risks Health and safety audits Internal and external audits Internal Audit Plan development considers top risks Leader's induction includes Risk Management	See 2.1 above. The Place directorate uses the corporate risk register template for recording risks, controls and measures required to address identified risks.	
2.3	The robustness and effectiveness of my risk management arrangements is regularly reviewed and the last review did not identify any weaknesses that could have an impact on the Annual Accounts.	Compliant		Quarterly corporate risks scrutinised at CLT Quarterly Risk and Assurance Committees Report template and guidance – section on risks Reporting/review/monitoring at all levels – committee, CLT, SMTs, service level	An annual review of the robustness and effectiveness of the risk management arrangements in Place has not identified any weaknesses which could have an impact on the Annual Accounts.	An internal audit of risk management across the Council is currently underway. The Place Directorate will consider the recommendations from this review, and implement appropriate management actions.
2.4	There is appropriate escalation/communication to the directorate Risk Committee and CLT Risk Committee (as appropriate) of significant issues, risks and weaknesses in risk management.	Compliant		Risk Appetite Statement Risk Management Groups Risk management policies and strategies (eg procurement, standing orders, project management, health and safety, information governance) Risk Management Procedure Risk management tools Schools assurance programme	The Place Directorate regularly reviews service area and directorate risks and has escalated significant risks to the appropriate place (e.g. Place Directorate Risk Register, CLT Risk Register).	
2.5	I have arrangements in place to promote and support the Council's policies and procedures for staff to raise awareness of risk concerns, Council wrongdoing and officer's misconduct.	Compliant		Service Planning Training, eLearning and workshops for staff and members	Risk management is embedded within Place service activities, with Service and Senior Managers ensuring appropriate awareness of risk management arrangements are promoted within service areas. This includes awareness on what to do if Council wrongdoing or officer misconduct are identified (in line with Council policies and procedures).	
2.6	My directorate has appropriate resilience arrangements in place and my directorate's business continuity plans and arrangements mitigate the business continuity risks facing our essential activities.	Compliant			Business Impact Assessments have been completed for all identified essential activities in Place. These have recently been reviewed and adapted in response to the COVID 19 pandemic. Arrangements are in place to test the business continuity plans within service areas, and services work closely with the corporate Resilience team to test and refine plans as appropriate. An internal audit in 2018/19 identified some weaknesses in the Council's approach to business continuity and resilience and management actions are currently being implemented to address these issues.	
3	Workforce Controls	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
3.1	I have arrangements in place to ensure compliance with payroll policies, overtime controls, absence management and performance e.g. home/remote working.	Compliant		360 reviews Annual Internal Audit Plan (based on most significant risks to the Council) Employee Assistance Programme Employee Engagement External validation/review eg. external audit, independent assurance providers Financial benefits (credit union, season ticket loans, car benefit scheme, pension schemes) Funding scheme for professional qualifications HR Policies (Absence Management, Stress Management, Avoidance of Bullying and Harassment, Equal Treatment) Informal and formal reviews eg. internal audit, quality assurance audits	The Place Directorate operates compliantly within the Council's payroll, absence management and performance policies. Additional overtime controls are in place to ensure that this is appropriately authorised and that claims are made timeously. In 2019/20, the Place directorate established a workforce panel to support managers in dealing with employee absences, a list of pre-authorised vacancies has been established and all other vacancies go through the Council's Workforce Control Panel for approval to advertise.	
3.2	I have robust controls in place to ensure that statutory workforce requirements are met, including the management of off-payroll workers/contractors (including agency workers and consultants), ensuring approved framework contracts have been used and that those engaged are wholly compliant with the provisions of IR35 Council guidance and procedures.	Compliant		Inspiring Talent Programme Internal and External training opportunities Leader Induction and Essential Learning Leadership Development Programme– Future, Engage, Deliver Managing Attendance Training for managers Occupational Health service Onboarding, induction essential learning and CPD for officers Open framework agreement for Learning and Development	The Place Directorate operates compliantly within the Council arrangement for statutory workforce controls, including complying with Government requirements (such as IR35) where these are relevant to operational arrangements for service delivery.	

3.3	I ensure compliance with the Council's HR policies and procedures across all of my service areas, eg. that recruitment and selection is only undertaken by appropriately trained individuals and is fully compliant with vacancy approvals and controls.	Compliant		People Strategy Performance Management Framework (Performance Conversations) Policies that mitigate risks eg. Anti-bribery, Fraud Prevention, Whistleblowing Regular reporting including Health & Safety Performance, absence levels Staff benefits (enhanced entitlements leave entitlement, flexible working options, childcare vouchers, ride to work scheme, premium benefits scheme) Wide ranging internal and external counter fraud activity Wider Leadership Team (incl. Learning Sets) Wider Leadership Team programme	The Place Directorate operates compliantly with the Council's HR policies and procedures and works closely with the HR Business Partner and Consultancy teams to ensure compliance is maintained. The Place HR Business Partner attends all Place SMT meetings and provides regular reports on compliance with corporate policies and procedures and provides updates on changes as these arise. In 2019/20, the Council established a Workforce Control Panel. The Place directorate identified a small number of pre-approved posts which would automatically progress through the recruitment process but all other vacancies are scrutinised by service manager, Head of Service and Executive Director and only those essential are progressed to the Workforce Control Panel for approval. All recruitment is undertaken in accordance with the Council's procedures, utilising Talentlink.	
3.4	I have robust controls in place to manage new starts, movers and leavers, including induction and mandatory training, IT systems security (access and removal) and access to buildings and service users' homes.	Compliant			A corporate approach to new appointments (whether new starts or moving within the organisation) is in place to ensure that a consistent induction to the organisation is provided. Within services, induction arrangements are determined by the needs of the role. An essential training matrix for the Directorate is in Place and training plans have been implemented to ensure that essential training is delivered at the appropriate time as required. The Directorate complies with the Council's IT Systems security processes and all requests for building access are approved by the appropriate manager. For those entering service user's homes, additional checks are carried out through Disclosure Scotland and are updated in accordance with legislation. Appropriate identification is provided to people visiting service user homes.	
3.5	I have arrangements in place to manage staff health and wellbeing; ensuring that sickness absence, referral to occupational health and stress risk assessments is managed in compliance with the Council's HR policies.	Compliant			See 3.3.	
3.6	I ensure compliance with essential training requirements and support learning and development appropriately, including professional CPD requirements.	Compliant			An essential training matrix has now been established by the directorate and this will be reviewed annually. Essential training is provided in accordance with the requirements of essential training. Learning and development is supported, within agreed service budgets, and training is delivered within service areas or by external providers where appropriate. In some services, external speakers and training providers are invited to deliver training to meet essential learning or CPD requirements.	
3.7	I have arrangements in place to support and manage staff performance e.g. regular 1:1/supervision meetings, performance/spotlight conversations.	Compliant			The Place Directorate operates within the Council's Performance Management Framework, including 1:1 support, team meetings, performance and spotlight conversations as appropriate.	
4	Council Companies	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)

4.1	I have arrangements in place for the oversight and monitoring of the Council companies I am responsible for, that give me adequate assurance over their operation and delivery for the Council.	Partially compliant	In 2019/20, a review by the Board of Marketing Edinburgh has highlighted that improvements are required in the operational governance of the company.	Annual Assurance Process (Directorates) Council Companies/ALEOs – Governance Hub, Observers, annual reporting to Executive Committee and GRBV Regular 121 meetings between the Council’s Chief Executive and the Chief Executives of key ALEOs Service Level Agreement Register Shareholder or service level agreements	Each Arms Length External organisation which Place is responsible for has submitted an annual assurance statement and all have indicated full compliance under each element of the questionnaire, except for Marketing Edinburgh where a number of areas are partially compliant. As Observer to the Board of Marketing Edinburgh I am working closely with them to address the areas where the company is only partially compliant, however the company services will change in 2020/21 as the company moves into a hibernation phase. Each Place ALEO is represented on the Council's Governance Hub and senior officers have been appointed as Observers to the Board of each company. There are regular meetings between the Board Observer and each ALEO Chief Executive/Managing Director to discuss strategic and operational matters. The SLA Register is up to date for Place ALEOs.	
4.2	I have an appropriate Service Level Agreement, or other appropriate legal agreement, in place for each Arm’s Length External Organisation that I am responsible for.	Compliant			For each Arms Length External organisation that the Place Directorate is responsible for there is an appropriate legal agreement in place for service operation and delivery. These agreements differ between organisations, depending on the relationship with each company.	
5	Engagement and Consultation	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
5.1	My directorate engages effectively with institutional stakeholders, service users and individual citizens, applying the council’s consultation and engagement standards with evidence that the insights gathered are used to shape my directorates activities.	Compliant		Budget consultation Business sector forums Community engagement activity Community engagement strategy/policy Complaints Improvement Plan Consultation framework Consultation Hub Council Change Strategy: Planning for Change and Delivering Services 2019-2023 Committee Papers Online	Effective engagement and consultation tools used by the Directorate to gain insight and feedback include: 121 meetings, community council meetings, local community events and meetings, drop in events, consultation group meetings, Council's Consultation Hub, social media, web surveys and information, online surveys and stakeholder events . The Directorate also gains insight from corporate surveys such as Edinburgh's People's survey.	
5.2	I have arrangements in place throughout my directorate to ensure that there are effective communication methods that encourage, collect and evaluate views and experiences (while ensuring inclusivity e.g. customer surveys, consultation procedures, social media presence, etc.) and that these insights are used to inform the work of the directorate.	Compliant		Current partnerships eg. Poverty Commission, Tourism Strategy, EIJ, City Deal Edinburgh Partnership (LCCPs, Neighbourhood Networks) Edinburgh People Survey Government partnership working Have Your Say webpage Multi-agency partnerships Multi-channel methodology eg. social media platform development Networks/user groups – eg. Edinburgh Tenants’ Federation Partnership agreements eg. Police Scotland Partnership governance arrangements Partnership governance documentation Partnership plans eg. Edinburgh Children’s Partnership Petitions and Deputations Policies and procedures (consultation framework) Poverty Commission Public participation – deputations and petitions Public sector partnerships Publication of Council diary Report template – section on consultation Stakeholder group meetings	The directorate uses a variety of communication methods to encourage, collect and evaluate views and experiences including customer surveys, feedback questionnaires, social media, Consultation Hub, online surveys, meetings and events. Feedback is also regularly received through Elected Members from citizens.	
5.3	I have appropriate arrangements in place throughout my directorate for recording, monitoring and managing customer service complaints and customer satisfaction.	Compliant		Strategic documentation eg. vision statements, aims, etc. Strategic plans and agreements Strategy and Performance Hub Surveys eg. Edinburgh People Survey, Annual Tenant Survey Third sector partnership working eg. EVOC Webcasting of Council and major committees, including subtitles	The Directorate uses both the Council system and Confirm to record customer service requests and complaints. Improvements have been made over the last 12 months to improve recording and follow up on reported service requests and complaints. Customer satisfaction data is collected directly for some (e.g. Museums and Galleries, Housing Repairs) but not all services. In the cases when satisfaction is not gathered directly, service requests and complaints are used to monitor satisfaction.	
5.4	I regularly consult and engage with recognised trade unions.	Compliant		Strategic documentation eg. vision statements, aims, etc. Strategic plans and agreements Strategy and Performance Hub Surveys eg. Edinburgh People Survey, Annual Tenant Survey Third sector partnership working eg. EVOC Webcasting of Council and major committees, including subtitles	The Place Senior Management team meet quarterly with the recognised Trade Union representatives at our Departmental Joint Consultative Committee (DJCC). Arrangements for service area JCCs were reviewed in 2019/20 to reduce the demands on TU colleagues. A Place Health Safety and Wellbeing Group was set up in 2018/19 and has continued to meet quarterly through 2019/20 to focus on the health safety and wellbeing of people working within the Directorate. Place Senior Managers also participate in the Joint Consultative Committee, the Joint Health and Safety Forum and the Partnership at Work Forum with TU colleagues.	

6.1	Policy	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
6.1	I have arrangements in place to ensure all directorate staff are made aware of and fully understand the implications of all relevant existing and new council policies and procedures.	Compliant		Annual Assurance Exercise Annual Policy Assurance Statements Corporate Policy Framework and Toolkit, including consultation and engagement strategies Council Papers Online		
6.2	I have arrangements in place for the annual review of policies owned by my directorate, via the relevant executive committee, to ensure these comply with the Council's policy framework.	Partially compliant	A review of the Council's Policy Register in 2019/20 identified that there were out of date policies listed and that some policies had not been reviewed for a period of time. The review also noted that there may be policies missing.	Employee policy refresher arrangements, process workshops and communications Information Governance framework Policy Register Report template and guidance (incorporating adherence to commitments and policy implications)	An annual review of policies was undertaken across the Directorate in 2019/20, with a report on the Transport policies considered by Transport and Environment Committee in May 2019. The review was also concluded for Housing Homelessness and Fair Work, Planning and Culture and Communities although the reports to Committee were delayed awaiting the outcome of an Internal Audit review of the Council's governance of Policies. A review of the Policy Register by the Directorate recognised that further work was required to define a policy and then to refresh the Policy Register.	Work with the Governance team to define clearly what should be included on the Policy register, and then update the register accordingly.
7	Governance and Compliance	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
7.1	I ensure directorate staff are aware of their responsibilities in relation to the Council's governance framework and that the authority, responsibility and accountability levels within my directorate are clearly defined, with proper officer designation delegated, recorded, monitored, revoked and reviewed regularly to ensure ongoing compliance with the Scheme of Delegation.	Compliant		Codes of Conduct Committee Terms of Reference and Delegated Functions Council's Procedural Standing Orders Councillors' Code of Conduct Disclosure and PVG checks Employee Induction Employee Performance Framework Leadership Programme Legal Services provision of advice Member/Officer Protocol	The Directorate has appropriate arrangements in place to adhere to the Council's Scheme of Delegation and to record any further delegations which are implemented within the directorate. These are also passed to the Council's Governance team to be recorded.	
7.2	I ensure my directorate's activities are fully compliant with relevant Scottish, UK and EU legislation and regulations.	Compliant		Policies and procedures Regulatory body reporting eg. SSSC, GTCs Scheme of Delegation to Officers Statutory officer appointments and responsibilities Statutory/lead officers' independent reports to committee or Monitoring		
8	Responsibility and Accountability	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
8.1	My directorate ensures our officers are clear on their roles and responsibilities in terms of relationships and decision making.	Compliant		Annual Assurance Process (Council Companies and Joint Boards) Annual Assurance Process (Directorates) Codes of Conduct Commercial and Procurement Strategy Committee Terms of Reference and Delegated Functions Complaints Improvement Plan Consultation and engagement Contract Standing Orders	As part of the induction to new positions, the roles and responsibilities of the role are made clear. This includes relationships and decision making. The Directorate has regular Senior Management Team and Extended Senior Management team meetings, service area meetings and 121 conversations with all staff where these are discussed, as relevant to the role.	
8.2	I ensure that the Council's ethical standards are understood and embedded across my directorate and are upheld by external providers of services.	Compliant		Council Change Strategy: Planning for Change and Delivering Services 2019-2023 Council company monitoring including Governance Hub, Council Observers on Boards, committee reporting Edinburgh People Survey Employee Code of Conduct Grant Standing Orders	See 8.1 above. For external providers of service, the standards expected by the Council are set out in operating agreements.	
8.3	My directorate ensures that decisions are made on the basis of objective information, the consideration of best value, risk, stakeholder views, rigorous analysis, and consideration of future impacts. This is formalised through appropriate structures. (i.e SMT reporting)	Compliant		Member/Officer Protocol Monitoring/reporting on delivery of 52 coalition commitments Onboarding and induction for officers Performance Framework Policies and procedures Procurement framework Procurement Handbook	Decision making in the directorate is made on the basis of objective information, best value, risk, stakeholder views, analysis and consideration of future impacts. This is formalised through reports to Heads of Service, to the Executive Director and to Committee as appropriate, depending on the decision required. These arrangements are supported by central services e.g. Finance, Procurement,	

8.4	I consult with elected members as appropriate and as required under the Scheme of Delegation.	Partially compliant	In 2019/20, although a decision on the arrangements for Edinburgh's Winter Festivals was taken in consultation with Elected Members according to the Scheme of Delegation, a review was carried out into the process of decision making and improvements were recommended. These recommendations are now being implemented.	Public participation – deputations and petitions Report template and guidance Scheme of Delegation to Officers Service Level Agreement template Standard Condition of Grant	The Place Senior Management team regularly meet with the relevant Convener and Vice Convener to discuss operational and strategic matters where decisions are required. Relevant decisions are referred to Committee for decision. Where an urgent decision is required, this will be taken by the Executive Director in consultation with the the relevant Convener and Vice Convener with a follow up report to Committee.	
9	Information Governance	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
9.1	I ensure directorate staff are made aware of their responsibilities in relation to the proper management of Council information, including the need to adhere to relevant legislation, Council policies, procedures and guidance around: information governance; records management; data quality; data breaches and privacy impact assessments; information rights; information compliance; information security; and ICT acceptable use.	Compliant		Annual communications plan, awareness raising initiatives and training events Centralised Information governance unit Council wide Record of Processing Data quality reviews and audits form part of statutory returns Established framework of management information and reporting to support operational decision making and trend analysis Information Board Information governance policies, framework, guidance, procedures and toolkit Information sharing agreements and data protection impact assessments Locking Client's Record Guidance	The Directorate follows the Council's policies and procedures for information governance and the associated roles and responsibilities for individuals. As part of induction to new positions, there is a requirement to complete the necessary essential learning on Information Governance. Individuals work with the Governance team as appropriate if there are questions or new arrangements being implemented where information governance advice is required. Individuals are prompted to confirm that they comply with the Council's ICT acceptable use policy at each login on a Council IT device. Any breach of information compliance is reported through	
9.2	I ensure data sharing arrangements with third parties are recorded, followed and regularly reviewed throughout all service areas in my directorate.	Compliant		Mandatory training for all employees Staff responsibilities outlined in relevant policies - Employee Code of Conduct, ICT Acceptable Use Policy, Policy on Fraud Prevention Standard data related terms and conditions in all new Council contracts	Appropriate data sharing agreements are in place with third parties. These are followed and regularly reviewed.	Discuss arrangements for data sharing with Information Governance to determine if any further improvements can be made.
10	Health and Safety	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
10.1	Directorate staff are made aware of their responsibilities under relevant Health & Safety policies and procedures and I have appropriate arrangements in place for the identification and provision of Health & Safety training necessary for all job roles, including induction training.	Compliant		Contingency planning and business continuity arrangements Corporate Health and Safety Strategy and Plan Council Health and Safety Group Employee Code of Conduct Enterprise Risk Management Policy Enterprise Risk Management Policy and Risk Management Procedure External validation/review eg. external audit, independent assurance providers	This forms part of the induction process for new positions and regular updates are provided at 121s, team meetings and, for frontline services, through toolbox talks. Regular reviews of Health and Safety risk and implementation are carried out and any identified improvements are implemented.	
10.2	I have the necessary arrangements in place to establish, implement and maintain procedures for ongoing hazard identification, risk assessment and the determination of necessary controls to ensure all Health & Safety risks are adequately controlled.	Partially compliant	In 2019/20 the Health and Safety Executive identified breaches in health and safety arrangements in operations which could impact on employees or citizens. A full investigation was carried out into each breach and improvements have been implemented as recommended.	Health and safety audits Health & Safety policies and procedures Institution of Occupational Safety and Health training Mandatory Health & Safety training for staff Reporting/review/monitoring at all levels – committee, CLT, SMTs, service level	Arrangements are in place to establish, implement and maintain procedures for on-going hazard identification, risk assessment and to ensure the necessary controls are in place. Where improvements are identified, these are addressed within the required timescales to ensure adequate controls are in place.	
10.3	I have competencies, processes and controls in place to ensure that all service areas in my directorate, and other areas of responsibility, operate in compliance with all applicable Health & Safety laws and regulations.	Compliant		Risk Management Groups Risk management policies and strategies (eg procurement, standing orders, project management, health and safety, information governance) Risk Management Procedure Risk management tools Scheme of Delegation	See 10.1 and 10.2 above.	
10.4	I have a robust governance and reporting structure for Health and Safety in my directorate.	Compliant		Schools assurance programme Training, eLearning and workshops for staff and members	In 2018/19 a Health Safety and Wellbeing group was established in the directorate for senior managers to meet with Trade Unions on a regular basis to discuss health safety and wellbeing arrangements and to address any areas of concern. Local service areas discuss health safety and wellbeing with Trade unions at JCCs and other consultative meetings. The directorate is also represented on the council health and safety working group with Trade Unions and Elected Members.	
11	Performance	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)

11.1	I have arrangements in place for reporting to CLT, Committee and/or Council and, where performance monitoring identifies inadequate service delivery or poor value for money, ensure that improvement measures to address these issues are implemented and monitored.	Compliant		Annual external reporting eg. Local Government Benchmarking Framework, Scottish Public Services Ombudsman, Scottish Government, etc Annual performance report to Council B agenda protocol Best Value reporting CLT Quarterly performance meeting Committee Terms of Reference and Delegated Functions Local Government Benchmarking Framework Monitoring/reporting on delivery of 52 coalition commitments Performance Framework Strategy and Performance Hub	Service performance is regularly reviewed by service managers and is reported to Senior Managers. Quarterly performance reports are prepared for the Place SMT, and then reported to CLT and to Committee as part of the corporate reporting schedule. Performance of services is included in the annual external reporting frameworks, through Best Value audits, through the LGBF and in monitoring delivery of the Council Commitments.	
11.2	My directorate regularly works with relevant teams in Strategy and Communications to review and improve effectiveness by performance monitoring, benchmarking and other methods to achieve defined outcomes.	Compliant			The Directorate works closely with colleagues in Strategy and Communications to review performance and to address any areas of concern. Improvements are recommended by service managers, SMTs and by Strategy Communications colleagues and implemented as appropriate.	
12	Commercial and Contract Management	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
12.1	I ensure all goods, services and works are procured and managed in compliance with the Contract Standing Orders.	Compliant		Annual Assurance Process (Directorates) Codes of Conduct Commercial and Procurement Strategy Committee Terms of Reference and Delegated Functions Contract and Grants Management team Contract Standing Orders Council company monitoring including Governance Hub, Council Observers on Boards, committee reporting Grant Standing Orders Legal Services provision of advice Policies and procedures Procurement Handbook Scheme of Delegation to Officers	The Directorate procure goods, services and works in accordance with the Council's contract standing orders. Where this is not possible, waivers are used to explain the reason for not complying with the CSOs and these are approved by the appropriate Senior Manager. Where appropriate, Committee approval is sought and waivers are reported. Working closely with Procurement colleagues, regular reviews of contractual arrangements are undertaken and updates prepared for Senior Managers.	
13	Change and Project Management	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
13.1	All projects and programmes have a clear business justification, as a minimum this should articulate outcomes and benefits; have appropriate governance in place to support delivery; effective controls in place to track delivery progress and to take corrective action if required; have a robust benefits management framework in place; and ensure that a formal closure process is undertaken.	Partially compliant	The directorate has recognised that improvements are required in the governance of both projects and programmes. For major development programmes which will benefit the city economy, additional funding was secured in 2019/20 to ensure adequate leadership and project management capacity is in place. In the Roads and Transport area an organisational review has aligned service design and delivery (for both major and local improvements) under a single service area and an improvement plan is being developed to ensure that projects are appropriately and adequately managed in future. Further changes are planned to ensure appropriate oversight of all projects and programmes.	2050 City Vision Budget Planning Capital Budget Strategy City Plan CLT Change Board Committee Terms of Reference and Delegated Functions Contract Standing Orders Council Business Plan Council Change Strategy: Planning for Change and Delivering Services 2019-2023 Council's Risk Appetite Statement Enterprise Risk Management Policy External audits, reviews and validation Finance Rules Financial Regulations Procurement framework Report template and guidance Revenue Budget Framework Risk Registers Scheme of Delegation to Officers	The Place Directorate has a significant number of programmes on the Council's Change Portfolio. Monthly updates are prepared for each of these programmes and are approved by the appropriate SRO and discussed by CLT. The corporate programme is also reported regularly to GRBV Committee. Individual projects and programmes have governance arrangements appropriate to the size and scale of the projects.	The realignment of roads and transport services, alongside the development of a new Roads and Transport Infrastructure Improvement Plan will ensure clear accountability for all programmes and projects in this area. This includes local transport projects which have been outstanding for some time. A schedule of development and implementation will be developed and shared with Elected Members, alongside details of the officer responsible for each scheme. Further changes are planned to improve oversight of all Place programmes and projects.
14.1	Financial Control	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
14.1	The operation of financial controls in my directorate is effective in ensuring the valid authorisation of financial transactions and maintenance of accurate accounting records.	Compliant		Budget Framework Comprehensive system of revenue and capital monitoring, with SMT and CLT oversight Contract Standing Orders Corporate Debt Policy	The Place Directorate follows the financial control procedures which have been set out in the Council's financial strategy and associated arrangements.	

14.2	I am confident that the arrangements in place to monitor expenditure/budget variances would identify control problems or variances that could have an effect on the Annual Accounts.	Compliant		Council Business Plan Council Change Strategy: Planning for Change and Delivering Services 2019-2023 Elected Member training on financial statements, financial planning and treasury management Employee Training Finance & Resources Committee and Governance, Risk & Best Value Committee oversight/scrutiny	Finance is a standing item on the Place SMT agenda, with the Finance Manager for Place attending each meeting and presenting regular financial updates. This includes monitoring of expenditure and budget variances. This also identifies any issues of control and/or budget variances. This arrangement is replicated in service area management teams with finance colleagues in attendance and presenting budget updates regularly. The Finance team regularly meet with	
14.3	I have arrangements in place to ensure all material commitments and contingent liabilities (i.e. undertakings, past transactions or events resulting in future financial liabilities) are notified to the Chief Financial Officer.	Compliant		Finance Rules Financial Regulations Internal control framework Medium-term Financial Strategy Professional officer representation/support/advice on major project boards, project assurance reviews, SMTs Tiered framework of financial planning and control Treasury Management Strategy	This is undertaken by Service Managers in conjunction with Finance Officers and the Place Finance Manager.	
14.4	I have arrangements in place to review and protect assets against theft, loss and unauthorised use; identify any significant losses; and, ensure the adequacy of insurance provision in covering the risk of loss across my directorate.	Compliant			For the corporate estate, the responsibility for building management rests with Facilities Management. For all other buildings, management responsibility rests with the most senior manager at that location. Service managers are also responsible for ensuring appropriate arrangements to protect assets against theft, loss or unauthorised use. Managers work with the Council's insurance team to ensure appropriate arrangements are in place. These arrangements are reviewed annually. Employees are reminded of the Employee Code of Conduct at team and 121 meetings.	
14.5	I have arrangements in place for identifying any weaknesses in my directorate's compliance with Council financial policies or statutory/regulatory requirements.	Compliant			The Executive Director and Senior Managers work closely with the Place Finance Manager and her team to ensure compliance with the financial policies and statutory/regulatory requirements.	
14.6	I have arrangements in place for identifying any internal control, risk management or asset valuation problems within my directorate's service areas that could affect the Annual Accounts.	Compliant			See above.	
15	Group Accounts (Resources only)	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
15.1	I have arrangements in place for identifying and reviewing any developments during the year that should lead to additions, deletions or amendments to the companies included in the Group Accounts.			Annual assurance exercise (internal audit input and oversight) Annual Corporate Governance Framework self-assessment (internal audit input) Annual Governance Statement – informed by the work of IA Annual Internal Audit Plan (based on most significant risks to the Council) Audit Charter Chief Internal Auditor's direct reporting line to GRBV Committee Terms of Reference and Delegated Functions - GRBV Comprehensive system of revenue and capital monitoring, with SMT and CLT oversight		
15.2	I have arrangements in place to identify and review any internal control, risk management or asset valuation problems with Council companies that could affect the Group Accounts.			Council Companies/ALEOs – Governance Hub, Observers, annual reporting to Executive Committee and GRBV External validation/review eg. external audit, independent assurance providers Executive Committee and Governance, Risk & Best Value Committee oversight/scrutiny Regular 121 meetings between the Council's Chief Executive and the Chief		
16	National Agency Inspection Reports	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
16.1	I have arrangements in place to identify any reports relating to my directorate and can confirm that there were no inspection reports that could impact on the signing of the Annual Governance Statement.	Compliant		Committee Terms of Reference and Delegated Functions Governance, Risk and Best Value Committee – chaired by an opposition councillor and excluding executive committee conveners from its membership, with power to act on its own accord Executive Committee and GRBV oversight of external audit and inspection activity		
16.2	I have arrangements in place that adequately monitor and report on the implementation of recommendations.	Compliant		Scrutiny of directorate annual assurance schedules		

17	Internal Audit, External Audit and Review Reports	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
17.1	I have arrangements in place to ensure that all recommendations from any internal audit, external audit or review report published during the year, that have highlighted high, medium or significant control deficiencies, have been (or are being) implemented and that this is monitored effectively.	Compliant		A validation audit is included in the annual Internal Audit Plan Agreed management actions arising from internal audits are recorded and monitored through Team Central Integral part of Annual Assurance Schedule Overdue management actions are reported monthly to CLT and quarterly to GRBV	All recommendations identified now have agreed management actions and implementation plans are in place to ensure that these are progressed appropriately. Progress is discussed regularly at SMTs and support is available to ensure actions are implemented.	
18	Progress	Assessment of Compliance	Did your directorate have any issues in this area during the reporting period?	Extract of Evidence from the Council's Corporate Governance Framework (for information only)	Relevant service area controls	Improvement Actions (will auto-populate improvement plan tab where you should add action owner and deadline)
18.1	All outstanding issues or recommendations arising from this exercise, commissioned reviews, committee reports and other initiatives in previous years have been addressed satisfactorily.	Partially compliant		Agreed management actions arising from internal audits are recorded and monitored through Team Central Overdue management actions are reported monthly to CLT and quarterly to GRBV A validation audit is included in the annual Internal Audit Plan Integral part of Annual Assurance Schedule External Audit Report is scrutinised by GRBV and an improvement plan developed Council participates in JAN (council scrutiny bodies) whose activity is based	All outstanding actions and recommendations from previous assurance statements, commissioned reviews and committee reports continue to be implemented as per the agreed actions.	

Appendix 2

Annual Assurance Schedule 2019/20 – Place Directorate

Improvement Plan

Assurance Statement Criteria	Improvement Action	Action Owner	Planned Completion Date (pre-COVID-19)	Status Update
I have internal controls and procedures in place throughout my directorate that are proportionate, robust, monitored and operate effectively.	Continue to review internal controls and to make appropriate changes to ensure that they are proportionate, robust and operate effectively.	Place Senior Management Team (SMT)	SMT review of a half yearly basis.	As improvements are identified, these are implemented within the appropriate service area.
I have controls and procedures in place to manage the risks in delivering services through council companies, partners and third parties	Support the Council's Governance team to provide clarity on roles and responsibilities for Board Observers.	Governance Team/Operations Manager for Place	30 September 2021	This is being progressed as part of the wider work of the Governance Hub.
The monitoring process applied to funding/operating agreements has not identified any problems that could have an impact on Annual or Group Accounts.	At the time of completing the annual governance statement the annual accounts for 2018/19 for Marketing Edinburgh had not been completed.	Executive Director of Place	Complete	The outstanding annual accounts for Marketing Edinburgh were filed with Companies House in August 2020.
The robustness and effectiveness of my risk management arrangements is regularly reviewed and the last review did not identify any weaknesses	An internal audit of risk management across the Council is currently underway. The Place Directorate will consider the recommendations from this review, and implement appropriate management actions.	Place SMT	31 October 2021	The internal audit is now complete and recent changes have been made to the Council's Enterprise Risk Management Policy and Risk Appetite Statement, along with changes to

that could have an impact on the Annual Accounts.				the Council's Operational Risk Management Framework. The audit actions will be implemented as agreed by the Directorate and updates to the Risk Register will take account of the new Policy and associated documents.
I have arrangements in place for the oversight and monitoring of the Council companies I am responsible for, that give me adequate assurance over their operation and delivery for the Council.	The Annual Assurance Statement for Marketing Edinburgh highlighted some areas where the company was only partially compliant with the Council's governance requirements.	Executive Director of Place	Complete	A transition process commenced in July 2020 to transfer all of the assets and liabilities of Marketing Edinburgh into the Council. The annual review of the SLA register has been completed and the Annual Assurance process will be completed for the remaining ALEOs as normal in Spring 2021.
I have arrangements in place for the annual review of policies owned by my directorate, via the relevant executive committee, to ensure these comply with the Council's policy framework.	Work with the Governance team to define clearly what should be included on the Policy register, and then update the register accordingly.	Place SMT	October 2020	An internal audit of the Council's Policy Register identified a number of weaknesses in the process for updating the Register. In Place, a comprehensive review of the existing Register has been completed and updates completed (removing documents which do not fit within the Council definition of a policy). The remaining Internal Audit actions will be progressed in due course.
I consult with elected members as appropriate and as required under the Scheme of Delegation.	In 2019/20, although a decision on the arrangements for Edinburgh's Winter Festivals was taken in consultation with Elected Members according to the	Executive Director of Place	Complete	The actions arising from the review of decision making for Edinburgh's Winter Festivals have been implemented.

	Scheme of Delegation, a review was carried out into the process of decision making and improvements were recommended.			
I ensure data sharing arrangements with third parties are recorded, followed and regularly reviewed throughout all service areas in my directorate.	Discuss arrangements for data sharing with Information Governance to determine if any further improvements can be made.	Place Operations Manager	October 2020	Arrangements for data sharing are in the process of being revised, led by the Council's Information Governance team. The Place Directorate Operations Manager and colleagues recently participated in workshops on Document Management.
All projects and programmes have a clear business justification, as a minimum this should articulate outcomes and benefits; have appropriate governance in place to support delivery; effective controls in place to track delivery progress and to take corrective action if required; have a robust benefits management framework in place; and ensure that a formal closure process is undertaken.	The realignment of roads and transport services, alongside the development of a new Roads and Transport Infrastructure Improvement Plan will ensure clear accountability for all programmes and projects in this area. This includes local transport projects. A schedule of development and implementation will be developed and shared with Elected Members, alongside details of the officer responsible for each scheme. Further changes are planned to improve oversight of all Place programmes and projects.	Head of Place Management	Complete	A new structure for Roads and Transport was implemented on 3 August 2020. The new Roads and Transport Infrastructure Improvement Plan was reported to Transport and Environment Committee on 1 October 2020. Further changes to the governance of major change programmes have been incorporated into the Council's Adaptation and Renewal plans.
All outstanding issues or recommendations arising from this exercise, commissioned reviews, committee reports and	All outstanding actions and recommendations from previous assurance statements, commissioned reviews and committee reports continue	Place SMT	On-going	This Directorate continues to implement outstanding actions and recommendations as appropriate.

other initiatives in previous years have been addressed satisfactorily.	to be implemented as per the agreed actions.			
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Place Directorate Overview 2019/20

Place Directorate



Paul Lawrence
Executive Director of Place

The Place Directorate is responsible for a number of the Council's frontline services, including waste and street cleansing, parks, greenspace, cemeteries and roads, alongside the development, management and maintenance of the Council's social housing.

We are also responsible for development and management of housing, licensing, regulation and planning in the city. We also provide support for business growth and developing inclusion programmes which support people to find and retain employment.

The city's cultural heritage and activities attract local people and visitors alike to visit the museums, galleries and cultural venues. The culture service works closely with local, national and international partners to support and deliver a programme of festivals, events and attractions for the city.

Place

The Place Directorate employs over 2,500 people. In addition there are some people employed on a casual basis, for example in our in cultural venues.

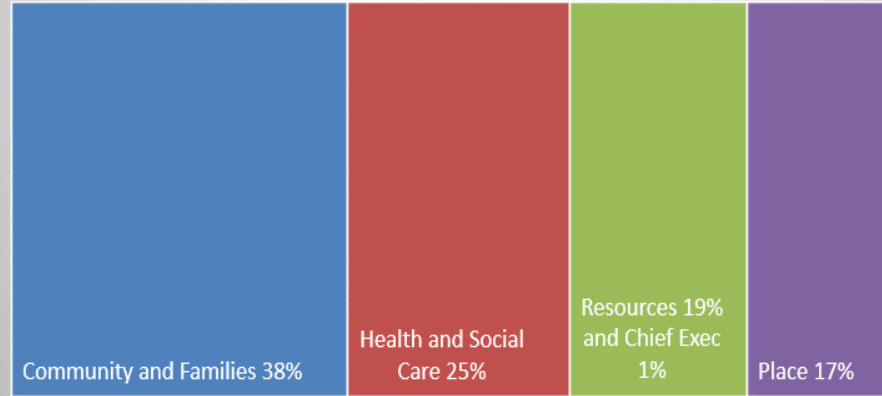
The gross general fund revenue budget for Place is around £248 million, however the net budget is £47.2 million, reflecting the significant income and ring-fenced accounts which are managed within the Directorate. Expenditure of £80.5 million relates to staff costs and £167.5 million relates to non staff costs. Additionally the Housing Revenue Account budgeted income is £121 million which funds the equivalent in expenditure costs.

Of the £200.8 million of “income”, 49% comes from specific purpose grants or grants we administer such as affordable housing, ringfenced funds. 13% comes from services provided to other areas of the Council and 38% comes from external customers and the capitalisation of revenue costs.

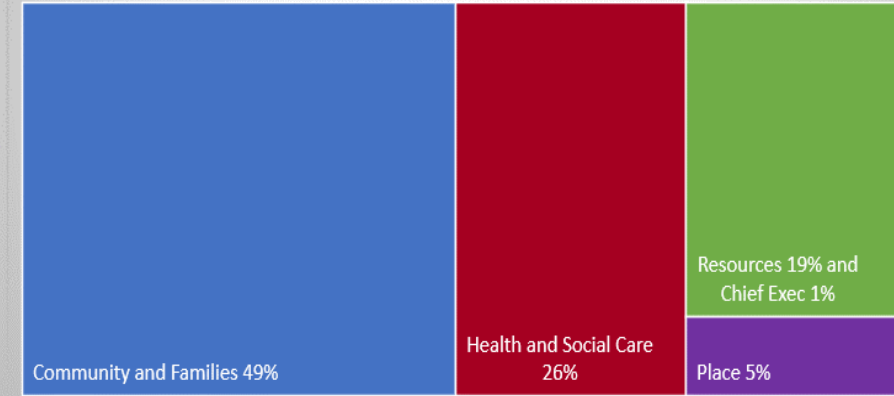
The Council and Place budgets are set out in the following slide.

Budget Summary

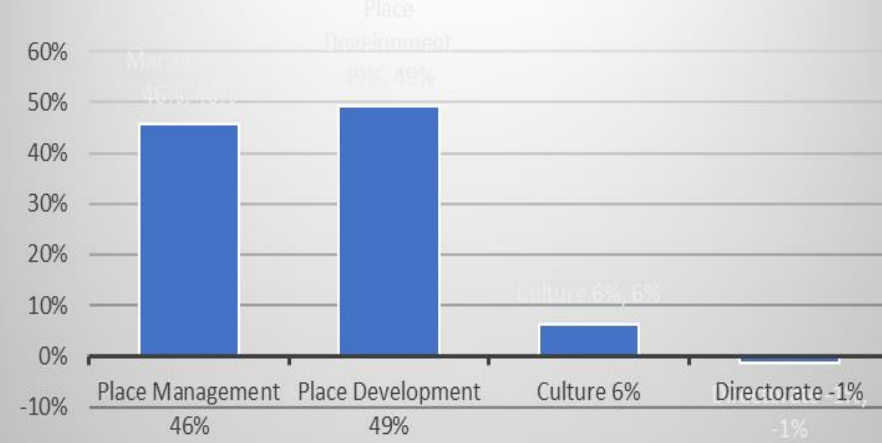
Gross General Fund Budget 2019/20
Directorates as % of Total



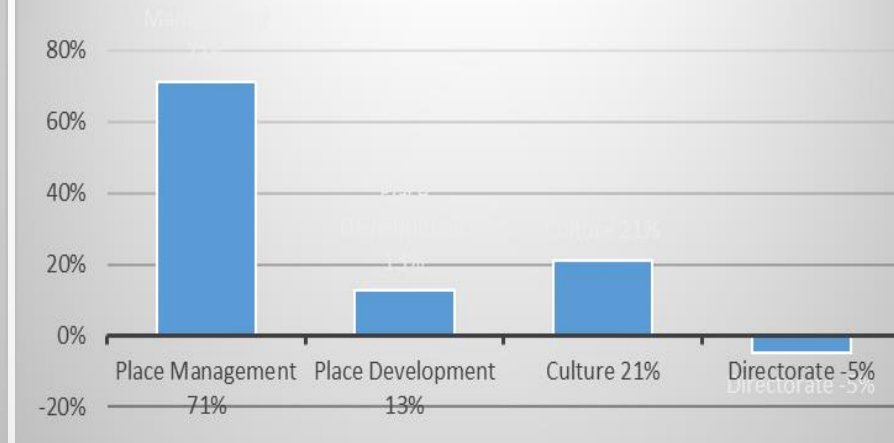
Net General Fund Budget 2019/20
Directorates as % of Total



Place Gross General Fund Budget 2019/20
Divisions as % of Total



Place Net General Fund Budget 2019/20
Divisions as % of Total



Place Directorate Leadership Team



Culture Service

Responsible for:

- Development and delivery of the city's cultural strategy, Festivals and Events
- Council's cultural venues and events spaces such as: Assembly Rooms, Churchill and Ross Theatres, Usher Hall
- City's museums and galleries service



Culture Service

We have a rich history of supporting arts and culture. Working with partners across the city and beyond, the culture service supports the people who deliver festivals, events and arts initiatives. Our public safety team ensure the safe delivery of year round events across the city. Cultural venues include The Usher Hall, the Assembly Rooms, the Church Hill Theatre and the Ross Bandstand and attract more than 500,000 people per year to a concerts, festivals, community projects and events.

Through the Capital Theatres Trust, we provide backing for the Festival and King's theatres as well as supporting other cultural infrastructure across the city through cultural grants programmes.

We operate a wide variety of museums and galleries from the City Arts Centre and the Queensferry Museum to the Scott and Nelson Monuments. A number of the collections have been formally recognised as being of national significance by the Scottish Government.

£15.8m Gross Budget

£10m Net Budget

132 Staff (112.69 Full Time Equivalent)

Cultural strategy

Cultural venues

Museums and galleries

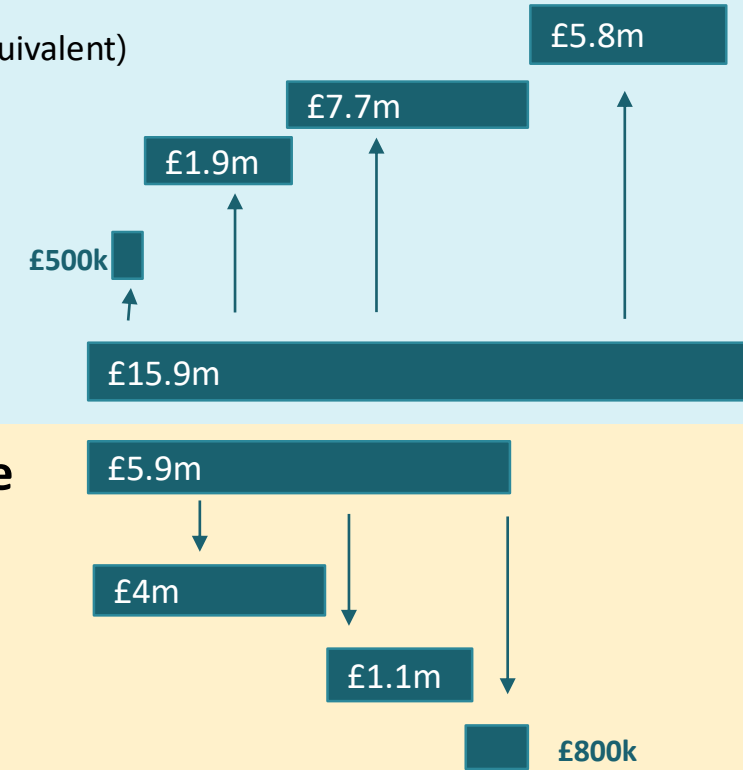
What we spend

Funding and Income

Cultural events and venues

Museums and galleries

Cultural strategy funding



Our Museums and Galleries staff look after a collection of nearly 200,000 pieces although we only have space to display fewer than half of them. For comparison, there are 38,000 pieces on display on the Louvre.

At 200ft (60m) tall, the Scott Monument is taller than the Statue of Liberty (46m) and is the largest monument to a novelist anywhere in the world.

There were 4.6 million tickets sold to the major festivals in Edinburgh last year. Only the Olympics and the FIFA Men's World Cup sell more tickets. This is the equivalent of every resident of Edinburgh buying 9 tickets each.

How we performed in 2019/20

	2019/20	Target	Status
Attendances at museums and galleries	820,083	750,000	●
Attendances at the Festival, King's and Studio Theatres	415,000	405,000	●
Accessible shows at the Festival, King's and Studio Theatres	87	n/a	●
% of days lost to sickness absence	2.3%	4.0%	●

Our museums and galleries continue to be open seven days a week and the number of people visiting rose and we've upgraded several of our venues to improve the visitor experience.

In partnership with the Collective Gallery, we have redeveloped the Old City Observatory on Calton Hill. This award-winning project has transformed one of the most important heritage sites in Scotland.

The Usher Hall maintained its Visit Scotland 5 Star destination award for the 10th consecutive year, continuing to maintain its high standards of customer facing attitude and commitment. The assessment report, it noted however, that some of the venue's customer facilities are in need of investment .

Some of our venues



City Art Centre



Lauriston Castle



The Usher Hall



Scott Monument



Writers Museum
Museum of Childhood

Museum of Edinburgh

Place Development

Responsible for:

- Supporting commercial development, regeneration and investment in the city
- Building, maintaining and supporting the development of affordable housing in the city
- Development and delivery of Business Growth and Inclusion programmes
- Developing Planning and Transport policy, and processing of Planning and Building Standards applications
- The Council's Regulatory services which includes Licensing, Trading Standards and Environmental Health



Michael Thain

Head of Place Development

Place Development

We manage all the major development in the city through planning, building standards, social and private housing, as well as transport. We also provide operational management and maintenance of the Council's social housing and support business growth and inclusion.

Bringing together services that support the sustainable development of the city and through our economy strategy, we support good growth through innovation and collaboration. This includes the management of license applications, food and business safety, modern apprenticeships, parking, public transport, active travel and road safety.

The division is also responsible for oversight of the Council's transport and housing companies.

£122m Gross Budget (GF)

£5.9m Net Budget (GF)

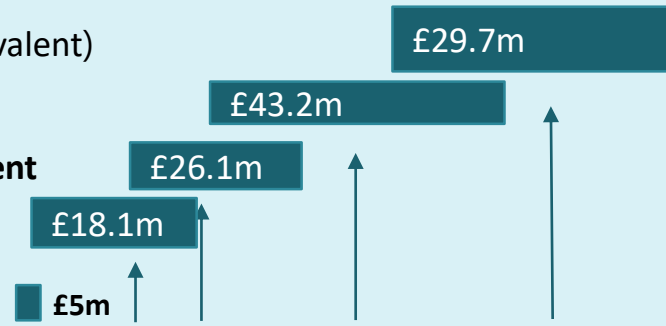
1,171 Staff (1,045.5 Full Time Equivalent)

Housing (General Fund)

Transport and business improvement

Housing property

Planning, licensing, trading standards and environmental health



What we spend

£122m

Funding and Income

£116m

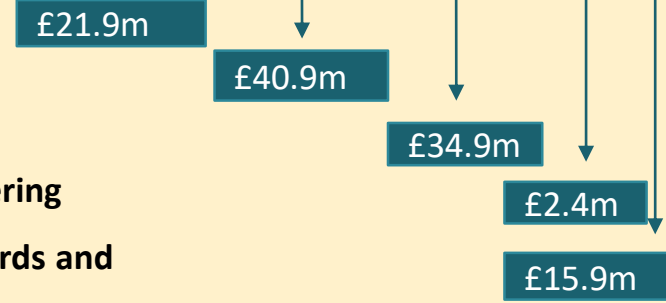
Transport and road safety

Affordable Housing Grant

Housing Property & Housing

Employability and business partnering

Planning, licensing, trading standards and environmental health



There are currently more than 19,000 businesses registered in Edinburgh with 91% have fewer than 50 employees and 4% have more than 250.

We currently manage, repair and maintain over 20,000 homes in the city.

The new tram extension, which is currently under construction will add 2.9 miles of track in both directions and will take its first passengers in 2023.

How we performed in 2019/20

	Value	Target	Status
% of major planning application decisions within target	28%	70%	●
% of non-householder planning applications dealt with within two months	68%	70%	●
% first report building warrants issued within 20 days	96%	95%	●
% of building warrants issued in 10 days after receipt of all satisfactory information	83%	90%	●
Number of affordable homes completed	1,443	1,000	●
Number of affordable homes approved	1,930	1,700	●
Average level of debt of tenants in arrears	£967	£900	●
Current rent arrears (end of year)	£6.3M	Decreasing trend	●
% of days lost to sickness absence	4.3%	4.0%	●

The implementation of our Building Standards Improvement Plan has brought about sustained levels of performance improvement. Our plan focused on developing new ways of working, training new surveyors and enhancing digital processing.

We continued our ambitious house building programme with year on year increases in the number of affordable houses approved for construction. Last year we approved nearly 2,000 affordable homes and finished building over 1,400.

We have shown improved our performance in making planning application decisions though we are still working with staff and our partners, including CGI, to improve the processing of major applications.

Place Management

Responsible for:

- The Council's waste collection and street cleansing services
- Procuring and maintaining the Council's vehicle fleet
- The city's parks and greenspaces
- Registration and bereavement services
- The city's roads and transport infrastructure and transport network
- Taking enforcement action e.g. parking, environmental or trade waste contraventions
- Laboratory testing and scientific advisory services within the Council and for the public and businesses



Gareth Barwell
Head of Place Management

Place Management

We deliver all of the key environmental and infrastructure maintenance services for the Council. This includes collecting 220,000 tonnes of waste per year, cleaning and repairs on 1,500km of roads, maintaining 64,000 street lights and maintaining over 1,600 hectares of parks, greenspaces and cemeteries.

We also maintain over 1,000 vehicles, provide high quality registrar and bereavement services and our laboratory at Seafield is home to our Scientific Services team which undertakes sampling and analysis for our Environmental Health and Trading Standards services, some neighbouring Councils and external customers.

A number of key services are provided 24/7, 365 days a year to ensure the city operates effectively. These include road maintenance and winter gritting, street lighting maintenance, tree surgery, waste collection and street cleansing.

£113.6m Gross Budget

£33.5m Net Budget

1,272 Staff (1,257.5 Full Time Equivalent)

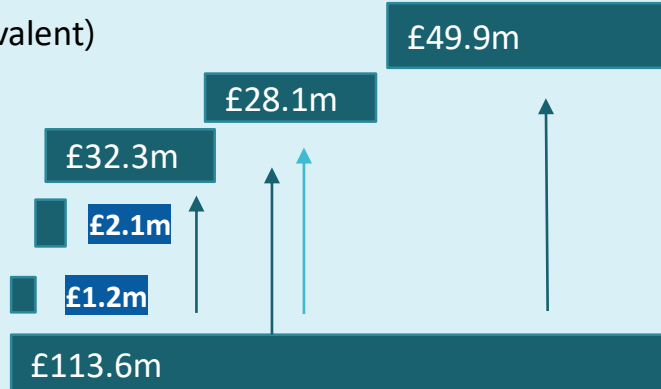
Waste and Cleansing

Roads, Fleet and Transport

Parks and Greenspaces

Scientific Services

What we spend



Funding and Income

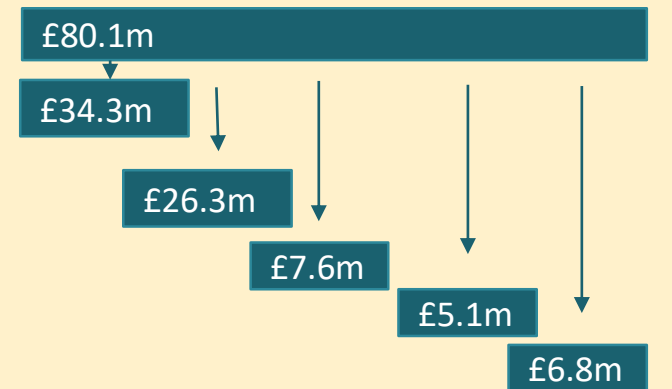
Network Management

Roads, Fleet and Transport

Scientific Services

Parks and Greenspaces

Waste and Cleansing



We collect waste from 240,000 premises. This requires just over 1.9 million bin collections per month

We have 1,511km (938 miles) of roads in our network. That's enough to stretch from the centre of Edinburgh to the outskirts of Stuttgart in Southern Germany

In Edinburgh last year, we recycled 84,000 tonnes of waste. That's enough to fill the Commonwealth Pool 132 times

How we performed in 2019/20

	Value	Target	Status
% of waste recycled	41.1%	Increasing trend	●
Individual domestic missed bin service requests	17,690	21,175	●
Communal Domestic Overflowing and Missed Bin Service Requests	17,004	22,020	●
% of streets clean (LEAMS)	92.8%	93%	●
% of customer defect enquiries completed within five working days	75%	85%	●
% of emergency road defects made safe within 24 hours	98%	90%	●
% of priority road defects repaired within five days	94%	90%	●
Road condition index (RCI)	33.5%	Decreasing trend	●
Number of parks achieving green flag award status	32	32	●
% of fleet vehicles available	92%	95%	●
% of street lighting emergency repairs made safe within 4 hours	97%	95%	●
% of days lost to sickness absence	7.4%	4.0%	●

Our waste service performance continues to improve with fewer residents reporting missed bins for both individual domestic and communal domestic bins.

Our overall Road Condition Index (RCI) has improved and, at 33.5%, is our best level for a decade and one of only two Councils in Scotland that improved their RCI in 2019/20.

We have 32 parks with green flag status, almost half of all the awards in Scotland and in 2020/21 we will be putting forward another 2 for the award.

Improvements have been made in how quickly we respond to and repair road defects but we are still working to improve how they are identified and recorded.

Appendix 4 – Place Projects in Council Change Programme (March 2020)

Below is a summary of the projects which the Place directorate was responsible for in 2019/20 which sat within the Council’s Change programme. The directorate was in the process of reviewing these prior to the outbreak of COVID-19. The Change Portfolio is now being considered as part of the Council’s Adaptation and Renewal Programme and a revised portfolio is being developed.

Project	Project Phase	Project Sponsor	Senior Responsible Officer *
Edinburgh St James - GAM Agreement	Delivery	Paul Lawrence	David Cooper
Fountainbridge	Delivery	Paul Lawrence	David Cooper
West Princes St Gardens including Ross Theatre	Delivery	Paul Lawrence	Karl Chapman
Roads Improvement Plan	New Improvement Plan being developed	Gareth Barwell	Cliff Hutt
North Bridge	Delivery	Gareth Barwell	Cliff Hutt
Tram Extension	Delivery	Paul Lawrence	Hannah Ross
Income Maximisation	Delivery	Michael Thain	Scott Robertson
National Housing Trust	Delivery	Michael Thain	Elaine Scott
10,000 Homes	Delivery	Michael Thain	Elaine Scott
Energy Efficient Street Lighting	Delivery	Gareth Barwell	Alan Simpson
Meadowbank Redevelopment	Delivery	Paul Lawrence	Elaine Scott
Cultural Estate Consolidation	Planning	Lynne Halfpenny	Frank Little
Depots and Yards	Delivery	Gareth Barwell	Susan Tannock

Fleet Services	Planning	Gareth Barwell	Scott Miller
Zero Waste	Complete	Gareth Barwell	Andy Williams
Communal Waste Re-Design	Planning	Gareth Barwell	Andy Williams
Building Standards Improvements	Delivery	Michael Thain	David Givan
Housing Service Improvement	Planning	Michael Thain	To be appointed
Edinburgh Waterfront	Planning	Paul Lawrence	To be appointed
Localities Phase 2	Delivery	Paul Lawrence	Natalie McKail
City Centre Transformation, Active Travel Programme and Low Emission Zone	Planning	Paul Lawrence	Michael Thain
City Plan 2030	Planning	Michael Thain	Iain McFarlane

* Senior Responsible Officer in March 2020.