Governance, Risk and Best Value Committee

10.00am, Tuesday, 16 February 2021

Annual Assurance Schedule – Chief Executive - Strategy and Communications

Executive/routine
Wards
Council Commitments

1. Recommendations

1.1 To note the annual assurance schedule.

Andrew Kerr

Chief Executive

Contact: Gavin King, Democracy, Governance and Resilience Senior Manager

E-mail: gavin.king@edinburgh.gov.uk | Tel: 0131 529 4239

Annual Assurance Schedule – Chief Executive - Strategy and Communications

2.   Executive Summary

2.1   The purpose of this report is to present the Annual Assurance Schedule from Strategy and Communications to the Governance, Risk and Best Value Committee for scrutiny.

3.   Background

3.1   Each year the City of Edinburgh Council requires that the 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 writing of the Annual Governance Statement which is a component part of the authority's Statement of Accounts.

3.2   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.

3.3   A review of the process was undertaken by Strategy and Communications 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. This is designed to help officers to use improvement actions to inform the corporate governance framework self-assessment exercise. The process will continue to be reviewed in line with feedback.

4.   Main report

4.1   The Strategy and Communications Assurance schedule (appendix 1) was completed and returned to the Democracy, Governance and Resilience Team, 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.

4.2 The Certificates of Assurance require Heads of Service and their Executive Directors to confirm that:

    4.2.1 They have considered the effectiveness of controls in their service area/directorate, including controls in place to mitigate major risks to their division/directorate's objectives.

    4.2.2 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

    4.2.3 They have identified actions, where appropriate that will be taken to continue improvement.

4.3 The schedule is completed by the relevant Executive Director or Head of Service.

4.4 Before signing their Certificate of Assurance, the Executive Director or Head of Service should ensure that the schedule has been completed accurately.

4.5 An overview of the Strategy and Communications Division is attached at appendix two. This ensures that the assurance statement can be considered relative to the overall responsibilities, functions, budgets and staffing levels for the division.

5. Next Steps

5.1 Actions in the schedule are taken forward by the division's senior management team.

6. Financial impact

6.1 The annual assurance process and production of the annual governance statement is contained within the relevant budget.

7. Stakeholder/Community Impact

7.1 The annual assurance schedule exercise is a corporate activity concerned with internal controls and does not require consultation or external engagement.

7.2 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.

8. Background reading/external references

8.1 City of Edinburgh Council – 30 June 2020– Unaudited Annual Accounts

9.   Appendices

Appendix 1 - Strategy and Communications Assurance schedule

Appendix 2 - Overview of the Strategy and Communications Division

Head of Service's Annual Assurance Statement

For the year ending 31 March 2020

Service Area	Strategy and Communications			
Completed by	Gavin King	Job title	Democracy, Governance and Resilience Senior Manager	Date completed
Signed off by		Job title		
Print name of signatory		Date of signature		

Reviewed by		Role		Date
Issued to Internal Auditor		Date		
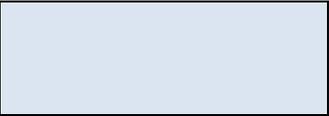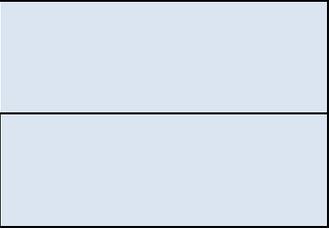
Introduction

The Statement of Accounts 2019/2020 will include the Annual Governance Statement signed by the Council Leader, the Chief Executive and the Head of Finance. The Annual Governance Statement is supported by Certificates of Assurance from each of the Executive Directors.

Before signing the Certificate of Assurance Executive Directors should ensure that this schedule has been completed accurately. The Certificates of Assurance require Executive Directors to confirm that:

1. they have considered the effectiveness of controls in their directorates, including controls in place to mitigate major risks to their directorate's objectives;
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. they have identified actions that will be taken to continue improvement.

Executive Directors seek assurance through issue of this schedule to their Heads of Service to satisfy themselves that effective controls are in place across all of their service areas. Completing this schedule helps prompt Heads of Service to consider various aspects of their control environment and will inform the Executive Director's assessment of compliance (suggested managers to provide information and/or responses are highlighted below).

This schedule should be used as a prompt to think about good governance and the internal control environment and is not an exhaustive list.

Section	Requirements	Supporting officers
Section 1	Internal Control Environment	Head of Service
Section 2	Risk and Resilience	Service Area Risk Committee Representative/Resilience Co-ordinator
Section 3	Workforce Controls	Head of Service
Section 4	Council Companies	Senior Relationship Lead / Company Observer(s)
Section 5	Engagement and Consultation	Head of Service
Section 6	Policy	Head of Service
Section 7	Governance and Compliance	Head of Service
Section 8	Responsibility and Accountability	Head of Service
Section 9	Information Governance	Service Area Record Officers
Section 10	Health & Safety	SMT Health & Safety Lead
Section 11	Performance	Head of Service
Section 12	Commercial and Contract Management	Head of Service
Section 13	Change and Projects	Head of Service
Section 14	Financial Control	Service Area Financial Manager or Representative
Section 15	Group Accounts	RESOURCES only
Section 16	National Agency Inspection Reports	Head of Service
Section 17	Internal Audit, External Audit & Review Reports	Head of Service
Section 18	Progress	Head of Service

Guidance on completing the Schedule

The schedule should be completed by the Head of Service or by a nominated senior manager.

The format has changed again this year, to align with the Council's Corporate Governance Framework. The primary worksheet for completion is the 'Assurance Statements' tab. Where improvement actions are recorded these will auto-populate the first column of the 'Improvement Plan' tab.

Your assessment should consider how your service area's arrangements would stand up to external scrutiny. Please note that although evidence does not need to be provided as part of this exercise, responses made in the schedule may be subject to audit at a later date. Additional guidance notes are provided below.

Please return your completed schedule to governance@edinburgh.gov.uk no later than 17 April 2020.

Step 1: Please address each statement in the "Assurance Statements" tab. The options for the response are included as a drop down. Please note this submission covers the financial year 1 April 2019 to 31 March 2020.

Step 2: For each statement please enter a "Compliant", "Partially Compliant" or "Not Compliant" response for your service area. A clear summary of any issues relating to the statement in the reporting period should be completed in the free text explanation cell to the right . There is no word limit however responses should be as concise as possible. These should include a brief description and reference to any evidence that explains the issue(s). You should also set out the actions that you will be taking to address the non-compliance and/or issues in the "Improvement Actions" cell.

Step 3: Please set out any relevant service area controls that your service area has in relation to each assurance statement in the free text explanation cell.

Step 4: On the "Improvement Plan" tab please provide the details for each "Action Owner" and "Action Deadline" where "Improvement Actions" have auto-populated from the "Assurance Statement" tab.

For further information or assistance please contact:

	Gavin King	Laura Callender
	Democracy, Governance and Resilience Senior Manager	Governance Manager
	Strategy & Communications	Strategy & Communications
	529 4239 or gavin.king@edinburgh.gov.uk	529 3655 or laura.callender@edinburgh.gov.uk

Internal Control Environment

1	Explanation
1.1	Please explain why your service area is not fully compliant.
Corporate Governance Framework	6.2.1 Ensuring that risk management and internal control strategies, policies and arrangements are aligned with achieving objectives and evaluated on a regular basis.
1.2	Please explain why your service area is not fully compliant.
Corporate Governance Framework	6.1.1 Ensuring that risk management is embedded and clearly allocated in decision making throughout the organisation.
1.3	1. Please explain why reviews are not undertaken or were not effective and what needs to be done to rectify this. 2. Please describe any weaknesses that were identified that could have an impact on the Annual Accounts.
Corporate Governance Framework	6.2.1 Ensuring that risk management and internal control strategies, policies and arrangements are aligned with achieving objectives and evaluated on a regular basis.
1.4	Please detail any problems that have been identified and could have an impact on the Annual or Group Accounts.
Corporate Governance Framework	6.2.1 Ensuring that risk management and internal control strategies, policies and arrangements are aligned with achieving objectives and evaluated on a regular basis.

Risk and Resilience	
2	**Explanation**
2.1	Please explain why your risk management arrangements do not identify all of the key risks to your service area (and the Council) including those arising from or that could impact on: 1. Change (e.g. structural, service delivery, demographic and/or management); 2. Partnerships (external and internal); 3. Projects; 4. Legal or regulatory action(s); 5. Reputational damage; and 6. Bribery (e.g. the identification, recording and minimising of bribery risks).
Corporate Governance Framework	6.1.1 Ensuring that risk management is embedded and clearly allocated in decision making throughout the organisation.
2.2	Please explain why current controls and procedures do not effectively record and manage the risks identified to a tolerable level and explain why suitable actions are not in place to mitigate the risk.
Corporate Governance Framework	6.1.1 Ensuring that risk management is embedded and clearly allocated in decision making throughout the organisation.
2.3	1. Please explain why regular reviews are not undertaken and what needs to be done to rectify this. 2. Please describe and evidence any weakness that were identified and the impact they could have on the Annual Accounts.
Corporate Governance Framework	6.1.1 Ensuring that risk management is embedded and clearly allocated in decision making throughout the organisation.
2.4	Please explain why the process(es) for escalation/communication to the relevant Risk Committees are inadequate.
Corporate Governance Framework	6.1.1 Ensuring that risk management is embedded and clearly allocated in decision making throughout the organisation.
2.5	Please explain where your arrangements were inadequate and the instances when they failed to support and promote the relevant policies or procedures to your staff.
Corporate Governance Framework	6.1.1 Ensuring that risk management is embedded and clearly allocated in decision making throughout the organisation.
2.6	Your resilience and business continuity arrangements should include: 1. A Service Area Resilience Group and Workplan 2. A Resilience Coordinator and deputies for each essential activity area 3. A Counterterrorism Coordinator and deputy 4. A Building Incident Manager for each staffed Council premise; and 5. All who should have received the appropriate training. Please explain why you do not have these arrangements in place.
Corporate Governance Framework	4.2.1 Establishing and implementing robust planning and control cycles that take into account stakeholder input, risks and are adaptable to changing circumstance.
Workforce Controls	
3	**Explanation**
3.1	Please explain why the arrangements your service area had in place did not ensure your service area's compliance with payroll policies, overtime controls, absence management and performance.

Corporate Governance Framework	6.2.1 Ensuring that risk management and internal control strategies, policies and arrangements are aligned with achieving objectives and evaluated on a regular basis.
3.2	1. Please explain why your service area's controls failed to effectively manage off-payroll workers/contractors. 2. Please explain why your service area's controls failed to ensure that statutory workforce requirements were met e.g. PVG/disclosure checks, statutory registration/qualification, European Working Time Directive, right to work in the UK.
Corporate Governance Framework	6.2.1 Ensuring that risk management and internal control strategies, policies and arrangements are aligned with achieving objectives and evaluated on a regular basis.
3.3	Please explain why your service area's arrangements failed to ensure compliance with the Council's HR Policies and procedures including: 1. Employee Code of Conduct; 2. Recruitment; 3. Disciplinary; 4. Grievance; 5. Bullying and Harassment; 6. Maintaining a register of gifts and hospitality; 7. Recording conflicts of interest; and 8. Recording and approving secondary employment where required.
Corporate Governance Framework	6.2.1 Ensuring that risk management and internal control strategies, policies and arrangements are aligned with achieving objectives and evaluated on a regular basis.
3.4	Please explain why your service area's controls failed to effectively manage new starts, movers and leavers.
Corporate Governance Framework	6.2.1 Ensuring that risk management and internal control strategies, policies and arrangements are aligned with achieving objectives and evaluated on a regular basis.
3.5	Please explain why your service area's arrangements have failed to effectively manage staff health and wellbeing.
Corporate Governance Framework	5.2.4 Ensuring arrangements are in place to support and maintain the health and wellbeing of the workforce.
3.6	Please explain why the arrangements your service area had in place failed to ensure the effective delivery of staff training and development.
Corporate Governance Framework	5.2.2 Developing the capability of members and officers through the encouragement and provision of appropriate training and continued professional development tailored to their respective roles.
3.7	Please explain why your service area's arrangements failed to support and manage staff performance.
Corporate Governance Framework	5.2.3 Ensuring arrangements are in place to consider leadership effectiveness and staff performance.
Council Companies	
4	**Explanation**
4.1	Please explain why your service area's arrangements failed to effectively provide oversight and monitoring of Council companies.
Corporate Governance Framework	7.3.1 Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met.
4.2	Please explain why appropriate agreements were not in place with the ALEOs you are responsible for.

Corporate Governance Framework	1.2.1 Ensuring the organisation's ethical standards are understood and upheld by external providers of services and embedded across the Council. 7.3.1 Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met.
Engagement and Consultation	
5	**Explanation**
5.1	Please explain why your service area's arrangements failed to effectively engage with institutional stakeholders, service users and individual citizens.
Corporate Governance Framework	2.2.1 Ensuring effective engagement with clarity of purpose, objectives and intended outcomes. 2.2.2 Developing partnerships based on trust, shared commitments, a challenge culture and added value. 2.3.1 Ensuring effective engagement with clarity of purpose, objectives and intended outcomes.
5.2	Please explain why your service area's communication methods failed to collect and evaluate views and experiences while ensuring inclusivity.
Corporate Governance Framework	2.3.2 Developing effective communication methods that encourage, collect and evaluate views and experiences while ensuring inclusivity.
5.3	Please explain why your service area's arrangements failed to support the recording, monitoring and managing of customer service complaints and customer satisfaction .
Corporate Governance Framework	2.1.1 Demonstrating an open culture through decisions that have been subject to consultation and/or engagement, are public, evidenced, impact assessed and, where necessary, justification for confidentiality explained. 2.3.2 Developing effective communication methods that encourage, collect and evaluate views and experiences while ensuring inclusivity. 4.1.1 Supporting decision makers to take decisions based on objective information and rigorous analysis, whilst considering best value, risk, stakeholder views and future impacts.
5.4	Please explain why your service area failed to consult and engage with recognised trade unions on a regular basis.
Corporate Governance Framework	2.2.1 Ensuring effective engagement with clarity of purpose, objectives and intended outcomes.
Policy	
6	**Explanation**
6.1	Please explain why your service area's arrangements do not ensure staff awareness and understanding.
Corporate Governance Framework	1.1.2 Ensuring this is reflected in policies and processes that are regularly reviewed and monitored for compliance. 1.2.1 Ensuring the organisation's ethical standards are understood and upheld by external providers of services and embedded across the Council.
6.2	Please explain why your service area's arrangements failed to ensure the annual review of the policies owned by your service area.
Corporate Governance Framework	1.1.2 Ensuring this is reflected in policies and processes that are regularly reviewed and monitored for compliance. 2.1.1 Demonstrating an open culture through decisions that have been subject to consultation and/or engagement, are public, evidenced, impact assessed and, where necessary, justification for confidentiality explained.
Governance and Compliance	
7	**Explanation**
7.1	Please explain why your service area's arrangements are not sufficient to ensure compliance with the framework, e.g. 1. Committee Terms of Reference and Delegated Functions; 2. Scheme of Delegation; 3. Contract Standing Orders; and 4. Financial Regulations.
Corporate Governance Framework	1.1.1 Developing a leadership culture based on values, integrity and public interest that is communicated and understood by all and forms the basis of a framework for decision making and action.
7.2	Please explain why your service area was not fully compliant with the relevant Scottish, UK and EU legislation and regulations and any mitigating circumstances/reasons.

Corporate Governance Framework	1.3.1 Demonstrating commitment to adherence to the rule of the law and regulations while ensuring individuals fulfil their responsibilities and optimise available powers to the benefit of all.rtnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met.
Responsibility and Accountability	
8.1	Please explain why your service area's officers were not clear on their roles and responsibilities in terms of relationships and decision making.
Corporate Governance Framework	5.2.1 Ensuring clarity on roles, responsibilities and expectations for members and officers in terms of relationships and decision making.
8.2	Please explain why your service area is not fully compliant.
Corporate Governance Framework	1.2.1 Ensuring the organisation's ethical standards are understood and upheld by external providers of services and embedded across the Council.
8.3	Please explain why your service area's arrangements are not sufficient to ensure compliance with the decision making processes and structures, e.g. 1. Objective information; 2. Consideration of best value; 3. Risk; 4. Stakeholder views; and 5. Rigorous analysis and consideration of future impacts.
Corporate Governance Framework	4.1.1 Supporting decision makers to take decisions based on objective information and rigorous analysis, whilst considering best value, risk, stakeholder views and future impacts.
8.4	Please explain why your service area failed to consult and engage with elected members as appropriate and required under the Scheme of Delegation.
Corporate Governance Framework	7.2.1 Elected member and senior management owned annual reporting on performance, best value and resource stewardship.
Information Governance	
9	**Explanation**
9.1	Please explain why your staff were not fully aware of their responsibilities and how this has impacted on compliance.
Corporate Governance Framework	6.3.1 Ensuring that data is properly managed, accurate and of a good quality.
9.2	Please explain why your service area is not fully compliant.
Corporate Governance Framework	6.3.1 Ensuring that data is properly managed, accurate and of a good quality.
Health & Safety	
10	**Explanation**
10.1	Please explain why your service area's arrangements failed to ensure your staff were (1) fully aware of their H&S responsibilities and (2) trained appropriately.
Corporate Governance Framework	5.2.1 Ensuring clarity on roles, responsibilities and expectations for members and officers in terms of relationships and decision making. 5.2.2 Developing the capability of members and officers through the encouragement and provision of appropriate training and continued professional development tailored to their respective roles.

10.2	Please explain how your service area failed to have the necessary H&S controls and procedures in place.
Corporate Governance Framework	6.1.1 Ensuring that risk management is embedded and clearly allocated in decision making throughout the organisation.
10.3	Please explain how your arrangements failed to ensure all applicable H&S laws and regulations were complied with.
Corporate Governance Framework	1.3.1 Demonstrating commitment to adherence to the rule of the law and regulations while ensuring individuals fulfil their responsibilities and optimise available powers to the benefit of all.
10.4	Please explain the weaknesses you have identified in the governance and reporting structure for H&S in your service area.
Corporate Governance Framework	6.2.1 Ensuring that risk management and internal control strategies, policies and arrangements are aligned with achieving objectives and evaluated on a regular basis.
Performance	
11	**Explanation**
11.1	Please explain why the required arrangements were not in place.
Corporate Governance Framework	2.1.1 Demonstrating an open culture through decisions that have been subject to consultation and/or engagement, are public, evidenced, impact assessed and, where necessary, justification for confidentiality explained. 5.1.1 Regularly reviewing and improving effectiveness through performance monitoring, benchmarking and other methods to achieve defined outcomes. 7.2.1 Elected member and senior management owned annual reporting on performance, best value and resource stewardship.
11.2	Please explain why the required arrangements were not in place.
Corporate Governance Framework	5.1.1 Regularly reviewing and improving effectiveness through performance monitoring, benchmarking and other methods to achieve defined outcomes.
Commercial and Contract Management	
12	**Explanation**
12.1	Please explain where your service area's procurement activities failed to comply with the Council's Contract Standing Orders.
Corporate Governance Framework	1.2.1 Ensuring the organisation's ethical standards are understood and upheld by external providers of services and embedded across the Council. 1.3.1 Demonstrating commitment to adherence to the rule of the law and regulations while ensuring individuals fulfil their responsibilities and optimise available powers to the benefit of all.
Change and Projects	
13	**Explanation**
13.1	Please explain where your service area failed to have the appropriate arrangements in place for any of it's projects or programmes, including: 1. Clear business justifications; 2. Clear operational governance (i.e. authority to take decisions); 3. Effective controls to track delivery and take corrective action if required; and 4. A formal closure process.
Corporate Governance Framework	2.1.1 Demonstrating an open culture through decisions that have been subject to consultation and/or engagement, are public, evidenced, impact assessed and, where necessary, justification for confidentiality explained. 3.1.1 Having a sustainable vision for the organisation which sets out strategy, forward planning and impact on stakeholders. 4.1.1 Supporting decision makers to take decisions based on objective information and rigorous analysis, whilst considering best value, risk, stakeholder views and future impacts. 4.2.1 Establishing and implementing robust planning and control cycles that take into account stakeholder input, risks and are adaptable to changing circumstance.

Financial Control	
14	**Explanation**
14.1	Please explain where your service area's financial controls failed to ensure compliance.
Corporate Governance Framework	4.3.1 Ensuring that the budgeting process and financial strategy are sustainable whilst considering objectives, service priorities, affordability and medium/long-term plans. 6.4.1 Ensuring that financial management is integrated at all levels of planning and control, and supports the achievement of outcomes and short-term financial and operational performance.
14.2	Please explain (1) why your service area's monitoring arrangements could not be relied upon to identify any problems or variances and, (2) if any, what these were.
Corporate Governance	6.4.1 Ensuring that financial management is integrated at all levels of planning and control, and supports the achievement of outcomes and short-term financial and operational performance.
14.3	Please explain (1) why your service area did not have the required arrangements in place, and (2) the details of any material commitments or contingent liabilities that should have been notified to the CFO.
Corporate Governance Framework	4.3.1 Ensuring that the budgeting process and financial strategy are sustainable whilst considering objectives, service priorities, affordability and medium/long-term plans. 6.4.1 Ensuring that financial management is integrated at all levels of planning and control, and supports the achievement of outcomes and short-term financial and operational performance.
14.4	Please explain why your service area did not have the required arrangements in place.
Corporate Governance Framework	6.4.1 Ensuring that financial management is integrated at all levels of planning and control, and supports the achievement of outcomes and short-term financial and operational performance.
14.5	Please explain why your service area did not have the required arrangements in place.
Corporate Governance Framework	4.3.1 Ensuring that the budgeting process and financial strategy are sustainable whilst considering objectives, service priorities, affordability and medium/long-term plans. 6.4.1 Ensuring that financial management is integrated at all levels of planning and control, and supports the achievement of outcomes and short-term financial and operational performance.
14.6	Please explain why (1) your service area did not have the required arrangements in place, and (2) if there were any issues that could have affected the Annual Accounts.
Corporate Governance Framework	4.3.1 Ensuring that the budgeting process and financial strategy are sustainable whilst considering objectives, service priorities, affordability and medium/long-term plans. 6.4.1 Ensuring that financial management is integrated at all levels of planning and control, and supports the achievement of outcomes and short-term financial and operational performance.
Group Accounts (Resources only)	
15	**Explanation**
15.1	Please explain why (1) your service area did not have the required arrangements in place, and (2) if there were any issues that could have affected the Group Accounts.
Corporate Governance Framework	6.4.1 Ensuring that financial management is integrated at all levels of planning and control, and supports the achievement of outcomes and short-term financial and operational performance.
15.2	Please explain why (1) your service area did not have the required arrangements in place, and (2) if there were any issues that could have affected the Group Accounts.
Corporate Governance Framework	6.2.1 Ensuring that risk management and internal control strategies, policies and arrangements are aligned with achieving objectives and evaluated on a regular basis. 6.2.2 Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor. 6.2.3 Ensuring an audit committee or equivalent group/ function, which is independent of the executive and accountable to the governing body: provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment; and that its recommendations are listened to and acted upon.
National Agency Inspection Reports	
16	**Explanation**

16.1	Please explain why your service area did not have the required arrangements in place and provide detail on any issues that could have an impact on the signing of the Annual Governance Statement, including how these have been reported.
Corporate Governance Framework	7.3.3 Ensuring that recommendations from Internal Audit, External Audit, peer challenge, reviews and inspections are welcomed and acted upon.
16.2	Please explain why your service area did not have the required arrangements in place.
Corporate Governance Framework	2.1.1 Demonstrating an open culture through decisions that have been subject to consultation and/or engagement, are public, evidenced, impact assessed and, where necessary, justification for confidentiality explained. 6.2.3 Ensuring an audit committee or equivalent group/ function, which is independent of the executive and accountable to the governing body: provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment; and that its recommendations are listened to and acted upon. 7.3.3 Ensuring that recommendations from Internal Audit, External Audit, peer challenge, reviews and inspections are welcomed and acted upon.
Internal Audit, External Audit & Review Reports	
17	**Explanation**
17.1	Please explain why your service area did not have the required arrangements in place.
Corporate Governance Framework	2.1.1 Demonstrating an open culture through decisions that have been subject to consultation and/or engagement, are public, evidenced, impact assessed and, where necessary, justification for confidentiality explained. 7.3.3 Ensuring that recommendations from Internal Audit, External Audit, peer challenge, reviews and inspections are welcomed and acted upon.
Progress	
18	**Explanation**
18.1	Please describe and detail any outstanding issues or recommendations.
Corporate Governance Framework	7.3.3 Ensuring that recommendations from Internal Audit, External Audit, peer challenge, reviews and inspections are welcomed and acted upon.

Assurance Statement						
Ref	Statement	Response				
1	**Internal Control Environment**	**Assessment of Compliance**	**Did your service area 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 service area that are proportionate, robust, monitored and operate effectively.	Compliant	None	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	**Regular SMT meetings which cover risk, audit actions and project management** **Similar management controls in each senior manager's area** **Head of Service attends Chief Executive and Resources Risk Committee** **Annual review of internal controls by SMT**	
1.2	I have controls and procedures in place to manage the risks in delivering services through council companies, partners and third parties.	Compliant	None	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	**There are service level agreements or contracts in place with all organsiations that help provide a service.** **There is a responsbile contract manager within the service for each contract.**	
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	None	Reporting/review/monitoring at all levels – committee, CLT, SMTs, service level 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 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	**The internal controls are reviewed at SMT.** **Annual review of internal controls**	
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.	Compliant	None		**Funding agreement in place with the city TSI who provide an annual report to the council detailing delivery of agreed outcomes and relevant activity.** **Funding agreement in place between the Council and Climate KIC for the Healthy Deep Demonstrator programme. Report on outcomes given to CLT, sustainability programme board and P and S.**	**Further capacity for monitoring activity and spend against the Climate KIC funding agreement being recruited with a specific responsibility for monitoring match funding and budget spend.**
2	**Risk and Resilience**	**Assessment of Compliance**	**Did your service area 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 service area (and the Council).	Compliant	None.	Budget Planning CLT Change Board – programme/project management framework CLT scrutiny Contingency planning and business continuity arrangements Council Business Plan Enterprise Risk Management Policy GRBV quarterly scrutiny of top risks Health and safety audits	**SMT regulary reviews divisional risk register** **Services within division also have risk register review process** **Risks are escalated to divisional risk register - there are also mechanisms to escalate Council wide risks to directorate risk committee due to second line activities within directorate**	
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	None	Internal and external audits Internal Audit Plan development considers top risks Leader's induction includes Risk Management Quarterly corporate risks scrutinised at CLT Quarterly Risk and Assurance Committees Report template and guidance – section on risks	**See above**	
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	None	Reporting/review/monitoring at all levels – committee, CLT, SMTs, service level 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	**Internal Audit reviewed the Brexit risk register process - improvements once finalised will be shared to improve overall process**	

		Assessment of Compliance	Did your service area 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
2.4	There is appropriate escalation/communication to the service area Risk Committee and CLT Risk Committee (as appropriate) of significant issues, risks and weaknesses in risk management.	Compliant	None	Risk Management Procedure Risk management tools Schools assurance programme Service Planning Training, eLearning and workshops for staff and members	Risks are escalated to divisional risk register - there are also mechanisms to escalate Council wide risks to directorate risk committee due to second line activities within directorate	
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	None		Directorate supports whistleblowing arrangements for Council Culture of openess encouraged by management Team managers meeting established to discuss culture and working approach	Presentation on whistleblowing to division
2.6	My service area has appropriate resilience arrangements in place and my service area's business continuity plans and arrangements mitigate the business continuity risks facing our essential activities.	Compliant	None		Business continuity plans completed across the division Reviewed by each senior manager	
3	Workforce Control	Assessment of Compliance	Did your service area 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	None	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)	All managers undergo relevant HR training on policies Guidance circulated to all staff on remote working Remote working was included in the divisional business continuity plans	
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	None	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 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	Close working relationship with Pertemps, advised by HR to ensure agency working is completed as per Council rules All agency employment is reviewed with Finance and agreed by head of service	
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	None	Onboarding, induction essential learning and CPD for officers Open framework agreement for Learning and Development 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)	All recruiting managers undergo relevant training and this is checked by the senior manager before any new recrutiment	
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	None	Wide ranging internal and external counter fraud activity Wider Leadership Team (incl. Learning Sets) Wider Leadership Team programme	Senior managers work with their management team to ensure that HR guidance on new starters is implemented Training programme on division's activities launched last year	
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	None		My people use is mandatory and managers trained on use of software Ask HR used and managers trained on policies	
3.6	I ensure compliance with essential training requirements and support learning and development appropriately, including professional CPD requirements.	Compliant	None		teams identify learning and development goals through annual appraisal processes. Any essential training is identified as part of onboarding or as part of the 1:1 line management. Division has run a collective programme of learning and development. Training opportunities for example for equalities, BSL and Gaelic are promoted to the directorate even where not required for the role	New annual learning and development plan designed and delivered.
3.7	I have arrangements in place to support and manage staff performance e.g. regular 1:1/supervision meetings, performance/spotlight conversations.	Compliant	None		1-1s recommended for all staff performance conversations had formally twice a year and regularly informally returns on performance conversations are tracked by HR to ensure compliance	

4	Council Companies	Assessment of Compliance	Did your service area 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.	Compliant	None	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	Not applicable	
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	None	Shareholder or service level agreements	Not applicable	
5	Engagement and Consultation	Assessment of Compliance	Did your service area 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 service area 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 service areas activities.	Compliant	None	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	Consultation hub is utilised New consultation approval process has been implemented in the division new consultation standards developed for the whole organisation including the directorate	
5.2	I have arrangements in place throughout my service area 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 service area.	Compliant	None	Committee Papers Online Current partnerships eg. Poverty Commission, Tourism Strategy, EIJB, 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	S+C colleague survey carried out in 2019 - results communicated and disucssed with wider division and within teams An action plan created for the division to implement changes requested by staff Weekly huddle - with open remit for staff to present and to ask any questions Head of service sends weekly update with opportunity for staff to feedback any views/changes	Further follow up on staff survey planned by senior management
5.3	I have appropriate arrangements in place throughout my service area for recording, monitoring and managing customer service complaints and customer satisfaction.	Compliant	None	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	complaints policy implemented across division	
5.4	I regularly consult and engage with recognised trade unions.	Compliant	None	Report template – section on consultation Stakeholder group meetings 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	Head of service a member of partnership at work forum Head of service attends regular trade union briefings	
6.1	Policy	Assessment of Compliance	Did your service area 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 service area staff are made aware of and fully understand the implications of all relevant existing and new council policies and procedures.	Compliant	None	Annual Assurance Exercise Annual Policy Assurance Statements Corporate Policy Framework and Toolkit, including consultation and engagement strategies Council Papers Online Employee policy refresher arrangements, process workshops and communications	Monthly publication of policy activity both Council and national Weekly publication of key Council decisions Training provided for key policy changes - eg Data protection	
6.2	I have arrangements in place for the annual review of policies owned by my service area, via the relevant executive committee, to ensure these comply with the Council's policy framework.	Compliant	None	Information Governance framework Policy Register Report template and guidance (incorporating adherence to commitments and policy implications)	Annual review of divisional policies carried out and reported to Policy and Sustainability Committee	
7	Governance and Compliance	Assessment of Compliance	Did your service area 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 service area staff are aware of their responsibilities in relation to the Council's governance framework and that the authority, responsibility and accountability levels within my service area are clearly defined, with proper officer designation delegated, recorded, monitored, revoked and reviewed regularly to ensure ongoing compliance with the Scheme of Delegation.	Compliant	None	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 Policies and procedures	Head of Service signs off all reports Authority levels discussed in management team	Refresher training to be carried out as part of the directorate learning and development programme
7.2	I ensure my service area's activities are fully compliant with relevant Scottish, UK and EU legislation and regulations.	Compliant	None	Regulatory body reporting eg. SSSC, GTCS Scheme of Delegation to Officers Statutory officer appointments and responsibilities Statutory/lead officers' independent reports to committee eg. Monitoring Officer, Chief Social Work Officer, Chief Internal Auditor	Major legislative change highlighted in monthly policy briefing and discussed at SMT and service area management teams Scheme of Delegation updated to include any relevant legislation	
8	**Responsibility and Accountability**	**Assessment of Compliance**	**Did your service area 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 service area ensures our officers are clear on their roles and responsibilities in terms of relationships and decision making.	Compliant	None	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		Refresher training to be carried out as part of the directorate learning and development programme
8.2	I ensure that the Council's ethical standards are understood and embedded across my service area and are upheld by external providers of services.	Compliant	None	Consultation and engagement Contract Standing Orders Council Change Strategy: Planning for Change and Delivering Services 2019-2023 Council company monitoring including Governance Hub, Council Observers on Boards, committee reporting	**Key training and policies highlighted to staff** **Divisional values created - based on Council values but created, considered and agreed by team** **Annual division plan**	
8.3	My service area 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	None	Edinburgh People Survey Employee Code of Conduct Grant Standing Orders Member/Officer Protocol Monitoring/reporting on delivery of 52 coalition commitments Onboarding and induction for officers Performance Framework Policies and procedures	**Report writing training provided to staff - highlighting the need to consider best value, stakeholder consultation/engagement and next steps** **Committee reports are all approved by the relevant senior manager and then by the Head of Service**	
8.4	I consult with elected members as appropriate and as required under the Scheme of Delegation.	Compliant	None	Procurement framework Procurement Handbook Public participation – deputations and petitions Report template and guidance Scheme of Delegation to Officers Service Level Agreement template Standard Condition of Grant	**All delegated decisions are within proper officer powers or are operational**	
9	**Information Governance**	**Assessment of Compliance**	**Did your service area 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 service area 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	None	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 Mandatory training for all employees Staff responsibilities outlined in relevant policies - Employee Code of Conduct, ICT Acceptable Use Policy, Policy on Fraud Prevention	Lunch and learn sessions provided on new GDPR regulations Guidance provided to all staff Any data breaches are reported to the head of service and the DPO	
9.2	I ensure data sharing arrangements with third parties are recorded, followed and regularly reviewed throughout all service areas in my service area.	Compliant	None	Standard data related terms and conditions in all new Council contracts	All data sharing agreements are passed through the Information Governance Unit	
10	**Health and Safety**	**Assessment of Compliance**	**Did your service area 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	Service area 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	None	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 Health and safety audits	**All senior management attended health and safety training Staff attended health and safety training if relevant to work activties Head of Service attends health and safety group**	
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.	Compliant	None	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 Risk Management Groups Risk management policies and strategies (eg procurement, standing orders, project management, health and safety, information governance) Risk Management Procedure		
10.3	I have competencies, processes and controls in place to ensure that all service areas in my service area, and other areas of responsibility, operate in compliance with all applicable Health & Safety laws and regulations.	Compliant	None	Risk management tools Scheme of Delegation Schools assurance programme Training, eLearning and workshops for staff and members	**Health and Safety reviewed as a standing agenda item on the directorate SMT monthly meeting**	
10.4	I have a robust governance and reporting structure for Health and Safety in my service area.	Compliant	None		**Health and Safety reporting process for elected members rolled out in 2019 Head of service attedns health and safety group**	
11	**Performance**	**Assessment of Compliance**	**Did your service area 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	None	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	**Regular reporting of divisional activities to CLT, P+S and GRBV**	
11.2	My service area 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	**None**	Monitoring/reporting on delivery of 52 coalition commitments Performance Framework Strategy and Performance Hub	**annual reporting of the sustainability programme outcomes and the city carbon emissions to CLT and Council committees**	**development of a carbon scenario tool with ECCI as part of the sustainability programme**
12	**Commercial and Contract Management**	**Assessment of Compliance**	**Did your service area 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	None	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 Service Level Agreement Register	**all contracts are approved by senior manager and head of service, before being signed by proper officer Guidance sought from procurement prior to tender Major contracts run through project boards**	**Plan to avoid procurement waivers particularly with elections**
13	**Change and Project Management**	**Assessment of Compliance**	**Did your service area 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.	Compliant	None	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 Service Planning Sustainability Strategy process Treasury Management Strategy	**Project management training provided to staff** **projects approved by head of service** **Major projects part of CLT change board reporting** **Divisonal projects reported quarterly to SMT** **Reported to GRBV**	
14.1	**Financial Control**	**Assessment of Compliance**	**Did your service area 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 service area is effective in ensuring the valid authorisation of financial transactions and maintenance of accurate accounting records.	Compliant	None	Budget Framework Comprehensive system of revenue and capital monitoring, with SMT and CLT oversight Contract Standing Orders Corporate Debt Policy 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 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	**Regular meetings with Finance and head of service and senior managers** **Oracle utilised for purchasing**	
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	None		**Regular meetings with Finance and head of service and senior managers** **Authorisation of head of service required for significant spend**	
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	None		**Regular meetings with Finance and head of service and senior managers**	
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 service area.	Compliant	None		**Security arrangements are in place and regularly reviewed. No significant losses have been identified, all mobile devices are encrypted in line with Council procedures. Laptops are equipped with appropriate security measures (e.g. bit locker passwords) and clear desk policies are in place and monitored.**	
14.5	I have arrangements in place for identifying any weaknesses in my service area's compliance with Council financial policies or statutory/regulatory requirements.	Compliant	None			
14.6	I have arrangements in place for identifying any internal control, risk management or asset valuation problems within my service area that could affect the Annual Accounts.	Compliant	None		**SMT regulary reviews divisional risk register** **Services within division also have risk register review process** **Risks are escalated to divisional risk register - there are also mechanisms to escalate Council wide risks to directorate**	
15	**Group Accounts (Resources only)**	**Assessment of Compliance**	**Did your service area 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 Council Companies/ALEOs – Governance Hub, Observers, annual reporting to		

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 Executives of key ALEOs Shareholder or service level agreements		
16	**National Agency Inspection Reports**	**Assessment of Compliance**	**Did your service area 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 service area and can confirm that there were no inspection reports that could impact on the signing of the Annual Governance Statement.	Compliant	None	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 Scrutiny of directorate annual assurance schedules	Audit Scotland reports are considered by the service and then reported onto GRBV with suggested actions Close working relationship with Finance on Ausit Scotland reporting	
16.2	I have arrangements in place that adequately monitor and report on the implementation of recommendations.	Compliant	None		monthly policy briefing COSLA briefing co-oridnated within division	Consolidated decision tracker for Best Value, assurance and Annual Accounts recommendations being created
17	**Internal Audit, External Audit and Review Reports**	**Assessment of Compliance**	**Did your service area 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	None	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	audit actions updated on pentana upcoming deadlines reported to senior managers and head of service audit actions regularly reviewed by SMT	
18	**Progress**	**Assessment of Compliance**	**Did your service area 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.	Compliant	None	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 LAN (council scrutiny bodies) whose activity is based on shared risk assessment		Consolidated decision tracker for Best Value, assurance and Annual Accounts recommendations being created

		Improvement actions	Action Owner	Action Deadline
1	**Internal Control Environment requirements**			
1.1	I have internal controls and procedures in place throughout my service area that are proportionate, robust, monitored and operate effectively.	0		
1.2	I have controls and procedures in place to manage the risks in delivering services through council companies, partners and third parties.	0		
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.	0		
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.	Further capacity for monitoring activity and s	Paula McLeay	Dec-20
2	**Risk and Resilience**			
2.1	I have risk management arrangements in place to identify the key risks to my service area (and the Council).	0		
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.	0		
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	0		
2.4	There is appropriate escalation/communication to the service area Risk Committee and CLT Risk Committee (as appropriate) of significant issues, risks and weaknesses in risk management.	0		
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.	Presentation on whistleblowing to division	Gavin King	Dec-20
2.6	My service area has appropriate resilience arrangements in place and my service area's business continuity plans and arrangements mitigate the business continuity risks facing our essential activities.	0		

3	Workforce			
3.1	I have arrangements in place to ensure compliance with payroll policies, overtime controls, absence management and performance e.g. home/remote working.	0		
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.	0		
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.	0		
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.	0		
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.	0		
3.6	I ensure compliance with essential training requirements and support learning and development appropriately, including professional CPD requirements.	New annual learning and development plan d	Laurence Rockey	Oct-20
3.7	I have arrangements in place to support and manage staff performance e.g. regular 1:1/supervision meetings, performance/spotlight conversations.	0		
4	Council Companies			
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.	0		
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.	0		
5	Engagement and Consultation			

5.1	My service area 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 service areas activities.	0		
5.2	I have arrangements in place throughout my service area 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 service area.	Further follow up on staff survey planned by s	Laurence Rockey	Oct-20
5.3	I have appropriate arrangements in place throughout my service area for recording, monitoring and managing customer service complaints and customer satisfaction.	0		
5.4	I regularly consult and engage with recognised trade unions.	0		
6	**Policy**			
6.1	I have arrangements in place to ensure all service area staff are made aware of and fully understand the implications of all relevant existing and new council policies and procedures.	0		
6.2	I have arrangements in place for the annual review of policies owned by my service area, via the relevant executive committee, to ensure these comply with the Council's policy framework.	0		
7	**Governance and Compliance**			
7.1	I ensure service area staff are aware of their responsibilities in relation to the Council's governance framework and that the authority, responsibility and accountability levels within my service area are clearly defined, with proper officer designation delegated, recorded, monitored, revoked and reviewed regularly to ensure ongoing compliance with the Scheme of Delegation.	Refresher training to be carried out as part of	Gavin King	Sep-20
7.2	I ensure my service area's activities are fully compliant with relevant Scottish, UK and EU legislation and regulations.	0		
8	**Responsibility and Accountability**			
8.1	My service area ensures our officers are clear on their roles and responsibilities in terms of relationships and decision making.	Refresher training to be carried out as part of	Gavin King	Sep-20

8.2	I ensure that the Council's ethical standards are understood and embedded across my service area and are upheld by external providers of services.	0		
8.3	My service area 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)	0		
8.4	I consult with elected members as appropriate and as required under the Scheme of Delegation.	0		
9	**Information Governance**			
9.1	I ensure service area 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.	0		
9.2	I ensure data sharing arrangements with third parties are recorded, followed and regularly reviewed throughout my service area.	0		

10	Health and Safety			
10.1	Service area 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.	0		
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.	0		
10.3	I have competencies, processes and controls in place to ensure my service area, and other areas of responsibility, operate in compliance with all applicable Health & Safety laws and regulations.	0		
10.4	I have a robust governance and reporting structure for Health & Safety in my service area.	0		
11	Performance			
11.1	I have arrangements in place for reporting to CLT, Committee and/or Council when performance monitoring identifies inadequate service delivery or poor value for money and ensure that improvement measures to address these issues are implemented and monitored.	0		
11.2	I have appropriate arrangements in place throughout my service area for recording, monitoring and managing customer service complaints and customer satisfaction.	development of a carbon scenario tool with E	Paula McLeay	Dec-20
12	Commercial and Contract Management			
12.1	I ensure all goods, services and works are procured and managed in compliance with the Contract Standing Orders.	Plan to avoid procurement waivers particularly with elections		Oct-20
13	Change and Project Management			
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.	0		

14	**Financial Control**			
14.1	The operation of financial controls in my service area is effective in ensuring the valid authorisation of financial transactions and maintenance of accurate accounting records.	0		
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.	0		
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.	0		
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 service area.	0		
14.5	I have arrangements in place for identifying any weaknesses in my service area's compliance with Council financial policies or statutory/regulatory requirements.	0		
14.6	I have arrangements in place for identifying any internal control, risk management or asset valuation problems within my service area that could affect the Annual Accounts.	0		
15	**Group Accounts (Resources only)**			
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.	0		
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.	0		
16	**National Agency Inspection Reports**			
16.1	I have arrangements in place to identify any reports relating to my service area and can confirm that there were no inspection reports that could impact on the signing of the Annual Governance Statement.	0		
16.2	I have arrangements in place that adequately monitor and report on the implementation of recommendations.	Consolidated decision tracker for Best Value, a	Gavin King	Dec-20
17	**Internal Audit, External Audit and Review Reports**			

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.				
		0			
18	**Progress**				
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.				
		Consolidated decision tracker for Best Value, a	Gavin King		Dec-20

Introduction

Strategy and Communications is a small but motivated team with a strong track record of supporting the organisation to deliver on its ambitions and priorities.

This was exemplified by the division's collective role in supporting the Council's ongoing response to Covid-19 and the development of the Business Plan as well as its continued role of working across the organisation to support delivery of core programmes of activity.

Natural synergies across the division enable teams to work easily and efficiently together, affording the flexibility to support several major workstreams simultaneously. Strong data analysis underpins strategic policy development and better decision-making, with policy progress complemented by effective communications and all-round presentation.

Since 2019, the division has:

- Supported and managed the operational and governance arrangements put in place for Covid-19
- Led the development of policy priorities: poverty and prevention, sustainability and net zero – and supported nationally recognised Poverty and Climate Commissions
- Developed a strong and focused framework around the budget setting process, delivering a three-year budget and change plan
- Managed the City Region Deal – enhancing the Council's reputation and providing a platform for greater regional collaboration
- Refocused and strengthened our communications offer to be more proactive, responsive and in tune with council/ coalition priorities
- Managed the Best Value process to a successful outcome
- Run a series of successful elections within current resources
- Supported the organisation to consult and engage with citizens and staff including through a new Capital Survey delivered in partnership with the NHS.

The gap left by the recent departure of the Head of Service has been successfully bridged by the SMT and their teams playing a greater role in the Chief Executive's senior team and in collaboration with the political leadership.

Being part of the Chief Executive function allows the team to work to one corporate vision and to lead and deliver upon key priority areas, such as poverty and sustainability, while responding to the recommendations of the Best Value Audit.

Having agreed our vision as a division in 2019, our ongoing workplan will deliver upon and promote the Adaptation and Renewal programme, new business plan, key council priorities, coalition commitments and legislative requirements while continuing to lay the foundations for Our Future Council.

Our purpose

Strategy and Communications offers key corporate services necessary to support and enable the wider organisation to deliver its objectives.

The division supports and leads the development of policy built on first class research, and detailed analysis from the insight, performance and data teams.

Having formulated policy, we facilitate the democratic process by ensuring the Council's decision-making is robust, efficient and transparent to the public. We also facilitate the necessary engagement and collaboration with our community planning partners through the Edinburgh Partnership Board.

We then ensure those decisions are effectively communicated with residents, staff and other key stakeholders. We do this by using the latest techniques and approaches making sure the information is as succinct and informative as possible. The performance and insight information we produce to enable these decisions are crucial in ensuring accountability and public awareness and understanding of our output.

The division also plays a leading role in managing the delivery of major change across the Council ensuring that not only are priorities delivered, but also that savings targets are achieved. We do this directly through specific projects whilst also promoting best practice in programme management and ensuring that colleagues are held to account through the monthly Change Board.

Through this work, we ensure that:

- elected members have considered and rounded advice to help them make informed decisions;

- we empower communities and the public as widely as possible by ensuring they are aware of, engaged and can have trust in the decisions taken; and

- the delivery of those decisions is as strong as possible and that there is maximum accountability for them.

What are we trying to achieve?

It is well known that Edinburgh has a number of complex social, economic and spatial challenges to address if it is to continue to thrive in a way that shares opportunity fairly across its communities.

To address the complex challenges the city needs a strong and forward-thinking council; a council that can show leadership and innovate to improve outcomes but also respond to factors beyond its control – particularly regarding funding. Our job as a division is to help find solutions to these challenges within and across the work of individual teams and directorates to deliver better outcomes for the people we serve.

For example, the important work we are doing on sustainability, poverty and prevention is both strategic and corporate – incorporating policy development and delivery of specific projects. This work must be communicated effectively to ensure the public better understand the need for change, what we're trying to achieve as an organisation and why it matters to them. This, of course, can only be achieved by working in partnership across the third and private sectors and with our community planning partners through our Local Outcome Improvement Plan

By bringing all the skills we have across the division together with a team ethic we have added enormous value to the organisation and the city.

Strategy and Communications
Providing leadership, support and analysis to help the council to achieve its aims and the city to realise its ambitions

We offer an end to end approach to help improve decision making and the implementation of those decisions.

Alongside this model we do hundreds of things every day to keep the Council moving and our elected members served

We are more than the sum of our parts.

1. Strategise
We help bring clarity to the organisations objectives

2. Provide Insight
We support development by providing high quality data driven insight

3. Develop
We use high quality policy development and change management skills to support the development of proposals

4. Engage
We work with the rest of the council, partners and communities to co-design the development of proposals

5. Make decisions
We support high quality decision making

6. Implement and deliver
We ensure the organisation is ready for and can deliver

7. Communicate
We communicate across a wide range of channels to ensure the public, our communities and our colleagues are in the know

8. Sustain
We track, scrutinise and report on performance and delivery.

Co-ordinate, Communicate, Engage
Data, Analytics, Insight
Develop

Honest and transparent | Customer first
Working together | Forward thinking

Co-ordinate, Communicate, Engage
Data, Analytics, Insight
Deliver

Strategy and Communications Structure

		Vacant Head of Strategy and Communications		
Paula McLeay Policy and Insight Senior Manager	**Gavin King** Democracy, Governance and Resilience Senior Manager	**Gillie Severin** Strategic Change and Delivery Senior Manager	**Andy Nichol** Programme Manager City Deal/City Vision PMO	**Mike Pinkerton** Communications Senior Manager
Poverty and Prevention Strategy	Corporate Governance	Delivery Unit	City Deal	Employee Communications
Insight Unit	Resilience	Integrated Change	City vision	Media and Social Media
Communities Strategies	Information Governance	Change Strategy		Marketing and Campaigns
Sustainability and Climate Change Strategy	Elections	Data, Performance & Business Planning		
	Member Services			

Our objectives 2021

1 Roll out a new planning and performance framework across the organisation to support scrutiny of our performance at all levels.

2 Support the delivery of the business plan and the best value recommendations.

3 Provide corporate leadership for the implementation of the Council Poverty Plan.

4 Support the development of a programme to deliver the new Prevention Service model.

5 Develop and publish a City Sustainability Strategy and Council Emissions Plan.

6 Lead a council working group to develop an investment pipeline for climate action projects.

7 Support the refresh of the Economy Strategy.

8 Publish a new joint Equalities, Diversity and Inclusion Framework.

9 Lead the development of a Community Planning Improvement Plan as part of the Edinburgh Partnership.

10 Implement a new Consultation Advisory Panel and new Consultation Policy.

11 Work with CGI to deliver a new business intelligence solution and a new way to manage our data.

12 Continue to evolve Change Board reporting and align it with the business plan.

13 Support the approval of business cases as part of the Edinburgh and South East Scotland City Region Deal.

14 Support and progress the roll out of an Enterprise Content Management solution across the Council.

15 Deliver successful Scottish Parliamentary elections.

16 Approval of the Regional Growth Framework.

17 Provide a comprehensive operational governance framework for the Council that can be mapped to roles and responsibilities.

18 Review and refresh a new elected member training programme and plan.

19 Support ongoing response to Covid-19, providing up to date and accurate advice and clearly communicating service changes and support available.

20 Work closely with city partners to support Edinburgh's recovery, sharing communications expertise and resources to best promote the local economy.

21 Develop internal communications approach based on lessons learned from Covid-19, with focus on 'hard to reach' colleagues.

Business as usual

The Strategy and Communications division also on a range of services which are crucial to the running of the Council. These include but are not limited to:

1 Provide comprehensive support to elected members.

2 Acting as the secretariat for the committees of the Council, the EIJB, SEStran and the LVJB.

3 Support and manage the Adaptation and Renewal Programme.

4 Oversee and report on major projects.

5 Lead and support Council consultations through the consultation hub.

6 Manage the Council's records and archives.

7 Support the Council deliver services during the pandemic and prepare in the event of incidents such as severe weather or terrorism.

8 Manage Freedom of Information Requests and Subject Access Requests within statutory deadlines.

9 Provide accurate and informative performance data across the Council.

10 Support the organisation to implement integrated impact assessments and provide cumulative impact assessments as required

11 Support and enable the Edinburgh Partnership.

12 Support the Children's Panel in Edinburgh.

13 Manage and support the Council's whistleblowing service.

14 Continue to join up communications activity to maintain coherence of messaging, support key Council projects, demonstrate Council leadership and reinforce priorities laid out in the Business Plan.

Assurance action plan

Action	Update	Progress
Further capacity for monitoring activity and spend against the Climate KIC funding agreement being recruited with a specific responsibility for monitoring match funding and budget spend	Programme manager and administrative roles were recruited to support the monitoring and reporting of project spend. The programme has submitted all costs on time and with no identified issues. It is expected that the Council will receive all expected resources.	Complete
Presentation on whistleblowing to division	The profile of whistleblowing has increased significantly over the last few months with the review and the exposure from the Chief Executive	Completed corporately
New annual learning and development plan designed and delivered	This work was interrupted by the pandemic although training has continued throughout the division. The focus on the training needs in the division since February 2020 has been concentrated on the challenges of working from home and maintaining a sense of team. Work will evolve in this area as the Council looks to future working arrangements.	In progress
Further follow up on staff survey planned by senior management	The intention was to progress the follow up staff survey, but the impact of the lockdown has delayed this plan. The immediate focus was the safe decampment of colleagues to working from home and ensuring the right equipment and technology was in place. Significant effort has gone into maintaining mechanisms for communication and support through team huddles, regular online team meetings and 1:1 support. Significant effort has also been put into ensuring that 'soft support systems' have been maintained facilitating communication and peer relationships that benefit work and the wellbeing of colleagues.	In progress
Refresher training to be carried out as part of the directorate learning and development programme (training on decision making, knowledge of the Council's governance documentation)	Training has been delivered to managers across the division. A 'how the Council works' session is also included in the induction process for new managers and that covers how decisions are made in line with the Council's governance documentation.	Complete

Plan to avoid procurement waivers for elections	Work has been undertaken with Procurement for the election printing contract to be procured through the Council's framework.	Complete
Development of a carbon scenario tool with ECCI as part of the sustainability programme	The Carbon Scenario tool development milestones have all been delivered and progress is now being made to implement the tool in Council Business Case development. Funding for further smart development and roll out of the tool has been secured from the Scottish Government and it is being taken forward as an SCA project with ECCI.	Complete
Consolidated decision tracker for Best Value, assurance and Annual Accounts recommendations being created	Work is ongoing to identify which software could be utilised to provide a more efficient means of tracking and monitoring assurance actions. As an interim measure a template document version was issued to all directorates.	In progress