# Notice of meeting and agenda



# **Midlothian Council**

Venue: Council Chambers, Midlothian House, Dalkeith, EH22 1DN

Date: Tuesday, 19 December 2017

Time: 11:00 - 14:00

#### John Blair Director of Resources

#### Contact:

Clerk Name:Kyle Clark-HayClerk Telephone:0131 270 5796Clerk Email:Kyle.Clark-Hay@midlothian.gov.uk

#### **Further Information:**

This is a meeting which is open to members of the public.

Recording Notice: Please note that this meeting will be recorded. The recording will be publicly available following the meeting, including publication via the internet. The Council will comply with its statutory obligations under the Data Protection Act 1998 and the Freedom of Information (Scotland) Act 2002.

### 1 Welcome, Introductions and Apologies

Including apologies from Members who are unable to attend.

#### 2 Order of Business

Including notice of new business submitted as urgent for consideration at the end of the meeting.

#### **3** Declarations of Interest

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

#### 4 Deputations

No deputations have been received for consideration.

#### 5 Minutes of Previous Meeting

#### 5.1

The minute of the Council meeting on 7 November 2017 is submitted for approval as a correct record. (Please note that the minute has been included in the minute volume that has been circulated separately.)

#### 5.2

The following minutes have been circulated to Members for noting, information and consideration of any recommendations contained therein. Members are asked to so note and consider any recommendations.

Meeting	Date of Meeting
Cabinet	21 November 2017
Planning Committee	3 October 2017
General Purposes Committee	3 October 2017
Appeals Committee	22 June 2017
Local Review Body	10 October 2017
Performance, Review and	5 September 2017
Scrutiny Committee	
Police and Fire and Rescue	21 August 2017
Board	
Midlothian Integration Joint	5 October 2017
Board	

# 6 Questions to the Council Leader

No questions were received for consideration and response by the Council Leader.

# 7 Motions

The following motions have been received for consideration by the Council:

- 7.1 Notice of motion moved by Councillor Curran and seconded by Councillor Russell
- 7.2 Notice of motion moved by Councillor Alexander and seconded by Councillor McCall

# 8 Public Reports

8.1	Revision of the Council's Standing Orders - report by Director, Resources	9 - 34
8.2	Local Code of Corporate Governance 2017 - report by Director, Resources	35 - 60
8.3	Publication of the Final Report of the Incident Management Team - Carbon Dioxide Incident in Gorebridge Midlothian April 2014 - report by the Chief Executive	61 - 72
8.4	Audit Scotland Report - Local government in Scotland - Financial Overview 2016-17 - report by Chief Executive	73 - 82
8.5	Services to Communities - Property Rationalisations - report by Directors, Resources and Education, Communities and Economy	83 - 96
8.6	Financial Strategy 2018-19 to 2021-22 - report by Head of Finance and Integrated Service Support	97 - 138
8.7	General Services Capital Plan 2017-18 to 2021-22 - report by Head of Finance and Integrated Service Support	139 - 146
8.8	Workforce Strategy - report by Head of Finance and Integrated Service Support	147 - 194
8.9	Attainment and Achievement - 2017 - report by Head of Education	195 - 256
8.10	Universal Credit in Midlothian 2017 Update - report by Head of Customer and Housing Services	257 - 266
8.11	Parking in Midlothian - report by Head of Commercial Operations	267 - 322
8.12	Automatic Public Conveniencesageponto558rector, Resources	323 - 332

8.13	Midlothian Council Small Grants Allocation - report by Director, Education, Communities and Economy	333 - 366
8.14	Penicuik Heritage Regeneration Project - report by Head of Communities and Economy	367 - 370
8.15	Penicuik to Edinburgh - Public Transport Links and Rail Feasibility Assessment - report by Head of Communities and Economy	371 - 374
8.16	School Estate Capacity and Pupil Intake Limits - School Session 2018-19 - report by Director, Education, Communities and Economy	375 - 388
8.17	Midlothian Carers Strategy 2017 -2019 - report by Joint Director, Health and Social Care	389 - 424
8.18	Report of the Chief Social Work Officer 2016-17 - report by Head of Adult Services	425 - 454
8.19	Community Payback Order Annual Report 2016-17 - report by Joint Director, Health and Social Care	455 - 476
8.20	MAPPA Annual Report 2016-17 - report by Joint Director, Health and Social Care	477 - 500
8.21	East Lothian and Midlothian Public Protection Committee Annual Report 2016-17 - report by Head of Adult Social Care	501 - 542
8.22	UNISON's Ethical Care Charter - report by Joint Director, Health and Social Care	543 - 558

#### 9 Private Reports

THE COUNCIL IS INVITED (A) TO CONSIDER RESOLVING TO DEAL WITH THE UNDERNOTED BUSINESS IN PRIVATE IN TERMS OF PART 1 OF SCHEDULE 7A TO THE LOCAL GOVERNMENT (SCOTLAND) ACT 1973 – THE RELEVANT REPORTS AND THEREFORE NOT FOR PUBLICATION; AND (B) TO NOTE THAT NOTWITHSTANDING ANY SUCH RESOLUTION, INFORMATION MAY STILL REQUIRE TO BE RELEASED UNDER THE FREEDOM OF INFORMATION (SCOTLAND) ACT 2002 OR THE ENVIRONMENTAL INFORMATION REGULATIONS 2004

- **9.1** Hopefield Schools Joint Campus Update report by Director, Resources
- **9.2** Premises of the former Bonnyrigg Leisure Centre Bright Sparks report by Chief Executive



# Midlothian Council Tuesday 19 December 2017

# **Notice of Motion**

That Midlothian Council;

- 1. Supports Shelter Scotland's campaign for national action on homelessness.
- 2. Recognises that every 19 minutes a household in Scotland becomes homeless.
- 3. Notes that while we know there is a great deal of good practice, projects, and people working in each local authority working to ensure everyone has a safe place to call home, Scotland is in the grip of a housing crisis. National action must be taken to ensure all Local Authorities in Scotland have clear, strategic direction in order to fix homelessness.

Moved



# **Councillor Stephen Curran**

Seconded



**Councillor Margot Russell** 



# **Motion to Midlothian Council**

19th December 2017

Midlothian Council regrets the latest round of proposed RBS branch closures across the UK and in Midlothian towns of Bonnyrigg and Penicuik; believes that such closures are damaging to local RBS customers, businesses, community groups and the entire local community; and further believes that the public are entitled to expect better from RBS, a bank which is still largely owned by the taxpayer, and that RBS and other high street banks be encouraged to work with the Scottish Government and communities to find alternatives to local branch closures in order to maintain local banking options.

Furthermore, Midlothian Council commits to writing to RBS asking it to reconsider plans to close Midlothian branches; and further commits to writing to the Chancellor of the Exchequer to express Midlothian Council's dismay at this decision.

Proposed By:



**Councillor Dianne Alexander** 

Seconded By:



Councillor Debbi McCall



#### **Revision of the Council's Standing Orders**

#### Report by John Blair, Director, Resources

#### 1 Purpose of Report

The purpose of this report is to present the proposals for the revision of the Council's Standing Orders to the Council. Further the Council is recommended to approve the proposed revisions to the Standing Orders.

#### 2 Background

- **2.1** The Council's Standing Orders and associated documents provide the governance for the way the Council operates.
- **2.2** An interim review of the Council's Organisational Governance (Standing Orders, Scheme of Administration and Scheme of Delegation) was completed in 2016 with formal approval of the updated Standing Orders, Scheme of Administration and Scheme of Delegation provided by Council in September 2016.

It was recognised at that point that a further, more comprehensive review of the Council's Organisational Governance would be required. It was agreed that this review would be recommended to the new Council following its election in May 2017. At the first meeting of the new Council on 23 May 2017, the Council approved that a full review of the Council's governance arrangements take place which would include input from the Political Group Leaders.

- **2.3** A Project Group consisting of the Group Leaders of each of the Council's political parties, the Corporate Management Team, Monitoring Officer and Democratic and Document Services Manager was set up to review the governance arrangements and agreed that it would be best to take a phased approach to the review.
- **2.4** It was agreed by the Project Group that the first phase of the project would review the Standing Orders with a proposal to be presented to the Council on 19 December 2017. Phase two would review the Scheme of Administration with a proposal to be presented to the Council at its meeting on 27 March 2018. Phase three would review the Scheme of Delegation with a proposal to be presented to the Council at its meeting on 26 June 2018.
- **2.5** The Project Group has met to discuss and agree the proposed changes to the Standing Orders and Elected Members were invited to a briefing on 11 December to discuss the proposals.
- **2.6** The Council are recommended to approve the revised Standing Orders and associated documents. Page 9 of 558

#### 3 Report Implications

#### 3.1 **Resource Implications**

There are no Resource implications in relation to this report.

#### 3.2 Risk Implications

The Standing Orders provide the fundamental governance arrangements of the Council. If these are not reflective of the current ways of working, there is a potential for challenges to be made to decisions made by the Council, Cabinet and Committees.

#### 3.3 Policy Implications

#### Strategy

There are no strategy implications arising from this report.

#### Consultation

No consultations have been undertaken in connection with this report, however, a Project Group including the Group Leaders of each of the political parties and the Corporate Management Team have been actively involved in the design of the revised Standing Orders and a briefing was provided to all Elected Members in respect of the proposed changes.

#### Equalities

An equalities impact assessment is not required in connection with this report.

#### Sustainability

There are no sustainability implications arising from this report.

#### 4 Recommendations

The Council is invited to:

- (a) Review and approve the revised Standing Orders;
- (b) Instruct the Director, Resources to publish the revised Standing Orders; and
- (c) Instruct the Director, Resources to bring forward a review of the Council Standing Orders to the Council meeting prior to the summer recess on an annual basis commencing in 2019.

# Appendices:

Appendix 1 – Midlothian Council Standing Orders

# 11 December 2017

Report Contact:Kyle Clark-HayTel No 0131 270 5796Kyle.Clark-Hay@midlothian.gov.uk



# **STANDING ORDERS**

# SCHEME OF DELEGATION TO OFFICIALS

# AND

# SCHEME OF PROPER OFFICER APPOINTMENTS

Approved by Midlothian Council on: 19 December 2017



# **Corporate Governance**

# "Midlothian Council endorses the principles of Corporate Governance, namely openness and inclusivity, integrity and accountability, and the documents contained herein form an integral part of the Council's commitment to the achievement of this."

Derek Milligan

Kenneth Lawrie

**Council Leader** 

**Chief Executive** 

# **STANDING ORDERS**

# INDEX

1	Definitions			
2	Commencement and Scope			
3	Suspending, Rescinding or Altering Standing Orders			
4	Arran	gements for Meetings of Midlothian Council	Page 5	
	4.1	First Meeting after Elections	Page 5	
	4.2	First Meeting after a by-election	Page 6	
	4.3	Ordinary Meetings of the Council	Page 7	
	4.4	Special Meetings	Page 8	
5	Provo	st	Page 8	
6	Depute Provost		Page 8	
7	Scher	ne of Administration	Page 8	
8	Notice	es of Motion	Page 11	
9	Admis	ssion of Media and Public	Page 13	
10	Attend	dance of Councillors who are Non-Members	Page 13	
11	Proce	dural Matters	Page 13	
	12.1	Conduct	Page 13	
	12.2	Chair – Powers and Duties – Casting Vote	Page 13	
	12.3	Order of Debate	Page 14	
	12.4	Points of Order	Page 15	
	12.5	Voting	Page 15	
	12.6	Election, Selection or Appointment of Members to Office	Page 16	
12	Minut	es – Referred and Delegated Matters	Page 17	
13	Termi	nation of Office	Page 17	
14	Vacar	ncies	Page 17	
15	Excep	otions from Reference	Page 17	
16	Subst	itute Members	Page 17	
17	Appoi	ntment of Officers	Page 18	
18	Shared Service Officer Appointments		Page 18	
19	Chief Executive		Page 18	
20	Duties and Conduct of Officers		Page 19	
21	Works, Goods, Services Etc to be by Contract			
22	Comn	Common Seal		
23	Delegation to Parent Council			

#### MIDLOTHIAN COUNCIL

#### STANDING ORDERS

#### 1 **DEFINITIONS**

1.1 In these Standing Orders:

"Act of 1973" means the Local Government (Scotland) Act 1973 as amended.

"Act of 1994" means the Local Government etc (Scotland) Act 1994.

"Council" means The Midlothian Council.

"Provost" means the Convener of the Council elected in terms of Section 4(1) of the Act of 1994.

"Depute Provost" means the Depute Convener of the Council elected in terms of Section 4(2) of the Act of 1994.

"Member" means (a) in relation to the Council, an Elected Member; and (b) in relation to a Committee, Sub-Committee or Other Committee, a Member of any of these, whether entitled to vote or not.

"Convener of the Cabinet" means the Chair of the Cabinet, who shall be the Leader of the Council.

"Counter motion" means a written alternative to the a notice of motion which has submitted in terms of Standing Order 8 for consideration at the same meeting as the substantive motion. The Counter motion must call for the same outcome as the substantive motion but will presented an alternative method of achieving the outcome for consideration.

"Depute Convener of the Cabinet" means the Depute Chair of the Cabinet, who shall be the Depute Leader of the Council.

"Cabinet Member" means a member of the Cabinet.

"Chair" means the person chairing any meeting, including those referred to above.

- 1.2 The Interpretation Act 1978 shall apply to the interpretation of these Standing Orders as it applies to the interpretation of an Act of Parliament.
- 1.3 Unless otherwise prevented by law, Members may use, or permit to be used, their electronic facsimile signature for the purpose of complying with any requirement under these Standing Orders. It shall be the responsibility of Members however to satisfy themselves as to the arrangements for the proper use and security of their electronic signature.

# 2 COMMENCEMENT AND SCOPE

These Standing Orders shall apply from 19 December 2017 and shall apply to Standing Committees, Sub-Committees and Other Committees of the Council (unless otherwise regulated), as they apply to the Council.

### 3 SUSPENDING, RESCINDING OR ALTERING STANDING ORDERS

3.1 One or more of the Standing Orders can be suspended for business at any meeting for the period of the item or for the duration of the meeting, provided two thirds of the Elected Members present vote for this.

i.e.

Number of Members present	Two thirds required to suspend standing orders
6	4
7	5
8	5
9	6
10	7
11	7
12	8
13	9
14	9
15	10
16	11
17	11
18	12

- 3.2 Standing Orders can only be rescinded or altered on a decision of the Council, provided at least ten Members of the whole Council vote for this.
- 3.3 Standing Order 3 may not be suspended.

# 4 ARRANGEMENTS FOR MEETINGS OF MIDLOTHIAN COUNCIL

#### 4.1 **First Meeting After Elections**

The first meeting of Midlothian Council after an ordinary election of Councillors will be held within 21 days of the election. The date and time of the first meeting shall be determined by the Director, Resources. The meeting will be held in the Council Chambers, Midlothian House, Dalkeith and will deal with business in the following order:-

- (i) The Returning Officer will assume the Chair until the Provost is elected;
- (ii) To note the Election of Councillors;

- (iii) To confirm or otherwise that the newly elected Councillors have Executed the Declaration of Acceptance of Office ;
- (iv) Elect Provost;
- (v) Elect Depute Provost;
- (vi) Elect Leader of the Council;
- (vii) Elect Depute Leader of the Council;
- (viii) Determine Scheme of Administration and consider associated schedule of meeting dates;
- (ix) Appoint Members in accordance with the Scheme of Administration;
- (x) Appoint representatives to Joint Committees, Joint Boards and Outside Bodies;
- (xi) Elect Midlothian Licensing Board; and
- (xii) Deal with any other urgent competent business.

Nominations for the election of appointments under 4.1 (iv), (v), (vi), (vi), (ix), (x) and (xi) can be made as separate items or by block proposals from either a political group or an individual Member.

Unless arising from:-

- (a) the need to fill a casual vacancy; or
- (b) an amendment to the Scheme of Administration under Standing Order 4.3(x);

a proposal to replace any person duly elected or appointed under Standing Order 4.1, 4.2 or 4.3(x) shall have effect only where at least ten Members of the Council vote for this at an Ordinary or Special Meeting of the Council.

#### 4.2 **First Meeting After a By-Election**

The first meeting of Midlothian Council after a by-election of will be held in line with the agreed schedule of meetings or by a special meeting of the Council. This meeting will include the following business which will be included at the commencement of the meeting:-

- (i) The Returning Officer will confirm the outcome of the by-election;
- (ii) To confirm or otherwise that the newly elected Councillor(s) has/have Executed the Declaration of Acceptance of Office;
- (iii) If required, appoint newly elected Member(s) in accordance with the Scheme of Administration and confirm any further changes to the membership of these forums; Page 18 of 558

- (iv) If required, appoint newly elected Member(s) as representatives to Joint Committees, Joint Boards and Outside Bodies and confirm any further changes to the membership of these forums; and
- (v) If required, appoint newly elected Member(s) to Midlothian Licensing Board.

#### 4.3 **Ordinary Meetings of the Council**

Ordinary meetings of the Council will be held at such places within Midlothian, at such times and on such dates as the Council or the Director, Resources may determine, provided the period between successive meetings of the Council shall not exceed ten weeks. The Council will ordinarily determine the annual schedule of meetings for Council, Cabinet and other Committees under the Scheme of Administration for the following calendar year at its meeting in September.

At an ordinary meeting of the Council, business will normally be dealt with in the following order:-

- (i) Order of Business;
- (ii) Intimations received of election of Councillors;
- (iii) Deputations, if any, to be received;
- (iv) Minutes of the immediately preceding meeting of the Council and of any intervening Special Meeting;
- (v) Receive other Minutes;
- (vi) Consideration of items "called-in" from the Cabinet;
- (vii) Leader of the Council to respond to written questions from Elected Members (to be lodged with the Director, Resources not less than nine working days prior to the day of the meeting);
- (viii) Motions in the order of which notice was received;
- (ix) Filling of appointments which may arise from time to time;
- (x) Amendments to the Scheme of Administration and appointments under it;
- (xi) Fixing dates and times of meetings as required;
- (xii) Business expressly required by statute to be dealt with at the meeting;
- (xiii) Business determined under the Scheme of Administration;

(xiv) Any other competent business Page 19 of 558 Members are required to attend in person at the meeting or attend via video link provided the Director, Resources is notified at least two working days prior to the day of the meeting.

#### 4.4 **Special Meetings**

A Special Meeting of the Council or any Committee under the Scheme of Administration may be called at any time:-

- (i) by the Provost or in his/her absence the Depute Provost; or
- (ii) by the Director, Resources, on receiving a notice of motion signed by at least six Members of the Council, which meeting shall be held within fourteen days of receipt of the requisition by the Director, Resources;
- (iii) by the Director, Resources; or
- (iv) By the Chair of any Committee or Sub-Committee in relation to the Committee or Sub-Committee they Chair, in consultation with the Director, Resources and the Council Leader

The location, date and time of special meetings of the Council shall be determined by the Director, Resources. In any case where a request for a special meeting is refused a clear rationale must be provided by the decision maker.

#### 5 PROVOST

The Provost acts as the Civic Leader within Midlothian. S/He, or, if absent, the Depute Provost, whom failing another Member of the Council chosen by the meeting, shall preside at meetings of the Council.

#### 6 DEPUTE PROVOST

Subject to these Standing Orders, the Depute Provost may undertake any of the functions of the Provost.

#### 7 SCHEME OF ADMINISTRATION

7.1 The Scheme of Administration will be as shown as a separate document to these Standing Orders.

The Scheme specifies:-

- the composition of the Council and the various Committees, Sub-Committees and other bodies etc appointed;
- what each can do;
- the arrangements for their meetings;
- what the quorum is; and 20 of 558

what is to happen to their minutes.

Unless prevented by law, in exceptional cases where it has been impossible to achieve a quorum in Council, Committee or Sub-Committee because of the number of Members declaring an interest and withdrawing, the quorum can comprise any three Senior Officers of the Council, preferably Chief Officers or Heads of Service from more than one Division (always excluding the Chief Officer against whom the appeal has been taken, or representatives of that Chief Officer, in the case of the Appeals Committee). For the avoidance of doubt, this will not remove any requirement for the participation of any non-Elected Members (such as religious representatives, parent representatives, independent persons, Head Teachers etc.) where appropriate. As regards cases decided by Chief Officers or their representatives, the Minutes of those meetings will be submitted to the next ordinary meeting of the Council, Committee or Sub-Committee as appropriate for noting rather than for approval.

- 7.2 Unless otherwise covered by statute or regulation, all bodies referred to in the Scheme of Administration shall give effect to any instructions or decisions of the Council on matters of principle.
- 7.3 The Chair, whom failing the Depute Chair, where appointed, whom failing another Member chosen by the meeting, will preside at all meetings referred to in the Scheme of Administration, except as may otherwise be provided for by statute or regulation. This Standing Order will not however apply to meetings of the Council, the arrangements for which are stated in Standing Order 5 above.
- 7.4 In the event of a Committee appointing a Sub-Committee:-
  - The remit and membership of the Sub-Committee will be clearly established at the time of appointment by the parent Committee. The Committee can only delegate the remit it has under the Scheme of Administration to the Sub-Committee;
  - The Chair, unless otherwise agreed by the parent Committee, will be the Chair of the parent Committee. In the absence of the Chair of the Sub-Committee at any meeting of the Sub-Committee, a replacement Chair will be determined by those present at the meeting of the Sub-Committee;
  - Only Members of the parent Committee can be Members of the Sub-Committee unless it is agreed by the parent Committee that membership should be determined by the Council;
  - A report will be presented to the Council confirming the formation of the sub-Committee, its membership, its functions and proposed meeting schedule following which the Scheme of Administration will be updated accordingly. For clarity this will not delay the commencement of meetings of the Sub-Committee; and
  - The minutes of meetings of any sub-Committee will be presented to the parent Committee and the Council for noting and consideration of any recommendations contained therein.
- 7.5 Subject to Standing Order 4 and any statutory requirements, all business for meetings referred to in the Schergesof Administration will be arranged in

such order as the Director, Resources thinks will best ensure its effective dispatch.

- 7.6 The various bodies referred to in the Scheme of Administration will meet at such places within the Midlothian Council area, at such times and on such dates as may be determined by the Council in line with Standing Order 4.3, the body itself or the Director, Resources, in consultation with the Chair.
- 7.7 The Director, Resources will have the power to cancel any meeting (subject to Standing Order 4 above) if it appears to him/herself that there is insufficient business to justify the holding of the meeting. In addition, the Director, Resources may postpone/re-schedule a meeting where this is agreed in consultation with the Chair.
- 7.8 All notices of meetings will be issued by the Director, Resources, where practicable at least seven working days and in any event not less than three working days before the meeting, unless otherwise required by statute or regulation. Notices of meetings will include the agenda for the meeting and any reports or background papers to be considered during the meeting. Notices and reports will be published via the Committee Management System and will also be available to the public unless any particular item is deemed as being exempt under the relevant section of the Local Government (Scotland) Act 1973 (as amended). In the event that any report for consideration at a particular meeting under the Scheme of Administration by the time the notice is published is not available, it will be for the Director, Resources in conjunction with the Chief Executive and the Council Leader to determine whether the matter will be considered or postponed. In any case where the publication of a report is less than three working days before the meeting, the Chair will have the final determination as to whether the matter will be accepted as urgent business. The weekly schedule of meetings will be displayed publically at the main reception at Midlothian House.

For clarity the term 'working days' excludes weekends and Midlothian Council Public Holidays.

7.9 The minutes of all meetings referred to in the Scheme of Administration will be drawn up by the Director, Resources, and will include the names of those Members who are in attendance.

The minute will typically include:

- Where appropriate, the name of the person presenting the item;
- A short introduction of each item considered;
- A brief commentary of the discussion (including any motions/ amendments/ votes);
- A note of the decision of the meeting; and
- Where appropriate, confirmation of who is to action the decision.

The minute will not be a verbatim account or detail political debate or statements by individual Elected Members or other participants at the meeting as these will be available via webcast or audio recording. The Officer clerking the meeting will circulate the minute no later than two calendar weeks from the date of the meeting for information only pending formal approval at the next meeting. In the instance of an infrequent or ad hoc Committee meeting, the minute can be circulated to the Committee for approval no later than two weeks from the date of the meeting and then presented to the full Council for formal approval.

Where practicable the minutes of all meetings referred to in the Scheme of Administration (other than meetings of Midlothian Council which will automatically be presented for approval by the Council) will be referred to the next meeting of the full Council for noting and consideration of any recommendations.

Minutes of Midlothian Council meetings will be submitted to the next available full Council meeting for approval as an accurate reflection of the meeting. The approval of the minutes will be by formal motion from an Elected Member and seconded by another Elected Member which will be recorded in the minute of the meeting. For clarity the approval of the minutes is not an opportunity to re-open a debate from the previous meeting.

Once the minute has been approved, the Chair will be asked to sign the minute whereupon it will be lodged with the Council's Records, Archives and Document Management Team for permanent archiving.

- 7.10 If within ten minutes of the time appointed for a meeting a quorum is not present, the Chair will so confirm and adjourn the meeting to a date and time which he/she may then or afterwards fix. In the event of the Chair being absent, the Director, Resources will confirm to those present that the meeting is inquorate and that no business may therefore be done. The Director, Resources will also minute that, owing to the lack of the necessary quorum, no business was done.
- 7.11 If during any meeting the attention of the Chair is drawn to the number of Members present, the Chair shall, unless it is apparent that a quorum is present, direct the roll to be called. If it is found that there is not a quorum present, the meeting will be adjourned to a date and time to be fixed by the Chair in liaison with Director, Resources.
- 7.12 The Council may at any time, if it so determines, exercise the functions, powers and duties of any body referred to in the Scheme of Administration, unless otherwise provided for by statute or regulation.
- 7.13 A decision of the Council shall continue to be operative and binding and no motion inconsistent with it will be considered or passed for at least six months after the decision unless information which was not previously available becomes available.

# 8 NOTICES OF MOTION

8.1 A Member of the Council may not give notice of more than one motion for consideration at each Council meeting. Page 23 of 558

- 8.2 A Member of the Cabinet, a Committee or Sub-Committee may not give notice of more than one motion for consideration at each meeting of the Cabinet, Committee or Sub-Committee.
- 8.3 Every notice of motion must be in writing, signed by the Member giving the notice and countersigned by at least one other Member. A Member may only be counter signatory to one motion for consideration at each Council, Cabinet, Committee or Sub-Committee meeting. The terms of the motion must be stated clearly and the notice delivered to the Director, Resources. Except in the case of a notice of motion given under Standing Order 4.4 (ii) (ie calling a Special Meeting of the Council), a notice of motion which has not been received by noon ten working days prior to the day of the meeting will not be included on the agenda for the meeting.
- 8.4 A written counter motion may be submitted to the Director, Resources no later than noon of the working day prior to the meeting that the parent motion is being considered. Any counter motion not received within this timescale will not be included within the debate for the meeting. The counter motion must meet the same criteria as a motion i.e. must be submitted in writing, signed by the Member giving the notice and countersigned by at least one other Member. A Member may only submit one counter motion for consideration at each Council, Cabinet, Committee or Sub-Committee meeting and equally a Member may only be counter signatory to one counter motion for consideration at each Council, Cabinet, Committee or Sub-Committee meeting.
- 8.5 If a motion, notice of which is specified on the agenda for a meeting, is not moved either by the Member who has given the notice or by any other Member, it will, unless postponed by the meeting, be considered as dropped and will not be moved without fresh notice.
- 8.6 Nothing within this Standing Order will prevent a Member moving an amendment during the course of a meeting for consideration providing it meets the criteria in Standing Order 11.
- 8.7 If, in the opinion of the Chair, more than one motion submitted deals with the same subject matter, only the motion first lodged will be considered. Also, if any motion, in the opinion of the Chair, deals with a matter already under consideration by the meeting that motion will not be considered.
- 8.8 During the course of the meeting that the motion is being presented to, the motion must be formally moved by the Member and formally seconded.
- 8.9 The Director, Resources in liaison with the Council's Monitoring Officer shall determine the competency and relevance of any motion submitted as per Standing Order 8.1, 8.2, 8.3 or 8.4. The test applied at this stage in relation to the competency of a motion shall be that the subject matter falls within the remit of the meetings as described within the Scheme of Administration and that the decision sought is within the Council's legal powers.

13

final arbiter as to whether the motion will be presented for consideration. If it is the opinion of the Chair of the meeting that a motion will not be presented for consideration, then they must provide a full explanation to the mover and seconder in respect of their decision. The Chair's decision will be final and no further representations may be made.

# 9 ADMISSION OF MEDIA AND PUBLIC

- 9.1 Subject to the provisions of the Local Government (Access to Information) Act 1985 and other relevant Acts and Regulations, meetings will be open to the public and representatives of the media, subject to powers of exclusion in order to suppress or prevent disorderly conduct or other misbehaviour at a meeting. Without prejudice to the foregoing generality, the meeting may exclude or eject any member or members of the public whose presence or conduct or behaviour is impeding or is likely to impede the work or proceedings of the meeting.
- 9.2 All meetings will be audio recorded and such recording (except items considered in private) will be available to listen to via the Council website. Council and Cabinet meetings will also be webcast both in live and archive format and will be available via the Council website.

# 10 ATTENDANCE OF COUNCILLORS WHO ARE NON-MEMBERS

Unless otherwise prevented by statute or regulation, any elected Member may be present, but not take part, at any meeting of a Committee, Sub-Committee or Other Committee although not a Member, except meetings dealing with appointments or personnel matters (e.g. relating to discipline, grievance etc). This shall include attendance where exempt or confidential business is discussed in terms of the Local Government (Scotland) Act 1973 (as amended). However, in such cases the Member shall be bound by a requirement of confidentiality.

# 11 PROCEDURAL MATTERS

# 11.1 Conduct

Members shall at all times observe the requirements of the Councillors' Code of Conduct and other relative guidance issued by the Standards Commission for Scotland.

# 11.2 Chair - Powers and Duties - Casting Vote

(i) Deference will at all times be paid to the authority of the Chair, and on all points of order the Chair's ruling will be final and not open to discussion. When the Chair speaks, any Member who is addressing the meeting will give way. It will be the duty of the Chair to preserve order and ensure that Members obtain a fair hearing. The Chair will also decide between two or more Members wishing to speak by calling on the Member first observed indicating a wish to speak.

- (ii) The Chair will be entitled, in the event of disorder arising at any meeting, to adjourn the meeting to a time he/she may then or afterwards fix, and quitting the Chair in such circumstances shall, without further procedure, have the effect of a formal adjournment of the meeting.
- (iii) In the event of any Member at any meeting disregarding the authority of the Chair or engaging in obstructive or offensive conduct, a motion may be moved and seconded to suspend the Member for the remainder of the meeting. This will be put to the meeting immediately without discussion, and, if supported by at least two-thirds of the Members present (or the nearest whole number to this) it shall be declared carried. The offending Member shall then be required by the Chair to leave the room in which the meeting is being held.
- (iv) In any division each Member shall have one vote only. The Chair, in the case of an equality of votes, will have a second or casting vote. This will not apply however when the matter which is the subject of the vote relates to the appointment of a Member of the Council to any particular office or Committee. In that case the decision will be by lot.

# 11.3 Order of Debate

- (i) A Member wishing to speak will address the Chair. If the meeting is within the Council Chamber, the Member will activate their microphone before speaking. The Member will speak strictly to the motion or amendment to be proposed or seconded or to other matters under discussion, or to a question of order.
- (ii) Every motion and every amendment relevant to the matter under discussion will be moved and seconded. The mover of a motion or of an amendment may be required by the meeting or by the Chair to state its terms or to set it down in writing. In the event of the latter it will be handed to the Chair and will be read out before being further discussed or put to the meeting. Where a motion is moved and seconded and there is no objection from any other Member then it will be deemed to be supported by the meeting and this will be confirmed by the Chair.
- (iii) A Member may not move or second a motion or amendment for the election or appointment of him/herself to any of the positions referred to under Standing Order 4, whether appointed at the first meeting of the Council after the election or at a later date. Neither shall a Member vote in any personal election or appointment. This Standing Order (11.3 (iii)) will not apply when block proposals are put forward to facilitate Council business.
- (iv) Every amendment will be relevant to the motion which has been moved.

- (v) Motions or amendments which are not seconded (other than by Standing Order 11.3 (ii) will not be discussed or inserted in the minutes. The dissent of any Member who is in a minority of one will, if that Member so requests, be recorded in the minutes of the meeting.
- (vi) The dissent of any Member who disagrees with the decision or recommendation in respect of any item discussed will, if that Member so requests, be recorded in the minutes of the meeting.
- (vii) A motion or amendment when made and seconded will not be withdrawn without the consent of the mover and the seconder thereof, and then only with the sanction of the meeting.
- (viii) When there is more than one amendment, the Chair, may call for a vote on the substantive motion itself which if carried by a majority of those present will mean that all the amendments will fall and the motion will become the decision of the meeting.
- (ix) When there is more than one amendment, and either the Chair has not opted to use the procedure outlined in Standing Order 11.3 (viii) above or the motion was not carried by a majority of those present, the Chair will call for a vote between the amendments and whichever amendment receives the highest number of votes will then be put to the vote against the motion.

# 11.4 Points of Order

- (i) A Member who wishes to raise a point of order or give a personal explanation, will be entitled to be heard immediately, but will not speak for more than three minutes. A point of order must relate only to an alleged breach of a Standing Order or of a statutory provision and the Member shall specify the Standing Order or statutory provision and the way in which it is considered that it has been breached.
- (ii) The ruling of the Chair on a point of order or on the admissibility of a personal explanation shall be final and not open to discussion unless challenged by one half of the membership of the meeting (i.e. one half of those in attendance at the meeting).

# 11.5 Voting

- (i) Subject to the provisions of these Standing Orders, all questions will be decided by a majority of the Members present and voting.
- (ii) Any vote will be taken normally by a show of hands. The Officer clerking the meeting will confirm the number of votes. If any Member objects to the vote being taken this way and if one-third of the Page 27 of 558

Members present (or the nearest whole number to this), similarly agree then the vote will be taken by calling the roll.

Number of Members present	One third required to agree a vote to be taken by roll call.
6	2
7	2
8	3
9	3
10	3
11	4
12	4
13	4
14	5
15	5
16	6
17	6
18	6

i.e.

(iii) Where a vote by a show of hands has been taken and the accuracy of the count is immediately challenged, it will be at the Chair's discretion to call for a recount by a show of hands or to order the vote to be taken by calling the roll. In the case of a roll-call vote, the voting will be recorded so as to show how the vote was cast by each Member present, and the name of any Member present and not voting will also be recorded.

#### 11.6 Election, Selection or Appointment of Members to Office

- (i) In the case of an election, selection or appointment of a Member or of any person to any office where the number of candidates nominated exceeds the number of vacancies, the Member or person to be elected, selected or appointed will be decided by a show of hands or by a ballot as the meeting may decide.
- (ii) Where only one vacancy requires to be filled and any candidate has an absolute majority of the votes cast then that candidate will be declared elected, selected or appointed as the case may be. Where there are more than two candidates and no candidate has an absolute majority, then the candidate with the lowest number of votes will be eliminated and a further ballot will take place until one candidate is duly elected. Where there is no clear result due to an equality of votes, the candidate(s) to be eliminated shall be determined by lot.
- (iii) Where more than one vacancy requires to be filled, then voting will again be by ballot or show of hands, and the candidates so elected, selected or appointed will be figse receiving the greatest number of

votes. Where there is no clear result due to an equality of votes, the candidate(s) to be eliminated shall be determined by lot.

# 12 MINUTES – REFERRED AND DELEGATED MATTERS

- 12.1 When the minutes of a Committee come before the Council it shall be competent for the Council, in respect of any matter referred but not delegated, to change that decision or refer the matter in whole or in part back to the Committee for further consideration.
- 12.2 When the minutes of a Committee come before the Council in respect of any matter delegated but not yet fully carried into effect, the Council can refer the matter, whether in whole or in part, back to the Committee for further consideration.

# 13 TERMINATION OF OFFICE

Unless otherwise provided for by statute or regulation, every Member of a body referred to in the Scheme of Administration or a Member of any Joint Committee, Joint Board or other Outside Body who, at the time of appointment, is a Member of the Council, shall upon ceasing to be a Member of the Council, also cease to be a Member of that body.

#### 14 VACANCIES

Every vacancy occurring in the membership of a meeting referred to in the Scheme of Administration or among the Council's representatives on any Joint Committee, Joint Board or Outside Body will be reported by the Director, Resources to the first meeting of the Council or relevant Committee, as appropriate, after the vacancy has occurred. The Council or Committee will then fill the vacancy or agree such other action as may seem proper.

#### 15 EXCEPTIONS FROM REFERENCE

- 15.1 The following will be excluded from the reference to any meeting:-
  - (i) any matter specifically referred to another meeting; and
  - (ii) any matter which in terms of a decision of the Council is specifically excluded from such reference.
- 15.2 In the event of any doubt or difficulty arising over the proper co-ordination of the work of two or more bodies contained in the Scheme of Administration, then this will be referred to the Council for clarification and any necessary change.

#### 16 SUBSTITUTE MEMBERS

16.1 Where substitute Members may be appointed to an outside body, Joint Committee or Joint Board, any other Member of the Council may be

authorised to act as a substitute Member unless limited by statute or regulation.

16.2 Where a substitute Member has been identified, their appointment will be confirmed to the outside body, Joint Committee or Joint Board by the Director, Resources.

#### 17 APPOINTMENT OF OFFICERS

17.1 A reference to the post of Chief Official means any of the following posts:-

Chief Executive

Director, Education, Communities and Economy

Director, Resources

Joint Director, Health and Social Care

The appointment of Chief Officials will be by the Council, on a recommendation by the Cabinet, which will also recommend conditions to apply to the posts.

- 17.2 The appointment of Heads of Service shall be by the Cabinet, which shall agree conditions to be attached to the posts.
- 17.3 The authorised establishments of the Directorates of the Council will be determined by the Cabinet.
- 17.4 Any reference to a specified officer of the Council in these Standing Orders shall include any member of staff under the direction of that officer.

#### 18 SHARED SERVICE OFFICER APPOINTMENTS

Where the Council agrees to appoint an officer under a Shared Service agreement with another local authority (or authorities or other bodies) then the arrangements for the appointment of that officer shall be as determined between the bodies concerned.

#### **19 CHIEF EXECUTIVE**

- 19.1 The Head of the Council's paid service will be the Chief Executive who will have authority over all other officers except where a Chief Official or other officer is carrying out a responsibility imposed by statute.
- 19.2 The Chief Executive, after discussion with the Leader of the Council, whom failing the Depute Leader of the Council, will have authority to take decisions where urgent or immediate action is required. Where such decision(s) is required, the Chief Executive will provide a report to the next available full Council meeting to inform the Council of such decision(s).

- 19.3 Clause 19.2 shall not apply in the period between a local authority election and the first meeting of the Council. During this period, the Chief Executive will have authority to take decisions where urgent or immediate action is required. Where such decision(s) is required, the Chief Executive will provide a report to the next available full Council meeting to inform the Council of such decision(s).
- 19.4 In the absence of the Chief Executive, any Chief Official may assume the duties, powers and responsibilities of the Chief Executive.

# 20 DUTIES AND CONDUCT OF OFFICERS

- 20.1 The Officers of the Council shall at all times observe such regulations for official conduct as may be prescribed by the Council, including without prejudice to the generality the Code of Conduct for Employees of Midlothian Council.
- 20.2 Officers of the Council shall, as soon as it comes to their notice that the Council or any Committee has entered or proposes to enter into a contract in which they have a pecuniary interest, whether direct or indirect, give notice in writing in the manner provided by Section 68 of the Local Government (Scotland) Act 1973 (as amended).

#### 21 WORKS, GOODS, SERVICES ETC TO BE BY CONTRACT

- 21.1 Chief Officials may award contracts valued at less than £50,000 without using any of the methods in 22.3 below but in so doing must be able to demonstrate Best Value. Normally, this will involve adhering to the following guidelines in the Council's Procurement Policies and Procedures Manual:-
  - For Contracts between £1,000 and £5,000, a minimum of three written or electronic quotations should be obtained; and
  - For Contracts between £5,000 and £50,000, a minimum of three written or electronic quotations should be obtained.

Non-competitive action for contracts less than £50,000 may be approved by Chief Officials but only in the exceptional circumstances as detailed within the Council's Procurement Policies and Procedures Manual.

- 21.2 Tenders below an estimated contract value of £50,000 can be received and opened in the Directorate responsible for the contract but must be opened in the presence of the Chief Official or the Head of Service and not by an officer involved in the preparation of the specification.
- 21.3 For contracts valued at over £50,000, Chief Officials cannot award contracts unless tenders have been invited using one of the following methods:-
  - (a) a notice in the European Journal (for contracts over a certain value);

- (c) a select list of contractors compiled from the Council's Approved Lists of Contractors; or
- (d) by another method approved by the Cabinet.
- 21.4 For all contracts over £50,000, Chief Officials must accept the most economically advantageous tender in accordance with the tender evaluation criteria previously established for that contract.
- 21.5 For all contracts over £50,000, Chief Officials may in exceptional circumstances, as detailed in the Procurement Policies and Procedures Manual, issue a tender to one nominated contractor. All requests to proceed with such non-competitive action must be approved by the Director, Resources in advance, after discussion with the Leader of the Council.
- 21.6 For contracts over £50,000, tenders must be received by the Director, Resources and opened in the presence of a Member of the Council.
- 21.7 All tenders must be invited, received, opened and evaluated in accordance with the Council's Procurement Policies and Procedures Manual.

# 22 COMMON SEAL

- 22.1 The Common Seal of the Council will be kept by the Director, Resources, who will be responsible for its safe custody.
- 22.2 The Common Seal will be affixed to a deed or other document only if authority to affix the seal to the deed or other document has been given by the Director, Resources.
- 22.3 An entry of the sealing of every deed and other document to which the Common Seal has been affixed will be made by the Director, Resources in a Register to be provided for that purpose, and the Director, Resources subscribing the deed or other document on behalf of the Council will also sign against the appropriate entry in such Register.
- 22.4 For the avoidance of doubt, as an alternative to affixing the Common Seal and subscription by the Director, Resources, self-proving execution shall also be competent by way of subscription by the Director, Resources, as attested by the subscription of a single witness.

# 23 DELEGATION TO PARENT COUNCIL

Nothing in these Standing Orders or in the Appendix hereto shall apply to any matters delegated, in a Scheme of Delegation approved by the Council, to a Head Teacher or a Parent Council.

.....Provost

.....Leader

.....Chief Executive

.....Director, Resources



### Local Code of Corporate Governance 2017

#### Report by: John Blair, Director Resources

#### 1 Purpose of Report

The purpose of this report is to seek approval of the draft Local Code of Corporate Governance which has been prepared following an updated framework document issued by CIPFA/SOLACE.

#### 2 Background

- **2.1** Midlothian Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards. This is to allow the public funds and the assets at its disposal to be safeguarded and used efficiently and effectively in pursuit of best value.
- 2.2 Elected Members and senior management are responsible for the governance of the business affairs of Midlothian Council. This includes setting the strategic direction, vision, culture and values of the Council and establishing appropriate and cost effective systems, processes and internal controls to allow the strategic objectives to be delivered.
- **2.3** In order to achieve this, in January 2001, the Council developed a Local Code of Corporate Governance based on a governance framework document published by the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives' (SOLACE).
- **2.4** Furthermore, In order to be effective, the Council must be able to evidence compliance with the Code. Accordingly the Council has developed an Annual Self Assessment and Assurance Plan to monitor the Council's governance arrangements and to ensure they are robust and demonstrate good practice.
- 2.5 The Midlothian Code of Corporate Governance has previously been updated in October 2006, January 2012 and August 2013 to take account of internal structural changes within the Council as well as to reflect updated guidance from CIPFA and SOLACE
- **2.6** The Delivering Good Governance in Local Government Framework was again updated by CIPFA/SOLACE in 2016 and a short life working group involving representatives from Internal Audit, Business Transformation and Legal have updated Midlothian's Code of Corporate Governance to reflect and comply with the new Framework
- **2.7** The updated Code is in two parts. The Council's annual self assurance and assessment plan is detailed in Part 1 of the Code. Part 2 of the Code then

narrates the 7 Core Principles of Good Governance, together with the 20 supporting sub-principles, 91 behaviours and actions and the Council's responses to those to demonstrate good governance in practice.

**2.5** A copy of the updated Code of Corporate Governance is shown at Appendix 1 and members are referred to it for its terms.

#### 3 Report Implications

#### 3.1 Resource

There are no direct resource implications arising from this report.

#### 3.2 Risk

The review of and revisions to the Local Code of Corporate Governance will ensure that internal controls, risk management and other governance arrangements are improved through the implementation of the framework.

#### 3.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

- Community safety
- Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- Sustainable growth
- Business transformation and Best Value
- $\boxtimes$  None of the above

# 3.4 Key Priorities within the Single Midlothian Plan

By ensuring that the Council has proper governance arrangements in place, this provides a suitable framework when seeking to achieve the key priorities of the Single Midlothian Plan.

#### 3.5 Impact on Performance and Outcomes

Without good governance arrangements, performance and outcomes may be adversely affected.

#### 3.6 Adopting a Preventative Approach

This report addresses the Council's policy to have a robust internal control environment, management of risk and effective governance.

#### 3.7 Involving Communities and Other Stakeholders

The updated Local Code of Corporate Governance has been prepared by a short life working group involving representatives from Business Transformation, the Monitoring Officer and Internal Audit.

## 3.8 Ensuring Equalities

An Equalities Impact Assessment (EQIA) is not required at this stage and there are no equalities issues arising from the report.

## 3.9 Supporting Sustainable Development

There are no sustainable development issues raised in this report.

## 3.10 IT Issues

There are no IT issues raised in this report.

## 4 **Recommendations**

The Council is requested to:

(a) approve the updated Local Code of Corporate Governance as contained in Appendix 1.

Date: 07 December 2017

**Report Contact:** Name Alan Turpie Tel No 0131 271 3667 <u>alan.turpie@midlothian.gov.uk</u>

Appendix 1: Local Code of Corporate Governance





MIDLOTHIAN COUNCIL

CODE OF CORPORATE GOVERNANCE (Revised 2017)

Derek Milligan, Leader of the Council Kenneth Lawrie, Chief Executive

December 2017

Index	
Introduction	1
Part 1 Corporate Governance Self Assessment and Assurance Plan – based on Council Self Assessme March 2017	2 ent
Part 2	
Principle A	4
Behaving with integrity, demonstrating strong commitment to ethical values, and respecting the la	aw
Principle B	6
Ensuring openness and comprehensive stakeholder engagement	
Principle C	8
Defining outcomes in terms of sustainable economic, social, and environmental benefits	
Principle D	9
Determining the interventions necessary to optimise the achievement of the intended outcomes	
Principle E	11
Developing the entity's capacity, including the capability of its leadership and the individuals with	in it
Principle F	13
Managing risks and performance through robust internal control and strong public financial management	
Principle G	15
Implementing good practices in transparency, reporting, and audit to deliver effective accountabi	lity

# LOCAL CODE OF CORPORATE GOVERNANCE

## Introduction

Midlothian Council operates through a governance framework based on legislative requirement, governance principles and management processes. The Council monitors and revises the governance framework as required to ensure that its governance arrangements are robust and that they demonstrate good practice.

As noted above the Council's governance framework is subject to ongoing review and responds to changes in legislation from the initial adoption in January 2001 of a local code of corporate governance based on a governance framework document published by CIPFA/SOLACE through to refresh in 2008, in response to CIPFA/SOLACE producing a new framework 'Delivering Good Governance in Local Government'. The 'Delivering Good Governance in Local Government: Framework' was updated by CIPFA/SOLACE in 2016 and it is this revision that has informed this update to Midlothian Council's Code of Corporate Governance.

The code is set out in two parts:

**Part 1** - details Midlothian Councils Corporate Governance Self Assessment and Assurance plan

**Part 2** - describes the principles and sub-principles of good governance and how the council aims to achieve these.

# Part 1 – Corporate Governance Self Assessment and Assurance Plan

## STATEMENT OF CORPORATE GOVERNANCE

Midlothian Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards. This is to allow public funds and the assets at its disposal to be safeguarded and used efficiently and effectively in pursuit of best value.

Elected Members and senior management are responsible for the governance of the business affairs of Midlothian Council. This includes: setting the strategic direction, vision, culture and values of the Council; and establishing appropriate and cost effective systems, processes and internal controls to allow the strategic objectives to be delivered.

In order to achieve this, the Council has developed a Code of Corporate Governance based on the Chartered Institute of Public Finance and Accountancy (CIPFA) and the Society of Local Authority Chief Executives' (SOLACE) framework and guidance on Delivering Good Governance in Local Government: Framework (2016). The Code has been reviewed and updated in line with the new International Framework of Good Governance in the Public Sector which was implemented on 1 April 2017. The Council also has a number of officials in statutory posts who monitor governance and the supporting processes during the year. These are the Head of the Paid Service, the Monitoring Officer, the Chief Finance Officer and the Chief Social Work Officer.

The Code of Corporate Governance details 7 core principles which are supported by 20 sub-principles and 91 behaviours and actions that demonstrate good Governance. Elements of good governance included are:

- Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the Council;
- Creating the conditions to ensure that the statutory officers, other key post holders, and members, are able to fulfil their responsibilities in accordance with legislative and regulatory requirements;
- Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear;
- Developing formal and informal partnerships to allow resources to be used more efficiently and outcomes achieved more effectively;
- Establishing a clear policy on the type of issues that the Council will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes;
- Having a clear vision, which is an agreed formal statement of the Council's purpose and intended outcomes containing appropriate performance indicators, which provide the basis for the Council's overall strategy, planning and other decisions;
- Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision;

- Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risks. Therefore ensuring best value is achieved however services are provided;
- Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets;
- Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints;
- Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources;
- Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained;
- Implementing robust and integrated risk management arrangements and ensuring that they are working effectively;
- Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the Council's financial, social and environmental position and outlook;
- Aligning the risk management strategy and policies on internal control with achieving objectives;
- Evaluating and monitoring risk management and internal control on a regular basis;
- Ensuring effective counter fraud and anti-corruption arrangements are in place;
- Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor;
- 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;
- Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance;
- Ensuring robust arrangements for assessing the extent to which the principles contained in the Framework have been applied and publishing the results on the assessment, including an action plan for improvement and evidence to demonstrate good governance (the annual governance statement); and
- Ensuring that recommendations for corrective action made by external auditor are acted upon.

Midlothian Council's financial management arrangements conform to the requirements of the CIPFA Statement on the role of the Chief Financial Officer in Local Government. The Chief Financial Officer has overall responsibility for the Council's financial arrangements and is professionally qualified and suitably experienced to lead the Council's finance function.

The Council is responsible for conducting, each financial year, a review of the effectiveness of its governance framework, including risk management and the systems for internal control and financial control. The review of the effectiveness of the Council's governance framework is informed by:

- The work of the Corporate Management Team;
- The work of Council managers and Einangia-Services staff;

- The annual assurance questionnaires that are provided by all Heads of Service;
- An annual review, by Internal Audit, of compliance with the Council's Local Code of Corporate Governance;
- The Internal Audit Manager's annual report which is based on internal audit reports from across the range of Council services;
- Reports from the Council's external auditor; and
- Reports from other external review bodies, agencies and inspectorates.

The key governance arrangements and controls are set out in the local Code of Corporate Governance. Each year, using an assurance template, Internal Audit samples elements in the code to determine whether these are working effectively and that therefore the governance framework is working effectively.

In addition each Head of Service is required to undertake an annual self assessment of their area of responsibility using an assurance template where key elements of governance are examined.

Compliance with the code is then evaluated and revised annually and endorsed as follows:

- Officer Working Group comprising Section 95 Officer, Monitoring Officer and other appropriate senior officers to review and update self assessment and agree improvement plan if required
- Corporate Management Team for comment
- Audit Committee for comment
- Cabinet for approval
- Council to endorse
- Leader of Council and Chief Executive- to sign off

The working group's assessment of compliance will be reflected in the Annual Governance Statement which the Leader of the Council and the Chief Executive are required to produce as part of the auditing of the Council's annual accounts. In addition the Council's Internal Audit team will also conduct an annual independent audit reviewing the adequacy, effectiveness and extent of compliance with the code.

This process not only creates an opportunity for the Council to set out its standard for good governance but also to ensure that its governance arrangements are seen to be sound. This is important as governance arrangements in public services are closely scrutinised.

# Part 2

Core Principles and sub-principles of Good Governance and how Midlothian Council aims to achieve these

Rationale: Local government of stewardship. This includes account overarching responsibility to se	C, DEMONSTRATING STRONG COMMITMENT TO ETHICAL VALUES, organisations are accountable not only for how much they spend, but also ountability for outputs, both positive and negative, and for the outcomes the rve the public interest in adhering to the requirements of legislation and g opriateness of all their actions across all activities and have mechanisms e rule of law.	for how they use the resources under their hey have achieved. In addition, they have an overnment policies. It is essential that, as a whole,
Sub-principle:	Behaviours and actions that demonstrate good governance in practice include:	Midlothian Council Response
Behaving with integrity	<ul> <li>Ensuring members and officers behave with integrity and lead a culture where acting in the public interest is visibly and consistently demonstrated thereby protecting the reputation of the organisation</li> <li>Ensuring members take the lead in establishing specific standard operating principles or values for the organisation and its staff and that they are communicated and understood. These should build on the Seven Principles of Public Life (the Nolan Principles)</li> <li>Leading by example and using the above standard operating principles or values as a framework for decision making and other actions</li> <li>Demonstrating, communicating and embedding the standard operating principles or values through appropriate policies and processes which are reviewed on a regular basis to ensure that they are operating effectively</li> </ul>	<ul> <li>Shared Vision and Single Midlothian Plan</li> <li>Investing in Our Workforce People Policy Reviews</li> <li>Making Performance Matter – Competency Framework</li> <li>Code of Conduct (Officers and Elected Members)</li> <li>Performance and Scrutiny committee framework and remit</li> <li>Best Value Reviews</li> <li>Financial Strategy and Monitoring Reports</li> <li>IJB Structure</li> <li>Service Planning</li> <li>Balanced Scorecard</li> <li>Monitoring Officer</li> <li>Induction Programmes</li> </ul>
Demonstrating strong commitment to ethical values	<ul> <li>Seeking to establish, monitor and maintain the organisation's ethical standards and performance</li> <li>Underpinning personal behaviour with ethical values and ensuring they permeate all aspects of the organisation's culture and</li> </ul>	<ul> <li>Single Midlothian Plan and 5 supporting thematic areas</li> <li>Community Planning Partnership</li> <li>Great Place to Grow Vision</li> </ul>
	operation	Service Planning

	<ul> <li>Developing and maintaining robust policies and procedures which place emphasis on agreed ethical values</li> <li>Ensuring that external providers of services on behalf of the organisation are required to act with integrity and in compliance with ethical standards expected by the organisation</li> </ul>	<ul> <li>Best Value Reviews</li> <li>Performance and Scrutiny committee framework and remit</li> <li>Making Performance Matter – Competency Framework</li> <li>Social commitments within procurement process</li> <li>Environmental policies and commitments</li> <li>IJB Structure</li> </ul>
Respecting the rule of law	<ul> <li>Ensuring members and staff demonstrate a strong commitment to the rule of the law as well as adhering to relevant laws and regulations</li> <li>Creating the conditions to ensure that the statutory officers, other key post holders, and members, are able to fulfil their responsibilities in accordance with legislative and regulatory requirements</li> <li>Striving to optimise the use of the full powers available for the benefit of citizens, communities and other stakeholders</li> <li>Dealing with breaches of legal and regulatory provisions effectively</li> <li>Ensuring corruption and misuse of power are dealt with effectively</li> </ul>	<ul> <li>Statutory roles</li> <li>Legislative/statutory training (e.g.DPA/Equalities)</li> <li>EQIA embedded within reporting template</li> <li>Standing Orders</li> <li>Scheme of Delegation</li> <li>Scheme of Administration</li> <li>Monitoring Officer</li> <li>Fraud and Whistle Blowing Policy and Procedures</li> </ul>

Sub-principle:	Behaviours and actions that demonstrate good governance in practice include:	Midlothian Council Response
Openess	<ul> <li>Ensuring an open culture through demonstrating, documenting and communicating the organisation's commitment to openness</li> <li>Making decisions that are open about actions, plans, resource use, forecasts, outputs and outcomes. The presumption is for openness. If that is not the case, a justification for the reasoning for keeping a decision confidential should be provided</li> <li>Providing clear reasoning and evidence for decisions in both public records and explanations to stakeholders and being explicit about the criteria, rationale and considerations used. In due course, ensuring that the impact and consequences of those decisions are clear</li> <li>Using formal and informal consultation and engagement to determine the most appropriate and effective interventions/ courses of action</li> </ul>	<ul> <li>Community Planning Partnership</li> <li>Shaping Our Future</li> <li>Delivering Excellence Framework</li> <li>Public Performance Reporting Assessment/Feedback</li> <li>Publication of Performance Reports, including regularly updated Financial Strategy</li> <li>Webcasting</li> <li>Complaints process</li> <li>Service specific consultation exercises</li> <li>LGBF Benchmarking data</li> <li>Partnership working across all Directorates</li> <li>Joint Working with East Lothian Council</li> </ul>
Engaging comprehensively with institutional stakeholders	<ul> <li>NB institutional stakeholders are the other organisations that local government needs to work with to improve services and outcomes (such as commercial partners and suppliers as well as other public or third sector organisations) or organisations to which they are accountable.</li> <li>Effectively engaging with institutional stakeholders to ensure that the purpose, objectives and intended outcomes for each stakeholder relationship are clear so that outcomes are achieved successfully and sustainably</li> <li>Developing formal and informal partnerships to allow for</li> </ul>	<ul> <li>Shared Vision</li> <li>Community Planning Partnership</li> <li>Single Midlothian Plan</li> <li>Integrated Joint Board</li> <li>Joint Posts and Funding in place with a range of partner</li> <li>Cross Agency Self Evaluation/Improvement Planning</li> </ul>

## **Principle B** ENSURING OPENNESS AND COMPREHENSIVE STAKEHOLDER ENGAGEMENT

	<ul> <li>resources to be used more efficiently and outcomes achieved more effectively</li> <li>Ensuring that partnerships are based on: trust         <ul> <li>a shared commitment to change</li> <li>a culture that promotes and accepts challenge among partners</li> </ul> </li> <li>and that the added value of partnership working is explicit</li> </ul>	
Engaging with individual citizens and service users effectively.	<ul> <li>Establishing a clear policy on the type of issues that the organisation will meaningfully consult with or involve communities, individual citizens, service users and other stakeholders to ensure that service (or other) provision is contributing towards the achievement of intended outcomes</li> <li>Ensuring that communication methods are effective and that members and officers are clear about their roles with regard to community engagement</li> <li>Encouraging, collecting and evaluating the views and experiences of communities, citizens, service users and organisations of different backgrounds including reference to future needs</li> <li>Implementing effective feedback mechanisms in order to demonstrate how views have been taken into account</li> <li>Balancing feedback from more active stakeholder groups with other stakeholder groups to ensure inclusivity</li> <li>Taking account of the impact of decisions on future generations of tax payers and service users</li> </ul>	<ul> <li>Shaping our Future</li> <li>Community Learning External Inspection</li> <li>Neighbourhood/Locality Planning</li> <li>Range of consultation and engagement methods adopted across services</li> <li>Financial Strategy</li> </ul>

#### Principle C DEFINING OUTCOMES IN TERMS OF SUSTAINABLE ECONOMIC, SOCIAL, AND ENVIRONMENTAL BENEFITS

Rationale: The long-term nature and impact of many of local government's responsibilities mean that it should define and plan outcomes and that these should be sustainable. Decisions should further the organisation's purpose, contribute to intended benefits and outcomes, and remain within the limits of authority and resources. Input from all groups of stakeholders, including citizens, service users, and institutional stakeholders, is vital to the success of this process and in balancing competing demands when determining priorities for the finite resources available.

Sub-principle:	Behaviours and actions that demonstrate good governance in practice include:	Midlothian Council Response
Defining outcomes.	<ul> <li>Having a clear vision, which is an agreed formal statement of the organisation's purpose and intended outcomes containing appropriate performance indicators, which provide the basis for the organisation's overall strategy, planning and other decisions</li> <li>Specifying the intended impact on, or changes for, stakeholders including citizens and service users. It could be immediately or over the course of a year or longer</li> <li>Delivering defined outcomes on a sustainable basis within the resources that will be available</li> <li>Identifying and managing risks to the achievement of outcomes</li> <li>Managing service users' expectations effectively with regard to determining priorities and making the best use of the resources available</li> </ul>	<ul> <li>Shared Vision</li> <li>Single Midlothian Plan</li> <li>Service Plans</li> <li>Risk Management Reporting and Framework</li> <li>Annual Community Planning Development Day and supporting data gathering exercise (Midlothian Profile)</li> <li>Priority Localities</li> <li>Key Priorities</li> <li>Internal and External Audits</li> <li>Electric Vehicles/Cycles</li> </ul>
Sustainable economic, social and environmental benefits.	<ul> <li>Considering and balancing the combined economic, social and environmental impact of policies and plans when taking decisions about service provision</li> <li>Taking a longer-term view with regard to decision making, taking account of risk and acting transparently where there are potential conflicts between the organisation's intended outcomes and short-term factors such as the political cycle or financial constraints</li> <li>Determining the wider public interest associated with balancing conflicting interests between achieving the various economic, social and environmental benefits, through consultation where possible, in order to ensure appropriate trade-offs</li> </ul>	<ul> <li>Single Midlothian Plan</li> <li>Service Plans</li> <li>Key Priorities and Localities</li> <li>Financial Strategy Reports</li> <li>Delivering Excellence Framework</li> <li>Balanced Scorecard</li> <li>Performance and Scrutiny arrangements</li> <li>Key approaches of co-production, accessibility and prevention</li> </ul>

Ensuring fair access to services	

#### Principle D DETERMINING THE INTERVENTIONS NECESSARY TO OPTIMISE THE ACHIEVEMENT OF THE INTENDED OUTCOMES

Rationale: Local government achieves its intended outcomes by providing a mixture of legal, regulatory, and practical interventions (courses of action). Determining the right mix of these courses of action is a critically important strategic choice that local government has to make to ensure intended outcomes are achieved. They need robust decision-making mechanisms to ensure that their defined outcomes can be achieved in a way that provides the best trade-off between the various types of resource inputs while still enabling effective and efficient operations. Decisions made need to be reviewed frequently to ensure that achievement of outcomes is optimised.

Sub-principle:	Behaviours and actions that demonstrate good governance in practice include::	Midlothian Council Response
Determining interventions	<ul> <li>Ensuring decision makers receive objective and rigorous analysis of a variety of options indicating how intended outcomes would be achieved and associated risks. Therefore ensuring best value is achieved however services are provided</li> <li>Considering feedback from citizens and service users when making decisions about service improvements or where services are no longer required in order to prioritise competing demands within limited resources available including people, skills, land and assets and bearing in mind future impacts</li> </ul>	<ul> <li>Consultation element embedded within reporting template</li> <li>Service Review approach incorporates Options Appraisal element</li> <li>Delivering Excellence Framework</li> <li>People Strategy – Workforce Profiling and Planning informs service planning</li> </ul>
Planning Interventions.	<ul> <li>Establishing and implementing robust planning and control cycles that cover strategic and operational plans, priorities and targets</li> <li>Engaging with internal and external stakeholders in determining how services and other courses of action should be planned and delivered</li> <li>Considering and monitoring risks facing each partner when working collaboratively, including shared risks</li> <li>Ensuring arrangements are flexible and agile so that the mechanisms for delivering goods and services can be adapted to changing circumstances</li> <li>Establishing appropriate key performance indicators (KPIs) as part of the planning process in order to identify how the performance of services and projects is to be measured</li> <li>Ensuring capacity exists to generate the information required to review service quality regularly</li> </ul>	<ul> <li>Planning and Performance Framework and Cycle</li> <li>Single Midlothian Plan and key indicators</li> <li>Service Plans and indicators</li> <li>Balanced Scorecard indicators</li> <li>Delivering Excellence Framework</li> <li>Risk Management process embedded within quarterly performance reporting and Audit Committee reporting</li> <li>SLG approach to delivering transformational change</li> <li>LGBF Benchmarking and Family Groups</li> <li>Regular financial monitoring and reporting (e.g. quarterly reporting)</li> </ul>

	<ul> <li>Preparing budgets in accordance with objectives, strategies and the medium term financial plan</li> <li>Informing medium and long term resource planning by drawing up realistic estimates of revenue and capital expenditure aimed at developing a sustainable funding strategy</li> </ul>	
Optimising achievement of intended outcomes	<ul> <li>Ensuring the medium term financial strategy integrates and balances service priorities, affordability and other resource constraints</li> <li>Ensuring the budgeting process is all-inclusive, taking into account the full cost of operations over the medium and longer term</li> <li>Ensuring the medium term financial strategy sets the context for ongoing decisions on significant delivery issues or responses to changes in the external environment that may arise during the budgetary period in order for outcomes to be achieved while optimising resource usage</li> <li>Ensuring the achievement of 'social value' through service planning and commissioning</li> </ul>	<ul> <li>Financial Strategy Reports</li> <li>Delivering Excellence</li> <li>SLG Programme</li> </ul>

#### Principle E DEVELOPING THE ENTITY'S CAPACITY, INCLUDING THE CAPABILITY OF ITS LEADERSHIP AND THE INDIVIDUALS WITHIN IT

Rationale: Local government needs appropriate structures and leadership, as well as people with the right skills, appropriate qualifications and mindset, to operate efficiently and effectively and achieve intended outcomes within the specified periods. A local government organisation must ensure that it has both the capacity to fulfil its own mandate and to make certain that there are policies in place to guarantee that its management has the operational capacity for the organisation as a whole. Because both individuals and the environment in which an organisation operates will change over time, there will be a continuous need to develop its capacity as well as the skills and experience of individual staff members. Leadership in local government is strengthened by the participation of people with many different types of backgrounds, reflecting the structure and diversity of communities.

	Behavioure and actions that demonstrate good governance	
Sub-principle:	Behaviours and actions that demonstrate good governance in practice include:	Midlothian Council Response
Developing the entity's capacity.	<ul> <li>Reviewing operations, performance and use of assets on a regular basis to ensure their continuing effectiveness</li> <li>Improving resource use through appropriate application of techniques such as benchmarking and other options in order to determine how resources are allocated so that defined outcomes are achieved effectively and efficiently</li> <li>Recognising the benefits of partnerships and collaborative working where added value can be achieved</li> <li>Developing and maintaining an effective workforce plan to enhance the strategic allocation of resources</li> </ul>	<ul> <li>Making Performance Matter</li> <li>Workforce Profiling/Planning</li> <li>Induction Programmes</li> <li>Learnpro E-Learning</li> <li>Health &amp; Safety/Manual Handling – joint opportunities with East Lothian Council</li> <li>Elected Member Induction</li> <li>Elected Member development programme and CPD</li> </ul>
Developing the capability of the entity's leadership and other individuals	<ul> <li>Developing protocols to ensure that elected and appointed leaders negotiate with each other regarding their respective roles early on in the relationship and that a shared understanding of roles and objectives is maintained</li> <li>Publishing a statement that specifies the types of decisions that are delegated and those reserved for the collective decision making of the governing body</li> <li>Ensuring the Leader and the Chief Executive have clearly defined and distinctive leadership roles within a structure whereby the chief executive leads in implementing strategy and managing the delivery of services and other outputs set by members and each provides a check and a balance for each other's authority</li> <li>Developing the capabilities of members and senior management to achieve effective leadership and to enable the organisation to respond successfully to changing legal</li> </ul>	<ul> <li>Elected Member Induction</li> <li>Elected Member Online Toolkit</li> <li>Leadership Programmes</li> <li>Leadership Forum</li> <li>Leadership Exchange</li> <li>Regular Chief Executive/Leader meetings</li> <li>Regular Senior Officer and Administration/Opposition meetings</li> <li>Internal Assessment/External Inspection feedback and improvement plans</li> <li>Making Performance Matter appraisal process</li> <li>Employee Assistance Programme</li> <li>Health and Wellbeing initiatives (e.g. lunch time walks/cycles)</li> </ul>

	licy demands as well as economic, political and	
enviror	mental changes and risks by:	
	<ul> <li>ensuring members and staff have access to</li> </ul>	
	appropriate induction tailored to their role and	
	that ongoing training and development	
	matching individual and organisational	
	requirements is available and encouraged	
	<ul> <li>ensuring members and officers have the</li> </ul>	
	appropriate skills, knowledge, resources and	
	support to fulfil their roles and responsibilities	
	and ensuring that they are able to update their	
	knowledge on a continuing basis	
	<ul> <li>ensuring personal, organisational and system-</li> </ul>	
	wide development through shared learning,	
	including lessons learnt from governance	
	weaknesses both internal and external	
• Ensurir	ng that there are structures in place to encourage	
	participation	
	steps to consider the leadership's own effectiveness	
	suring leaders are open to constructive feedback	
	eer review and inspections	
•	g staff to account through regular performance	
needs	s which take account of training or development	
	a amangamente ave in place to maintain the health	
	ng arrangements are in place to maintain the health	
	Ilbeing of the workforce and support individuals in	
mainta	ining their own physical and mental wellbeing	

MANAGING RISKS AND PERFORMANCE THROUGH ROBUST INTERNA	AL CONTROL AND STRONG PUBLIC FINANCIAL MANAGEMENT

Principle F

Rationale: Local government needs to ensure that the organisations and governance structures that it oversees have implemented, and can sustain, an effective performance management system that facilitates effective and efficient delivery of planned services. Risk management and internal control are important and integral parts of a performance management system and are crucial to the achievement of outcomes. Risk should be considered and addressed as part of all decision making activities.

A strong system of financial management is essential for the implementation of policies and the achievement of intended outcomes, as it will enforce financial discipline, strategic allocation of resources, efficient service delivery and accountability.

It is also essential that a culture and structure for scrutiny are in place as a key part of accountable decision making, policy making and review. A positive working culture that accepts, promotes and encourages constructive challenge is critical to successful scrutiny and successful service delivery. Importantly, this culture does not happen automatically, it requires repeated public commitment from those in authority.

Sub-principle:	Behaviours and actions that demonstrate good governance in practice include::	Midlothian Council Response
Managing risk	<ul> <li>Recognising that risk management is an integral part of all activities and must be considered in all aspects of decision making</li> <li>Implementing robust and integrated risk management arrangements and ensuring that they are working effectively</li> <li>Ensuring that responsibilities for managing individual risks are clearly allocated.</li> </ul>	<ul> <li>Risk Management Policy and Process</li> <li>Risk Management Guidance</li> <li>Risk Management Group</li> <li>Corporate and Service Risk Registers</li> </ul>
Managing performance	<ul> <li>Monitoring service delivery effectively including planning, specification, execution and independent post implementation review</li> <li>Making decisions based on relevant, clear objective analysis and advice pointing out the implications and risks inherent in the organisation's financial, social and environmental position and outlook</li> <li>Ensuring an effective scrutiny or oversight function is in place which provides constructive challenge and debate on policies and objectives before, during and after decisions are made thereby enhancing the organisation's performance and that of any organisation for which it is responsible (or, for a committee system) Encouraging effective and constructive challenge and debate on policies and objectives to support balanced and effective decision</li> </ul>	<ul> <li>Quarterly Performance Reporting</li> <li>Balanced Scorecard</li> <li>Performance and Scrutiny arrangements</li> <li>Internal Audit Plans/Reports</li> <li>External Audit Plans/Reports</li> <li>Audit Committee Programme</li> </ul>

	<ul> <li>making</li> <li>Providing members and senior management with regular reports on service delivery plans and on progress towards outcome achievement</li> <li>Ensuring there is consistency between specification stages (such as budgets) and post implementation reporting (eg financial statements)</li> </ul>	
Robust internal control	<ul> <li>Aligning the risk management strategy and policies on internal control with achieving objectives</li> <li>Evaluating and monitoring risk management and internal control on a regular basis</li> <li>Ensuring effective counter fraud and anti-corruption arrangements are in place</li> <li>Ensuring additional assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control is provided by the internal auditor</li> <li>Ensuring an audit committee or equivalent group/ function, which is independent of the executive and accountable to the governing body:         <ul> <li>provides a further source of effective assurance regarding arrangements for managing risk and maintaining an effective control environment</li> <li>that its recommendations are listened to and acted upon</li> </ul> </li> </ul>	<ul> <li>Internal Audit Assessments</li> <li>Fraud and corruption policies and reporting</li> <li>Annual assessments/assurance on Code of Corporate Governance by Internal Audit</li> <li>Audit Committee structure and remit</li> </ul>
Managing data	<ul> <li>Ensuring effective arrangements are in place for the safe collection, storage, use and sharing of data, including processes to safeguard personal data</li> <li>Ensuring effective arrangements are in place and operating effectively when sharing data with other bodies</li> <li>Reviewing and auditing regularly the quality and accuracy of data used in decision making and performance monitoring</li> </ul>	<ul> <li>Range of systems for managing data including Covalent</li> <li>IT policies and e-learning for Data Protection</li> <li>Password protected equipment and tools</li> <li>Internal Audit Plan</li> </ul>
Strong public financial management	<ul> <li>Ensuring financial management supports both long term achievement of outcomes and short-term financial and operational performance</li> <li>Ensuring well-developed financial management is integrated at all levels of planning and control, including management of financial risks and controls</li> </ul>	<ul> <li>External Audit assessment</li> <li>Financial Strategy Reports</li> <li>Quarterly reporting financial element embedded</li> </ul>

Principle G		
	PRACTICES IN TRANSPARENCY, REPORTING, AND AUDIT TO	
	is about ensuring that those making decisions and delivering servic	
	porting on actions completed, but also ensuring that stakeholders	
	s in a transparent manner. Both external and internal audit contribu	
Sub-principle:	Behaviours and actions that demonstrate good governance	Midlothian Council Response
	in practice include:	Dublic Derfermence Deperting Web Depert (Accessed on the
Implementing good	<ul> <li>Writing and communicating reports for the public and other stakeholders in a fair, balanced and understandable style</li> </ul>	Public Performance Reporting Web Pages/Assessment     Depart Template
practice in transparency	appropriate to the intended audience and ensuring that they	Report Template     Just of Infographics (Shaping Our Future/Integrated Health
	are easy to access and interrogate	Use of Infographics (Shaping Our Future/Integrated Health and Social Care)
	<ul> <li>Striking a balance between providing the right amount of</li> </ul>	Balanced Scorecard
	information to satisfy transparency demands and enhance	
	public scrutiny while not being too onerous to provide and	
	for users to understand	
Implementing good	<ul> <li>Reporting at least annually on performance, value for</li> </ul>	Report Template
practices in reporting	money and stewardship of resources to stakeholders in a	Quarterly Performance Reporting
	timely and understandable way	<ul> <li>Performance and Scrutiny arrangements</li> </ul>
	Ensuring members and senior management own the results	Annual review of Code of Corporate Governance by
	reported	Internal Audit
	<ul> <li>Ensuring robust arrangements for assessing the extent to which the principles contained in this Framework have been</li> </ul>	Annual Governance Statement
	applied and publishing the results on this assessment,	Balanced Scorecard     Community Planning Partnership Reporting
	including an action plan for improvement and evidence to	<ul> <li>Community Planning Partnership Reporting</li> <li>Financial Strategy Reports</li> </ul>
	demonstrate good governance (the annual governance	
	statement)	
	Ensuring that this Framework is applied to jointly managed	
	or shared service organisations as appropriate	
	• Ensuring the performance information that accompanies the	
	financial statements is prepared on a consistent and timely	
	basis and the statements allow for comparison with other,	
Assurance and offerthis	<ul> <li>similar organisations</li> <li>Ensuring that recommendations for corrective action made</li> </ul>	External Audit Improvement Plan
Assurance and effective accountability	by external audit are acted upon	<ul> <li>Internal Audit Actions and Reporting</li> </ul>
	<ul> <li>Ensuring an effective internal audit service with direct</li> </ul>	External Inspection Reports
	access to members is in place, providing assurance with	Annual Governance Statement
	regard to governance arrangements and that	Service Level Agreements/Contracts

recommendations are acted upon	
<ul> <li>Welcoming peer challenge, reviews and inspections from regulatory bodies and implementing recommendations</li> </ul>	
<ul> <li>Gaining assurance on risks associated with delivering services through third parties and that this is evidenced in the annual governance statement</li> </ul>	
<ul> <li>Ensuring that when working in partnership, arrangements for accountability are clear and the need for wider public accountability has been recognised and met</li> </ul>	

Page 60 of 558

Item 8.3

Midlothian Council Tuesday 19 December 2017



# Title of Report: Publication of the Final Report of the Incident Management Team; "Carbon Dioxide Incident in Gorebridge Midlothian April 2014"

## Report by: Kenneth Lawrie Midlothian Council Chief Executive

## 1 Purpose of Report

The purpose of this report is to advise Council of the publication of the Final Report of the Incident Management Team (IMT), dated November 2017, into the incident involving the ingress of carbon dioxide (CO<sub>2</sub>) into houses at Newbyres Crescent, Gorebridge, Midlothian.

The Report details the investigations conducted by the IMT and provides conclusions and recommendations which, if accepted, will require a variety of agencies, including Midlothian Council, to take action.

The Executive Summary of the IMT Report is attached at appendix 1 to this report and a full copy of the Report has been provided in the Members' Library.

## 2 Background

In April 2014 NHS Lothian set up an Incident Management Team (IMT) to investigate reported cases of ill health affecting a number of the residents of a recently built housing development of 64 dwellings, in the previous mining area of Gorebridge, Midlothian.

The Incident Management Team is required to investigate such incidents in accordance with the guidance document; *'Management of Public Health Incidents: Guidance on the Roles and Responsibilities of NHS led Incident Management Teams - October 2011 (Updated July 2013)*. The principal focus of the IMT is the protection of public health. Membership of the core IMT comprised a Consultant in Public Health Medicine NHS Lothian, as chair, with representatives from Health Protection NHS Lothian, Health Protection Scotland, Midlothian Council and SEPA. Scottish Government attended as observers with agencies including The Coal Authority and Midlothian Council consultants attending by invitation.

The Environmental Health Manager of the local authority, where the incident is occurring, is a full member of the core IMT.

Midlothian Council were actively involved in the incident as owners of the affected properties and this has previously been reported to Council in papers:

- Cabinet Report, dated 22 April 2014, Item No 17
- Special Council Report, dated 20 May 2014, Item No 4
- Special Council Report, dated 17 June2014, Items 3A and 4
- Midlothian Council Report dated 4 November 2014 Item no 15.

The Final Report of the Incident Management Team including the conclusions and recommendations is brought before Council for information and necessary action.

## 3 Report Summary

The IMT established that 22 residents from a total of 165 in the affected area made contact with healthcare services between September 2013 and September 2014. The most common complaints were headaches, dry coughs, dizziness and anxiety. The IMT concluded that the seepage of  $CO_2$  into the houses was a significant risk to the health of residents and thus warranted intervention.

The migration of  $CO_2$  into the houses was thought to have been associated with a number of potential 'pathways' including ungrouted disused mine shafts, natural cracks in the ground and manmade interventions over time such as investigation drill holes, grouting work for the Borders rail link, the installation of deep drainage and the presence of vibro stone columns introduced during construction to stabilise the ground for house building. These ground openings could have provided preferential pathways for gas migration into spaces below the foundation slabs.

No gas membranes or other specific mitigation measures had been installed during the construction of the houses, which meant that there was a route for  $CO_2$  through service (utilities) access points in the foundation slabs.

The initial pre-development mine gas risk assessment at the site classed the risk as low and therefore not requiring any mitigation measures. The implication was that this assessment had been insufficiently precautionary given the evidence of potential risk available at the time.

The potential for mine gas migration into the properties was further increased by the floor slab design of the properties, which facilitated ingress of CO<sub>2</sub> especially under amplifying weather conditions of low pressure and high winds.

The IMT considered possible remediation measures and recommended that these should seek to eliminate the recurrence of a similar risk to public health from the mine gases. The IMT found no published evidence to confirm that retrospective remedial action, designed to prevent migration of mine gases into houses constructed without gas membranes, would be guaranteed to prevent migration of mine gases into the houses in the long term.

The IMT identified, and provided to the Council, criteria against which any long term options for the affected houses should be assessed.

Having reviewed five main remediation options in detail, Midlothian Council decided to re-house all the residents and demolish the 64 properties on the site to safeguard the future health of the local residents.

#### 4 Midlothian Council

In September 2016 a second incident of carbon dioxide affecting recently constructed residential properties in Gorebridge was identified. In light of that incident the Midlothian Council Building Standards service have implemented measures deemed appropriate to secure the health and safety of potential home owners in the Gorebridge area.

Development within the Gorebridge area, within an agreed geographical area, will require to adhere to the following interim policy;

- a. Within the designated geographical area, new applications for building warrant are required to provide gas protection measures which meet a minimum 'characteristic situation 2 level' with the provision of a gas membrane and ventilation layer, even where the applicant has undertaken ground investigations which have shown no indication of likely gas migration.
- b. For developments with a building warrant but are yet to start or whose development is unfinished within the Gorebridge designated geographical area, the Council now recommends that gas protection measures which meet a minimum 'characteristic situation 2 level' are provided with the provision of a gas membrane and ventilation layer.

All other properties proposed under building warrant applications within the Midlothian area which fall out with the geographical area of Gorebridge will continue to be asked to take cognisance of Midlothian's prevalent mining history and where required, undergo the current peer review process for the purpose of establishing reasonable enquiry in accordance with associated contaminated land guidance, relative to the building regulations and guidance in force at the time of the building warrant application.

#### 5 Recommendations of the Final Report of the Incident Management Team

- **5.1** The recommendations are set out in Chapter 11 of the Report and summarised in the Report's Executive Summary, a copy of which is attached at Appendix 1 to this paper.
- **5.2** The Incident Management Team has made a series of 26 recommendations which, if accepted, will require actions by a variety of agencies including Midlothian Council, NHS Boards, IMT partners and Scottish Government.

Recommendations 1-3 specifically relate to the incident and site and require action by Midlothian Council. These 3 recommendations are:

1. A robust mechanism should be implemented to limit public access to the site at Gorebridge, to limit the potential for unauthorised occupation of the affected houses until the houses are demolished.

This recommendation has been complied with in that the site was secured to prevent unauthorised access and demolition was completed in early 2016.

2. Before any redevelopment, efforts should be made to ensure that that there is no ongoing threat to public health associated with a recurrence of the mine gas migration problem.

This recommendation is actively being pursued through the site investigation and development processes being undertaken in consideration of redevelopment of the site. Consultation regards redevelopment will take place with NHS Lothian Public Health at the appropriate time. 3. A long term monitoring strategy for any houses built on the site in future should be set out as part of the redevelopment plan, to provide objective evidence for public reassurance, and to confirm that there is no gas migration into any new properties.

This recommendation is actively being pursued. The findings of the site investigation and the determination regards the gas protection measures to be implemented on site during redevelopment, will inform the future monitoring strategy.

Further recommendations are made relating to:

- <u>Management of Future Incidents</u> Nos 4-11 Nos4-7 & 9-10 applicable to all local authorities, No8 specific to NHS Board and No11 specific to Scottish Government regards the funding of specialist technical advice.
- <u>National Policy and Guidance on Mine Gas Migration Risk</u>, Nos 12-20 No 12 specific to the UK Department for Business, Energy and Industrial Strategy, Nos 14-16 and 18-20 specific to Scottish Government, and No 17 applicable to all local authorities.
- <u>Research Needs</u>, Nos 21-26 Specific to Scottish Government.

## 6 Report Implications

## 6.1 Resource

In complying with the recommendations of the IMT report the resource implications include:

- i) the resource required for the current and ongoing protection of human health regards the individual site at Newbyres Crescent Gorebridge. This can be met from within existing local authority resource;
- ii) ensuring sustainable infrastructure and funding of resilience within Midlothian Council to enable an expert response and timely management of environmental hazards to human health.

## 6.2 Risk

Environmental public health incidents can occur suddenly and adversely affect the health of local residents and visitors to the area. Such events require significant input of resources from across the authority and as such the risk of insufficient capacity within Midlothian Council to respond to incidents and to sustain an effective and appropriate response without compromising other aspects of the service should be recognised.

Continued implementation of the specific recommendations regards the site will reduce the risk of human health being adversely affected by this matter.

## 6.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

x	Community safety
х	Adult health, care and housing
x	Getting it right for every Midlothian child
	mproving opportunities in Midlothian

Improving opportunities in Midlothian

x Sustainable growth

Business transformation and Best Value

None of the above

#### 6.4 Key Priorities within the Single Midlothian Plan

Adopting the relevant recommendations contained within the IMT report will further protect public health and contribute to the key priorities.

#### 6.5 Impact on Performance and Outcomes

There is no identified impact on performance measures and outcomes.

#### 6.6 Adopting a Preventative Approach

Continued compliance with the recommendations of the IMT report as they specifically relate to the Newbyres Crescent site will protect human health and contribution to the wider report recommendations will seek to address a more sustainable process for future sites.

#### 6.7 Involving Communities and Other Stakeholders

Engagement with communities and stakeholders took place throughout the incident with the implementation of an exemplary Care for People Group. In accepting and actioning the recommendations Midlothian Council will continue with stakeholder engagement as required. Specific engagement with NHS Lothian Public Health Team will be undertaken at the appropriate time.

#### 6.8 Ensuring Equalities

As there are no revisions or changes since the production of the last equality assessment report, no further equality assessment report is required to accompany this report.

#### 6.9 Supporting Sustainable Development

The outcome to this local situation will influence local policy, and potentially national guidance, particularly with regards to the future development of brownfield sites, in ensuring that any of Midlothian Council future housing developments are not adversely affected by ground gases.

Midlothian Council has introduced an interim policy to secure the health and safety of potential home owners in the Gorebridge area by requiring new applications for building warrant to provide gas protection measures in all cases and applications outwith Gorebridge continue to be asked to take cognisance of Midlothian's prevalent mining history and where required, undergo the current peer review process for the purpose of establishing reasonable enquiry in accordance with associated

contaminated land guidance, relative to the building regulations and guidance in force at the time of the building warrant application.

In addition, all new build carried out by the Council will have gas membranes installed, irrespective of the level of risk assessed within the Site Investigation Report.

#### 6.10 IT Issues

There are no IT implications arising from this report.

#### 7 Summary

The Final Report of the Incident Management Team into the Carbon Dioxide Incident in Gorebridge Midlothian has been completed and published. The report details the investigations of the IMT, the conclusions and recommendations.

There are three recommendations specifically for Midlothian Council regards the incident and site and these are either completed or under active pursuance.

Wider recommendations for a variety of stakeholders, including Scottish Government are also made.

#### 8 **Recommendations**

Council is recommended to:

- i) note the publication of the Final Report of the Incident Management Team into the Carbon Dioxide Incident in Gorebridge;
- ii) commend the work of the Incident Management Team and partner agencies in the investigation of this incident;
- iii) recognise the work of the Care for People Group, established by Midlothian Health and Social Care Partnership together with NHS Lothian and Midlothian Council, as a model of good practice;
- iv) note the IMT recommendations as detailed in the Executive Summary of the 'Carbon Dioxide Incident in Gorebridge, Midlothian, April 2014' report;
- v) support the report findings in taking forward the recommendations made by the Incident Management Team (IMT), and note the ongoing implementation of those recommendations (numbered 1 to 3) which specifically require action by Midlothian Council; and
- vi) support implementation of the recommendations for action by any future local Incident Management Teams.

#### Date 29 November 2017

#### **Report Contact:** Name Edel M Ryan Environmental health Manager Tel No: 0131 271 3742 edel.ryan@midlothian.gov.uk

Appendix 1

NHS Lothian Carbon Dioxide Incident in Gorebridge Midlothian, April 2014 Final Report of the Incident Management Team, November 2017

#### **Executive Summary**

#### The incident

In April 2014, NHS Lothian set up an Incident Management Team (IMT) to investigate reported cases of ill health affecting a number of the residents of a recently built housing estate in the previous mining area of Gorebridge, Midlothian. The IMT was set up following notification to the Health Protection Team (HPT) from a general practitioner (GP) and hospital doctor who had seen patients with complaints that they associated with carbon dioxide ( $CO_2$ ) exposure. It was later established that the incident had been going on since September 2013 when two households were first affected.

Safeguarding the health and safety of the residents throughout the incident was a priority for the IMT. From the start the IMT ensured that the situation remained under close surveillance and recommended measures to the NHS Lothian HPT and Midlothian Council to minimise the acute risk to residents. This included alerting local GPs to the incident, ensuring that adequate and appropriate health related information was provided to residents and the public, and advising on the installation of alarm monitors in all houses, supported by a dedicated 24-hour council response team, evacuation and rehousing, and adequate and continuous monitoring of mine gases.

#### **Investigation and Risk Assessment**

A total of 22 residents from a total of 165 in the affected area made contact with healthcare services between September 2013 and September 2014. The most common complaints were headaches, dry coughs, dizziness and anxiety. The IMT concluded that the seepage of  $CO_2$  into the residential houses was a significant risk to the health of residents and thus warranted intervention.

The IMT conducted systematic investigations using the source-pathway-receptor model to assess risks to health, and to identify appropriate options for action to manage those risks in the short and long term. The process involved obtaining copies of previous relevant investigations and background reports provided by Midlothian Council, obtaining independent expert advice to inform its decisions, sampling gas from the houses and mine gas, monitoring the levels of  $CO_2$  in the affected houses and surveillance of interaction of the residents with health services.

The investigation by the IMT was heavily reliant on the support of agencies including SEPA and the Coal Authority, as well as on the findings of technical investigations undertaken by commercial consultants commissioned by the local authority. The cumulative evidence from all these investigations lead the IMT to conclude that the CO<sub>2</sub> detected in the properties was of historical coal mine origin.

The source of the ground gas was considered most likely to be the abandoned coal workings containing elevated levels of oxidising coal deposits, creating carbon dioxide, which migrated to the surface as a result of changes in atmospheric pressure and other factors. This hypothesis was supported by the findings of radiocarbon analysis carried out on behalf of the IMT, that the  $CO_2$  from the houses was of geological origin and similar to that originating in the areas abandoned coal mines.

The migration of  $CO_2$  into the houses was thought to have been associated with a number of potential pathways including ungrouted disused mine shafts, natural cracks in the ground and manmade interventions over time such as investigation drill holes, grouting work for the Borders rail link, the installation of deep drainage and the presence of vibro stone columns introduced during construction to stabilise the ground for house building. These ground openings could have provided preferential pathways for gas migration into spaces below the foundation slabs. No gas membranes or other specific mitigation measures had been installed during the construction of the houses, which meant that there was a route for  $CO_2$  through service (utilities) access points in the foundation slabs.

The evidence from the Coal Authority (**Appendix 1 and Appendix 2** [of the Final report] ) also identified that the initial pre-development mine gas risk assessment at the site classed the risk as low and therefore not requiring any mitigation measures. The implication was that this assessment had been insufficiently precautionary given the evidence of potential risk available at the time. The initial assessment was heavily dependent on very limited measurements of gas concentration and flow. The assessment did not apparently anticipate the additional risk associated with the impact of ground treatment measures used to stabilise the site, including extensive grouting of the area and use of vibro stone columns to provide support to the house foundations. The potential for mine gas migration into the properties was further increased by the floor slab design of the properties, which facilitated ingress of  $CO_2$  especially under amplifying weather conditions of low pressure and high winds.

## **Risk Management**

The IMT recognised early that whatever solutions were devised to address residents' exposure to potentially harmful levels of CO<sub>2</sub>, substantial engineering work would be required. A plan for residents to leave their homes had to be developed. The IMT recommended that Midlothian Council and NHS Lothian put in place a Care for People Group (CPG) to look after the health, social and mental wellbeing of the residents as they were relocated while investigations continued. The group addressed the individual resident's issues and situations and was very helpful in the successful resettlement of residents in new homes.

The IMT considered possible remediation measures and recommended that these should seek to eliminate the recurrence of a similar risk to public health from the mine gases. In this incident, the Coal Authority deemed that it did not have legal liability for the migration of the mine gas due to the circumstances surrounding the construction of the estate. Responsibility for managing the situation therefore fell to Midlothian Council. However, where it does determine that it has liability for a mine gas migration problem in residential property, the response by the Coal Authority for managing similar situations is usually to demolish the property and rebuild.

The IMT found no published evidence to confirm that retrospective remedial action, designed to prevent migration of mine gases into houses constructed without gas membranes, would be guaranteed to prevent migration of mine gases into the houses in the long term.

## Conclusions

The seepage of carbon dioxide into the houses in Gorebridge was a rare, complex and costly incident associated with old coal mine workings. This incident is, to date, probably the most serious such  $CO_2$  related incident in Scotland. The IMT has made recommendations to the Scottish Government on areas where national level review, research and guidance are required. It has also made recommendations for action by local authorities that are likely to have housing developments on similar sites.

For the long-term use of the site, the IMT recommended that before any future developments took place, the council should ensure that all statutory procedures were taken plus appropriate advice from bodies with expertise in relevant technical fields. This will ensure that there will be no possible recurrence of the problem, and no future threat to public health.

The current procedure for mine gas risk assessment gives the primary responsibility, for assessing the risk and determining what mitigation if any is required, to the site developers. The IMT concluded that this is unsatisfactory, unsafe and not consistent with a precautionary approach designed to protect public health. The investigation identified fundamental flaws in the present system creating the potential for failure to assess the risk correctly or to adopt adequate mitigating measures when necessary at the time of property construction. The IMT therefore considered that, at the very least, there should be a comprehensive review and revision of the current risk assessment and mitigation process.

A review is also justified in view of information provided by SEPA that as time progresses groundwater levels in abandoned mining areas gradually rebound to their pre-mining state. Monitoring of groundwater levels in abandoned mine areas is often undertaken by the Coal Authority. Rising groundwater levels are known to be associated with an increased risk of mine gas migration. Hence, in any abandoned mining area where the water table level has not yet reached an equilibrium point, there is likely to be additional uncertainty in future mine gas migration risk prediction. This is another reason to encourage a more highly precautionary approach to mitigation measures.

An additional environmental cause of mine gas risk uncertainty relates to future change in precipitation associated with predicted climate change in Scotland. It is possible that climate change may cause alterations in rainfall patterns in future however how this will be reflected in groundwater levels is currently unclear. As ex-mining areas complete their groundwater rebound phase, the relative impact of any such change will increase over time. The consequential impact of any climate change related effect on mine gas migration risk is uncertain but could act to increase the overall risk. This is therefore yet another source of uncertainty making mine gas risk prediction more imprecise and another reason for advocating the adoption of a more highly precautionary stance to future proof mine gas mitigation measures.

The IMT concluded that a review and revision of the present mine gas risk assessment and management process is necessary. However, the IMT was not persuaded that a change to the risk assessment process alone would be sufficient to guarantee that a similar incident could not occur in future. The IMT was convinced that any process that leaves the primary responsibility for mine gas risk assessment and management to the site developers is likely to fail at some point. The process is therefore not "fail safe"; the risk of failure in terms of the

potential harm to public health is unacceptable and the costs of remediation works are unsustainably wasteful.

The final position of the IMT was that mandatory use of mitigation measures in new build developments would be the only effective way to minimise the risk of a recurrence of the problems identified in the Gorebridge incident.

The IMT therefore concluded that installing mine gas mitigation measures should be made mandatory in all new residential and similar developments at the time of construction, in all areas of Scotland designated by the Coal Authority as former mining areas.

## Recommendations

The IMT has made a series of 26 recommendations on:

- The Gorebridge incident and future site management
- The management of future incidents
- National policy and guidance on mine gas risk assessment and risk management
- Future research needs in relation to the problem of mine gas migration

#### The Gorebridge Incident and Site

1. A robust mechanism should be implemented to limit public access to the site at Gorebridge, to limit the potential for unauthorised occupation of the affected houses until the houses are demolished.

Action: Midlothian Council (N.B. demolition was completed in early 2016).

2. Before any redevelopment, efforts should be made to ensure that that there is no ongoing threat to public health associated with a recurrence of the mine gas migration problem. Action: Midlothian Council

3. A long term monitoring strategy for any houses built on the site in future should be set out as part of the redevelopment plan, to provide objective evidence for public reassurance, and to confirm that there is no gas migration into any new properties. Action: Midlothian Council

#### **Management of Future Incidents**

4. Agencies should notify each other of any relevant potential public health incident at the earliest suspicion.

Action: all relevant agencies involved in managing EPH incidents (NHS boards, local authorities, SEPA, FSS etc).

5. IMT representatives should inform their parent agencies of the principles that govern the operation of an IMT as defined in Scottish guidance on managing public health incidents. Action: NHS boards (Chairs of IMTs) and IMT partners.

6. Roles and responsibilities of each IMT member should be clarified at each IMT meeting to ensure that members understand each agency's roles. Action: NHS boards (Chairs of IMTs) and IMT partners.

7. Joint training and exercising by partners and familiarisation with each other's methods of work is recommended to improve the effective working of IMTs. Action: NHS boards (Chairs of IMTs) and IMT partners.

8. Consistent and good quality administrative support is required for an IMT especially in complex incidents (such as this), which may need to be managed over a long time period.

Action: NHS boards (Chairs of IMTs).

9. The communication teams of all agencies represented on an IMT need to work closely with each other to ensure consistency in message content and in the timely release of messages for the public.

Action: IMT partners from all relevant agencies involved in managing Environmental Public Health incidents (NHS boards, local authorities, SEPA, FSS etc).

10. The need for a Care for People Group (or equivalent) should be considered during any such incident, to provide a focus for coordinating advice and action on the needs of affected people.

Action: NHS boards and local authorities

11. Arrangements for funding highly specialist impartial expert scientific and technical advice that is beyond the competence and expertise of the public sector agencies represented on the IMT needs to be considered further, with a view to providing clear guidance to IMTs in future.

Action: Scottish Government.

#### National Policy and Guidance on Mine Gas Migration Risk

12. With respect to the Coal Authority, in addition to fulfilling its statutory responsibilities, the potential role of the Coal Authority to assist public health led IMT investigations into future mine gas incidents should be reviewed. A mechanism should be established to facilitate the active participation of the Coal Authority as an IMT member, irrespective of the Coal Authority's own liability.

Action: UK Department for Business, Energy and Industrial Strategy.

13. The potential for the Coal Authority to adopt a more active role in quality assuring the adequacy of pre-development mine gas risk assessments and ensuring the adoption of adequately precautionary gas migration mitigation measures, should be explored. Action: The Coal Authority

14. Relevant Scottish Government directorates should be made aware of this incident, its implications and the potential scale and significance of the IMT findings. Action: Scottish Government.

15. The potential for increases in mine gas migration risk linked to water table rise should be flagged to relevant Scottish Government Directorates as a concern in terms of both the ongoing natural water table rebound phenomenon in former mining areas and in terms of the potential consequences of future climate change. Action: Scottish Government.

16. Developers, land use consultants and planning authorities should be made aware of the content of this report.

Action: Relevant Scottish Government Directorates to advise developers, consultancies, local authority planning and environmental health departments. Action: Scottish Government.

17. Local Authorities (LAs) in Scotland reviewing proposals for the development of land with a history of former mining activity should review the adequacy of any accompanying mine gas risk assessment with added care. LAs should determine if an assessment has considered the potential risk of gas migration in the short, medium and the longer term future.

Action: All Local Authorities.

18. The existing Scottish Government arrangements for licensing access to British Geological Survey (BGS) mapping data should be reviewed to enable increased free access to British Mine Gas Risk maps by public sector bodies in Scotland. Improved access to these datasets is needed to improve the capacity of local authorities and other public sector agencies to more easily independently evaluate the adequacy of mine gas risk assessments carried out by developers in their areas.

Action: Scottish Government

19. To protect the health of existing or future occupants of a property where persistent mine gas has been identified as a problem, there is need for a mechanism to require the owner to take appropriate action which may include demolition or closure of the property if it is considered that remediation works will not guarantee the future protection of public health. Action: Scottish Government

20. Mine gas mitigation measures should be made mandatory in all new residential and similar developments, in all areas of Scotland designated by the Coal Authority as former mining areas, irrespective of their current designation as either low or high risk. Action: Scottish Government.

## **Research Needs**

Further research is needed to investigate specific issues identified in this incident. 21. An assessment is required to determine the impact that natural rebound of groundwater levels is having in ex-mining areas in Scotland in terms of the effect on altering the risk of mine gas migration.

Action: Scottish Government.

22. An assessment is required to determine the impact of predicted increases in rainfall and severe weather events, associated with climate change, on the risks of mine gas migration. Action: Scottish Government.

23. A systematic review is required of the evidence in relation to the options for and efficacy of retrospective mitigation measures to control the ingress of mine gas, including CO<sub>2</sub>, to existing developments (properties).

Action: Scottish Government

24. Specific research studies are required and should be funded to investigate the utility and efficacy of retrospective measures to control CO<sub>2</sub> ingress and levels in CO<sub>2</sub> affected properties in Scotland. Action: Scottish Government

25. Research should be conducted in former mining areas across Scotland to determine if mine gas migration is occurring in housing developments similar to that constructed in Gorebridge, where no mine gas mitigation measures have been incorporated in their construction.

Action: Scottish Government

## Independent Expert Review of Mine Gas Risk Assessment and Mitigation in Scotland:

26. Scottish Government should consider establishing an independent expert group to review the processes and guidance for mine gas risk assessment and mitigation in Scotland. Action: Scottish Government



Audit Scotland Report: Local government in Scotland: Financial Overview 2016/17 (Audit Scotland, November 2017)

## Report by: Kenneth Lawrie, Chief Executive

## **1** Purpose of the Report

To provide Audit Committee with a summary of the Audit Scotland report, 'Local government in Scotland: Financial Overview 2016/17' and the Council's position in relation to the report's findings. Link to the full report here:

http://www.auditscotland.gov.uk/uploads/docs/report/2017/nr 171128 local government finance.pdf

## 2 Background

- 2.1 Each year the Accounts Commission produces an overview of issues that have arisen from their local authority audits. In line with the previous 2015/16 publications for 2016/17 these will again be encompassed in two reports. The first report, which is covered in this paper, focuses on financial matters, and the other, which will be published in April 2018 will focus on council's performance and outcomes.
- **2.2** Local government in Scotland: Financial Overview 2016/17 was published by the Accounts Commission in November 2017. The report provides a high-level, independent view of Councils financial performance and position in 2016/17. It is aimed primarily at Councillors and senior council officers as a source of information and to support them in their complex and demanding roles. It is in three parts:
  - Part 1 comments on councils' income and budgets for 2016/17.
  - Part 2 looks at councils' financial performance during, and position at the end of, 2016/17.
  - Part 3 looks at councils' 2017/18 finances and the challenges faced going forward.
- **2.3** The report is the first of the Account's Commission overview outputs. It tells the strategic financial story for local government in Scotland in 2016/17, another challenging year for Councils. The report notes that there was a real term reduction in councils' main source of funding from Scottish Government for 2016/17 and advised that councils were finding the situation more serious than ever, with savings becoming increasingly

difficult to identify and achieve. The Accounts Commission identified effective leadership and financial management as becoming increasing critical and medium-term financial strategies and well thought out savings plans being key to financial resilience and sustainability.

- 2.4 The report further noted the need for elected members to be clear about the potential impact of planned savings on achieving corporate objectives and subsequent outcomes for citizens whilst identifying that the implications of community empowerment legislation heightening the importance of engaging effectively with communities around local priorities, and working together on options for the best future use of resources.
- **2.5** Audit Scotland, in their report, continue to emphasise the importance of Best Value as a comprehensive framework for continuous improvement to support high performing and effective councils.
- **2.6** The key messages identified in the 2016/17 report include:
  - Councils' financial challenges continue to grow. Funding reductions are compounded by increasing costs and demands on services. In response, councils have needed to achieve ambitious savings plans, including around £524 million of savings for 2016/17.
  - Councils are showing signs of increasing financial stress. They are finding it increasingly difficult to identify and deliver savings and more have drawn on reserves than in previous years to fund change programmes and routine service delivery. Some councils risk running out of General Fund reserves within two to three years if they continue to use them at levels planned for 2017/18.
  - Debt increased by £836 million in 2016/17 as councils took advantage of low interest rates to borrow more to invest in larger capital programmes. Councils' debt levels are not currently problematic, but some are becoming concerned about affordability of costs associated with debt within future budgets.
  - Councils' budget-setting processes for 2016/17 were complicated by late confirmation of funding from the Scottish Government and the funding arrangements for integrating health and social care. Councils' expenditure and use of reserves often differed noticeably from that originally planned, indicating the need for budget-setting to become more robust and reliable.
  - All councils received an unqualified audit opinion on their 2016/17 accounts but auditors found that in several councils financial management could be improved. Councils can use their accounts to more clearly explain their financial performance over the whole year to support better scrutiny.
  - The financial outlook for councils continues to be challenging, with the need to deliver savings being increasingly critical to their financial sustainability. As such, robust medium-term financial strategies and effective leadership to deliver them are of increasing importance.

## 3 Financial Overview 2016/17

- **3.1** Part 1 Councils' income and budgets for 2016/17 notes the following key messages:
  - 1. 2016/17 was a challenging year for councils with a real-terms reduction in revenue funding, a continuation of the council tax freeze, inflationary pressures and the cost of new UK and Scottish Government policy commitments.
  - 2. Councils depend on Scottish Government funding for the majority of their income. The largest element of Scottish Government funding, relating to Grant Aided Expenditure, has remained largely unchanged since 2008/09, with additional funding linked to supporting national policies. The Scottish Government and COSLA should assure themselves that the funding formula remains fit for purpose in a changing landscape for local government. It is important that it is suited to improving outcomes for local communities and sensitive to priorities such as reducing inequality within and across council areas.
  - 3. In response to funding reductions, councils approved about £524 million of savings and the use of £79 million of their reserves when setting budgets for 2016/17. Councils' savings plans have focused on reducing staff numbers, rationalising surplus property and improving procurement of goods and services. Councils were not always clear in their budget-setting reports about the risks associated with savings and their potential impact on levels of service.
  - 4. Councils' budget-setting processes for 2016/17 were complicated by later confirmation of funding from the Scottish Government and the funding arrangements for integrating health and social care.
  - 5. Councils set larger capital budgets in 2016/17 than in 2015/16. The Scottish Government capital grant fell and councils planned to fund expenditure through increased borrowing.

These key messages reflect the challenges Midlothian Council faced when setting a budget for 2016/17 and subsequently the ability to delivering services within the constrained budget. The budget for 2016/17 included a package of measures to address a  $\pounds$ 7.6 million budget shortfall which included a  $\pounds$ 2.6 million utilisation of reserves. The final outturn reported to Council in June 2017 showed a net overspend for the year, met from reserves of  $\pounds$ 2.5 million.

- **3.2** Part 2 Financial Performance notes the following key messages:
  - 1. All councils received an unqualified audit opinion on their 2016/17 accounts but the accounts could more clearly explain their financial performance.
  - 2. Councils are showing signs of increasing financial stress with 20 councils drawing on their usable reserves in 2016/17.

- 3. Councils' actual use of reserves was often quite different from that originally planned. The reasons why are not always clear.
- 4. Auditors found that budget-setting needed to be more robust and that financial management could be improved in several councils.
- 5. Levels of net debt increased by £836 million in 2016/17. On average councils spent almost ten per cent of their revenue budgets servicing this debt. Some councils are concerned about the ongoing affordability of servicing their debt as resources decrease
- 6. Councils that have been proactive in making difficult decisions will be better placed to deal with future financial pressures.

Again the key messages reflect the challenges the Council faces. As the resources available to the Council continue to reduce in real terms it is increasingly important that there is a robust budget setting process and that robust financial management and reporting is maintained. Council has a continued requirement to invest in assets to support the growing population. Though the level of borrowing is increasing the Treasury Management Strategy and prudential indicators provide Council with reassurance that this level of investment is financially sustainable and can be serviced from the revenue budget.

There is no doubt that difficult decisions lie ahead for all Councils and the report highlights the importance of being proactive in addressing the financial pressures.

- **3.3** Part 3 Financial Performance notes the following key messages:
  - 1. The financial outlook for councils remains challenging with further real-terms reductions in funding and a range of cost and demand pressures on budgets.
  - 2. In total councils approved £317 million of savings and the use of £105 million of reserves when setting budgets for 2017/18.
  - 3. Some councils relying heavily on the use of reserves to fund services will need to take remedial action or they will run out of General Fund reserves within two to three years.
  - 4. Robust medium-term financial strategies and savings plans are increasingly critical to the financial sustainability of councils.
  - 5. Strong leadership is increasingly important and it is essential that councillors work effectively with officers, their partners and other stakeholders to identify and deliver necessary savings. It is important that councils engage with local communities when planning and delivering services and identifying savings.

These Key messages reflect those encompassed in the Financial Strategy reports to Council. At £2.1 million the projected available General Fund reserve provides no scope for further utilisation of reserves to balance the 2018/19 budget. While Council only has a duty to set a budget for the year ahead, it is critical it does so taking cognisance of the medium term financial projections.

## 4 Scrutiny Tool for Councillors

The Accounts Commission has produced a Scrutiny tool for Councillors which is attached at the end of this report as Appendix 1.

Throughout the report, a number of example questions are identified that councillors may wish to consider to help them better understand their council's financial position and to scrutinise financial performance. The questions are available in Appendix 1 and are also included as a link on the following Audit Scotland website:

<u>http://www.audit-</u> <u>scotland.gov.uk/uploads/docs/report/2017/nr\_171128\_local\_government</u> finance\_supp1.pdf

## 5 Report Implications

#### 5.1 Resource

There are no additional resource implications.

#### 5.2 Risk

Whilst there are no additional direct risks associated with this report, the Audit Scotland Report – Local government in Scotland: Financial Overview 2016/17 does ask members to consider the wider scrutiny and performance management and risk elements associated with their role.

## 5.3 Single Midlothian Plan

Themes addressed in this report:

- Community safety
- Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- Sustainable growth
- Business transformation and Best Value
- None of the above

## 5.4 Key Priorities within Single Midlothian Plan

Midlothian Council and its Community Planning Partners have made a commitment to treat the following areas as key priorities under the Single Midlothian Plan:-

- Reducing the gap in learning outcomes
- Reducing the gap in health outcomes
- Reducing the gap in economic circumstances

This report does not directly impact Midlothian Council's key priorities but a key message within the Audit Scotland Report does make reference to the need for clear priorities.

## 5.5 Impact on Performance and Outcomes

The report does not directly impact Midlothian Council's and wider partners performance and outcomes but it does stress the need to ensure consideration is given to the wider strategic planning and objectives as part of the council's response to Audit Scotland's finding noted in their report.

## 5.6 Adopting a Preventative Approach

This report does not directly impact actions and plans in place to adopt a preventative approach.

## 5.7 Involving Communities and Other Stakeholders

This report does not directly relate to involving communities but the Audit Scotland Report does emphasise the need to address the requirements in the Community Empowerment (Scotland) Act 2015.

#### 5.8 Ensuring Equalities

This report does not recommend any change to policy or practice and therefore does not require and Equalities Impact Assessment.

#### 5.9 Supporting Sustainable Development

The recommendations in this report support Midlothian Council's position in relation to Audit Scotland's findings for the wider overview of Local government in Scotland: Financial Overview 2016/17 and therefore support ongoing sustainable development.

#### 5.10 IT Issues

There are no IT issues arising from this report at this time.

## 6 Recommendations

The Committee is asked to note the Audit Scotland report and the position of Midlothian Council in relation to the report's key messages.

**Appendix 1:** Local government financial overview 2016/17 - Scrutiny tool for Councillors

Date: 28 November 2017 Report Contact: Myra Forsyth myra.forsyth@midlothian.gov.uk

Tel No: 0131 271 3445

Background Papers:

Accounts Commission - Local government in Scotland: Financial Overview 2016/17 – (November 2017)

Scrutiny tool for Councillors

# Local government financial overview 2016/17 Scrutiny tool for councillors

This scrutiny tool captures a number of potential questions for councillors and relates to our report *Local government in Scotland Financial overview 2016/17*.

It is designed to provide councillors with examples of questions they may wish to consider to help them better understand their council's financial position and to scrutinise financial performance.

How well i	nformed am I?	
Questions for councillors to consider	What do I know?	Do I need to ask further questions?
Budget setting (paragraphs 65–68 and 76–80)		
<ol> <li>Does your council have a medium term financial strategy aligned with corporate objectives?</li> </ol>		
2. How does annual budget setting link to medium term financial planning?		
3. How is your council preparing for any further real terms reduction in Scottish Government funding?		
4. If your council plans to raise council tax do you know how much it will raise? How will you communicate and explain the reasons for the rise to constituents?		
5. What impact will savings have on the delivery of services? What are the potential risks?		
Financial and savings plans (paragraph 69–80 and 86)		· · · · · · · · · · · · · · · · · · ·
6. What is your council's financial position? What particular challenges does the council face?		
7. Does your council have a savings plan? What are the		
Dege	80 of 558	

options to close future funding gaps?	
8. What measures in the council's corporate and transformational plans are aimed at addressing the underlying demand for some services?	
Reserves (paragraphs 36-48)	
9. What is the councils reserves policy?	
10. What have reserves been used for in recent years? Supporting services and bridging the funding gap or transforming services?	
11. What are the different types of reserves your council holds? Do you know what these can be spent on?	
12. What is the likely use of reserves for 2017/18? How does this compare to forecast funding gaps?	
13. What are the levels of reserves held by your council's IJB? Are these in line with the IJB's reserve policy?	
Levels of debt and affordability (paragraphs 49–54)	
14. What share of your council's budget is taken up with interest payments and debt repayment?	
15. What proportion of the council's debt is linked to inflation (ie, subject to indexation)? What does that mean for longer term affordability?	
Budget outturn reports and management commentaries	
16. Do budget monitoring reports clearly explain performance against plans and any changes to plans?	
17. Do management commentaries clearly explain council performance and any changes to plans?	
Financial scrutiny (paragraph 84)	
18. What additional training would you like to receive to develop your knowledge and skills in financial scrutiny?	
Charging for services (paragraphs 23–26)	
19. Does your council have a charging policy? Is this in line	

with corporate plans and objectives? When was this last reviewed?	
20. What information do you need to be able to explain increases in fees and charges to your constituents?	
Exit packages (paragraph 40–42)	
21. Are staff severances in line with the council's workforce plan?	
22. How does the council ensure that councils have the capacity to delivery transformational change?	
23. Do you know the implications of your council's pension liabilities of staff retiring early?	
Capital programmes (paragraphs 31–33 and 65–66)	
24. How clearly does the council's capital programme link with the asset management plan and corporate objectives?	
25. Has non-delivery of the capital programme (ie, slippage) been significant at your council in recent years? Why?	



## Services to Communities: Property Rationalisations

## Report by John Blair, Director Resources and Mary Smith, Director of Education, Communities and Economy

#### 1 Purpose of Report

This report has been prepared to update the Council regarding the work being carried out in the Newtongrange and Mayfield areas in the context of the Services to Communities review and to seek approval to close Newbattle Pool and Mayfield Leisure Centre upon the opening of the Newbattle Community Campus in spring 2018.

Furthermore, this paper advises that a report on the regeneration of Newtongrange Town Centre will be presented to a future meeting of the Council and that report will outline proposals for other property rationalisations in the Newtongrange area.

## 2 Background

#### 2.1 Council Meeting 25 June 2013

At its meeting on 25 June 2013 the Council considered a report on the Newbattle Community High School Replacement. The Council approved the following recommendations:

- (a) To approve <u>Option B</u> in the report, as amended, as follows:-
  - *(i)* New build school plus enhanced facilities; and
  - (ii) The retention of Gorebridge Leisure Centre, Gorebridge Library, Newtongrange Leisure Centre, Newbattle Community Learning Centre, Newtongrange Library in their existing locations;
- (b) To agree to the provision of £15.322M in the General Services Capital Plan this being the capital contribution injection into the private sector SPV and the maximum projected amount per ESA 95 regulations;
- (c) To agree in principle to support the injection of £1.135M into the private sector SPV subject to further detail on the specific risks and rewards inherent in this investment being brought forward to a further meeting of Council;
- (d) To instruct the Director, Education, Communities and Economy to continue working in partnership with the local communities to address regeneration opportunities; and
- (e) To agree to receive a further report outlining detailed proposals for the wider regeneration of the area aimed at improving outcomes Page 83 of 558

across each neighbourhood in partnership with local community groups and key Stakeholders.

In this report the Director Education and Children's Services also made the following recommendations which were rejected by Council:-

- "(iii) The closure and demolition of Newbattle Swimming Pool and relocation to the new Newbattle Community High School;
- *(iv)* The closure and potential community asset transfer of Mayfield Leisure Centre to the new Newbattle Community High School;
- (v) The closure of Mayfield Library with the retention of the building for use by Mayfield and St Luke's Primary School with a satellite provision for early year's literacy to be provided by the Library staff at the new Library which would be relocated to the new Newbattle Community High School."

## 2.2 Services to Communities Review

The recommendation approved by the Council in respect of the wider regeneration of the area has been taken forward through the Services to Communities review, which is part of the Council's Business Transformation Programme. Progress with this review is reported regularly to the Business Transformation Steering Group (BTSG) with any recommendations reported to Council for approval.

The Services to Communities work stream was initiated in May 2014 with the reporting of the project definition document to BTSG. The original remit and activity of the Services to Communities work stream focused on proposed savings in three areas:

- review of grants to communities;
- service redesign of the community learning and development service;
- property rationalisation.

Updates on the Services to Communities work stream have been included on an ongoing basis at subsequent BTSG meetings. The first two elements of the review were concluded and implemented by 2016.

The third element, property rationalisation, remains under consideration and originally this strand was assessed as having the potential to achieve approximately £850,000 savings from the rationalisation of Council buildings at Danderhall and Newtongrange, with Mayfield Leisure Centre also forming part of the property rationalisation considerations.

From October 2016, the updates have specifically referred to the fact that the locations for the property rationalisation relate to the Shawfair and Newbattle developments. Later reports have included and specified the Danderhall and Newtongrange property rationalisations. A separate report will be presented to Council in relation to the provision at Danderhall in the context of the wider Shawfair development.

In addition as part of the 2017/18 budget, the Strategic Leadership Group identified two further phases of work which are the review of Welfare Rights and a further phase of the review of grants to communities.

The following table summarises extracts of Highlight Reports from the Services to Communities Board, which were presented to the Business Transformation Steering Group in the period from July 2014 to February 2017. Members should note that updates were provided to all meetings of the BTSG.

BTSG meeting	Comments/Updates regarding Property Rationalisation
31 July 2014	Scope of work stream currently under development
5 October 2015	Any decisions on property rationalisation will be aligned to the services we shape and design working with and engaging with our communities. Services to Communities – The savings associated with reshaping services have been re profiled from 2017/18 to 2018/19 onwards.
29 August 2016	Whilst Board understand that any decisions on property rationalisations must be aligned to the services we shape and design working with our communities a discussion on the impact on savings targets is recommended.
10 October 2016	Whilst Board understand that any decisions on property rationalisations must be aligned to the services we shape and design Working With Our Communities. The provision of Shawfair, Newbattle will have an influence on the current discussion.
9 January 2017	Decisions on property rationalisation need to be aligned to the services we shape and designed working with our communities. The locations for this rationalisation are Danderhall and Newtongrange.
27 February 2017	Decisions on property rationalisation need to be aligned to the services we shape and designed working with our communities. The locations for this rationalisation are Danderhall and Newtongrange. Impact regarding Shawfair and new Newbattle will be key factors for consideration.

Savings targets associated with the Services to Communities review have featured in previous years Financial Strategy reports and have been incorporated into previously approved budgets. For example, the 2015/16 to 2017/18 Financial Strategy report to Council on 16 December 2014 set out a savings targets of £50,000 rising to £950,000 in 2017/18. The final 2017/18 to 2021/22 Financial Strategy report to Council on 7 February 2017 incorporated savings targets of £200,000 for 2017/18 rising to £1.050 million thereafter. The savings targets for the property rationalisation strand have been reprofiled over that period as a consequence of the delay to the new Newbattle Centre as a result of issues surrounding European funding rules (ESA 10) which has impacted on the construction of the Newbattle School (Now named Newbattle Community Campus) by approximately eighteen months.

The work of the Services to Communities work stream has informed the wider Business Transformation Programme which, in turn, has fed through into the Page 85 of 558 proposals contained within the Council's Financial Strategy, which is currently the subject of public engagement.

**2.3** The Council at its meeting on 7 February 2017 was advised of transformation savings as set out in the following table:

	2017/18	2018/19	2019/20	2020/21	2021/22
	£m	£m	£m	£m	£m
Children's Services	0.532	0.806	0.867	0.867	0.867
Services to	0.200	1.050	1.050	1.050	1.050
Communities					
Education	0.329	0.755	0.790	0.790	0.790
Customer Service	0.175	0.175	0.175	0.175	0.175
Health and Social	1.555	2.555	2.555	2.555	2.555
Care					
Totals	2.791	5.341	5.437	5.437	5.437

## Council Transformation Programme Additional Savings -

The report noted that savings targets set out in the table above exclude those already reflected in the 2016/17 approved budget and are predicated on the outcomes of the reviews and any subsequent decisions taken by Council and so remained indicative.

At the February 2017 meeting, the Council formally approved the 2017/18 budget and set the Council Tax for 2017/18.

## **Current Position**

In respect of the 2018/19 to 2021/22 financial years, the Financial Strategy report to the Special Council meeting on 10 October 2017 outlined a savings target for 2018/19 for the Services to Communities Transformation Programme of £850,000 (representing the £1,050,000 reported in the 7 February 2017 report, less the £200,000 already incorporated in the 2017/18 approved Council budget). This report once again noted that the savings targets are predicated on the outcome of the reviews and any subsequent decisions taken by Council and so remain indicative targets. Accordingly, this savings target comprises the following components:

Property Rationalisation			Notes
Newbattle Swimming Pool	£244,500		(i)
Newtongrange Library	£67,000		
Danderhall Leisure Centre	£165,000		(ii)
Mayfield Leisure Centre	£137,000		(ii)
Sub Total	£613,000	£600,000	
		[Rounded]	
Further review of grants to		£150,000	(iii)
communities			
Review of the Welfare Rights Service		£100,000	<u>(iv)</u>
		<u>£850,000</u>	

#### Notes:

- i. A more detailed breakdown of the property budgets is outlined in appendix 1 to this report.
- ii. The inclusion of Mayfield Leisure Centre has arisen separately from the original Services to Communities work stream that previously referred to properties at Danderhall and Newtongrange.
- iii. The figure of £150,000 savings from the further review of grants is included within the Change Programme reported to Council on 10 October 2017 and is included in the above table for completeness.
- iv. The figure of £100,000 savings from the review of the Welfare Rights Service is also shown as a separate proposal in the Financial Strategy, however, this has been included in the above table for completeness.

## 2.4 Business Transformation Steering Group 4 December 2017

At the Special meeting of the Business Transformation Steering Group held on Monday 4 December 2017, the following recommendation was approved by Members present following consideration of a report entitled Business Transformation Programme – Services to Communities by the Director Education, Communities and Economy dated 20 November 2017.

It is recommended that Business Transformation Steering Group

- Notes the current position in relation to the ongoing assessment of proposals to rationalise property at Danderhall, Newtongrange and Mayfield.
- Agrees that Council be asked to make a final decision at an early date on the chosen location for the new Shawfair secondary school.
- Agrees that Council be asked to confirm at an early date the closure of the Newbattle Pool and Mayfield Leisure Centre at the point of the opening of the pool at the new Newbattle Centre.
- Agrees that Council be asked to make final decisions on other property rationalisations at Newtongrange when it considers the report and recommendations of the Newtongrange Town Centre master planning work.
- Require further regular update reports on those and any other property rationalisation matters.

## 2.5 Additional Information

In preparing this report the Director Resources requires to notify Council that the further report as required by the Council at its meeting on 25 June 2013 regarding "the wider regeneration of the area aimed at improving outcomes across each neighbour in partnership with local community groups and key stakeholders" has not been brought forward to the Council. Moreover, the property rationalisation savings identified for 2018/19 as part of the Services to Communities review should have been clearly specified as part of the Change Programme proposals considered at the Special Council meeting on 10 October 2017.

Accordingly, the Chief Executive apologised for this position at the Business Transformation Steering Group. This apology is extended to the full Council.

Therefore, this report addresses that outstanding issue and details the significant work that is ongoing in both the Mayfield and Newtongrange areas. Members should note that there are no property rationalisation proposals in respect of Gorebridge and that the Director Resources will report separately on the progress of the Gorebridge Beacon project in the New Year.

#### **Property Rationalisation at Mayfield**

This concerns the future of the Mayfield Leisure Centre building, once the facilities it currently offers transfer to the new Newbattle Community Campus in 2018. A local community group, Mayfield In It Together, have been working with Council officers in looking to prepare plans for the regeneration of Mayfield town centre. The group has dismissed the option of seeking community asset transfer of the current leisure centre building. The group considers that a budget of £80,000 to £100,000 would be needed for a master planning exercise for the town centre and have been successful in a bid to the Borders Rail Blueprint Fund for £40,000. Other matched funding is being sought and Council officers will continue to support the In It Together group to seek other sources of funding.

It should be noted that the current Mayfield Library provision will relocate to the new Newbattle Community Campus.

## Newtongrange Town Centre Master Planning

Members will be aware of a current master planning programme of activity being undertaken at Newtongrange town centre which is due to report in the first quarter of 2018. Central to that work is the level of public engagement and the impact of the working of the group comprising representatives of the Community Council, the Church of Scotland, Castle Rock Housing Association and Council officers.

The Newbattle community building at Gardiner Place, Newtongrange Leisure Centre and Newtongrange Library also form part of the overall assessment.

A clearly defined product of that activity will be a finalised masterplan, which includes facilities for the community within the town centre which meet the projected requirements rather than duplicate the facilities at the new Newbattle Community Campus.

At a practical and operational level, to ensure that the necessary staffing deployments can be made in advance of the opening of the new campus, it is crucial that the future of Newbattle Pool now be determined.

#### 3 Newbattle Community Campus

#### 3.1 Campus Facilities

As reported to Council on 7 February 2017 the Newbattle Community Campus is scheduled to open in spring 2018.

The new campus is a multi service building offering the community modern access to facilities including a High School, Library, Café, Swimming/ Diving Pool, Two dance studios, 3 sports halls (The main hall splits into two halls), tone zone and meeting spaces. Externally the facility will provide access to a new state of the art 3G football pitch alongside the current grass pitches which can be lined in the summer months to provide access to a running track.

Due to the combined setting the shared services approach will allow the community to have access to areas within the school such as the halls and other areas of teaching accommodation outside school hours. This offers great opportunity for the communities to take advantage of spaces within the school such as the assembly hall and atrium area to host events such as Community Cinema evenings, Holiday Clubs, Community Learning and use of meeting space in the evenings.

The Library will also follow a similar model to Loanhead Centre where the Library is open in line with Leisure centre opening times. This is possible due to the self-check in / return terminals, which mean that the library does not require to be manned beyond the current staffing hours. At Loanhead Centre this has led to an increase in footfall from 2,000 to 10,000 per month.

The facility has good public transportation links from the Communities of Gorebridge, Newtongrange, Easthouses and Mayfield. The bus service stops within a short distance of the front entrance to the new building. The local footpaths have also been significantly improved to encourage both pedestrian and cyclists to use the new campus centre.

	PUBLIC Opening Times (i.e. when services may be open to public)
Mon-Thurs	0630-2145 (15·25 hours)
Fri	0630-2015 (13·75 hours)
Sat/Sun	0830-1800 (9·5 hours)
Total	93·75 hours

The Public Opening Hours for the new building are as follows:-

Feedback from the communities using Loanhead and Lasswade facilities which have benefited from similar community led based assets is that these Page 89 of 558

new centres play a significant part in encouraging the communities, which they serve to thrive. Footfall at each of the current centres has increased significantly and the multi-service approach has led to significant cross fertilisation, enhanced customer service and effective work practices improving the sustainability of the services offered at a local level. It is anticipated that Newbattle Community Campus will deliver similar benefits to the local communities and beyond.

There will be a full reprovision of all of the facilities offered at Newbattle Pool and Mayfield Leisure Centre.

Members will note the close proximity of the new Newbattle Community Campus to both Mayfield Leisure Centre and Newbattle Pool.

## 3.3 Mayfield Leisure Centre

This original facility was built in 1976 and subsequently extended. It is in a poor condition and has an energy rating of G which is the least efficient classification.

It is proposed in this report that Mayfield Leisure Centre closes upon the opening of the Newbattle Community Campus. There will be full reprovisioning in the Newbattle Community Campus with extended opening hours.

#### 3.4 Newbattle Pool

The facility was built in 1969, is in a poor condition, and has an energy rating of G, which is the least efficient classification.

The existing operational boiler is aging and new parts are becoming extremely difficult to source. The other boiler has been inoperative for a considerable period. Furthermore Newbattle Pool regularly suffers from flooding in the plant room during periods of prolonged rainfall.

It is proposed in this report that Newbattle Pool be closed upon the opening of the Newbattle Community Campus.

## 4 **Property Rationalisation Timeline**

The following timeline is proposed by Director Resources to achieve the property rationalisation and closures;

	2017	2018	2018	2018	2018	2018	2018
	Dec	Jan	Feb	Mar	Apr	May	Jun
Council decision in							
principle							
Community Engagement							
Council report update							
Opening Newbattle							
Community Campus							
Closure of Mayfield							
Leisure Centre							
Closure of Newbattle							
Pool							

It is crucial that deadlines regarding the Newbattle Pool and Mayfield Leisure Centre are confirmed at an early stage to allow the necessary staffing alteration and deployments to be made.

#### **Report Implications**

#### 5.1 Resource

Final decisions on the future of these buildings will affect the projected overall savings target associated with property rationalisation of  $\pounds 600,000$  as detailed in paragraph 2.2 above.

On the premise that Newbattle Pool and Mayfield Leisure Centre close in the spring upon the opening of the Newbattle Community Campus the realised savings for 2018/19 will amount to:-

Newbattle Pool	£340,000
Mayfield Leisure Centre	£202,000
TOTAL	£542,000

#### 5.2 Risk

The severity of the financial challenge is such that Council will require to approve proposals which not only achieve a balanced budget for 2018/19 but which will also contribute to reducing future years budget shortfalls. The risk of not doing so would be the potential elimination of reserves and so severely limiting the Council's ability to deal with unforeseen or unplanned events.

Recruitment of staff for the new Newbattle Community Campus will need to begin in the new year and it is anticipated that these roles will attract qualified and experienced staff from the existing facilities, this will impact on staffing levels at the existing facilities and would then require recruitment to any resultant vacancies. Confirming closure would mean that existing staff would be transferred to the new roles required to staff the new Newbattle Community Campus in accordance with the Council's policy for managing change.

It is also anticipated that a significant number of users of the existing facilities will migrate to the new facilities and significantly reduce the user base and casual income for the existing facilities making their continued operation more expensive and unsustainable.

## 5.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

- Community safety
- Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- Sustainable growth
- Business transformation and Best Value
- None of the above

## 5.4 Impact on Performance and Outcomes

The Financial Strategy facilitates decision making on how Council allocates and uses its available resources and as such has fundamental implications for service performance and outcomes in the community.

## 5.5 Adopting a Preventative Approach

Whilst the proposals in this report do not directly impact on the adoption of a preventative approach, an effective Financial Strategy allows resources to be prioritised to support prevention.

## 5.6 Involving Communities and Other Stakeholders

The timetable set out in in the Financial Strategy report to Council on 10 October 2017 allowed for the continuation of Shaping our Future, the engagement strand of the Delivering Excellence Framework. This has a focus on informing the community and other stakeholders of the financial and service challenges and provides a means to engage on the Council's change programme. However the proposals relating to Mayfield Leisure Centre and Newbattle Pool did not form a specific part of this engagement.

A recommendation of this report is for engagement with service users and community representatives to provide information and assurance as part of the transfer of services from those current buildings to the new Newbattle Community Campus.

In addition, there continues to be regular engagement with the recognised Trade Unions regarding the Council's financial position and service challenges and change programme.

## 5.7 Ensuring Equalities

The Council's Financial Strategy and the proposals, which support financial sustainability, have been developed within the context of the Midlothian Single Plan, ensuring that resources are directed towards the key priorities of reducing inequalities in learning, health and economic circumstance outcomes.

The Financial Strategy and the proposals in the Change Programme also reflect Midlothian Council's commitment to the ethos of the Equality Act 2010 with careful consideration of the interests of the most vulnerable in our communities through the equality impact assessment (EQIA) of all the proposals.

An integrated impact assessment has been undertaken as part of the process in developing the recommendations set out in this report and will be published on the committee management information system section of the Council website.

## 5.8 Supporting Sustainable Development

There are no direct sustainability issues arising from this report.

## 5.9 IT Issues

There are no direct IT implications arising from this report.

## 6.0 Summary

- **6.1** The opening in spring 2018 of the new Newbattle Community Centre with its extensive range of leisure and community facilities has implications for the buildings which currently provide such facilities and services in Newtongrange and Mayfield. This has been a matter for consideration by the Council since 2013; and it has been a key feature of the work of the Services to Communities Board since its inception in 2014. That Board has reported regularly to the Business Transformation Steering Group, with final decisions on major matters being taken at Council.
- **6.2** One of the major issues considered by the Services to Communities Board is the rationalisation of properties as a consequence of the opening of the new Campus; which provides the opportunity to relocate existing leisure and community services into new, more suitable and well-equipped accommodation. It also enables savings of around £600k to be made through that property rationalisation and these are included under the Business Transformation strand of the proposed overall Financial Strategy, as considered at Council on 10 October 2017.
- **6.3** The two buildings on which a decision is now required are the Newbattle Pool and the Mayfield Leisure Centre. The new Newbattle Community Campus provides for the relocation of these facilities, thereby making the existing old and inefficient buildings redundant. The recommendation in this report is to confirm the closure of these buildings within a timetable that includes engagement with service users and community representatives to provide information and assurance as part of the seamless transfer of services from the old facilities to the new Campus. A further part of that programme will be confirmation of staffing and other operational arrangements.

**6.4** Council consideration and decisions on the future of the other properties, these being Newbattle Leisure Centre, Newtongrange Library, and the Newbattle Community Learning Centre at Gardiner Place, can take place when it receives the final report on the proposed Newtongrange Town Centre masterplan. This is due in spring 2018.

## 7.0 Recommendations

- 7.1 It is recommended that Council:
  - notes the work of the Services to Communities business transformation work streams, as reported regularly to the Business Transformation Steering Group since 2014;
  - ii) confirms that closure of the Newbattle Pool and the Mayfield Leisure Centre will take place at the point of the opening of the pool at the new Newbattle Community Campus;
  - iii) agrees that, as part of the programme for the closure of these buildings, there is engagement with service users and community representatives to ensure that information and assurance are provided to assist in the smooth transfer of services to the new Campus; and
  - iv) agrees that Council considers the future of the buildings that currently accommodate the Newtongrange Leisure Centre, the Newtongrange Library, and the Newbattle Community Learning Centre when it receives the final draft report on the proposed Newtongrange Town Centre masterplan.

## 8 December 2017

## **Report Contact:**

John Blair Tel No 0131 271 3102 john.blair@midlothian.gov.uk

## Background Papers:

## Appendix 1

## PART A: OPERATING COSTS

	Newbattle Pool	Mayfield CLC	Total
	£000's	£000's	£000's
Employee Costs	320	321	641
Premises Costs	141	130	271
Transport Costs	0	1	1
Supplies and Services	9	13	22
Third Party			
Payments	2	5	7
	472	470	942
Income	-132	-268	-400
Grand Total	340	202	542



## Financial Strategy 2018/19 to 2021/22

#### Report by Gary Fairley, Head of Finance and Integrated Service Support

#### 1 Purpose of Report

This report provides Council with an update on the Financial Strategy encompassing the years 2018/19 to 2021/22.

It includes:-

- An assessment of future years Scottish Government Grant;
- Updated budget projections for 2018/19 to 2021/22;
- A sensitivity analysis reflecting the potential impact of different pay and grant settlement scenarios years;
- Details of the arrangements for the delegation of resources to the Midlothian Integration Joint Board;
- An update on the Change Programme aimed at addressing the projected budget shortfalls;
- Initial feedback from the budget engagement activity;
- An update on Reserves.

#### 2 Background

The core objective of the Financial Strategy is that of securing the Council's continued financial sustainability during an ongoing period of substantial financial constraint coupled with continuing service demand pressures and increasing customer expectations.

The last Financial Strategy report was presented to Council on 10 October 2017 and provided an updated assessment of projected budgets shortfalls through to 2021/22. At that meeting Council agreed to proceed to engage with the community on the budget and change programme through Shaping our Future, the consultation strand of the Delivering Excellence framework.

This report provides Council with an update on the Financial Strategy, including the engagement activity, as part of the agreed process and timetable to enable Council to determine Council Tax and set a balanced budget for 2018/19 on 13 February 2018.

#### 3 Scottish Government Grant Settlement

The Scottish Government's grant settlement is one of the most critical aspects of the financial projections in this report.

The first main development since the last report on 10 October 2017 was the publication of the UK Government's autumn budget on 22 November 2017 along with the latest Office for Budget Responsibility Economic and Fiscal Outlook. This contained spending plans for all UK departments and devolved administrations through to 2019/20 for resource spending and 2020/21 for capital spending as well as a range of tax plans in advance of the new tax year in April 2018.

SPICe, The Scottish Parliament Information Centre, has published a briefing Paper, "UK Autumn Budget 2017 - Impact on Scotland" (1) which summarises the implications of that budget for Scottish public finances. It identifies that overall, the resource budget element of the Scottish block grant will increase in cash terms in 2018/19 by 0.7% which represents a real terms fall of 0.8%. The capital element will see a cash increase of 7.8% next year, equivalent to a 6.2% increase when adjusted for inflation.

£0.5 billion of the Barnett consequentials over the period of the budget relates to extra NHS related spend (both capital and revenue) and if, as has typically happened in the past, this is ring-fenced for the NHS in Scotland there may be little of the additional funding left to be distributed amongst other budgets, especially Local Government.

Until recently, Scottish Governments resources came almost exclusively via the block grant from the UK Government. The devolution of further tax powers in the Scotland Act 2016 means that decisions made in Scotland will now have greater influence over the size of the Scottish budget. In 2018/19 it is estimated that around 30% of the Scottish Government's budget will come from income tax receipts in Scotland and a further 7% will come from other taxes determined by the Scottish Parliament.

On 2 November 2017 the Scottish Government published "The Role of Income Tax in Scotland's Budget". The stated aim of this report is that of supporting a debate about the financing of public services in preparation for setting Scotland's budget for 2018/19. The report sets out a number of approaches which could be considered and which it is estimated would raise between £82 and £255 million per annum to support the Scottish Government's £39 billion budget.

The Scottish Government had already indicated that its future pay policy would take account of the cost of living, thereby removing the 1% pay cap. The consumer price index (CPI) is currently 2.8% and at this point it remains unclear what, if any, additional resources Government may provide to Local Authorities to support increases in the their pay bill which take account of the cost of living. The Council's Financial Strategy makes provision for pay awards of 1.5% per annum, with the assumption that the cost of awards above this would only be deliverable if they were supported by funding through the grant settlement. Council should note that to uprate the provision for pay awards to the level of CPI, without any additional funding, would

<sup>1) &</sup>lt;u>SPICe, The Scottish Parliament Information Centre, Briefing Paper, "UK Autumn Budget 2017 -</u> <u>Impact on Scotland</u>

further increase the budget shortfall in 2018/19 by  $\pounds$ 1.350 million rising to over  $\pounds$ 5.500 million by 2021/22.

In advance of the UK Government budget and COSLA launched a 10-page factual document entitled "Fair Funding for Essential Services" (2) laying out the case for a fair settlement for local government. The document highlights that for 2018/19 local government needs:-

#### **Revenue Settlement**

- 1. No more cuts parity with cash increase for Scottish Government.
- 2. Full baselining of £130m funding from the 2016-17 budget agreement.
- 3. Allow for proper investment in the local government workforce.
  - Every 1% on local government paybill costs £70m
- Every 10p increase in living wage for adult social care providers costs £10m.
- 4. Additional investment in Health and Social Care in recognition of the rising demand.

#### Structure of Settlement

1. Multi-year budgets.

2. Create flexibility to help deal with pressures.

We cannot continue with 58% of the budget being nationally ring-fenced. We need true removal of ring-fencing and central direction through input targets.

#### Capital

- 1. Increased capital funding to invest in and attract growth.
- 2. Return of reprofiled capital funding.

#### Local Taxation

- 1. Removal of the 3% cap on Council Tax.
- 2. Proper reform of local taxation.
- 3. Power to introduce discretionary taxation.

#### Funding for Government Policies

1. Full and transparent funding for new central government initiatives. Specifically:

Expansion of early learning and childcare Living wage for adult health and social care workers Carers Act

2. If charitable status of ALEOs is withdrawn, then the £45m shortfall in delivery of these services needs to be met.

(2) <u>COSLA - Fair Funding for Essential Services</u>

The Cabinet Secretary for Finance and the Constitution will publish the Scottish Government's one year budget and income tax proposals for 2018/19 on 14 December 2017. The Finance Circular setting out the proposed individual Council grant settlements figures and associated conditions, again for 2018/19 only, is expected to be published alongside the budget. Council will be provided with a verbal update based on the initial analysis of the budget and grant settlement.

Thereafter the parliamentary process for approving Government's budget is expected to be concluded in early February 2018. Members may recollect that for 2017/18 changes made during the parliamentary process resulted in an additional provision in the grant settlement for Local Government from that originally published in December 2016.

In summary the key factors which influence the level of grant support Council might expect for 2018/19 and beyond are, firstly a range of economic factors will influence the resources Governments have at their disposal, whether from the UK Government or through tax revenues directly controlled by Scottish Government. Others factors include the taxation and spending priorities of Scottish Government, including the extent to which it intends to support increases in public sector pay. Whilst an assessment of the economic factors can be made based on the information available from the Office of Budget Responsibility and the UK Government's spending plans the impact of Scottish Government's tax and spending priorities will only become fully apparent when the budget is published on 14 December 2017.

The latest assessment by the economic advisor engaged by the CIPFA Directors of Finance section continues to indicate that there will be a cash reduction for the "unprotected" elements of the Scottish Government budgets of which the Local Government grant is the largest element. As such the indications remain that the future years grant settlements will remain challenging with year on year cash reductions, other than for any additional resources provided to fund the cost of new legislative burdens and or specific cost pressures. It is also expected that specific conditions and direction of resources will be an increasing feature of future years grant settlements.

The central planning assumption adopted for the Scottish Government grant projections continues to be based on reductions in grant at a similar level to the original proposed 2017/18 settlement. That is an average 3.25% per annum cash reduction at a national level (against the final 2017/18 settlement, i.e. including the £130 million), offset by the impact of the relative growth in the Midlothian population. It is also assumed that Government will continue to:-

- Direct resources to Integrated Health and Social Care Boards via the NHS;
- Direct resources to Schools through the Pupil Equity Fund or equivalent;
- Provide flexibility to increase Council Tax but only by a maximum of 3%;
- Continue to set specific requirements to maintain the overall pupil/teacher ratio and secure places for all probationers who require one under the teacher induction scheme.

It is stressed that the grant settlement figures through to 2021/22 as set out table 1 are projections, the actual figures being dependant on future budget decisions taken by Scottish Government. However they do provide Council with an assessment of the impact of the grant settlement on the Council's financial position. Critically they highlight the severity of the challenge ahead for the term of this Council and the extent to which service provision will have to be significantly transformed and/or reduced.

#### 4 Council Tax

The budget shortfalls set out in table 1 are based on the current band D Council Tax of £1,246 and reflect the additional income from an increase in the number of properties.

As indicated earlier it is assumed that grant settlement conditions will provide flexibility to increase Council Tax by up to 3%. For Midlothian a 3% per annum increase is estimated to generate £1.274 million for 2018/19 rising to £1.334 million in 2021/22 and would result in band D Council Tax rising to £1,283 in 2017/18 and to £1,403 by 2021/22.

Given the grant prospects set out in section 3 of this report the Financial Strategy incorporates the full 3% increase for each year to contribute to reducing the projected budget shortfalls.

## 5 Cost of Services

The projected cost of services for future years is derived from the 2017/18 approved budget. The projections have been updated to reflect the latest information available and work will continue to refine the budget projects with any further changes incorporated into the final report for 2018/19 to Council on 13 February 2018.

Table 2 provides an analysis of the principle year on year budget changes which include the following key assumptions and cost drivers:

- Pay inflation of 1.5% per annum for all staff groups together with the cost of incremental pay progression, with the assumption that any increases above this level would require additional Government funding;
- The impact of Pension Reform and anticipated changes in the Council's contribution towards employee pensions costs;
- Provision for the Devolved School Management allocation to schools based on the current scheme, indicative pupil numbers and the requirement to maintain the pupil teacher ratio;
- Contractual inflation linked to existing contractual conditions, many of which mirror pay inflation assumptions;
- A provision for the future years costs of maintain pay levels for procured care services at or above the living wage;
- The impact of current demand for services;
- A reassessment of 2017/18 savings targets to more fully reflect deliverability of these changes;
- The demographic impact on the future demand for services;
- Borrowing costs related to capital investment decisions based on future interest rate forecasts provided by the Council's Treasury Advisers;
- Any new Government policy requiring budgetary growth will be fully funded through increased Scottish Government grant;
- Council Tax income continues to grow in line with previous trends and planned future housing growth.

The updated projected budget shortfalls reflecting the assumptions set out in sections 3 to 5 are therefore as follows:-

	2018/19	2019/20	2020/21	2021/22
	£m	£m	£m	£m
Cost of Services	205.687	214.206	221.672	229.251
Less: Council Tax	(45.604)	(46.204)	(46.854)	(47.504)
Less: Scottish				
Government Grant	(146.002)	(142.687)	(139.443)	(136.269)
Budget Shortfalls	14.081	25.315	35.375	45.478

#### Table 1: Budget Shortfalls 2018/19 to 2021/22 – 19 December 2017

The budget shortfall in 2018/19 equates 7% of the net cost of services and the projections indicate this could rise to 20% by 2021/22. As Council is aware, significant elements of the budget are either fixed or are challenging to change for a number of reasons including:-

- Historic decisions, for example, loan charges and unitary charge contractual payments;
- Specific conditions, for example the maintenance of the teacher pupil ratio; and
- Growing demand for services through demographic pressures.

These elements of the budget equate to £112 million in 2018/19 and are projected to rise to £140 million by 2021/22. Consequently the budget shortfall expressed as a percentage of the remainder of the budget equates to 14% for 2018/19 and has the potential to rise to 50% by 2021/22.

Whilst the projected cost of service provision, Council Tax and Scottish Government grant has been projected forward to 2021/22 these remain indicative projections based on the assumptions set out in sections 3 to 5 and will inevitable change over the period. The projections and planning assumptions on which they are based will be updated and reported to Council as new information becomes available.

The main purpose of the future year projections is to provide Council with an assessment of the key factors which influence income and expenditure and the overall impact these may have on the Council's financial position over the medium term. Critically they highlight the severity of the challenge ahead for the term of this Council and the extent to which service provision will have to be significantly transformed and or reduced. Members should note that the projections are based on the continuation of the existing service delivery and funding arrangements.

The budget shortfalls set out in table 1 arise for the following reasons:

	2018/19	2019/20	2020/21	2021/22
	£m	£m	£m	£m
Opening Shortfall	3.970	14.081	25.315	35.375
Pay Inflation and Salary Progression	2.493	2.944	2.947	3.101
Pension Contributions	0.450	0.450	0.450	0.000
Contractual Inflation	0.697	0.637	0.571	0.652
Demographics: Care	1.040	1.040	1.040	1.040
Demographics: School Rolls	2.260	2.770	2.798	3.083
25 Hours in Primary Schools	0.090	0.000	0.000	0.000
Demand pressures: Children	0.453	0.024	0.024	0.024
School Estate Investment	0.381	1.126	0.033	0.036
Waste Disposal Costs	0.213	(0.285)	0.125	0.125
Non Domestic Rates	0.132	0.135	0.138	1.142
Borrowing Costs	(0.003)	(0.089)	0.123	(0.007)
Scottish Government Grant	3.172	3.315	3.244	3.174
Council Tax Income	(0.600)	(0.600)	(0.650)	(0.650)
Full year effect of 2017/18 savings	(0.989)	(0.258)	(0.860)	(0.610)
Reinstatement of Community	0.563	0.006	0.006	0.006
Policing Teams	0.000	0.000	0.000	0.000
Other Movements	(0.241)	0.019	0.071	(1.013)
Totals	14.081	25.315	35.375	45.478

## Table 2: Analysis of Shortfalls – 19 December 2017

Since the last report further work has been undertaken to assess the financial impact of current service pressures for later years and also to reflect a review of the 2017/18 savings targets. While these result in increased budget shortfalls over the four years it results a more representative assessment of the cost of current service provision. The principal movement from the figures set out in the 10 October 2017 report are as follows.

## Table 3: Movement from 10 October 2017 to 19 December 2017

	2018/19	2019/20	2020/21	2021/22
	£m	£m	£m	£m
Shortfall 10 October 2017	13.495	24.629	34.689	44.792
Revised full year effect of 2017/18 savings	0.307	0.407	0.407	0.407
Net base budget pressures for Children's Services	0.129	0.129	0.129	0.129
Increase provision for utility price increases	0.150	0.150	0.150	0.150
Shortfall 19 December 2017	14.081	25.315	35.375	45.478

## 6 Sensitivity Analysis

Given the level of uncertainty for future year grant settlements and outstanding pay awards table 4 provides a sensitivity analysis reflecting the potential impact of different scenarios/outcomes for these two key aspects of the budget.

Scenario 1. This is a more optimistic scenario which assumes a 1.5% pay award in each of the years but with cash flat grant settlements. Otherwise all other assumptions remain as set out in section 3.

Scenario 2. Is a more pessimistic scenario which assumes a 3% pay award and reducing grant income as set out in section 2.

	2018/19	2019/20	2020/21	2021/22
	£m	£m	£m	£m
Scenario 1				
Central Assumption	14.081	25.315	35.375	45.478
Cash Flat Government				
Grant	(3.172)	(6.487)	(9.731)	(12.905)
Amended Shortfall	10.909	18.828	25.644	32.573
Scenario 2				
Central Assumption	14.081	25.315	35.375	45.478
Revised Pay Award				
Assumption	1.800	3.600	5.550	7.500
Amended Shortfall	15.881	28.915	40.925	52.978

#### Table 4: Sensitivity Analysis – 19 December 2017

These scenarios demonstrate the significance of the impact that changes from the central planning assumption for either government grant or pay inflation have on the projected budget shortfalls.

## 7 Midlothian Integration Joint Board

As part of the budget setting process the Council will need to determine an allocation of resources to the Midlothian Integrated Joint Board (IJB). For 2017/18 the allocation is £37.571 million.

The projected budget shortfalls set out earlier incorporate a provision for pay awards, inflationary uplifts and a sum for demographic cost pressures in respect of services delegated to the IJB. It does not provide for further uplifts in the Living Wage for care providers on the assumption that resources for this have been provided from the Social Care Fund. In turn the proposed Change Programme provides these cost pressures to be significantly offset. The indicative allocation of resources for 2018/19 and future years is estimated to be:-

	2018/19	2019/20	2020/21	2021/22
	£m	£m	£m	£m
Previous Year's Allocation	37.571	38.086	38.611	38.136
Uplifts:				
Pay and inflation	0.515	0.525	0.525	0.525
Demographic Pressures	1.040	1.040	1.040	1.040
	39.126	39.651	40.176	39.701
Change Programme Savings	(1.040)	(1.040)	(2.040)	(1.540)
Indicative Allocations	38.086	38.611	38.136	38.161

#### Table 5: Indicative IJB allocation 19 December 2017

A review is being undertaken in respect of the budget provision for client transport, estimated at £0.500 million, which does not currently form part of the resources delegated to the IJB with a view to including these resources within the delegated budget for 2018/19 onwards.

At this point it is recommended that the IJB is formally advised of the indicative allocation for 2018/19 along with the projection for later years and that discussions continue with officers of the IJB to secure sustainable strategy for the delivery of delegated services which can be delivered within the proposed resource allocation. This ongoing dialogue will inform the development of both the Council's and the IJB's Financial Strategies. A decision on the final allocation for 2018/19 will need to be made by Council on 13 February 2018.

This approach will support the IJB as it develops its own Financial Strategy within the context of the financial pressures and the available allocations anticipated to be available from both the Council and NHS Lothian.

## 8 Change Programme

In addition to the delivery of savings approved in the current and previous financial years, the savings targets associated with the existing transformation programme, and continued control over expenditure, the strands of work that will continue to be necessary to address the projected budget shortfalls represent an emerging Change Programme, encompassing:-

- Delivering Excellence;
- An updated and expanded programme of transformation activity;
- The EWiM programme;
- An updated Capital and Reserves Strategy;
- Operational savings encompassing financial discipline measures;
- A series of savings proposals.

## 8.1 Delivering Excellence

The Delivering Excellence framework supports the repositioning of services to ensure they have a greater emphasis on and achieve better outcomes for those most disadvantaged and vulnerable in the community. The framework focuses on reshaping service delivery as the most sustainable way to address the financial and service challenges and maintain financial sustainability.

The framework sets out an approach that provides the means to:

- Realise savings of the scale and magnitude required and to continue to deliver high quality services by engaging staff, partners, stakeholders and citizens to determine the nature of service delivery, the level of service standards and the method of delivering these services;
- To perform successfully in this environment, the Council will require to forward plan for the period beyond known financial settlements, to prioritise the services to be delivered and to clearly identify those services which will no longer be funded or indeed provided or may be provided through alternative mechanisms or approaches; and
- To ensure that there is achievement of the outcomes and priorities of the Council and Community Planning Partners.

Change Programme proposals were presented to Council on 10 October 2017 to facilitate a period of engagement with the community on the budget and Change Programme through shaping our future, the engagement strand of the Delivering Excellence framework. The engagement period to help inform 2018/19 decisions runs until 14 December 2017. An interim overview of feedback from the engagement activity is set out in appendix 1. It is proposed that a detailed report is prepared and made available to all members early in the New Year and that it is also considered by the Business Transformation Steering Group on 15 January 2018.

It is recognised that the proposals set out on 10 October 2017 did not fully address the 2018/19 budget shortfall projected at that time or give Council any headroom to consider options or indeed allow a contribution to Reserves. Accordingly, and also recognising the updated projections set out in this report, work is ongoing to develop further proposals and also to amend some of the existing proposals to take cognisance of the feedback from the engagement activity. It is anticipated that the update proposals from the Strategic Leadership Group will be presented to the next meeting of the Business Transformation Steering Group on 15 January 2018 and will then form part of the final proposals presented to Council on 13 February 2018.

## 8.2 Transformation Programme

The savings targets associated with the existing Transformation Programme have been updated from those set out in the last report to take cognisance of those proposals which had also been incorporated in the policy savings proposals and which were therefore double counted in error. This includes proposals included in the Services to Communities review in respect of Welfare Rights (£0.100 million) and Grants (£0.150 million).

The remaining savings target of £0.600 million for the Services to Communities review related to the property rationalisation strand of the review. At a special meeting of the Business Transformation Steering Group on 4 December 2018 the members present were asked to consider officer proposals in respect of this strand and these are now encompassed in a separate report on today's agenda. The savings targets for the Services to Communities review have therefore been amended to reflect the recommendations in that report, with savings targets reflecting the closure of Newbattle Pool and Mayfield Leisure Centre included for 2018/19 onwards.

In addition to the base budget pressures included for Children's Services in section 3 the savings target of £0.274 million previously included for 2018/19 has also been amended to apply from 2019/120 onwards.

Table 6 sets out the revised savings targets for the existing programme which are £1.904 million for 2018/19 rising to £2.239 million by 2021/22. Other than the changes set out above the targets for the other strands are derived from those set out in the Council's Transformation Programme update reports to Business Transformation Steering Group (BTSG).

	2018/19	2019/20	2020/21	2021/22
	£m	£m	£m	£m
Children's Services	0.000	0.335	0.335	0.335
Services to Communities	0.542	0.542	0.542	0.542
Education	0.322	0.322	0.322	0.322
Health & Social Care	1.040	1.040	1.040	1.040
Totals	1.904	2.239	2.239	2.239

Table 6: Existing Transformation Programme Savings – 19 December2017

The emerging proposals include an updated and expanded Transformation Programme, the current assessment of the savings associated with these strands of work is summarised as follows:-

	2018/19	2019/20	2020/21	2021/22
	£m	£m	£m	£m
Entrepreneurial Council	0.345	1.785	3.065	4.900
Services with Communities	0.000	0.600	0.700	1.700
Shared Services	0.000	0.085	1.085	2.085
Digital Led Transformation	0.240	0.240	0.240	0.740
Integrated Service Support	0.480	0.980	0.980	0.980
Workforce Planning	0.603	1.085	1.185	1.250
Health & Social Care	0.000	1.040	3.080	4.620
Additions to Programme	1.668	5.815	10.335	16.275

Again it is reiterated to members that the savings targets set out in tables 6 and 7 are predicated on the outcomes of the reviews and any subsequent decisions taken by Council and so remain indicative.

#### 8.3 Asset Management

The budget projections already reflect the full year impact of the first two phases of the Effective Working in Midlothian project. In addition the report to Council on 17 May 2016 in respect of Phase 3, Depots indicated a saving of £0.288 million which for the purposes of the Financial Strategy have been incorporated from 2019/20 onwards.

## 8.4 Capital and Reserves Strategy

The projected future year's budgets include a provision for the loan charges arising from the borrowing required to support the General Services Capital Plan and also the retention of a cap on borrowing, which had been set at £124 million, and which is currently expected to be exceeded.

An increase in the borrowing cap will inevitably lead to an increase the projected budget shortfalls for later years. In the absence of any other funding support this will in turn require further reductions in the service budgets.

A comprehensive review of the General Service Capital plan is being undertaken with the intention to present an updated plan for consideration by Council on 13 February 2018. This will enable the implications of the Learning Estate Strategy and other emerging investment pressures to be fully considered before presenting a revised Capital Strategy and Plan.

The latest projections for the General Fund Reserve are set out later in this report. A Reserves Strategy, encompassing the other main reserves will be presented alongside the Capital Strategy.

## 8.5 Operational Savings

The budget projections set out in tables 1 and 2 already reflect the operational savings reported in previous year's budgets. Operational savings cost reductions and financial discipline measures have been identified as part of the emerging Change Programme with the updates projections summarised below.

	2018/19	2019/20	2020/21	2021/22
	£m	£m	£m	£m
Investing in Our Workforce	0.000	0.100	0.250	0.300
Financial Discipline	0.100	0.150	0.200	0.250
Cost Reductions	0.080	0.160	0.245	0.250
Workforce Reductions	0.478	1.119	1.149	1.339
<b>Operational Savings</b>	0.658	1.529	1.844	2.139

#### Table 8: Operational Savings – 19 December 2017

#### 8.6 Savings

The budget proposals presented to Council on 10 October 2017 include a number of Service Reviews and specific policy cost reductions. Again the latest assessment of savings associated with these is as follows:-

	2018/19	2019/20	2020/21	2021/22
	£m	£m	£m	£m
Service Reviews	1.459	2.703	3.003	3.003
Policy Cost Reductions	4.851	5.708	6.208	6.408
Policy Saving Proposals	6.310	8.411	9.211	9.411

#### Table 9: Policy Saving Proposals- 19 December 2017

#### 8.7 Fees and Charges

An inflationary increase for fees and charges are estimated to generate an addition £0.080 million in 2018/19 rising to £0.200 million by 2021/22.

#### 8.8 Summary of Financial Strategy

The updated projections incorporating the impact of the various strands of the Financial Strategy set out above and a 3% per annum increases in Council Tax are set out in table 10 below.

Given the remaining budget gap for 2018/19, the overspend position projected for the current financial year and the potential to have to increase the provision for pay awards it is imperative that further cost reduction measures are secured during the current financial year. Accordingly action is being taken across all services to end all unnecessary spend over the remainder of the financial year.

	2018/19	2019/20	2020/21	2021/22
	£m	£m	£m	£m
Budget Shortfall Table 1	14.081	25.315	35.375	45.478
Less: Change Programme				
Transformation Programme 8.2				
- Existing Programme	(1.904)	(2.239)	(2.239)	(2.239)
- Additions to Programme	(1.668)	(5.815)	(10.335)	(16.275)
Total Transformation	(3.572)	(8.054)	(12.574)	(18.514)
Programme				
Asset Management 8.3	(0.000)	(0.288)	(0.288)	(0.288)
Operational Savings 8.5	(0.658)	(1.529)	(1.844)	(2.139)
Savings Options 8.6				

#### Table 10: Financial Strategy 2018/19 to 2021/22 – 19 December 2017

	2018/19	2019/20	2020/21	2021/22
	£m	£m	£m	£m
<ul> <li>Policy Cost Reductions</li> </ul>	(4.851)	(5.708)	(6.208)	(6.408)
- Service Reviews	(1.459)	(2.703)	(3.003)	(3.003)
Total Policy Savings	(6.310)	(8.411)	(9.211)	(9.411)
Fees and Charges 8.7	(0.080)	(0.140)	(0.180)	(0.200)
Less:				
Council Tax Increase of 3%	(1.274)	(2.569)	(3.884)	(5.218)
Remaining Budget Gap	2.187	4.324	7.394	9.708

The increase of £1.804 million in the remaining budget gap in 2018/19 since the last report on 10 October 2017 principally attributable to:-

- The increase in the budget shortfall set out in table 3 (£0.586 million);
- The correction of those items which were double counted in the existing Business Transformation Programme (£0.250 million);
- The correction of items which were double counted in the budget shortfall and also in the proposed change programme (£0.572 million);
- Revision of the remaining Services to Communities savings target (£0.058 million); and
- The re-phasing of the Children's Service review savings (£0.274 million).

While the Change Programme summarised above would significantly reduce the projected budget gaps from those previously reported it does not fully address these or give Council any headroom to consider options or indeed allow a contribution to Reserves. It should also be noted that a number of the programme elements continue to be subject to further development and robust review to ensure that officers and members can be confident of deliverability.

Accordingly work is ongoing to develop further proposals, specifically for 2018/19 and also to amend some of the existing proposals to take cognisance of the feedback from the engagement activity. It is anticipated that the update proposals from the Strategic Leadership Group will be presented to the next meeting of the Business Transformation Steering Group on 15 January 2018 and will then form part of the final proposals presented to Council on 13 February 2018.

In addition in cognisance of the budget challenge for 2019/20 and beyond work continues to explore additional savings options as part of the wider service review programme activities, these include:

- The inclusion of a Disability Service Review as part of the next steps for Children's Services Review;
- Efficiencies secured through the Learning Strategy Estate, wider property asset management and asset rationalisation;
- A master plan for the Vogrie Estate and potential income opportunities it creates;

- A further review of the approaches to and resources committed to transportation of people, both clients and staff;
- A broader review of concessions for future consideration.

Given the longer term outlook work will also be required to review and bring forward further proposals in respect of the following areas:-

- Workforce, recognising that employee costs are by far the largest element of the budget;
- The conditions attached to grant settlements, including the implications of maintaining the pupil teacher ratio and of restricting Council Tax increases to 3%.

A final set of proposals in respect of 2018/19 will be presented to Council on 13 February 2018 and in addition the emerging Change Programme for later years will be continually updated to take cognisance of the position for future years grant and pay settlements and demographic changes recognising the critical impact these issues have on the Financial Strategy and the projected budget position.

As the budget for 2018/19 is finalised I will, as Section 95 Officer, require to seek assurance from Directors and Heads of Service that the budget proposals put forward by them for consideration are achievable and the risks associated with delivery have been identified. It is stressed however that ultimately the achievement of savings will be dependent on decisions taken by Council.

#### 9 Governance and Timetable

Each element of the Financial Strategy continues to have governance in place to ensure the timely delivery of the work stream. All budget proposals are being reported through Business Transformation Steering Group and then to Council as appropriate. Responsibility for setting Council Tax, determining budgets and approving savings etc. remains, with full Council.

The full Council has a duty as set out in Section 93 of the Local Government Finance Act 1992 (as amended) to set its Council Tax and a balanced budget for the following financial year commencing 1 April by 11 March and the timetable set out in Table 10 supports the delivery of the Financial Strategy and specifically the determination of the 2018/19 budget and Council Tax levels before the statutory date.

Council should note that all political groups have been given the offer of officer support in terms of both the financial and equalities assessment of any possible alternative budgets proposals they may intend to put forward for 13 February 2018.

#### Table 11: Timetable – Key Events

Date *	Event	Action
14 December 2017	Grant Settlement	<ul> <li>Assessment of grant settlement implications on budget.</li> </ul>
19 December 2017	Council	<ul> <li>Consideration of update report and initial feedback on engagement.</li> </ul>
13 February 2018	Council	<ul> <li>Consideration of update report, reflecting grant settlement.</li> <li>Finalisation of Change Programme and savings proposals.</li> <li>Recommendations to set Council Tax and determine a budget for 2018/19.</li> </ul>

Members should also note that in terms of Section 112 of the Local Government Finance Act 1992 (as amended) it is an offence for members to participate in any vote in respect of setting Council Tax where the member has unpaid Council Tax. Accordingly at the Council meeting on 13 February 2018 members will be required to disclose the fact if this section of the act applies to them and subsequently not vote on any item with respect to the matter.

#### **10** Focussing Resources to Key Priorities

The Financial Strategy is designed to ensure that available resources are as far as possible targeted on delivery of improved outcomes, particularly against the key priorities of:-

- Reducing the gap in learning outcomes
- Reducing the gap in health outcomes
- Reducing the gap in economic circumstances

The Midlothian Community Planning Partnership continues to prioritise the available resources towards the delivery of the partnerships key priorities and the Financial Strategy sets out for partners the parameters the Council is working within and provides a means to better facilitate the sharing of budget and resource planning information.

The Change Programme will be central to ensuring that resources are directed towards the priorities set out in the Midlothian Single Plan.

#### 11 Reserves

The projected position for General Fund Reserves was set out in the Financial Monitoring 2016/17 – General Fund Revenue report to Council on 7 November 2017.

The projected uncommitted General Fund Reserve at 31 March 2018 is £2.102 million. This uncommitted reserve is below the preferred level to provide a contingency in the context of the continuing challenging financial outlook, the uncertainty associated with future years grant settlements, pay awards, the economic impact of Brexit and also the potential costs as a consequence of the Limitation (Childhood Abuse) (Scotland) Act 2017.

As noted earlier as part of the action being taken to address the projected overspend in the current year the Chief Executive has instructed that action be taken across all services to end all unnecessary spend over the remainder of the financial year.

Alongside addressing the projected overspends in the current financial year it would be prudent to secure a budget for 2018/19 which included a contribution to reserves, preferably in the region of £2 million with a resultant available contingent reserve above £4 million.

Table 12 summarises the General Fund Reserve position.

### Table 12: Available General Fund Reserve 31 March 2018 – 19 December2017

	£million
General Fund Balance at 31 March 2018	6.846
Earmarked for specific purposes	
Earmarked for Council Transformation	(3.737)
Devolved School Management	(1.007)
Available Contingent Reserve at 31 March 2018	2.102

In addition the unallocated balance on the Capital Fund at 31 March 2018 is projected to be £12.514 million.

#### 12 Report Implications

#### 12.1 Resources

Whilst this report deals with financial issues there are no financial implications arising directly from it.

#### 12.2 Risk

Within any financial projections, there are a number of inherent assumptions in arriving at figures and budget provisions and therefore risks that may be faced if costs change or new pressures emerge.

The following key risks and issues are highlighted in the context of this report:

• The economic outlook and decision by Scottish Government on future years grant settlements and grant distribution;

- Given the nature of the savings options incorporated in the budget proposals the increase risk of non-delivery or late delivery of planned savings, including those arising from reductions in the staffing establishment;
- The risk to service provision and service users associated with a continued decline in available resources to fund services;
- Outstanding pay award settlements and the implications of the National Living Wage for external service providers;
- Actual school rolls exceeding those provided for in the budget;
- The impact of the wider economic climate on range of factors including: inflation, interest rates, employment, tax and income levels and service demands;
- Cost pressures, particularly demographic demand, exceeding budget estimates;
- The impact of Universal Credit, and potential pension changes;
- The impact of the Scottish Governments response to the Barclay Review of non-domestic rates on both the cost of existing services and the emerging budget proposals;
- The costs of implementation of national policies varying from the resources provided by Government; and
- Unplanned capital investment requirements and associated cost.

The Financial Strategy aims to mitigate a number of these risks by setting out the key assumptions on which forward plans are based, and through the Change Programme activities, setting out the early identification of future saving proposals.

The projections set out in this report highlight the severity of the challenge ahead for the term of this Council and the extent to which service provision will have to be significantly transformed and or reduced.

The work of the Strategic Leadership Group, led by the Chief Executive, to develop and bring forward a comprehensive set of budget options for Council's consideration is critical to enable Council to address the projected budget gaps and in securing financial sustainability for the continued delivery of services. Work continues as part of the assurance process to review the proposals, the value of savings attached these and to develop implementation plans.

The severity of the challenge is such that Council will require to approve a range of proposals on 13 February 2018 which not only achieves a balanced budget for 2018/19 but which will also contribute to reducing future year's budget shortfalls. The risk of not doing so would be the potential elimination of available reserves and so severely limiting the Council's ability to deal with unforeseen or unplanned events.

#### **12.3 Single Midlothian Plan and Business Transformation** Themes addressed in this report:

Adult health, care and housing

Getting it right for every Midlothian child

Improving opportunities in Midlothian

Sustainable growth

 $\boxtimes$  Business transformation and Best Value

None of the above

#### **12.4** Impact on Performance and Outcomes

The Financial Strategy facilitates decision on how Council allocates and uses its available resources and as such has fundamental implications for service performance and outcomes. The budget projections indicate that in 2021/22 the Council will have available in the region of £180 million for the provision of services and the pursuit of key outcomes as set out in the Single Midlothian Plan.

#### 12.5 Adopting a Preventative Approach

Whilst the proposals in this report do not directly impact on the adoption of a preventative approach, an effective Financial Strategy in turn allows resources to be prioritised to support prevention.

#### 12.6 Involving Communities and Other Stakeholders

On 10 October 2017 Council agreed to proceed to engage with the community on the budget and change programme through Shaping our Future, the consultation strand of the Delivering Excellence framework. The engagement runs to 14 December 2017 has a focus on informing the community and other stakeholders of the financial and service challenges and provides a means to engage on the change programme.

Interim feedback from the engagement activity is set out in appendix 1 and as set out earlier, a detailed report will be prepared and made available to all members early in the new year and also considered by the Business Transformation Steering Group on 15 January 2018;

In addition, there continues to be engagement with the recognised Trade Unions on the Council's financial position and service challenges. Officers have met regularly with Trade Union colleagues to consult with them on the overall change programme with separate meetings held within each Directorate where necessary to allow a more detailed discussion of the proposals. It is expected that the Trade Unions will also seek an update at the Joint Consultative Group meeting on 12 December 2017.

#### 12.7 Ensuring Equalities

The Financial Strategy and the proposals which support financial sustainability has been developed within the context of the Midlothian Single Plan, ensuring that resources are directed towards the key priorities of reducing the gap in learning, health and economic circumstance outcomes.

The Financial Strategy and the proposals in the Change Programme also reflect Midlothian Council's commitment to the ethos of the Equality Act 2010

with careful consideration of the interests of the most vulnerable in our communities through the equality impact assessment (EqIA) of all the proposals.

Copies of individual assessments were published on 10 October 2017 and an updated overarching EqIA is also set out in appendix 2. What the EqIAs continue to demonstrate is the Council's undertaking to clearly identify when the most vulnerable may be affected by budget proposals, and to work to develop where possible mitigating actions to reduce any further negative impacts. Where necessary this work will be undertaken in the coming months.

In addition, these actions underline the Council's commitment in its Midlothian Equality Plan 2017 – 2021 to tackle inequality and promote inclusion. These actions also will allow the Council to plan and deliver services which meet the needs of our diverse communities and respond to the changes ahead.

#### **12.8** Supporting Sustainable Development

There are no direct sustainability issues arising from this report.

#### 12.9 Digital Issues

There are no direct digital implications arising from this report.

#### 13 Summary

This report provides:-

- An assessment of future years Scottish Government Grant;
- Updated budget projections for 2018/19 to 2021/22;
- A sensitivity analysis reflecting the potential impact of different pay and grant settlement scenarios years;
- Details of the arrangements for the delegation of resources to the Midlothian Integration Joint Board;
- An update on the Change Programme aimed at addressing the projected budget shortfalls;
- Initial feedback from the budget engagement activity;
- An update on Reserves.

#### 14 Recommendations

Council is recommended to:-

- a) Note the position in respect of the Scottish Government Grant Settlement as set out in section 2 and received a verbal update on the initial analysis of the grant settlement announced on 14 December 2017;
- b) Note the current projected cost of services, key assumptions and resultant budget shortfalls as set out in section 3 and endorse the key assumptions on which the budget projections are based;
- c) Note the continuing uncertainties and the potential impact as outlined in the differing scenarios as set out in section 6;

- d) Instruct the Head of Finance and Integrated Service Support to advise the Midlothian Integrated Joint Board of the indicative allocation of £38.086 million for 2018/19 and the projected allocations for later years as set out in section 7;
- e) Note the updated assessment of the proposed Change Programme and projected future years Council Tax increases and the impact on the Financial Strategy as set out in table 10;
- f) Note that incorporating the emerging Change Programme the indications are that there would still be a budget gap of £2.187 million for 2018/19 rising to £9.708 million by 2021/21, though these are heavily dependent on the assumptions detailed in the report;
- g) Note that further proposals, specifically for 2018/19 along with amendments existing proposals to take cognisance of the feedback from the engagement activity will be presented to the next meeting of the Business Transformation Steering Group on 15 January 2018 and will then form part of the final proposals presented to Council;
- h) Note the initial feedback on the budget engagement and agree a detailed report be prepared and made available to all members early in the New Year and that it is also considered by the Business Transformation Steering Group on 15 January 2018;
- i) Note that there continues to be engagement with the recognised Trade Unions on the Council's financial position and service challenges;
- j) Note the governance arrangements and timetable set out in section 9;
- k) Note the severity of the financial challenge and also the risks as set out in section 12.2.
- Note that a further report will be presented to Council on 13 February 2018 to allow Council to determine Council Tax and set a balanced budget for 2018/19.

Date 11 December 2017

#### **Report Contact:**

Gary Fairley Tel No 0131 271 3110 gary.fairley@midlothian.gov.uk

Appendix 1 – Interim Shaping Our Future engagement report Appendix 2 – Updated EQiA



## Summary findings of the 2017 public consultation on Midlothian Council's savings proposals

Interim Report – 7 December 2017

www.midlothian.gov.uk/shapingourfuture



Page 119 of 558

# Number of responses Total number of individual comments received as at 7 December (consultation closes 14 December 2017)

<b>Total number of individual comments received</b> as at 7 December (consultation closes 14 December 2017)	1,300
<ul> <li>Number of individuals and groups submitting written responses to date</li> <li>Single and multiple comments on savings proposals contained in: <ul> <li>228 emails;</li> <li>180 electronic survey forms;</li> <li>101 letters and comment sheets;</li> <li>44 'Tell Ken' staff suggestions;</li> <li>33 social media comments.</li> </ul> </li> </ul>	586
<ul> <li>Number attending community engagement meetings</li> <li>Meetings were held over five nights in early November with representatives of community groups in Midlothian. <ul> <li>Number attending: 158</li> </ul> </li> <li>2 meetings were held with school students from across Midlothian in late November 2017 <ul> <li>Number attending: 34</li> </ul> </li> </ul>	192
Number of known petitions to date	5
Online petition Save Our Libraries – approx. number of signatories to date	2,000
Keep Danderhall and other Community Libraries Open – no. of signatories	46
Online petition against cuts in Instrumental Music Tuition – approx. number of signatories to date	2,500
Paper petition against the removal of the School Crossing Service – residents of Mayfield and nearby areas	407
Joint Midlothian Trades Unions paper petition against public sector funding cuts (submitted to the Scottish Government)	3000+

## Summary of key findings as at 07/12/17

#### Key findings to date

#### • Libraries

Opposition to the proposal to shut libraries is reflected in the number of comments (121), strength of feeling expressed in comments; and number of signatories to external petitions (2000+ signatories as at 8 December 2017). Also a number of concerns and questions on library closures were raised at all 5 of the community consultation meetings and was a key concern at the meetings held with local school students.

There have also been responses from national bodies against the proposals. Submissions have been received from the Chartered Institute of Library and Information Professionals in Scotland and the Scottish Library & Information Council.

#### • Education

142 comments have been received on a range of issues relation to the education proposals. More than 40 of these relate to concerns about **After School Care fees** (with the majority of these coming in the form of emails from parents and carers and coordinated through Loanhead After School Club). This was also raised as a concern at some of the community consultation meetings.

The proposal to cut **Learning Assistants** is also strongly opposed in a number of responses (around 30). The proposal to introduce charges for **Instrumental Music Tuition** has attracted 15 comments in opposition but has also attracted a very large number of signatories to the external online petition (2,500 to date). This was also a key issue at the meeting held with local school students.

#### Street cleaning, waste collection and disposal

Of 164 comments received on waste services, the majority of concerns relate to the proposal to close **Penicuik Recycling Centre**, with 66 strongly opposed. Many respondents also raise concerns about the potential increase in fly tipping as a result of this and other proposals to alter collection frequencies or charge for certain services.

#### • Removal of School Crossing Service

A paper petition signed by 407 people from the Mayfield area has been received in opposition to the proposal to remove the non-statutory school crossings service. Opposition to this cut has also been expressed in around 15 of the responses received to date.

Roads maintenance and street lighting
 Of 52 respondents, almost all are strongly opposed to cuts to the roads
 maintenance, winter maintenance and street lighting budgets.

#### • Transport and travel

The impact on Pathhead of the proposal to stop **supported bus grants** attracted 200 residents to a recent public meeting and an increase in the number of responses raising concerns about this. Cutting **supported bus grants/ ring and go/ taxi card** was also raised as a concern by representatives of a number of community groups at the community consultation events. The impact of this and other proposed savings on vulnerable members of society was raised in these meetings and is reflected in a number of the comments under transport, communities and general comments.

#### • Voluntary sector grants

Possible cuts in **support to the voluntary sector** was key issue at the consultation meetings and the impact of this and other savings proposals on more vulnerable members of the community is recurring theme in the written responses.

#### • Environmental health and trading standards

Of 13 comments received, most are concerned about cuts to the **noise nuisance** and **pest control** service.

#### • Parks and open spaces

There are mixed views on the proposals to cut the provision of floral displays and shrub beds in the 62 responses received. The majority, although not all, of the comments on the proposal to cut support to gala days are opposed to it.

#### • Council Tax

Around two-thirds of the 30 comments received on **Council Tax** say that Council Tax should go up.

#### • Staffing/ management/ councillors

Of 90 comments received, most support cuts to **senior management** roles/ pension costs/ car leasing/ councillor costs and expenses. Many suggest that there should be senior management reductions greater than those already included in the savings proposals.

#### • Town centres/ town and village impact

Many of the comments make it clear that some communities are feeling much more hard hit than others as a result of the proposals, particularly **Penicuik and Newtongrange.** 

#### • Health and social care

16 comments have been received, most of these recognising the difficult financial challenge and the need to maintain support for adult social care services.

#### • Children's services

11 comments have been received, all opposed to a reduction in **early intervention and prevention** services.

#### • Property and facilities management

A wide range of comments, with a number concerned about the proposed changes to the **schools meal service** and others raising concerns about the proposals to share **janitorial services** and to **transfer the running of local facilities** to community groups

#### • Sport and leisure

The proposal to reduce **lifeguard cover** is a matter of concern for a number of respondents, as are the proposals to **reduce astro and grass pitches** and to **increase charges.** 

#### • Income generation/ money saving

The suggestion that more should be done to **increase developer contributions** features in a number of the written responses and was a recurring theme at the community engagement meetings. **Shared services** with other local authorities also received support in the written comments. Most of the ideas for money saving and income generation are fairly 'low level' – e.g. increase advertising income, reduce printing and postage costs, reduce admin costs.

Item 8.6 Appendix 2



#### **Overview Equality Impact Assessment (EqIA)**

on

#### **Midlothian Council**

**Financial Strategy** 

2018/19 to 2021/22

19 December 2017

Page 125 of 558



#### **Midlothian Council**

#### Equality Impact Assessment (EqIA) on Midlothian Financial Strategy

#### 2018/19 - 2021/22

ſ

Financial Strategy Proposals	As set out in grid attached to this EqIA
Directorate and service	List as detailed above
area	

Overview of Budget Investment through the Financial Strategy	The core objective of the Financial Strategy 2018/19 to 2021/22 is that of securing the Council's continued financial sustainability during what is expected to be an ongoing period of financial constraint coupled with continuing service demand pressures and increasing customer expectations.
Completion Date	5 December 2017
Lead officer	Gary Fairley

#### **Aims and Objectives**

The public sector continues to face significant service delivery challenges due to reduced income streams, funding constraints, inflationary cost pressures and additional legislative burdens. Demand for public services in Midlothian continues to increase as a consequence of changes in the size and profile of the county's population with greater numbers of young and older people, those in poor economic situations, and those with disabilities be they physical, sensory, mental health or learning disabilities. The Council must continue to prioritise expenditure on public services which prevent negative outcomes for those within its communities whilst securing maximum benefit from all available resources. Accordingly, it is prudent that significant savings and cuts are made over the coming years and projected budget shortfalls stemmed. This will allow the Council to maintain its financial sustainability and also to ensure that all within its communities, irrespective of protected characteristics, (age, disability, gender re-assignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, and sexual orientation plus in Midlothian poor socio-economic circumstances), are not unlawfully discriminated against, and that equality of opportunity and advancement of good relations in upheld between those who have a protected characteristic and those who do not.

1. Does the proposed budget affect people?	Yes No
--	--------

2. What is/are the reason(s) for Council's proposed budget savings

Savings are part of a process of continual review of service provision as we seek to secure efficiencies and redesign services in response to the financial challenge.

#### 3. Impact

Which of the protected characteristics\* will the proposed budget savings have an impact upon?

Equality Target Group*	Positive Impact	Negative Impact	Relevant evidence/ information
Age			
Disability			
Gender Reassignment			Overall Grid attached to
Marriage & Civil Partnership			this appendix.
Pregnancy and maternity			
Race			
Religion or Belief			
Sex			
Sexual Orientation			

#### 4. Overall Impact of Financial Strategy proposals

Each budget proposal presented has been subjected to an Equality Impact Assessment. The overall grid (attached to the end of this appendix 2) details the protected characteristics which are considered to be most likely to be affected in a potentially negative way. The overall grid includes the currently non-enacted 10<sup>th</sup> protected characteristic of socio-economic deprivation which Midlothian Council voluntarily considers. It is understood that this 10<sup>th</sup> protected characteristic will be enacted in 2017 by the Scottish Government.

In no proposal area has any unlawful negative impact been identified, and where possible reduction/removal of services will be monitored to establish the actual affect to those within our communities.

5. How will the implementation of proposed Financial Strategy savings be communicated to those affected by any changes?

Information will be available on the Council's web site and communicated to affected businesses/customers/service users by letter, email, etc. In addition, information documents, as required, can and will be made available in different formats and languages on request. If an individual or group require this information in another language or format, then they should email equalities@midlothian.gov.uk or telephone the Equality, Diversity & Human Rights Officer on 0131 271 3658.

6. How will you monitor the impact of the changes proposed? When is the budget due to be reviewed?

Changes will be monitored through Pentana, the council's performance management system, discussion groups and forums, fees and charges income, and various other methods detailed in the individual equality impact assessments.

7. Please use the space below to detail any other matters arising from the Equality Impact Assessment (EqIA) process.

If available, mitigating actions for each of the proposals have been outlined in the individual equality impact assessments.

Where no mitigating actions are possible it is considered that any negative effects are not unlawful and are justifiable on a benchmarking/inflationary basis.

Midlothian Council is committed to the ethos of the Equality Act 2010 and has considered this through equality impact assessment of all its budget proposals.

Please send an electronic copy of completed forms to <a href="mailto:lesley.crozier@midlothian.gov.uk">lesley.crozier@midlothian.gov.uk</a>

SERV	No.	DESCRIPTION	EQIA Comp?	Age	Disability	Gender re-assignment	Marriage & Civil Partnership	Pregnancy & Maternity	Race	Religion or Belief	Sex	Sexual Orientation	Socio-economic deprivation	Staffing FTE	Notes
EXE	1	Senior Management Team Review	Yes	V	$\checkmark$	V		$\checkmark$	$\checkmark$	$\checkmark$	V	V	$\checkmark$	2	All protected characteristics could be affected depending on staff profile. Age, disability and socio- economic deprivation could be hit hardest.
CE	1	Transfer of the Welfare Rights function to external agencies	Yes	1	V	V	V	V	V		1	V	V	3	All protected characteristics maybe affected depending on the staff profile and those affected in the communities
CE	2	Overall reduction in the Planning Service (2 posts)	Yes	V	V	V	$\checkmark$	V	$\checkmark$	$\checkmark$	V	V	$\checkmark$	2	All protected characteristics maybe affected depending on the staff profile
CE	3	Staff saving from community asset transfer of Newtongrange Community Learning Centre building	Yes	V	V	V	$\checkmark$	V	$\checkmark$	$\checkmark$	V	V	$\checkmark$	1	All protected characteristics maybe affected depending on the staff profile and those affected in the communities
CE	4	A tailored and informed approach to Reduction in the Large and Small Grants budgets	Yes	$\checkmark$	$\checkmark$								$\checkmark$	0	
CE	5	Reduce contribution to Strategic Planning Authority	Yes											0	

CE	6	Review the pest control service within Environmental Health	Yes	√	V	√	√	V	V	V	V	V	V	0.6	All protected characteristics maybe affected depending on the staff profile and those affected in the communities
CE	7	Deletion of Environmental Health support post (noise control/enforcement)	Yes	V	V	V	V	V	V	V	V	V	V	0.8	All protected characteristics maybe affected depending on the staff profile and those affected in the communities
CE	8	Overall further reduction in the Environmental Health Service (2 posts)	Yes	V	V	V	V	V	V	V	V	V	V	2	All protected characteristics maybe affected depending on the staff profile and those affected in the communities
CS	1	Reduction of Early Intervention & Prevention Services												4	
EDUC	1	Reduce Learning Assistants by 10%	Yes											12	
EDUC	2	Review Surestart Contracts	Yes	$\checkmark$										0	
EDUC	3	Lifelong Learning and Employability	Yes	V	V	V	V	V	V	V	V	V	V	3.5	More data/information required but may affect all protected characteristics
EDUC	4	Review DSM	Yes											0	Disability affected positively
EDUC	5	Charging for Instrumental Tuition	Yes	$\checkmark$										0	
EDUC	6	Review let charges for after school clubs	Yes	V	V		V				V		$\checkmark$	0	
EDUC	7	Integration of Pathways, Pave and Pave 2 - mini Service Review	Yes	V	V	V	V	V	V	V	V	V	V	2	All protected characteristics could be affected depending on staff profile. Age, disability and socio- economic deprivation could be hit hardest.
HSC	1	Rebalancing Care/rebalancing Expectations	Yes	$\checkmark$	$\checkmark$								$\checkmark$		

CHS	1	Community Safety	Yes	$\checkmark$	V	V	\ √	V	V	V	V	V	V	8	All protected characteristics maybe affected depending on the staff profile and those affected in the communities
CHS	2	Homelessness	Yes	V	$\checkmark$			V					$\checkmark$	0	Plus other protected characteristics maybe affected dependant on any affected staff and their profile
CHS	3	Housing	Yes	V									V	0	Plus other protected characteristics maybe affected dependant on any affected staff and their profile
CHS	4	Digital lead Customer Service - Library Services	Yes	V									V	30	Plus other protected characteristics maybe affected dependant on affected staff and their profile
CHS	5	Revenues and Benefits	Yes	V	V	V	V	V	V	V	V	V	V	5	Could affect all (communities and affected staff) dependant on their profile.
со	1	Charge for bins and boxes	Yes											0.0	
CO	2	Extend collection frequencies	Yes										V	3.0	
CO	3	Close Penicuik recycling centre	Yes		V			· ·					V	2.0	
CO	4	Charge for garden waste collection	Yes											0.0	
со	5	Charge for commercial waste at Stobhill CRC site	Yes												No impact to individuals as affects businesses only
CO	6	Advertising on Council refuse vehicles	Yes												No impact to individuals as affects businesses only but those advertising would either need to sign up to the Midlothian Equality Plan or have their own Equality plan in place.
CO	7	Increase the level of recycling	Yes	V	V	V	V	V	V	V	V	V	V		All protected characteristics affected but none disproportionately
Со	8	Reduce Street Sweeping Frequency	Yes	$\checkmark$	V	V	$\checkmark$	V	V	V	V	V	V	1.0	All protected characteristics affected but none disproportionately
со	9	Reduce grass cutting standards	Yes	V	V								V	5.0	Plus other protected characteristics maybe affected dependant on

															affected staff profile
СО	10	Reduce the number of grass football and astro pitches	Yes	1									V	1.0	Plus other protected characteristics maybe affected dependant on affected staff profile
CO	11	Stop provision of all floral displays and shrub beds	Yes	V	V								V	4.0	Plus other protected characteristics maybe affected dependant on affected staff profile
CO	12	Stop support to gala's and events	Yes	$\checkmark$	V	V	V	V	V	V	V	V	V	0.0	All protected characteristics maybe affected but none disproportionately
CO	13	Increase charges where appropriate	Yes												
CO	14	Increase lair provision at Dalkeith cemetery	Yes										$\checkmark$		
CO	15	Close Polton Bowling Club	Yes	$\checkmark$											
CO	16	Review spending on road maintenance	Yes	V	V									4.0	
CO	17	Reduce the structures maintenance budgets	Yes	V	V	V	V	V	V	V	V	V	V	0.0	All protected characteristics maybe affected but none disproportionately
CO	18	Reduce street lighting maintenance budget	Yes	V	V	V	V	V	V	V	V	V	V	2.0	All protected characteristics could be affected both within communities and dependant on affected staff profile.
CO	19	Transform Lighting operations	Yes	V	V	V	V	V	V	V	V	V	V	3.0	All protected characteristics could be affected both within communities and dependant on affected staff profile.
CO	20	Reduce the winter maintenance budget	Yes	V	V			V						0.0	
CO	21	Remove the non statutory school crossing service	Yes	V	V									53.0	Plus other protected characteristics maybe affected dependant on affected staff profile
CO	22	Stop all open space CCTV activity	Yes	V	V	V	V	V	V	V	V	V	V	0.0	All protected characteristics maybe affected but none disproportionately
CO	23	Introduce and Increase Parking Charges	Yes	$\checkmark$									V		

со	24	Stop supported bus grants and reduce community transport support	Yes	$\checkmark$	1								√	1.0	Plus other protected characteristics maybe affected dependant on affected staff profile
CO	25	Reduce the ring and go scheme	Yes	V	V								V	1.0	Plus other protected characteristics maybe affected dependant on affected staff profile
CO	26	Stop the taxi card scheme	Yes	$\checkmark$	V								$\checkmark$	1.0	Plus other protected characteristics maybe affected dependant on affected staff profile
со	27	Increase training offer - increase income Risk Management	Yes								V		$\checkmark$	0.0	
со	28	Sales Force Spend to Generate	Yes	V	V	V	V	V	V	V	V	V	V		All protected characteristics affected but none disproportionately
FISS	1	Management Structure	Yes	1	V	V	1	V	V	V	1	V	V	1.0	All protected characteristics could be affected depending on staff profile.
FISS	2	Digital Services Review	Yes	V	V	V	V	V	V	V	V	V	V	2.0	All protected characteristics could be affected depending on staff profile.
FISS	3	Digital by Default	Yes	$\checkmark$											
FISS	4	Service Improvement Plans/Business Processes/Service Reduction	Yes	V	V	V	V	V	V	$\checkmark$	V	V	V	37.0	All protected characteristics could be affected depending on staff profile.
FISS	5	Remove Regular Car Allowance	X2											0.0	
FISS	6	Shared Service	Yes	V	V	$\checkmark$	V	V	V	V	V	V	V	15.0	All protected characteristics could be affected depending on staff profile.
PFM	1	Building Services Company	Yes												
PFM	2	Reduction in Housing Voids Standards	Yes	V	V	V	V	V	V	V	V	V	V	2.0	All protected characteristics could be affected depending on staff profile. Age, disability and socio- economic deprivation could be hit hardest.

PFM	3	Construction and Design Service Consultancy	Yes	V	V	√	V	V	√	V	V	√	V		All protected characteristics could be affected depending on staff profile. Age, disability and socio- economic deprivation could be hit
PFM	4	Income from Professional Consultancy	Yes	V	V	V	V	V	V	V	V	V	V		hardest. All protected characteristics could be affected depending on staff profile. Age, disability and socio- economic deprivation could be hit hardest.
PFM	5	Increasing the charging for school meals	Yes										V		Whilst free meal provision would continue, this increase could affect low income families just above the threshold for free meals.
PFM	6	Sharing Catering management with neighbouring Las	Yes	V	$\checkmark$	$\checkmark$	V	V	V	V	V	V	V	1.0	All protected characteristics could be affected depending on staff profile. Age, disability and socio- economic deprivation could be hit hardest.
PFM	7	Café style high school meal service	Yes										V		For low income families this change may affect young person's chance of a norishing full meal.
PFM	8	Trolley Service/Internal Catering to cover costs	Yes										V		
PFM	9	Expand Catering/Function Service	Yes												
PFM	10	Café Service Social Enterprise/Branding	Yes												No disproportionate impact
PFM	11	Janitorial Service shared between 2 primary schools	Yes	V	V	V	V	V	V	V	V	V	V	11.0	All protected characteristics could be affected depending on staff profile.Age, disability, women and socio-economic deprivation could be hit hardest.
PFM	12	Renegotiate Skanska subcontract	Yes												POSITIVE IMPACT for all.
PFM	13	Property Company	Yes				1			1			$\checkmark$		
PFM	14	Renewable Sources of Energy	Yes				1			1					NO IMPACT

PFM	15	PPP Shared management with other LA	Yes	V	V	V	V	V	V	V	V	V	V	1.0	All protected characteristics could be affected depending on staff profile. Age, disability and socio- economic deprivation could be hit hardest.
PFM	16	PPP maximised use of contracted hours	Yes	V	V								V		Longer journeys may affect age, disability and socio-economic deprivation.
PFM	17	Sport & Leisure - Leisure Trust Model	Yes	$\checkmark$							$\checkmark$				
PFM	18	Community run 'Pure Gym'	Yes	V	V	V	V	V	V	V	V	V	V	8.0	All protected characteristics could be affected depending on staff profile.Age, disability, women and socio-economic deprivation could be hit hardest.
PFM	19	Cessation of Sporting Grants	Yes	$\checkmark$	$\checkmark$								$\checkmark$		
PFM	20	Lifeguard Cover	Yes	V	V	V	V	V	V	V	V	V	V	4.0	All protected characteristics could be affected depending on staff profile.Age, disability, women and socio-economic deprivation could be hit hardest.
PFM	21	Concessionary Charging Policy - Leisure	Yes	V									V		
PFM	22	Wrap around care provision	Yes												POSITIVE IMPACT for all.
PFM	23	Transfer all halls and pavilions to community groups	Yes	V	$\checkmark$						V		$\checkmark$		
PFM	24	Merging of S&S/FM Staff in Hubs	Yes	V	V	V	V	V	V	V	V	V	V	4.0	All protected characteristics could be affected depending on staff profile.Age, disability, women and socio-economic deprivation could be hit hardest.
PFM	25	Selling Services	Yes	$\checkmark$	$\checkmark$								$\checkmark$		
PFM	26	Destination Hillend	Yes												POSITIVE IMPACT for all.
PFM	27	Fees and Charges	Yes	$\checkmark$											



#### General Services Capital Plan 2017/18 to 2021/22 Report by Gary Fairley, Head of Finance and Integrated Service Support

#### 1 Purpose of Report

The purpose of this report is to provide Council with:-

- An update of the General Services Capital Plan incorporating rephasing of projects and new projects approved since the previous General Services Capital Plan report on 29 August 2017 (Section 2.1)
- Information on further additions to the Capital Plan for approval (Section 2.2);
- Update on the gross and net debt outstanding position in comparison with the previously agreed debt cap (Section 3);
- Update on the capital fund (Section 4).

#### 2 Rephasing and New Projects

#### 2.1 Rephasing & Projects previously approved

The General Services Capital Plan presented to Council on 29 August 2017 allowed, over the period 2017/18 to 2021/22, for expenditure of  $\pounds$ 126.157 million, funding of  $\pounds$ 81.981 million, and a total borrowing requirement of  $\pounds$ 44.176 million.

Expenditure and income forecasts covering the period of the plan have been rephased to reflect the most recent information available and to reflect new projects as noted in the Quarter 2 report to Council on 8 November 2017.

This revises the overall levels of expenditure, funding and borrowing required over the period 2017/18 to 2021/22 as shown in Table 1 below.

Item	2017/18 Budget	2018/19 Budget	2019/20 Budget	2020/21 Budget	2021/22 Budget	Total Budget
	£000's	£000's	£000's	£000's	£000's	£000's
Expenditure	31,757	27,451	31,505	27,962	11,389	130,064
Funding	19,369	23,457	18,121	12,655	10,037	83,639
Borrowing	12,388	3,994	13,384	15,307	1,352	46,425
Required						

## Table 1: General Services Capital Plan 2017/18 to 2021/22 including rephasing

#### 2.2 Projects presented at today's Council meeting for approval

The following projects are being presented to Council on today's agenda for approval in the General Services Capital Plan:-

- Hopefield Schools Joint Campus:- Increase in capital expenditure budget of £1.885 million reflecting inclusion of Early Years provision and joint campus approach; part funded by Scottish Government Early Years Grant (£0.963 million) and part-funded by £0.922 million of prudential borrowing. Due to change of use to Joint Campus, removal of £5.254 million of developer contributions and therefore an increase in prudential borrowing required of £5.254 million;
- School Estate Capacity and Pupil Intake Limits School Session 2018-19:- provision sum of £1.130 million of capital costs for the provision of modular units and internal reconfigurations to Burnbrae, Mayfield and St. David's Primaries;
- Automated Public Convenciences:- £0.289 million of capital costs for the provision of new automatic self cleaning, opening and closing public convenicences in Bonnyrigg, Dalkeith and Penicuik, to be fully funded by prudential borrowing.

The inclusion of these projects, if approved by Council today, will revise the overall levels of expenditure, funding and borrowing required over the period 2017/18 to 2021/22 as shown in table 2 below.

Item	2017/18 Budget	2018/19 Budget	2019/20 Budget	2020/21 Budget	2021/22 Budget	Total Budget
	£000's	£000's	£000's	£000's	£000's	£000's
Expenditure	31,830	29,597	32,590	27,962	11,389	133,369
Funding	19,329	21,251	17,226	11,863	9,679	79,348
Borrowing	12,501	8,346	15,364	16,099	1,710	54,021
Required						

## Table 2: General Services Capital Plan includingprojects presented at today's Council meeting for approval

#### 3. Overall Cap on Debt Outstanding

The projected level of gross debt outstanding, based on the expenditure and income assumptions outlined in Table 2, is shown in the table below.

Including forward funded projects (where the Council incurs capital expenditure which is expected to be funded by future developer contribution receipts), the projected level of net debt outstanding is also shown in table 3 below.

Item	2017/18 Budget	2018/19 Budget	2019/20 Budget	2020/21 Budget	2021/22 Budget
	£000's	£000's	£000's	£000's	£000's
Debt Outstanding 01 April	113,739	122,357	126,655	137,968	149,701
Borrowing arising from Capital Plan	12,501	8,346	15,364	16,099	1,710
Debt Repayments	-3,883	-4,048	-4,051	-4,366	-4,644
GROSS Debt Outstanding 31 March	122,357	126,655	137,968	149,701	146,768
Less: Net debt on Forward Funded projects	-5,773	-5,570	-6,413	-6,865	-5,678
NET Debt Outstanding 31 March	116,584	121,085	131,555	142,837	141,089
Agreed Cap	124,000	124,000	124,000	124,000	124,000
Headroom	7,416	2,915	-7,555	-18,837	-17,089

Table 3: Debt outstanding net of any forward funded projects

As can be noted from the table above, the overall level of debt outstanding is projected to exceed this cap in the year ended 31 March 2021 by £18.837 million and remain £17.089 million above the cap in the year ended 31 March 2022. A fuller review of the General Services Capital Plan is scheduled for the Council meeting on 13 February 2017. That review will include a reassessment of the debt cap position.

#### 4. Capital Fund

The Capital Fund at the start of the 2017/18 financial year was £16.707 million. Capital Receipts of £7.807 million are forecast to be received in 2017/18, and will be transferred to the capital fund. This will increase the balance in the Capital Fund to £24.514 million as at 31 March 2018.

Council, on 27 September 2016, approved the medium to long-term strategy for the Capital Fund, specifically, to maintain the current arrangements for crediting all capital receipts for the disposal of assets to the Capital Fund, and for £12.000 million to be earmarked from the Capital Fund for the Edinburgh and South East Scotland City Region Deal.

The projected balance on the Capital Fund at 31 March 2022, inclusive of the release of £12.000 million City Deal funding, is £21.384 million.

#### 5. Report Implications

#### 5.1 Resource

The borrowing required to finance the planned investment in 2017/18 to 2021/22 is currently £52.891 million.

The loan charges incorporated within previous Financial Strategy reports are based on the overall level of debt outstanding remaining within the cap of £124.000 million. As noted above, the level of debt outstanding is projected to exceed the cap and this will result in either (a) a corresponding increase in the level of loan charges over the period 2017/18 to 2021/22 or (b) require reductions in Capital Expenditure or alternative sources of funding.

#### 5.2 Risk

The inherent risk in the Capital Plan is that projects will cost more than estimated thus resulting in additional borrowing. The monitoring procedures ensure that significant variations are reported at an early stage so that remedial action can be taken to mitigate this risk.

As noted in Section 3, the projected level of debt outstanding exceeds the cap and this will therefore result in additional loan charges. This risk is exacerbated through the lack of fully developed asset management plans, with only provisional sums for the Council's 6 core asset bases (Property, Roads, Street Lighting, Footway & Footpaths, Vehicles and Digital Services/Business Applications equipment) currently included in the capital plan. The impact of the Learning Estate Strategy is yet to be fully quantified and is therefore currently not included in the plan, further exacerbating this risk. In order to mitigate this risk officers, through the creation of a Capital Plan and Asset Management Board will review the emerging financial implications of the Learning Estate Strategy, the additional investment requirements arising from the developing asset management plans, and the prioritisation of any new projects, to ensure that the overall level of debt outstanding remains affordable.

#### 5.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

Community safety

- Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- $\boxtimes$  Sustainable growth
- Business transformation and Best Value
- None of the above

#### 5.4 Impact on Performance and Outcome

There are no issues arising directly from this report.

#### 5.5 Adopting a Preventative Approach

There are no issues arising directly from this report

#### 5.6 Involving Communities and Other Stakeholders

No external consultation has taken place on this report.

#### 5.7 Ensuring Equalities

There are no equalities issues arising directly from this report.

#### 5.8 Supporting Sustainable Development

There are no sustainability issues arising directly from this report.

#### 5.9 Digital Services Issues

There are no Digital Services implications arising from this report.

#### 6 Recommendations

Council is asked to:

- Approve the inclusion of (a) a provision sum of £1.130 million for Modular Units: Session 2018/19; and (b) £0.289 million for Automated Public Conveniences; in the General Services Capital Plan and (c) note the change to the project budget and funding arrangement for the Hopefield Primary School project;
- Approve the revised expenditure and funding levels in the General Services Capital Plan 2017/18 to 2021/22 (as shown in appendices 1 and 2).

#### Date 11 December 2017

#### **Report Contact:**

Name Gary Thomson Tel No 0131 271 3230 gary.thomson@midlothian.gov.uk

#### Background Papers:

Appendix 1 – Summary General Services Capital Plan 2017/18 to 2021/22 Appendix 2 – Detailed General Services Capital Plan Expenditure 2017/18 to 2021/22

#### Appendix 1

#### Summary General Services Capital Plan 2017/18 to 2021/22

GENERAL SERVICES CAPITAL PLAN	2017/18	2018/19	2019/20	2020/21	2021/22	Total
2017/18 to 2021/22	Budget	Budget	Budget	Budget	Budget	Budget
	£'000	£'000	£'000	£'000	£'000	£'000
EXPENDITURE						
Resources	12,919	8,947	13,958	19,601	10,108	65,532
Education, Community & Economy	18,510	15,762	12,186	6,111	1,079	53,648
Health & Social Care	197	988	447	150	203	1,984
Council Transformation	205	3,900	6,000	2,100	0	12,205
Total Approved Expenditure	31,830	29,597	32,590	27,962	11,389	133,369
FUNDING						
Government Grants	10,543	9,940	8,977	8,096	8,096	45,651
Government Grants - Others	1,190	489	0	0	0	1,680
Receipts from Sales transferred to Capital Fund	7,807	170	8,700	0	0	16,677
Transfer from Capital Fund to Capital Plan	-7,807	3,730	-2,700	2,100	0	-4,677
Developer Contributions	2,424	2,628	2,249	1,667	1,583	10,552
Other Contributions	5,172	4,293	0	0	0	9,465
Total Available Funding	19,329	21,251	17,226	11,863	9,679	79,348
Approved Borrowing Required	12,501	8,346	15,364	16,099	1,710	54,021

# Appendix 2

# Detailed General Services Capital Plan Expenditure 2017/18 to 2021/22

	2017/18 Budget	2018/19 Budget	2019/20 Budget		2021/22 Budget	Total Spend	
	£'000	£'000	£'000	£'000	£'000	£'000	
RESOURCES							
Customer Services							
Front Office - Device & Interactive Asset Upgrades	312	143	0	0	0	45	
Back Office - Anti Virus Upgrades	0	49	26	0	0	7	
Network Enterprise - Network Connection	0	0	0	0	0		
Network Enterprise - Network Assets (Power & Data)	182	44	0	0	0	22	
IGS - Compliance - Data Encryption	0	15	8	0	0	2	
IGS - Compliance - PCI	39	0	0	0	0	3	
Disaster Recovery	0	0	0	26	14	4	
Service Desk - ITMIS Service Improvement	80	0	0	0	0	8	
Committee Management System	3	0	0	0	0		
Paperless Meetings	16	0	0	0	0	1	
Business Application Upgrades inc. mobile working	139	0	0	0	0	13	
Interactive White Board Replacement	474	0	0	0	0	47	
SWAN Programme	517	0	0	0	0	51	
New GoreGlen & Bilston Digital Assets	67	0	0	0	0	6	
Newbattle Centre for Excellence in Digital Industries	297	160	0	0	0	45	
Digital Services Asset Management Plan	0	1,645	2,496	2,355	2,264	8,75	
Commercial Operations		.,	-,	.,	,==.	-,. <b>-</b>	
Street Lighting Upgrades	1,111	650	1,000	1,000	1,350	5,11	
Street Lighting LED Upgrade (Salix Funded)	0	000	0	0	0	0,11	
Footway & Footpath Network Upgrades	493	325	500	500	675	2,49	
Road Upgrades	1,901	975	1,500	1,500	2,025	7,90	
Zero Waste Capital Contribution	0	0,0	000	7.380	0	7,38	
Cycling, Walking & Safer Streets Projects	79	108	102	94	122	50	
Footpath Lighting: Bonnyrigg Bypass to Gorton Road	83	44	0	0	0	12	
B6482 Newbattle/Easthouses Road Cycleway	54	29	0	0	0	8	
A6094: Bonnyrigg Bypass Cycleway & Toucan Crossing / Re	49	26	0	0	0	7	
Ironmills Park Steps	21	0	0	0	0	2	
New recycling facility - Penicuik	244	0	0	0	0	24	
Vehicle & Plant Replacement Programme	2,867	2,200	1,707	2,957	2,226	11,95	
Electric Vehicles - Powerpoint Installation	64	2,200	0	2,007	0	6	
Grass Cutting Machinery	142	0	0	0	0	14	
Geogrid - Barleyknowe Lane	43	0	0	0	0	4	
20mph Limits	40 0	0	0	0	0	-	
Vogrie Car Parking Barriers	17	0	0	0	0	1	
King George V Park Outdoor Fitness Equipment	4	0	0	0	0		
Gore Glen Bing	4	0	0	0	0		
Easthouses Lily Stand	5	0	0	0	0		
Outdoor Play Equipment - Rosewell	32	17	0	0	0	4	
Outdoor Play Equipment - Gorebridge	84	45	0	0	0	4	
Westerhaugh Bridge	30	45	-6	0	0	3	
Property & Facilities	30	0	-0	0	U	3	
Stobhill Depot Upgrade	568	0	0	0	0	50	
New Depot: EWiM Phase III	188					56	
· · ·	188	1,162	5,519	2,788	83	9,74	
Straiton Bing Site Investigation		0 1,000	1 000	0 1,000	1 350		
Property Upgrades inc. Lighting/Lightning	1,723		1,000		1,350	6,07	
Midlothian House 3rd Floor Reconfiguration	122	0	0	0	0	12	
Purchase of 7 Eskdaill Court, Dalkeith	243	0	0	0	0	24	
Purchase of 49 Abbey Road, Dalkeith	215	0	0	0	0	21	
Purchase of 31 Jarnac Court, Dalkeith	1	0	0	0	0		
Hillend Freestyle Jump Slope Upgrade	208	0	0	0	0	20	
Purchase 9/11 White Hart Street	98	53	0	0	0	15	
Primary 1-3 Free School Meals	0	0	0	0	0		
Leisure Management System (Legend)	102	63 188	4 101	0	0	16	
Automated Public Toilets	0			0	0	28	

	2017/18	2018/19	2019/20		2021/22	Total
EDUCATION, COMMUNITY AND ECONOMY	Budget	Budget	Budget		Budget	Spend
Early Years	£'000	£'000	£'000	£'000	£'000	£'000
Gorebridge Development Trust (EYG Funded)	115	0	0	0		11
Gorebridge Development Trust	91	0	0	0	0	9
Gorebridge Development Trust (EYG Funded)	66	0	0	0	0	6
Early Years Pilot - Mayfield Family Outreach Centre	13	7	0	0		2
Further Early Years Provisions inc. 1140 hours	0	142	142	142	142	56
Primary	000		0	0	0	
New Bilston Primary	239	0	0	0	0	23
New Gorebridge North Primary	236	0	0	0	0	23
Paradykes Primary Replacement	7,215	1,229	0	0	0	8,44
Roslin Primary Replacement	1,270	533	0	070	0	1,80
Former Hopefield Primary School	300	5,714	4,630	970	0	11,61
Inspiring Learning Spaces	98	0	0	0		9
New Danderhall Primary hub	100	2,413	6,867	5,000	937	15,31
Cuiken & Sacred Heart Primaries - Design Team	130	70	0	0	0	20
Secondary	405	454				=
Lasswade High School inc. 2nd MUGA	435	154	0	0	0	58
Newbattle High School Preparatory Works	476	544	182	0	0	1,20
Beeslack Community High School Pitch General	17	0	0	0	0	1
	20	0	10	0	0	0.
Online Payments for Schools (Parent Pay)	39	39	10	0	0	8
PPP1 Land Acquisition	27	0	0	0	0	2
Saltersgate Alterations Phase II	124	0	0	0	0	12
Saltersgate Alterations Phase III - Internal Alterations	100	54	0	0	0	15
Saltersgate Alterations Phase III - Playground Improvements Modular Units - Session 2017/18		92	0	0	0	26
	1,279	688		0		1,96
Modular Units - Session 2018/19	73	701	356	0	U	1,130
Children and Families						
Planning & Development	209	209	0	0	0	
Environmental Improvements	209	209		0	0	41
Borders Rail - Economic Development Projects	20	0	0		0	25
East High Street Public Realm & Burns Monument Shawfair Town Centre Land Purchase	3,650	1,965	0	0	0	
Track to Train	234	1,905	0	0	0	5,61 36
Gorebridge Connected	772	416	0	0	0	
A701 & A702 Works	927	410	0	0		1,18
TOTAL EDUCATION, COMMUNITY AND ECONOMY	927 18,510	15,762	12,186	6,111	1,079	53,64
TOTAL EDUCATION, COMMONTLY AND ECONOMIT	10,510	15,762	12,100	0,111	1,079	55,040
HEALTH AND SOCIAL CARE						
Adult & Social Care						
Assistive Technology	100	437	150	150	203	1.04
Travelling Peoples Site Upgrade	17	0	0	0	200	1,04
Homecare	80	0	0	0	0	8
Recovery Hub	0	551	297	0		84
Customer & Housing Services			_0.			•
TOTAL HEALTH AND SOCIAL CARE	197	988	447	150	203	1,98
						.,
COUNCIL TRANSFORMATION						
Purchase to Pay	15	0	0	0	0	1
Online Housing Applications	27	0	0			2
Corporate Telephony Services Upgrade	9	0	0	0	0	-
EWiM - Buccleuch House Ground Floor	33	0	0			3
Website Upgrade	121	0	0			12
City Deal	0	3,900	6,000			12,00
	205	3,900	6,000	2,100		12,00
	200	0,000	3,000	_,		12,20
ENERAL SERVICES CAPITAL PLAN TOTAL	31,830	29,597	32,590	27,962	11,389	133,36
	01,000	20,001	52,000	21,002	11,000	.00,00



# Workforce Strategy

# Report by Gary Fairley Head of Finance and Integrated Service Support

# 1 Purpose of Report

This report presents the first Council wide Workforce Strategy, the purpose of which is to ensure that Midlothian Council continues to have a workforce that is able to deliver positive outcomes for the people of Midlothian. It sets out an approach to supporting, developing and reshaping the workforce now and in the future in response to changes whether as a consequence of national or local issues. It is underpinned by the Council's values and vision.

# 2 Background

Midlothian Council along with all other Councils in Scotland is required to complete a workforce strategy. Both Audit Scotland and the Council's external auditors will expect to see a workforce strategy that sets out plans for the workforce over the medium term. The Audit Scotland Report 'Local Government in Scotland: Performance and Challenges 2017' reiterates that with reducing budgets and workforce, Councils will find delivering improvements increasingly difficult. It is critical, therefore, that Councils have in place workforce strategies and plans that target effort on priority areas.

Midlothian is the fastest growing council area in Scotland; the Council will lead this change with our partners and communities. The proposed Council wide Workforce Strategy will help ensure the Council has the right people at the right time and who have the right skills, knowledge and attitude to provide services confidently and competently within this context.

The Workforce Strategy is important as it outlining the organisation's approach to articulating how workforce issues will be managed to ensure the Council has the people and skills to manage change and deliver service. In addition to the workforce strategy itself a workforce plan is being prepared, which will set out the programme of work required to deliver the objectives set out in the workforce strategy. There are also eight service specific workforce plans, which will set out the service specific workforce actions. These service plans have been developed alongside the budget proposals and together they form cohesive plans for the management of workforce issues across the Council.

# 3 Workforce Strategy

The proposed Workforce Strategy is set out in appendix 1 and includes the elements identified below:

- a) Foreword, vision and purpose of the workforce strategy
- b) Strategic overview of transformation themes
- c) Midlothian labour market context
- d) Workforce themes:
  - Employee Terms and Conditions
  - Employee performance
  - Recruitment and Retention
  - Reshaping the workforce
  - Health and Social Care integration
  - Expansion of early learning and childcare
  - Building leadership capacity
  - Digital leadership
  - Delivering excellence and talent management
  - Employee relations
  - Midlothian as an equal opportunities employer
  - Managing an ageing workforce
  - Volunteering
- e) Workforce overview and profile of the current workforce

# 4 Other Issues identified for consideration

At the Joint Consultative Group (JCG) meeting on 31 October 2017 it was requested by the Trade Union Side that there be Elected Member support and representation on the Lifelong Learning Committee. This requested was welcomed and supported by The Chief Executive. . Arising from the JCG discussion it was agreed to recommend to today's Council meeting that there be elected member representation on the Lifelong Learning Committee and that if supported that Council also appoint a representative.

# 5 Report Implications

# 5.1 Resource

There will be financial issues which will arise as the workforce is reshaped and the detailed interventions progressed.

# 5.2 Risk

There are risks associated with the partial / non delivery of the actions contained within the workforce strategy. If the actions are not realised then this will have an impact on the workforce of the future and the Council's commitment to achieve the right outcomes with our communities.

There are risks of not managing the workforce and the consequence could include, over or under capacity in service areas, people policies not being implemented, and lack of employees engagement resulting in reduced capacity to deliver on commitments to our communities.

Effective measures to reshape and reduce the workforce are increasingly critical in supporting the Council to manage services within the resources available.

# 5.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

Community safety

Adult health, care and housing

Getting it right for every Midlothian child

Improving opportunities in Midlothian

Sustainable growth

Business transformation and Best Value

None of the above

# 5.4 Impact on Performance and Outcomes

The workforce Strategy supports employees to be in a position to perform to the standards that are required and to meet the performance outcomes identified in the Midlothian Local Plan and Service Plans. It supports a change in the workforce to ensure future service delivery.

# 5.5 Adopting a Preventative Approach

The workforce strategy will help ensure the Council can continue to have a workforce that supports a preventative approach when working with our communities.

# 5.6 Involving Communities and Other Stakeholders

The recognised Trade Unison's were consulted on the content of the workforce strategy recognising that working in partnership with Trade Unions is an important part of the development and engagement of the workforce.

# 5.7 Ensuring Equalities

Assessing and responding to equality issues will be a key aspect and taken into consideration when implementing all aspects of the workforce strategy themes. An initial Integrated Impact Assessment (IIA) has been prepared in support of strategy and a comprehensive Equality Impact Assessment will be central to the continued development and delivery the workforce plans.

# 5.8 Supporting Sustainable Development

No consideration of this is required.

# 5.9 IT Issues

No consideration of this is required.

# 6 Recommendations

The Council is recommended to:-

- a) Approve the corporate workforce strategy
- b) Note that the workforce strategy will be supported by a detailed workforce plan and eight service specific workforce plans:
- c) Agree that there be elected member representation on the Lifelong Learning Committee and that if supported that Council also appoint a representative.
- d) Note the commitment to continuing to consult with the recognised Trade Unions on the further development and implementation of the workforce strategy and plan.

Date: 19 December 2017

# Report Contact: Gary Fairley Tel No 0131 271 3110 gary.fairley@midlothian.gov.uk

Background Papers:



# Workforce Strategy

# **MIDLOTHIAN COUNCIL**

2017 – 2022



# Table of Contents

Vision and Purpose	3
Background	4
Midlothian Council Workforce – Strategic Overview	4
Investing in our Workforce	8
Midlothian Labour Market	9
Strategic Workforce Themes	10
Our People Deliver High Performing Services	11
Employee Terms and Conditions	11
Employee Performance	12
Recruitment and Retention of Employees	13
We Build an Entrepreneurial Council for the Future	15
Reshaping the Workforce	15
Heath and Social Care Integration	16
Expansion of Learning and Childcare	17
We Demonstrate Strong and Consistent Leadership	18
Building Leadership Capacity	18
Digital Leadership	18
Delivering Excellence and Talent Management	19
We Promote Equality, Diversity and Fairness	21
Employee Relations	21
Midlothian as an Equal Opportunities Employer	22
Managing an Ageing Workforce	23
Volunteering	24
Council Workforce Overview	
Current Workforce Profile	26
Appendix 1: Contract Type and Gender	29
Appendix 2: Length of Service of Employees	30
Appendix 3: Age Bands of Employees	31
Appendix 4: Job Grades	32
Appendix 5: Age profile by Job Grade	34
Appendix 6: Monthly Breakdown of Leavers	36
Appendix 7: Length of Service of Leavers	37
Appendix 8: Monthly Turnover trends	38
Appendix 9: Reason for Leaving	39
Appendix 10: Sickness Absence	40
Appendix 11: Making Performance Matter Ratings	42
Appendix 12: Agency Spend	44

2 <del>52 of 550</del>

lage

# Vision – 'A Great Place to Grow'

To achieve the Council's vision and priorities it is vital that our workforce is more diverse, flexible, skilled, engaged and motivated than ever before. We need to build on the strategies that we already have in place. Our emerging change plan aimed at addressing the financial challenges to 2021 / 22 will enable us to identify and address the actions necessary to respond to challenges ahead and secure financial sustainability. Together with this workforce strategy we will be in a much stronger position to deliver on our commitments to our communities.

## Purpose

The purpose of this workforce strategy is to ensure Midlothian Council has a workforce that delivers positive outcomes for the people of Midlothian. It sets out our approach to reshaping, supporting and developing our workforce now and in the future and is underpinned by the Council's values and vision.

The Audit Scotland report "Local Government in Scotland: Performance and challenges 2017" reminds us that with reducing budgets and workforces, the Council will find delivering improvements increasingly difficult. It is critical, therefore, that we set long-term strategies and plans that target effort on priority areas.

Midlothian is the fastest growing council area in Scotland, we are a transforming area and we must lead this change with our partners and communities.

This strategy will ensure we have the right people at the right time and who have the right skills, knowledge and attitude to provide services confidently and competently. Specifically it will:

- Provide the foundation for the organisational culture we need to sustain;
- Give clarity to our people and future employees of our commitment to them and our expectations of them;
- Ensure our workforce plan is aligned with the policy direction, the Council plan and our Delivering Excellence programme
- Support leaders and managers to give clear direction to our employees and contribute to the success of the business of the Council

This paper is the first stage in outlining the organisation's workforce strategy to ensure the Council has the people and skills to manage change and deliver services. Service workforce plans will provide forecasts of future workforce and service specific actions to ensure these resources are in place.

This paper provides some background context regarding the workforce challenges, summarises the workforce themes and high level actions and provides a profile of the current workforce. The next stage will be to further develop these proposals in to detailed delivery actions.

#### Midlothian Council Workforce - Strategic Overview

Midlothian Council, along with all local authorities, has experienced and will continue to experience significant challenges. By adopting a transformation approach, we have become more efficient and at the same time we have delivered changes which result in improvements to the way we work, the services we deliver and the quality of life experienced by local people. These changes are evidenced in the delivery of new affordable homes, new schools, improved recycling rates, improved positive destinations for school leavers and the arrival of the Borders railway. In addition we have successfully delivered significant changes and improvements in services to protect children and vulnerable adults. All of this has been achieved despite resource constraints.

The next iteration of the transformation programme is a key element of the Financial Strategy to ensure that available resources are as far as possible targeted on the delivery of improved outcomes, particularly against the key priorities.

This will involve progressing the activities from the following key components for the next phase of transformation:

- Services with Communities there is a clear need to change the relationship we have with communities from a paternalistic one focused on service provision to one based on partnership and co-production.
- 2. Entrepreneurial Council covering property development, income generation, assets, energy, commercial opportunities etc
- **3. Digitally-led transformation/Customer Service** we want to be at the forefront of digitally enabled change which may connect with the next phase or acceleration of customer services transformation.
- **4.** Shared Services as a result of the current climate of reduced public spend and growing pressures on public services for the foreseeable future, service sharing and collaborative working will be a key consideration for options available to sustain services

A strategic narrative for each of the key transformational components follows:

#### 1. Services with Communities

The financial challenge ahead forces Midlothian Council to think differently about how we engage and work with our communities.

Midlothian Council needs our communities to help us deliver our ambition of Midlothian - Great Place to Grow. We need to engage communities in the financial challenge ahead and where we plan to withdraw or reduce service delivery, we need to ensure we include them in that discussion and ask what they can do to assist in their own Communities. Volunteering can be a powerful driver of personal, social, economic, cultural and environmental change, in Midlothian we have a strong track record of active volunteering

across the voluntary, public and private sectors. This involves large numbers of dedicated volunteers of all ages and a wide variety of volunteering activities such as countryside activities, community gardens, lunch clubs and cafés, health and wellbeing activities and sports clubs, galas and events, community hospital volunteers and broader befriending and mentoring activities.

As a Council we need to be honest and engage our community as we go ahead. We have a £1m savings target against the Services to Communities Board by 2021/22 and this is possible if we rethink our approach to working with communities. All of this fits with the legislative requirement to include communities in the decision making process through the Community Empowerment Act and it would benefit the Services to Communities Board to change its name to Services with Communities to show this change of direction going forward.

# 2. Entrepreneurial Council

A key focus going forward will be contributing to the overall Midlothian economy by developing, delivering and providing a range of high quality, value for money entrepreneurial (commercial) services in partnership with:

- Local Companies
- Other Public Bodies
- Residents and Householders
- Private developers

This transformational component will be taken forward with the following deliverables in mind:

- To generate surplus for reinvestment within services and/or to support other Council priority services.
- To maximise the use of the workforce, buildings, vehicles, equipment and digital assets in providing services.
- To develop the skills of the workforce to enhance their jobs and to allow access to new markets.
- To develop and explore partnerships initially within and in the future build on partnering arrangements beyond Midlothian.
- To optimise and spread fixed costs over a greater cost base.

In line with challenges previously identified the need to become more commercial is driven by a need to respond to:

- The unprecedented level of funding cuts facing the Council and Public Sector.
- The significant impact of funding cuts on non statutory services currently provided by the Council.
- The need to develop working partnerships with Midlothian companies and other organisations.
- The need to develop staff and managers and the requirement to retain a critical mass to ensure the continuity of essential services.

In order to build on the commercial activity and work undertaken to date by the Council it will be necessary to:

- Enable, develop and support a commercial culture with a focus on customer or client (not always Council).
- Concentrate and focus on core commercial activities and undertake a review of non commercial functions.
- Establish a team of key staff to assess identify and exploit opportunities using a range of skills and services.
- Enable the "sales force" to explore and develop new ideas and opportunity for business.
- Explore opportunities that incentivise staff to excel and exceed expectations.

All entrepreneurial and commercial endeavours should be underpinned by a robust governance framework and developed and supported with an appropriate business case and professional and technical advice. Whilst entrepreneurial activities will align with council aims and values, elected member support and buy in will be key to successful delivery.

# 3. Digitally-led transformation/Customer Service

As one of the fastest growing areas in Scotland, Midlothian has a projected population increase of 23.1 % by 2039 compared with 2014. Accordingly the Council cannot support more customers using the current resources, systems and processes.

Customer self-service can help deliver some key services without customers dealing directly with a member of staff and could truly transform the way we deliver services.

We can be a leader in the delivery of online services and there is still significant potential to transform the way we work. The Digital Strategy Group is already managing a portfolio of projects, which could help deliver additional online customer services:

- CRM (joint procurement with East Lothian Council)
- MyAccount authentication and single sign on
- Online housing applications
- SEEMIS (parent portal)
- Review of online payments provider
- Online school payments
- Leisure booking and leisure payments

It is recognised that additional components are required to have a complete customer online experience and these include:

- A Customer Portal (where a customer logs on through our website is recognised and can complete a customer journey which is truly a transactional end to end customer journey)
- SEEMIS (parent portal)
- Integration with back end systems (e.g. Council Tax, housing, etc.)

The creation of an agreed roadmap to secure future technical sustainability of our online customer presence will:

- Provide the tools and resources to transform Midlothian into a true 'Digital by Default' organisation
- Maximise efficiencies which can be made from implementing a mature, end to end solution for customers
- Require robust governance through the Customer Service Project Board of a project/programme of work which may span 3-4 years
- Not deliver In-house process efficiencies immediately and will require processes to change to realise savings in time

# 4. Shared Services

The shared service element for transformation will be informed by a number of key principles previously identified for Shared Services and Collaborative Working by CIPFA in 2010 as follows:

- Service sharing and collaborative working, where they are relevant, will normally be used in combination with other methods, such as system thinking and process redesign.
- Making shared services happen will demand leadership and drive from those at the top of the organisation, this means senior executives and elected members.
- Partners need to understand where they are in cost and performance terms before embarking on change, and benchmark with peer organisations. This will provide an early assessment of the scale of opportunity.
- There is no 'right' option for or pathway into service sharing. Some organisations will choose to collaborate in a range of different partnerships where different services feature in each case, others will instead decide to work in more broadly based relationships, sharing a wide range of services with just a fixed group of other bodies.
- Collaboration models and vehicles will vary from case to case. In some instances this may mean working with organisations from other sectors, including commercial bodies. Legal requirements, among other things, will determine which model/vehicle is best suited to carry any partnership forward.
- In sharing services, the underlying processes will usually need to be simplified and standardised before they are consolidated in a single shared service. In doing this, processes will be redesigned on an 'end-to-end' basis, with 'process owners' taking responsibility across the whole service in question.
- Parties to the collaboration may need to migrate to a common technology platform (for instance, a finance or HR system), to remove the complexity and inefficiency that multiple systems might cause.
- Not every process or service will be open to sharing. Much will depend on the strategic significance of the service in question and the need for it to be tailored to local requirements.
- Processes and services that are shared will tend to be either;
  - 'transactional' or 'rules-based' involving standard, repetitive activities (such as processing invoices or accounting journals) that can be grouped together for processing efficiency; or

- 'competency-based'. In the latter case the work in question is likely to be brought together as part of a centre of expertise, which may allow for a range of specialist skills to be combined as part of a single unit e.g. Technical Services
- While there is a range of risks and legal issues to be addressed in sharing services, given political will and the willingness to invest resources, these can be dealt with in a managed way. They should not be seen as insurmountable barriers to change

## Investing in our Workforce

2016 saw a collective agreement secured to deliver the Investing in our Workforce project, this represented a £2.67 million investment to tackle in-work poverty and to make Midlothian Council an employer of choice. This delivered the opportunity for us to support service change and transformation, to focus on customer needs and to enable us to Deliver Excellence through creating the conditions for increased employee productivity and flexibility.

Our commitment included:

- o Increasing base salaries of our lowest paid workers, and so reducing in-work poverty;
- Improving work-life balance through reducing reliance on non-contractual overtime;
- Increasing annual leave entitlement and giving greater flexibility as to when leave can be taken;
- o Making earnings go further through the provision of a range of non-financial benefits;
- Working with the Trade Unions to provide increased life-long learning opportunities.

In return for this investment, we expect to become more effective through increased flexibility and improved productivity and performance. We continue to work on creating the conditions for the increase in performance and productivity and the actions in this strategy support future cultural change.

As part of the Investing in our workforce project we have revised our suite of People Management policies, designed to promote increased flexibility and employee productivity. These policies provide our managers with the tools to help them manage their service in a more effective and consistent way. The principles of these policies were agreed through the Collective Bargaining negotiations with the Trade Unions.

The foundation for our People Management policies is the Code of Conduct which outlines the standards of behaviour we expect from our employees. In line with our vision of Midlothian – 'A Great Place to Grow', the Code of Conduct outlines the working environment we want to nurture in Midlothian.

Midlothian's vision of 'A Great Place to Grow' has been developed and agreed with our community partners. It represents our desire to support the communities of Midlothian to grow and prosper for the future. 'A Great Place to Grow' is about building success for the future. For employees in the context of workforce planning we hope this mean that Midlothian is a great place to work and grow a career.

In order to support the 'Great Place to Grow' vision we have outlined the behaviours expected from all employees. There are 3 key areas of focus:

- Community how we work with our service users and partners
- Colleague how we work with each other
- Culture how we do things in the Council

These behaviours are core for us all as we make Midlothian 'A Great Place to Grow'.

# The Midlothian Labour Market

Research carried out by the University of Glasgow Training and Employment Research Unit in 2016 provides us with data on the Midlothian labour market and makes forecasts regarding the future supply and demand of the workforce in the future.

The key findings of the Midlothian labour supply analysis are:

- 1. Midlothian has a growing population and it benefits from its proximity to Edinburgh and lower cost of housing. However, this hides the fact that many young people move away from Midlothian for study and/or employment, while Midlothian has a growing older population which will place greater pressure for services and demand on health and social care workers.
- 2. The number of economically active working age residents is comparable to other areas but, on average, Midlothian's residents are less highly qualified and work in lower skilled occupations,
- 3. There are also approximately 5,500 working age residents who are not working and it is important that there is the skills and employability provision available to also support their entry and progression into future labour market opportunities.

These findings underline the need to develop interventions to address our future workforce needs, particularly in the areas of projected future growth. There will be substantial employment growth in health, social care and early year care. This is due to the aging population and early years due to the Scottish Government policy to increase hours of funded childcare (1140 hours by 2020). The projected increase in jobs in Midlothian between 2014-2024 is 300. The report highlights that there are already difficulties in recruiting to care roles.

*Ref - University of Glasgow Training and Employment Research Unit: Midlothian Workforce Planning Study, June 2016* 

The following workforce themes focus our attention on our workforce priorities to deliver positive outcomes for the people of Midlothian. It sets out our approach to supporting and developing our workforce now and in the future and is underpinned by the Council's values and vision.



#### **Our People Deliver High Performing Services**

#### Workforce Theme: Employee Terms and conditions

In order to be able to attract and retain high performing employees we will continue to provide a package of terms and conditions\* that positions us as an "employer of choice". As 65% of our employees are resident in Midlothian, maintaining employment also serves to support the local economy.

As part of Investing in our Workforce we reviewed the following People Policies:

- Maximising Attendance at Work focuses on the importance of employee wellbeing and an employee's personal responsibility for their attendance levels. It also details the process that will be followed when an employee's attendance falls below the standards expected.
- Disciplinary Procedure details the process to be followed when the high standards of behaviour and conduct expected of a Midlothian employee are not adhered to.
- Resolution Procedure aims to resolve workplace issues in a constructive and timely manner drawing on the principles of fairness, mutual respect, empathy, dignity and open discussion.
- Policy for Organisational change outlines the steps to be taken as the Council embraces change.

In October 2017 Council agreed to adopt a policy of avoiding compulsory redundancies and to revise the policy for organisational change (Local Government wokrers) as a consequence of this. The new policy framework, A "Policy for Managing Change" is being developed with the aim of implementing this for 1 February 2018.

We will continue to review our other People Policies to ensure that they are fit for purpose and provide managers with the tools to increase flexibility, productivity and drive service performance.

We will continue to consult with Trade unions partners locally and through the national arrangements which determine a range of terms and conditions of services across Scottish Local Authorities.

Local engagement with Trade Unions is via the Joint Consultative Group supported by the Corporate Joint Working Group (for Local Government workers) and the Midlothian Negotiating Committee for Teachers.

The following work strands will support this theme:

• Ongoing development of non-financial benefits scheme for Local Government workers

- Review of employee travel arrangements via a policy on travel options which promotes sustainable travel models. Managers will ensure only necessary and economical journeys are taken
- Review of "Investing in our Workforce" project
- Promoting Healthy Working Lives, including attendance management

The Council's package of terms and conditions include:

- A career average pension scheme
- Competitive holiday provision
- A variety of flexible working opportunities including flexi-time, part-time, term-time and compressed hours
- Paid sickness absence
- Non financial benefits including option to buy additional leave (not applicable to Teachers T&C)
- Access to the employee assistance programme
- Access to physiotherapy services
- Access to Occupational Health Service
- Access to Salary Sacrifice Scheme i.e. Childcare Vouchers

## Workforce Theme: Employee Performance

We will reinforce a strong performance culture in our Council. This will be enhanced by ensuring that high performance is recognised and valued, particularly where people find new and better ways to improving services and individual outcomes. Appendix 11 of this report details the Local Government workers performance ratings for the year 2016-27 and indicates that, in almost all cases, manager's rate their employee's performance at a good, high or outstanding level. We need to make sure that these ratings are a true reflection of individual performance and that we see the results of this in increased employee productivity and increased efficiencies in service delivery.

For our teachers, the GTCS introduced, in August 2014, a new system of Professional Update for all professional groups working under the Scottish Negotiating Committee for Teachers (SNCT) conditions of service. Employees are subject to an annual review with a Professional Update every five years. However, PRD is an ongoing process and should not be seen just as an annual review. It is based on "support and trust" within an atmosphere of trust and collegiality. Self-evaluation of professional skills and abilities is at the heart of the PRD process with a strong emphasis on the GTCS Professional Standards. This leads through discussion with the appropriate line manager to the identification of personal and professional needs to be addressed through professional learning.

Supporting attendance at work will continue to be a priority for us in order to ensure service delivery levels and to minimise the impact of absenteeism on other employees. We will

continue to develop robust workable processes that ensure our employees are clear about what is expected of them and how their performance and effectiveness will be measured. Sickness absence levels for April 2016-17 are detailed in Appendix 10 of this report and allow comparison between services. This report also highlights areas were efforts to manage absence levels seem to be paying dividends, such as in Education.

The following work strands will support this theme:

- Review of the Performance Management Framework to ensure a more effective approach that is used by all managers to drive improved services and drive productivity improvements
- Continued focus on Maximising Attendance at Work through consistent application of the policy and actions to support employees to be present and productive at work. Corporate absence targets will be set by services each year.
- Continue our commitment to the health and wellbeing of employees through maintaining our Healthy Working Lives Gold award; provision of Occupational Health service, Employee Assistance Programme, Physiotherapy services and Mental Health First Aid.
- Effective use, and review, of the suite of People policies designed to provide flexible support for managers to drive high performance in their teams
- Recognise the importance of Employee Engagement on employee performance and support the "Engaging Managers" programme actions to improve employees experience at work. Engaged employees feel valued, have a passion for work and often go the extra mile to benefit the organisation, resulting in an additional 20% productivity through an increase in discretionary effort.
- Health & Safety will be pro-actively managed and supported, given a high priority and the recording of all concerns reported on the RIVO system.

# Workforce Theme: Recruitment and Retention of Employees

We must ensure that council services are as well resourced as possible by making the Midlothian employment package as attractive as possible and deploying the appropriate recruitment strategies.

On occasion, we may need to implement a recruitment freeze for some roles, to enable us to rebalance the workforce structure in times of transformation. Where a recruitment freeze is in place and there is a continuing need to recruit to specific posts, for example to ensure continued delivery of key services, recruitment will be determined by the Corporate Management Team. This is likely to take the following factors into consideration:

- Filling of essential posts
- Investing in our Workforce Commitments
- Reduced reliance on agency / contractors

- The need to fulfill our Positive Destinations commitments
- The effect on employee morale and engagement

We will achieve this is conjunction with our move to generic job outlines.

Our recruitment strategy should allow us to target activity to resourcing the areas of future growth of services, and potential workforce shortages, such as "Early Learning and Childcare" workers, "Care at Home" workers and Head Teachers/ Teachers.

Service-level workforce plans contain a detailed breakdown of vacancies advertised and filled, thereby we are able to identify specific "hard to fill" posts and devise specific strategies to ensure we can resources our services.

The following work strands will support this theme:

- Redesign of the recruitment process to be effective and cost efficient and allow us to secure the best candidates, including use of social media such as LinkedIn
- Service-level recruitment strategies to support growth areas and "hard-to-fill" positions
- Reduce reliance on casual staff / paying premium rates for overtime (as per Investing in our workforce) through additional recruitment
- Expand use of secondments and trainee posts to build talent and succession opportunities
- Follow the recommendations, to Corporate Management Team, by the "Growing our Talent" project group to introduce a flexible employability support framework which will provide opportunities for young people and adults with barriers to employment locally.
- Investigate creative and innovative approaches to bringing in talent
- Review leavers profile to identify any patterns or retention issues
- Further develop Job Families approach to enable the creation of a flexible, generic workforce

#### We Build an Entrepreneurial Council for the Future

#### Workforce Theme: Reshaping the Workforce

As outlined earlier in this strategy the shape of the workforce is changing and needs to continue to do so to reflect the changing requirements of services. Some areas will experience growth in workforce numbers, such as Early Learning and Childcare and Adult social care, whilst others will inevitably constrict.

We recognise that workforce costs are by far the largest element of the budget and we must ensure we are targeting our resources to the best effect. Our approach to reshaping our workforce must be firmly grounded through our approach to workforce planning, at both a corporate and service level, thereby understanding our future workforce demands and supply.

The new policy for managing change will provide the framework by which organisational change is undertaken, it will include provisions in relation to redeployment and redundancy. Further details are set out below .

Appendices 6,7,8,9 detail the breakdown of leavers over the last year and highlight the relatively low level of natural turnover in our employees. This must be taken into account as we plan to reshape services and pro-active strategies may be required in certain areas.

Work strands that support this theme are:

- Secure additional savings to address the financial pressures in 2017/28 and contribute to reducing the budget gap 2018/19 through operating a Voluntary Severance Early Retirement scheme in the autumn of 2017 in accordance with the existing VSER policy framework.
- Reviewing the Organisational change policy to reflect an aim to avoid compulsory redundancies, thereby:
  - Allowing the Council to adapt and change its workforce to meet changing needs.
  - Providing a route to retain talent and skills and secure alternative employment for colleagues in a potential redundancy situation.
  - Avoiding increasing the redundancy and pension paid to employees who could otherwise be redeployed and at the same avoid recruitment costs for replacements.
  - Delivering on the Council's legal requirement to try to find suitable alternative employment within the organisation for employees in a potential redundancy situation.
  - Allow the Council to dismiss employees by reason of redundancy only if all other options have been explored and proved fruitless. This would ensure the Council can effectively avoid any over capacity in its workforce as required.

- Service redesign: the service review and continuous improvement agenda is supported by the Delivering Excellence Framework, which includes the need to consider a range of service delivery models. Service planning is also informed by the Single Midlothian Plan which ensures a focus on agreed priorities and desire outcomes.
- Development of effective use of this corporate workforce plan and service-specific Head of Service workforce plans (and resource forecasting) as an important tool to deliver change and strengthening the link to service and financial planning.
- Continuing to progress the job families approach to provide a flexible generic workforce pool that can be deployed to across the organisation as needs arise.

# Workforce Theme: Health and Social Care Integration

There are three major continuing challenges in the delivery of health and social care services in Midlothian:

- Growing and Ageing Population: The population is growing rapidly-a 26% increase by 2039. The number of people over 75 years will double over the next 20 years. People with long term disabilities and complex health conditions are living much longer.
- Financial Pressures: Despite growing demand, social care and health are facing real cuts in budgets. The significance of this challenge was recognised by Scottish Government in 2016 providing additional ring-fenced social care funding to Local Authorities; in Midlothian this was £3.4m.
- Workforce Pressures: Despite changes to terms and conditions such as guaranteed hours and the Living Wage, recruitment and retention is a growing problem, particularly in the field of care at home. This is a high risk area with many people in need of social care support not receiving it during 2017-18.

A Health and Social Care workforce plan is being prepared for the Midlothian Integration Joint Board which captures specific actions with respect of the workforce, within the Council, NHS and the independent and voluntary social care partners. This will provide focus for recruitment and retention activities in all areas of health and care. Actions are identified at local / Pan-Lothian /Regional and National level.

The draft plan highlights the need for investment in the following:

- 1. Investment in effective Workforce Planning for the long term will have significant benefits, embedding this in the day to day practice of managers and leaders, actively working on succession planning
- 2. Sustained investment in learning and development, giving our employees the skills to support them to innovate and giving them permission to do so will enable trust and confidence in our workforce, giving employees the opportunities, tools and skills to think and act differently.

- 3. Developing new models of integrated working and new forms of contracting to support these.
  - Working together is essential to success through co-location, through shared learning, sharing information, understanding roles and having honesty and trust in professionals at all levels in all sectors.
  - Scoping out an Alliance approach to Care at Home service provision to address challenges around recruitment and direct provision of care hours, including night time supports.
  - Putting into practice our desire to work closely with Communities, investing in an approach which really makes use of community assets
  - Working with inequalities and diversity in each unique community within Midlothian
  - Developing and implementing new roles already tested out, such as peer support in Substance Misuse, across other service areas.
  - Creating a greater integration between Statutory and Voluntary and Independent Sector agencies. We must break down the barriers that prevent good outcomes

## Workforce Theme: Expansion of Learning and Childcare (ELC)

Scottish Government recognises the importance of access to early learning and childcare (ELC) is crucial to improving children's outcomes. In a drive to close attainment and inequality gaps the government has pledged to double the entitlement to free ELC to 1140 hours per year by 2020 for all three and four year olds and eligible two year olds.

Local Authorities will play a major role in much of the delivery of the increased ELC provision (46% of the ELC services in 2015) and the Council must ensure we are in a position to be able to meet the requirements of this increased demand. This will require creative and innovative approaches to managing the available resources, including workforce.

A working group has been formed to consider the workforce issues and will report specific actions. The workforce plan for Head of Education will also detail future projections and impact in workforce.

ne 107 of 55

#### We Demonstrate Strong and Consistent Leadership

#### Workforce Theme: Building Leadership Capacity

Successfully meeting the challenges that the Council faces will require strong and consistent leadership at all levels to drive the transformational and organisational change within the council and across our partnerships, ensuring Midlothian is a "Great Place to Grow". Our leaders need to work to support and reinforce the culture we need across all of our services and our entire workforce to achieve our vision.

Clarity of direction, supporting and engaging with others whilst positively managing risk through change, will be vital to ensuring a positive working environment for our employees. Our leaders will take responsibility to ensure that our people continue to be customer focused, motivated, skilled, and confident as our services transform, including taking ownership of their own development, including performing to the Delivering Excellence – Talent Management leadership competencies standards.

The following work strands will support this theme:

- Building "one-council" leadership through quarterly Leadership Forum sessions, focusing on sharing the vision, driving change and improvement
- Continue and develop the Midlothian Leadership Pathway development programme at all levels of leadership
- Implement Engaging Managers programme to support employee engagement
- Use of 360 degree feedback, leadership competencies and development coaching as part of performance management
- Conducting a review of management structure
- Reinforcing our vision through driving our internal communications strategy to ensure employees are well informed on the organisation's priorities and progress and thereby positively impacting employee engagement.
- Develop and implement a succession planning framework to ensure we have a internal talent pipeline for the future

#### Workforce Theme: Digital Leadership

We want to be at the forefront of digitally enabled change which will connect with the next phase or accelerations of customer service transformation. This will require cultural change to transform Midlothian into a true "Digital by Default" organisation. To achieve this vision it is important that all leaders and senior managers are aware of this transformation programme so that they can support and help initiate the required service changes to improve the customer experience and to drive savings and efficiencies.

Specific actions will be driven by the Digital Strategy Group and include:

- Actions to build digital skills capability throughout services
- Actions to facilitate a "mind-set" change from the traditional approaches to service delivery to a more technologically-enabled service provision

## Workforce Theme: Delivering Excellence and Talent Management

We will develop our employees to ensure we have a source of talent for both current and future roles, with particular focus on opportunities to bring in young people, developing leadership talent and providing attractive career options in areas of potential workforce shortage. We will identify our leadership talent and strengthen succession planning pipelines. In order to drive our key transformation projects, we will identify key individuals who have the drive and potential to deliver change in the organisation.

Through developing a coaching culture across the organisation we will enhance the development opportunities of all, and reinforce the manager's role in individual development. We will encourage, and facilitate, a mentoring approach to increase leadership effectiveness.

Our talented employees will look for succession planning opportunities and we need their resources to drive forward business change and innovation. We will ask those employees who are in the career talent pipeline to work with our most senior managers to deliver on innovative and transformational projects. We will aim to have a group of potentially 6-8 talented managers (3/4 tier) who have already demonstrated they have the ability to innovate and perform to a high standard. They will be ambitions and committed to working alongside a group of peers focused on delivering a change programme for Midlothian Council with deliverables within a three year period.

The opportunity to innovate will be viewed as a succession planning opportunity, and as such the necessary development opportunities will be given to the group and a development budget will be agreed in advance. This development might include external individual and group coaching / mentoring. An individual development plan for each of the group members will be agreed at the start of the process and reviewed at the end. Members of the group will aspire to Head of Service positions.

The work streams that will develop will take the following into consideration:

• importance of planning well for a growing population and growing local economy,

- be focused on the outcomes and open minded about all possible ways of delivering them and all possible partners who can help do so,
- Recognise its resources and capacity are very important but that wider community, public and private resources also need mobilised behind outcomes.
- Be strategically opportunistic in mobilising resources and improving opportunities and outcomes for Midlothian's communities.
- Support and empower employees to develop new roles and new relationships with communities.

Applicants who are interested in this succession planning opportunity will have the opportunity to apply formally if they wish to take part.

#### We Promote Equality, Diversity and Fairness

#### Workforce Theme: Employee Relations

As a member of the Convention of Scottish Local Authorities (COSLA) the Council is bound by national agreements of Terms and Conditions of Service. The Council recognises Trade Unions for collective bargaining purposes and has in place local Recognition and Procedural agreements.

We seek to work in partnership with the recognised Trade Unions, with a view to establishing a culture of trust and increasingly a working environment where the ideas, views, knowledge and expertise of the workforce are listened to considered and valued.

We have in place local negotiating and consultation arrangement where Elected Members meet with Council officers and representatives of the Trade Unions (including Unison, Unite, GMB, EIS, SSTA, NASUWT and Voice) at the Joint Consultative Group (JCG) meeting. We also have regular Corporate Joint Working (CJWG) meetings and discuss issues of interest and concern for the Local Government workers, with Midlothian Negotiating Committee (MNCT) covering those issues related to our teaching workforce not covered by national agreements. In addition to this we Trade Union officials meet with the Chief Executive to discuss topical issues. More formal consultations are undertaken through each Service. In addition, there are regular meetings with the HR/OD service to consult on service issues and deal with concerns.

In an effort to promote effective and positive employee relations the Council has in place a Recognition and Procedural Agreement (RPA) for the Local Government Trade Unions. This is currently being reviewed incorporating new aspects, including our organisational values and behaviours. We are working towards a new period of agreement from March 2018, which will be reviewed annually. Time and commitment has been invested by all parties to reach an interim agreement, and we are hoping that we can move forward positively and together without the intervention of any external mediation service such as ACAS. The Midlothian Negotiating Committee for Teachers has its own separate Local Recognition and Procedure Agreement with the EIS, SSTA, NASUWT and Voice which is negotiated on an annual basis.

It must be recognised that not all employees choose to be a Trade Union member and mechanisms have been established to allow employees to have a voice, this includes the 'Tell Ken' campaign and the Internal Communications Strategy to improve employee communication and the employee engagement actions such as the survey and subsequent action plans.

The following work strands will support this theme:

 By March 2018 have a two year RPA in place for Local Government Workers Trade Unions

- Work collaboratively with our existing union colleagues from Unison, Unite and the teaching unions and welcome our new colleagues from GMB
- Work together to achieve the best employee relations outcomes in cognisance of the demands on us all to work in a rapidly changing context
- Jointly deliver the desired outcomes within this workforce plan
- Deliver Lifelong agreement and associated actions and learning opportunities

# Workforce Theme: Midlothian as an Equal Opportunities Employer

Our long term outcome is that 'Midlothian Council is a positive workplace for all employees'.

# **Equal Pay**

Midlothian Council is committed to the principle of equal pay for all our employees and the pay structure and terms and conditions are equality checked to ensure our commitment is maintained. This is outlined in the Council's Equal Pay Statement:

"Midlothian Council believes in equal opportunities in employment and is committed to the fundamental principle that procedures to determine the pay and conditions of employment of all our employees do not discriminate unlawfully and aims to eliminate any sex bias or any form of discrimination. The Council recognises that in order to achieve equitable pay it should operate a pay system which is transparent and based on objective criteria."

The Council's Mainstreaming Progress report highlights several areas where the organisation could demonstrate commitment to mainstreaming equality in everything it does.

# **Gender Pay Gap**

The gender pay gap between average hourly rate of pay for male and female – all Council employees as at 31st March 2017 was 2.96%. The Midlothian Council Equality Outcomes Progress Report 2015 – 2017 details actions the actions required to close the gender pay gap further.

# Living wage

Midlothian Council took early action to integrate the 'Scottish Living Wage' in its pay structure. This particularly benefited women who are more highly represented in lower paid and part time jobs.

The following work strands will support this theme:

- Effective implementation of our People Policies to ensure we are a workplace free of harassment, discrimination and victimisation
- Continue to work to eliminate any working practices which give rise to a pay gap between employees on the grounds of disability, gender or race.
- Provide a range of flexible employment practices in line with business need, as outlined under the "Employee Terms and Conditions" theme.
- Develop opportunities for young people and adults with barriers to employment as part of the recommendations of the "Growing our Talent" project group.
- Better understand the factors which underpins the equalities profile of the workforce and the opportunities presented therein

## Workforce Theme: Managing an ageing workforce

The ageing workforce is a very important workforce issues to consider and potentially one of the biggest shifts we need to make. By 2030 the number of people in the UK aged 65 and over will have increased by 50%. (Chartered Institute of Personnel and Development 2016). Longer lives mean longer working lives. The workforce is in a rapid state of change and we must adapt our policies and strategies to accommodate this. We have a compelling business case for some employees to remain in work for longer. There is a huge untapped labour pool among older workers, with some feeling that they could benefit from staying at work for longer in terms of financial wellbeing and social interaction.

Organisational flexibility is paramount, there needs to be opportunities to work in different ways as you get older, with more flexibility and part time options including flexible retirement.

The Equality Act 2010 includes provisions that ban age discrimination against adults in the provision of services and public functions. It is now unlawful to discriminate on the basis of age unless the practice is covered by an exception to the ban.

There is no longer any statutory retirement age which, in effect, means that employees can work for as long as they chose. However, there may be some legal justification based on workforce needs and demands, which means we may be in a position to bring forward retirement for some employees. This is something we will explore going forward, as a balances workforce profile is important. We need to consider our 'Growing our Talent' approach making sure our employee base is comprised of employees at different ages and stages of the career cycle.

The following work strands will support this theme:

- Offer flexible employment options for an ageing workforce
- Through Lifelong Learning provide information sessions on "Planning your Retirement"
- Through Employee Assistance programme, provide help and support on decision making around retirement.
- Support an ageing workforce with healthy working life support, including Occupational Health, Physiotherapy, Employee assistance programme
- Consider the workforce profile and options for bringing forward retirement for some
- Balance our overall employee age profile making sure there are opportunities to 'Grow our Talent' and that we are an employee of choice for younger people

#### Workforce Theme: Volunteering

Two working groups were established in June 2017 to consider volunteering in Midlothian. The first deals with the wider policy context and, the second an implementation group which is developing practical processes for working with volunteers within the council, building on the existing practices we already have in place. The group wants to ensure all volunteers within the council services receive support and are valued wherever they volunteer alongside Council employees.

The implementation group has adopted the definition from Volunteer Development Scotland - "Volunteering is freely undertaken and not for financial gain; it involves the commitment of time and energy for the benefit of society and the community". This means for the Council it does not include employability work placements, traineeships graduate placement schemes, vocational training programmes or compulsory unpaid work as part of community justice systems.

Levels of volunteering activity in Midlothian are generally higher than the Scottish average. Volunteering brings significant benefits for both the volunteer and the individuals that are supported. It is an important activity that serves to integrate people and communities through the shared experiences that it generates. With around 30% of Midlothian residents engaged in some form of volunteering, it is clear that many services and recreational activities would cease to function or be seriously curtailed without the commitment and input of local volunteers. We need to do more, however, to maximise the potential of volunteering to act as a positive force for change in Midlothian building on the existing powerful base.

A wide ranging survey on volunteering is being undertaken as part of a mapping exercise. The direction and work of the group will be based around the feedback and data collected as part of this exercise. Along with the feedback from the survey the groups see a

need to focus on key aspects of fair procedures across the whole Council to support volunteering, including; agreeing management arrangements, recording volunteer hours and payment of expenses.

The range of volunteers already working within the Council runs from Parents in classrooms in our Primary Schools to Ageing Well volunteers working with older people keeping active, from volunteer litter pickers organising local cleanup events, to people volunteering to maintain paths and access to countryside with our Ranger Service. There are volunteers in Council care homes and community centres and volunteers on community councils, volunteers in neighbourhood planning and volunteers managing community organisations that the Council partners with in community planning.

Recruitment of volunteers is very important and the methods we use to do this can make a significant difference to the number and quality of volunteers we attract. The current recruitment portal myjobscotland is not viewed as an ideal solution to recruitment. However volunteering opportunities could be advertised through Volunteer Midlothian with use of a poster or an online link to the appropriate contact within the Council

The wider policy groups work will focus on policy for corporate volunteering. This is where the Council might agree to every employee being given the opportunity to volunteer for one day a year. The details of this would have to be thought through, such as the scope and breadth of the volunteering.

The following work strands will support this theme:

- Senior management support for the wider policy group to make clear recommendations on a way forward before the end of December 2017
- All aspects of volunteering considered and agreed and a framework developed into a Midlothian volunteer good practice handbook
- Recruitment options considered and agree and widely publicised to secure the widest possible uptake of volunteering
- A second stage approach to consider corporate volunteering. Policy work to be undertaken by the wider policy group by January 2018 and recommendations reported to Senior management and elected members



## Council Workforce Overview

#### **Current Workforce Profile**

This section provides an overview of the current Council workforce (as at 01 October 2017). By providing a picture of our current workforce we can identify areas of focus and actions for the future.

Individual service workforce plans will provide a forecast of future workforce requirements and actions to ensure we have the right people, at the right time and who have the right skills, knowledge and attitude to provide services confidently and competently.

More detailed analysis can be found in the Appendices in this strategy.

#### Contract type

The Council employs 4,697 employees made up of 3,851 permanent and 846 fixed-term employees.

Contract type	No of Employees
Permanent Full Time	2165
Permanent Part Time	1608
Permanent Job Share	40
Fixed Term Full Time	352
Fixed Term Part Time	490
Fixed term Job Share	3
Home-working	4
SWITCH	35
TOTAL	4697

#### <u>SWITCH</u>

Under our Policy for Organisational Change for Local Government Workers we currently operate a redeployment scheme, called SWITCH (Staff working in Transition and Change). The aim of the scheme is to allow us to retain talent and skills and secure alternative employment for colleagues in a potential redundancy situation.

These employees have a permanent employment contract but are currently working on SWITCH placement within the organisation.

#### Fixed Term Workers

There are a high number of employees on fixed-term contracts. This is potentially an advantage as it indicates a higher level of flexibility within the employee population. When reducing overall employee numbers fixed term employees with under two years service have no entitlement to a permanent position or redundancy payment.

Service	Total Number	Groupings of >20	
Adult Social Care	107	Care Support Worker (26)	
Children's Services	17		
Commercial Services	69	Assistant Gardener (28)	
Communities & Economy	12		
Customer & Housing Services	23		
Education	271	Learning Assistant ASN (42)	
		Principal Teacher (29)	
		Teacher (32)	
		Trainee Teacher (27)	
Finance & ISS	18		
Property & FM	329	Catering Assistant (131)	
		Sports Coaches (83)	
TOTAL	846		

#### <u>Gender</u>

The council employs 1,217 males and 3,480 females.

#### <u>Service</u>

The average length of service of an employee is just over 9 years. See Appendix 2.

#### <u>Age</u>

The average age of an employee in the council's is 44. Please see Appendix 3.

#### <u>Grades</u>

Appendix 4 outlines the grade profile of the employees across the council.

#### Sickness Absence

The average sickness absence for all employees is 8.34 days for the year 1 April 2016 to 31 March 2017. See Appendix 10.

#### Casual Workers

During the Financial Year 2016-17 400 employees were paid on a casual contract basis, in roles such as Supply Teachers (66), Learning Assistants (21), Adult Education Tutors (39) and Duty Officers / Leisure Assistants (154).

#### Agency Worker Spend

The annual council wage bill (for 2016-2017) was £124.5m. Our additional council-wide spend on agency workers in the same period was £3.8m (an additional 3%). See Appendix 12 outlines the agency spend for this financial year, April - September 2017. Total spend to date this year is £0.865m.

#### Recruitment

## Local Government Workers 2016-17

Vacancies	Vacant Positions	Number of Applicants	Number Recruited
External – Fixed Term	170	1931	138
External – Permanent	330	4449	278
Total External	500	6380	416
Internal – Fixed Term	61	111	38
Internal - Permanent	177	386	126
Total Internal	238	497	164
GRAND TOTAL	738	6877	580

Teaching Grades - 2016-17

Vacancies	Vacant Positions	Number of Applicants	Number Recruited
External – Fixed Term	86	361	30
External – Permanent	201	1110	164
Total External	287	1471	194
Internal – Fixed Term	2	2	0
Internal - Permanent	19	31	17
Total Internal	21	33	17
GRAND TOTAL	308	1504	211

A more detailed breakdown of vacancies is available in service-level reports.

#### **Leavers**

Between April 2016 and March 2017, there were 402 leavers. Since April 2017, a further 257 employees have left the council

Further details of leavers can be found in the Appendices:

- Appendix 6– monthly breakdown of leavers
- Appendix 7 length of service of leavers
- Appendix 8 monthly turnover trends
- Appendix 9 reasons for leaving

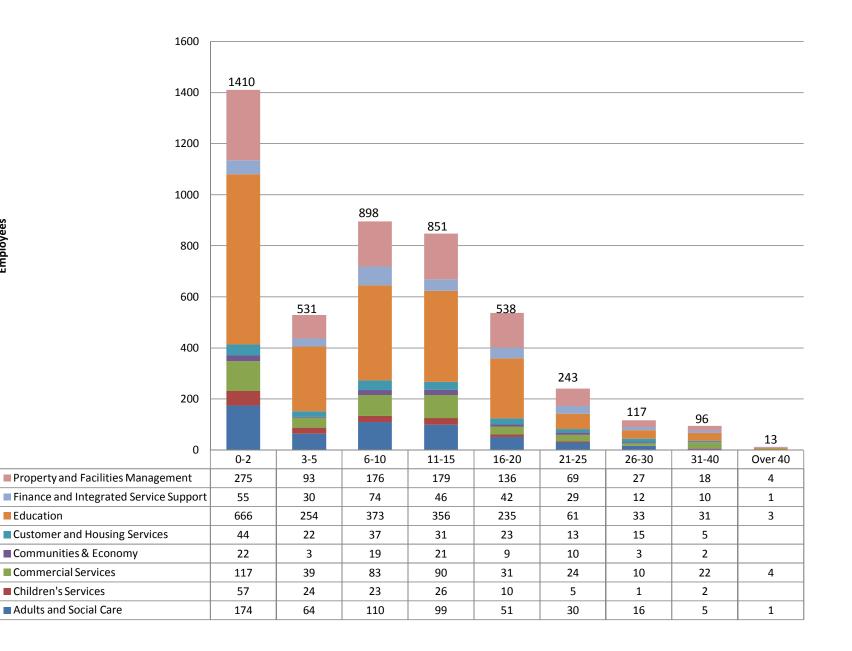
# APPENDIX 1 – Current Employees per contract type and gender

# October 2017

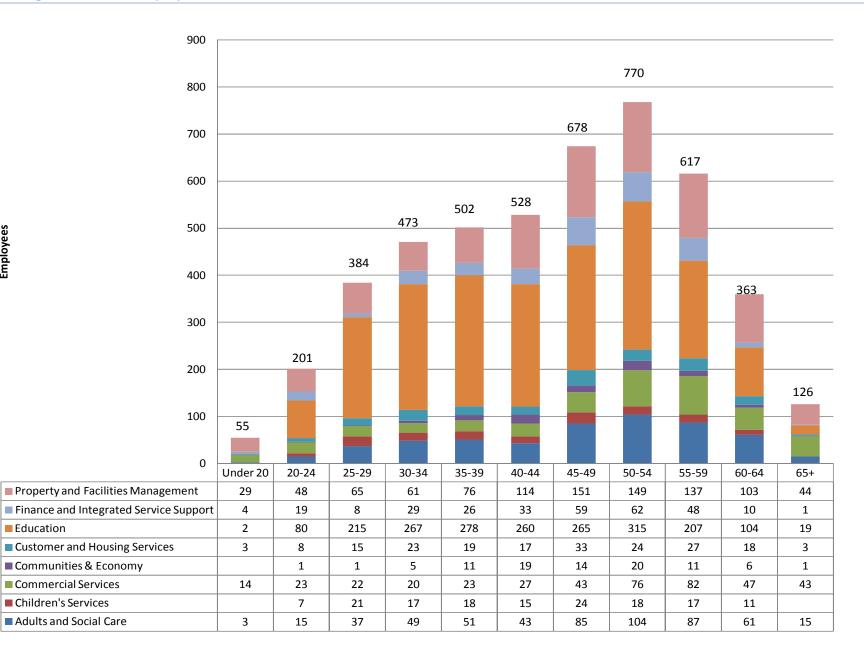
	FEMALE					Female Total	MALE			Male Total	Grand Total	
	Part time	Full time	Job Share	SWITCH	Home working		Part time	Full time	Job Share	SWITCH		
Fixed Term	432	209	3	1		645	58	143			201	846
Permanent	1430	1335	39	27	4	2835	178	830	1	7	1016	3851
Grand Total	1862	1544	42	28	4	3480	236	973	1	7	1217	4697

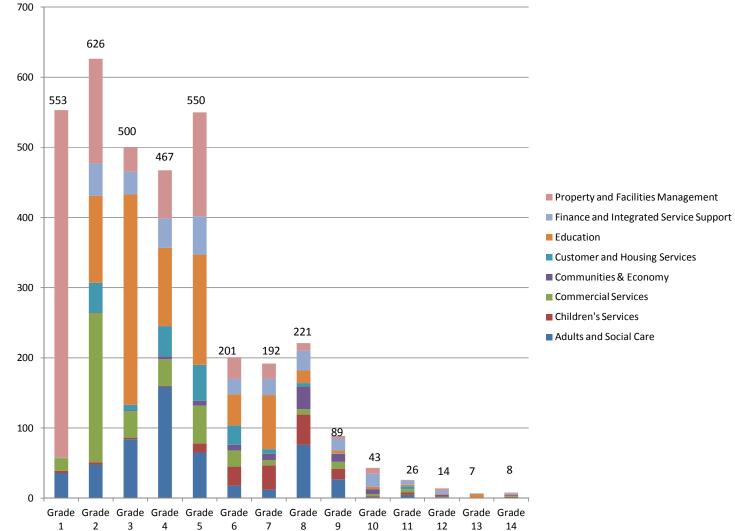
## **Employee Groups**

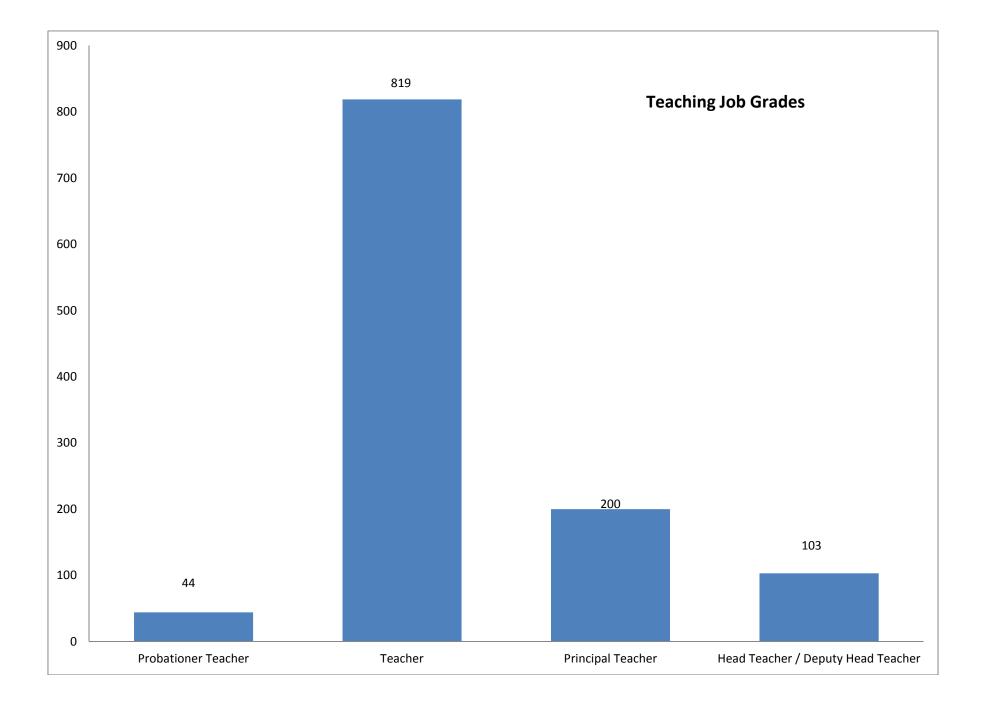
	Female		Male			
	Fixed Term	Permanent	Fixed Term	Permanent		
Local Government Workers	542	2033	165	799		
Chief Officials		2		2		
Teachers	119	782	38	215		
Grand Total	661	2817	203	1016		

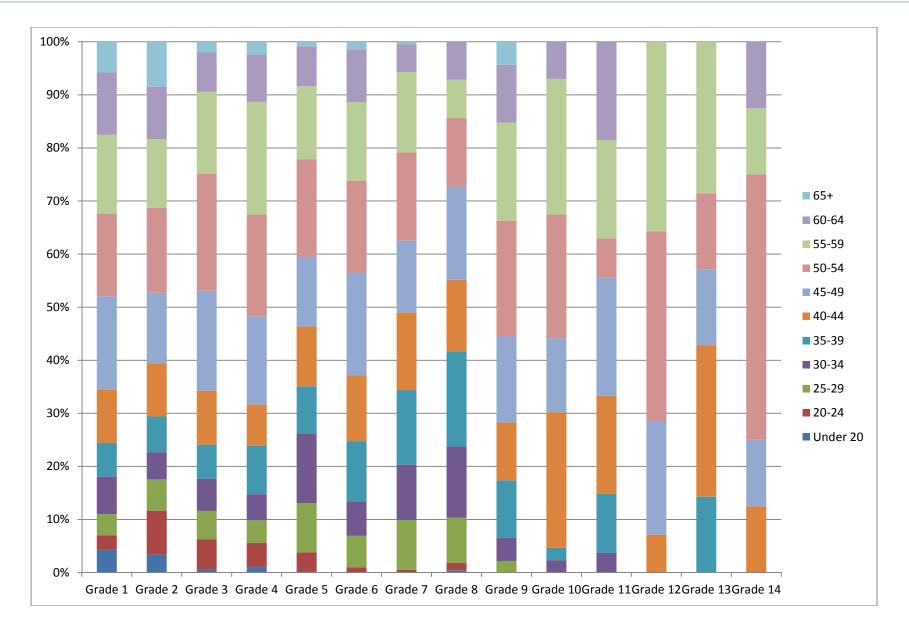


Employees



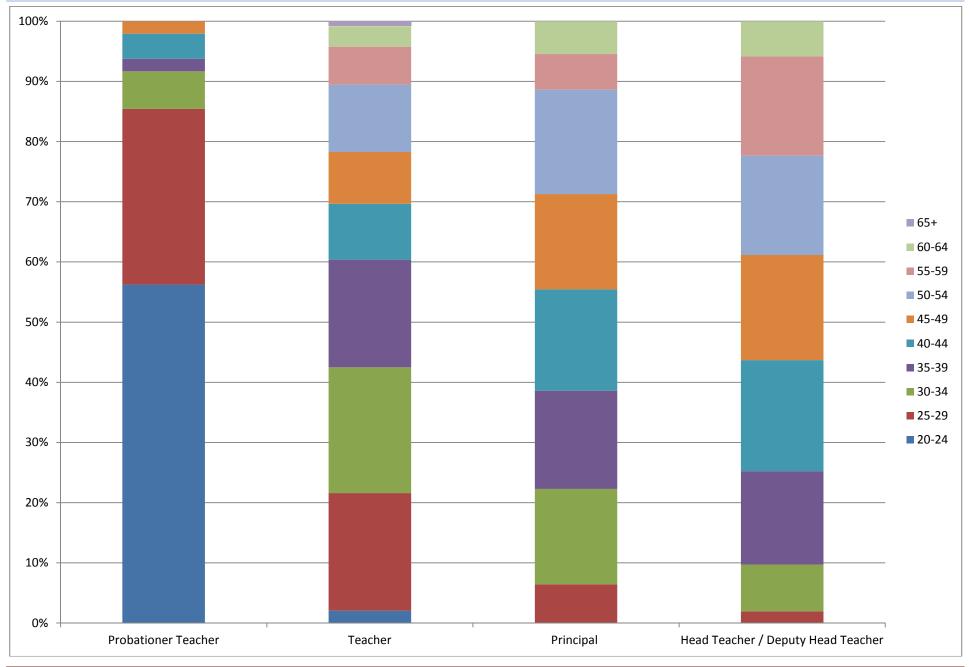


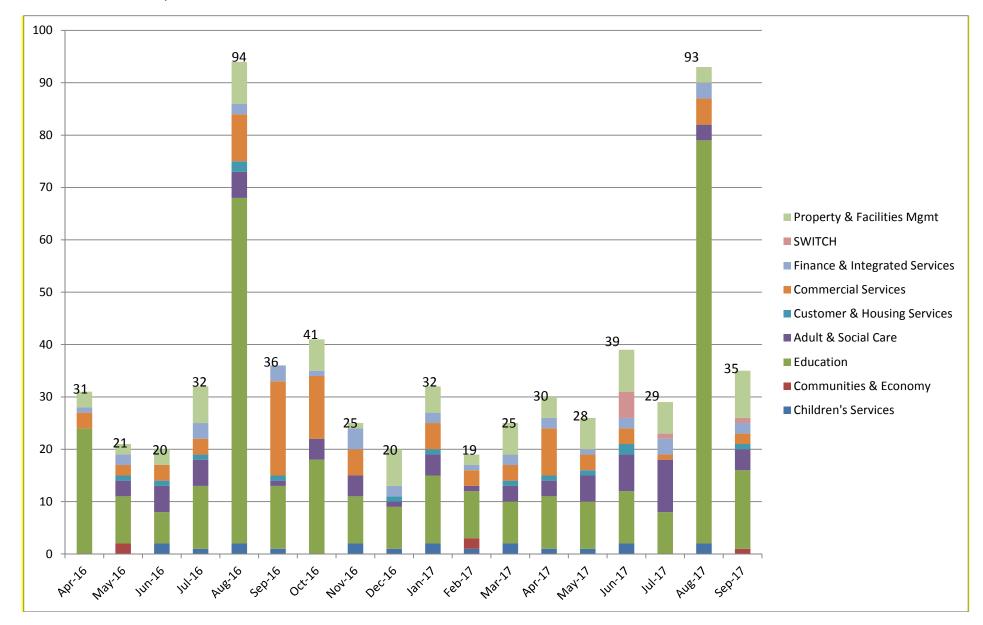




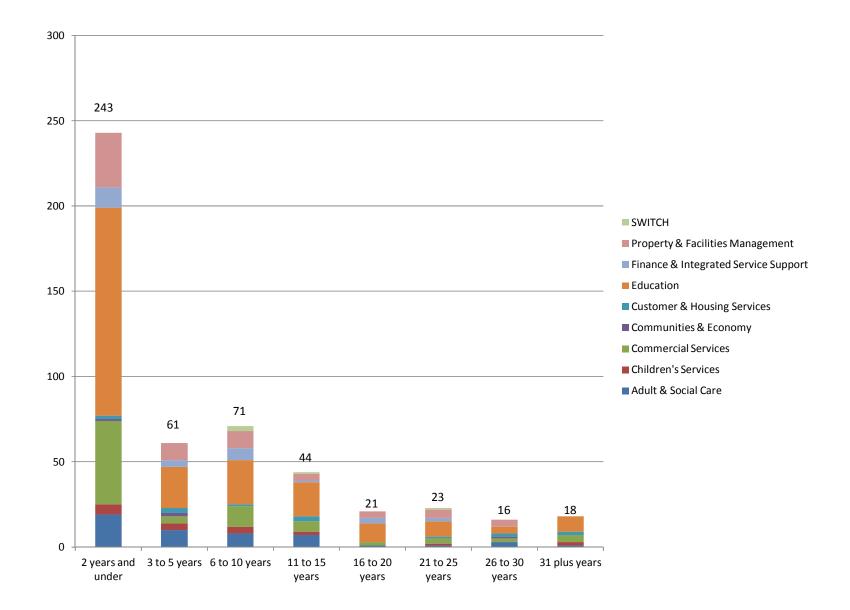
#### APPENDIX 5 – Age Profile by Job Grade - Local Government Workers

# APPENDIX 5 – Age Profile by Job Grade - Teachers

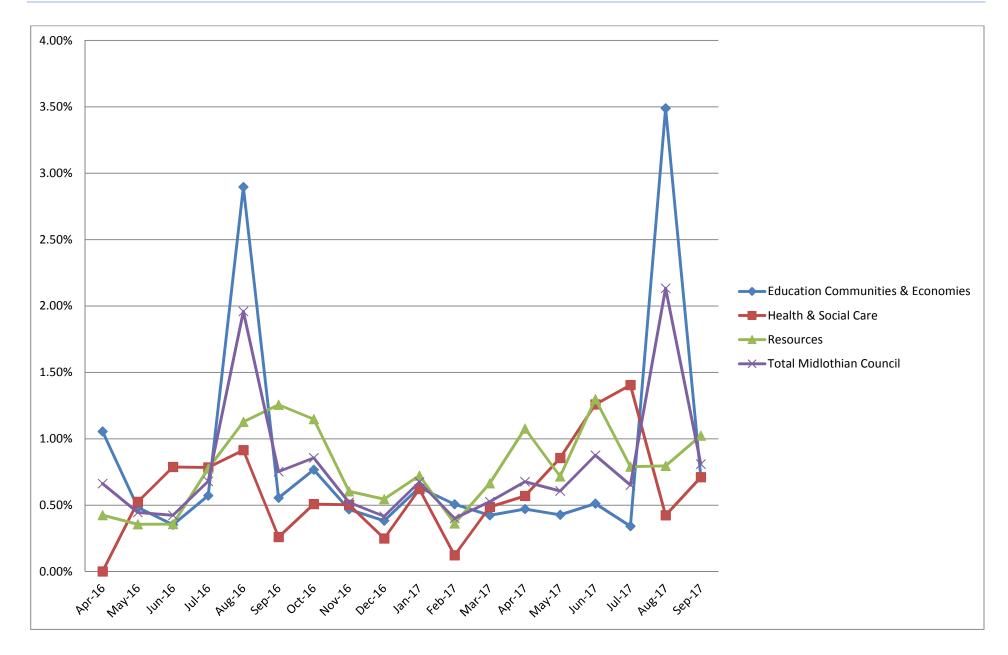




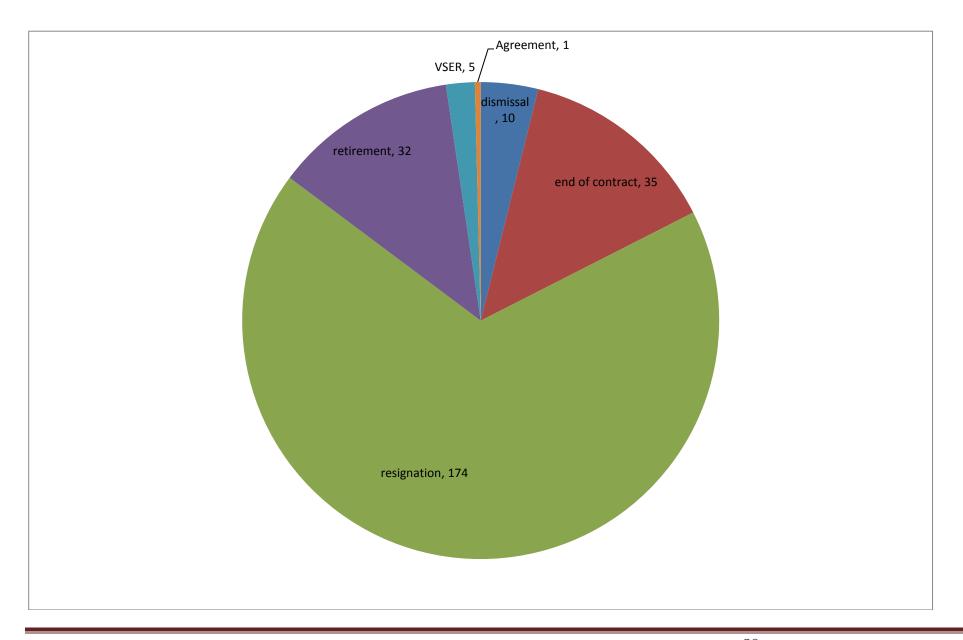
#### APPENDIX 6 - Monthly Breakdown of All Leavers



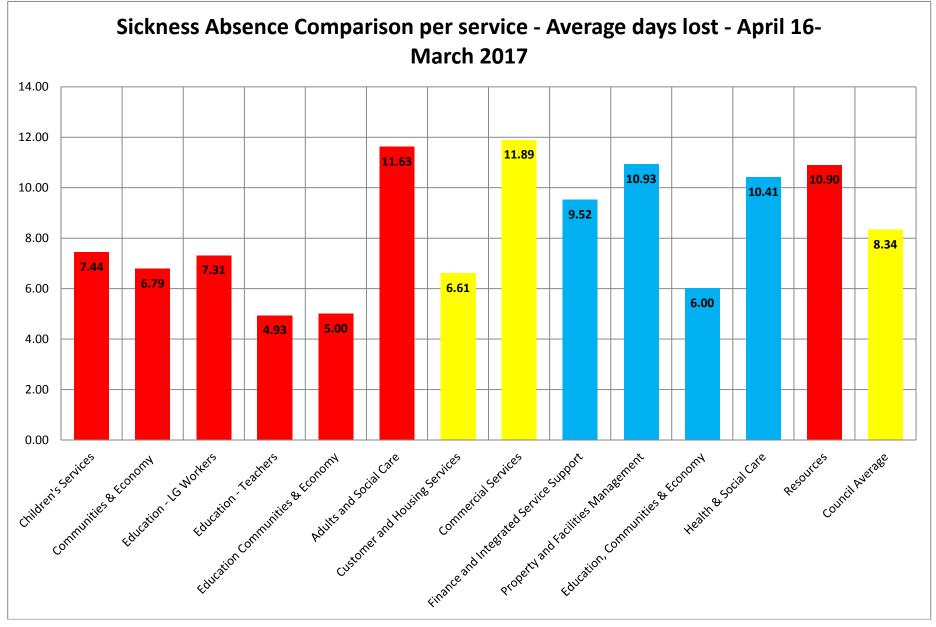
## APPENDIX 8 - Monthly Turnover Trends -All employees

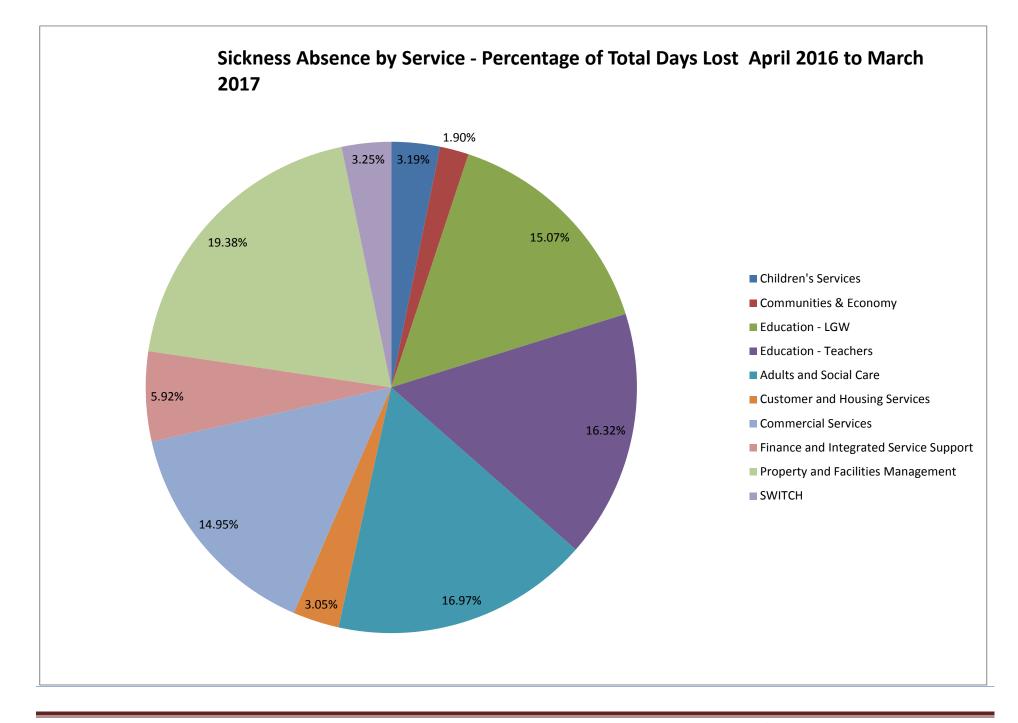




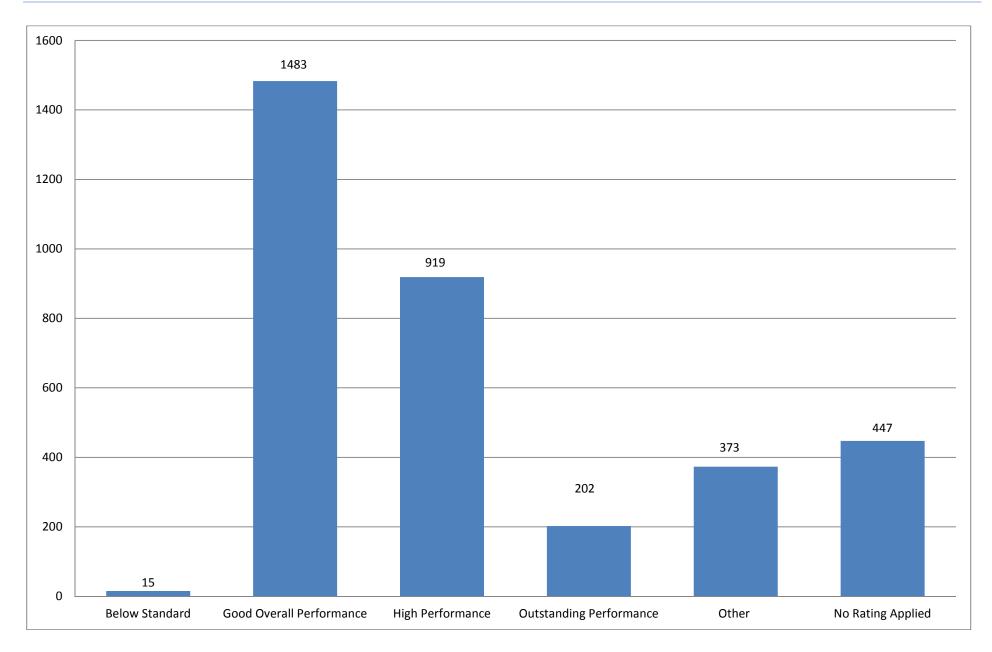


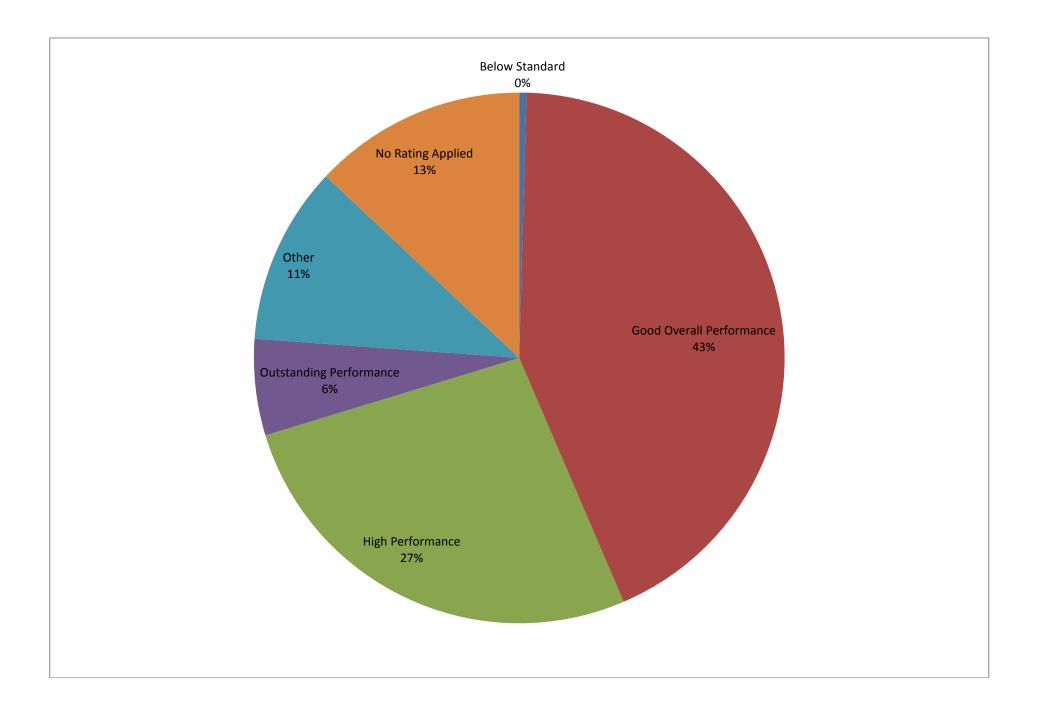
#### APPENDIX 10- Sickness Absence Comparison per Service

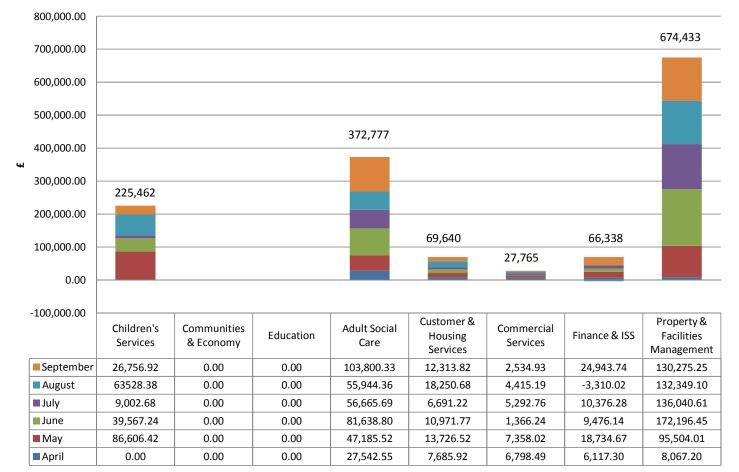




## APPENDIX 11 - MAKING PERFORMANCE MATTER RATINGS – APRIL 2016-MARCH 2017 –Local Government Workers







# Agency Spend April - Sept 2017



## Creating a world-class education system: Attainment and Achievement 2017

## Report by Dr Grace Vickers – Head of Education

#### 1 Purpose of Report

The purpose of this report is to provide an overview of attainment and achievement for session 2016/17. A copy of the full report is filed in appendix 1.

#### 2.1 Background

In session 2013-14, the new senior phase benchmarking attainment measures, called 'Insight', were implemented replacing the former Standard tables and charts (STACS). The new measures provide a broader and deeper picture of how young people are progressing in our secondary schools and includes a wide range of new gualifications including vocational and wider achievement awards. The new measure also provides important data on the performance of young people in different contexts in order to help focus our improvement targets towards closing the attainment gap. The new measures report on the performance and progress of two main cohorts of students: the National Benchmarking measures report on the progress and performance of the summer leavers cohort from S4, S5 and S6 and the Local Benchmarking measures report on the progress and performance of the students who have continued their education in S4, S5 and S6. There are four Benchmarking Measures used to report on the progress and performance of students: Improving Attainment in Literacy and Numeracy; Increasing Post- School Participation; Improving Attainment for All; and Attainment versus Deprivation. To compliment the data provided by these Benchmarking Measures, Insight also provides Breadth and Depth Course measures which are used to provide data on the percentage of pupils gaining awards at specific levels by the end of each year stage. This data, when used in conjunction with the Benchmarking Measures, provides a richer picture of the progress and performance of Midlothian students. In addition, in line with the Education (Scotland) Act 2016 all local authorities are required to produce a National Improvement Framework Plan and a copy of this can be found in appendix 1 of the full report attached.

- 2.2 Improving attainment in literacy and numeracy: the percentage of pupils attaining literacy and numeracy at SCQF level 4 and SCQF level 5: The national measures for literacy and numeracy show the following key strengths:
  - Attainment in level 4 Literacy and Numeracy shows a positive improvement from 74.4% in 2011 to 87.8 % in 2016, an improvement of 14.4%.
  - Attainment is 1.2% higher than the virtual comparator leavers group.
  - Attainment in level 5 Literacy and Numeracy shows a positive improvement from 45.7% in 2011 to 63.31% in 2016 an improvement of 17.6%.
  - Attainment is higher than the virtual comparator leavers group.

• Outcomes for the bottom 30% of learners show a three year improvement trend for Literacy and Numeracy at level 4 for the 30% most deprived learners by the end of S4. Attainment in 2016 is now above both the virtual and the national average. Attainment at this level in 2016 is 8.07% higher than the previous year. For level 5, there is a three year improvement trend for Literacy and Numeracy by the end of S4. Attainment in 2016 is now above both the virtual and the national average achieved in 2016 is now above both the virtual and the national average with attainment at level 5 in 2016 being more than double the percentage achieved in 2014.

The local measures for literacy and numeracy show the following key strengths:

- Positive four year trend across all measures
- S4 Literacy and Numeracy at level 4: this is the highest recorded level achieved with 0.1% improvement on the previous year and a 24.4% improvement (2013-2017)
- S4 Literacy and Numeracy at level 5: this is the highest recorded level achieved with a 1.4% improvement on the previous year and 35.4% improvement (2013-2017)
- S5 Literacy and Numeracy at level 4: this is the highest recorded level achieved with a 1.8% improvement on the previous year and 14.7% improvement (2013-2017)
- S5 Literacy and Numeracy at level 5: this is our highest recorded level achieved with a 9.8% improvement on the previous year and 21.6% improvement (2013-2017)
- S6 Literacy and Numeracy at level 4: this shows a drop of 0.18% on the previous year but 11% improvement (2013-2017)
- S6 Literacy and Numeracy at level 5: this shows a drop of 2.6% on the previous year but 12.1% improvement (2013-2017)

What steps are we going to take in order to continuously improve literacy and numeracy?

- Bring literacy and numeracy at levels 4 and 5 in line with national measures for all school leavers.
- Continue to support moderation practice in secondary schools to develop appropriate teacher judgements as part of holistic assessment within the broad general phase of education (BGE - S1-3).
- Continue to support moderation practice in secondary schools to develop appropriate teacher judgements as part of holistic assessment at the transition point from P7 into S1.
- Continue to focus on evidence based approaches to targeted interventions in literacy and numeracy that have a high effect size.
- Continue to use relevant SIMD and other data to ensure that we close the poverty related gaps in attainment in literacy and numeracy.
- 2.3 Improving attainment for all: the average total tariff score of pupils based on the attainment of the lowest 20%, middle 60% and highest 20% by performance;

The national measures for literacy and numeracy show the following key strengths:

• Total tariff scores for the lowest performing 20% of leavers' shows positive progression from 125pts in 2010/11 to 161pts in 2015/16, an improvement of 36pts. This is higher than the virtual comparator performance of 144pts.

- Total tariff scores for the middle performing 60% of leavers' shows positive progression from 636pts in 2010/11 to 802pts which is 18pts higher than the previous year. This is higher than the virtual comparator on 771pts.
- Total tariff scores for the highest performing 20% of leavers' shows positive progression from 1676pts in 2010/11 to 1890pts in 2015/16, an improvement of 114pts. This is above the virtual comparator on 1805pts.

The local measures show the following key strengths:

- Positive four year trend for middle 60% in S5 and S6
- Positive four year trend for the highest 20% by the end of S6

What are we going to do to continuously improve attainment for all measures?

To reduce the gap between the highest and lowest performing leaver groups, we will implement a range of targeted curricular strategies and wider achievement opportunities in order to maximise tariff scores:

- Schools will continue to evaluate how they course students within the Secondary phase (S4-6) and support an integrated S4-6 senior phase model that delivers opportunities to maximise attainment and achievement.
- Schools will ensure tracking systems also include information about skills development and wider achievement options that may provide opportunities to gain additional tariff points.
- Schools will continue to develop tracking and monitoring systems and active interventions to ensure learners attain to the highest possible level within the senior phase at the point of exit.
- 2.4 Attainment versus deprivation: tacking disadvantaged by improving the attainment of lower attaining pupils relative to higher attaining pupils based on the average total tariff score of pupils, by decile, using the Scottish Index of Multiple Deprivation (SIMD):

The national measures for attainment versus deprivation show the following key strengths:

• Midlothian performance was generally better than the virtual comparator for deciles 1 and 8 and lower than the virtual comparator for deciles 3, 4 and 9.

The local measures show the following key strengths:

• Midlothian is in line with virtual comparator for most deciles by the end of S4 and 5 with the exception of SIMD 1 and 5.

What are we going to do to continuously improve attainment versus deprivation measures?

- Implement targeted interventions in order to improve outcomes in SIMD 1 and 5 by the end of S4, 5 and 6.
- Implement targeted pace and progression routes to improve SIMD 8, 9 and 10 by the end of S6. This will include a pilot research programme to look at factors affecting the progress and attitudes of learners within this SIMD in order to look at a variety of ways to improve their performance. It is known that 50% of the variance in learner outcomes is due to how learners behave and of they perceive themselves as successful learners so it is vital we tackle this appendent well as teacher efficacy.

- Ensure that the curriculum at BGE level is allowing students to progress into and succeed within the senior phase in schools.
- Improving outcomes for looked after learners is a key priority for 2017/18. We are focussing on strategies to both improve attendance. In addition the local authority and schools are working together to develop flexible learning pathways to ensure that there are tailor-made options for our most vulnerable learners building on the success of the approaches utilised to improve positive destinations.

## 2.5 Breadth and Depth Measures:

To compliment the data provided by the Benchmarking Measures, Insight also provides course measures. In this report the Breadth and Depth Course measure is used to provide data on the percentage of pupils gaining awards at specific levels by the end of each year stage. This data, when used in conjunction with benchmarking measures, provides a richer picture of the progress and performance of Midlothian students.

Breadth and depth measures show the following key strengths:

S4:

- 5 or more at level 4 is 2.4% higher than the virtual comparator
- 5 or more at level 5 has a 4 year trend is positive at 0.6%

S5:

- 1 or more at level 6 is our highest recorded level to date and is 4.1% higher than the previous year and 7% improvement (2014-2017) resulting in a positive 4 year trend of 2.3%.
- 3 or more at level 6 is our highest recorded level to date and is 4.3% higher than the previous year and 9.5% improvement (2014-2017) resulting in a positive 4 year trend of 3.2%.
- 5 or more at level 6 is our second highest recorded level and is 2.1% higher than the previous year and 2.4% improvement (2014-2017) resulting in a positive 4 year trend of 0.8%.

S6:

- 1 or more at level 6 is our second highest recorded level but is 4.4% lower than the previous year and 5.3% improvement (2014-2017) resulting in a positive 4 year trend of 1.8%.
- 3 or more at level 6 is our second highest recorded level but is 3% lower and 4.5% improvement (2014-2017) resulting in a positive 4 year trend of 1.5%.
- 5 or more at level 6 is our second highest recorded level but 3.4% lower than the previous year which was our record high of 29.5%

What are we going to do next in order to continuously improve breadth and depth measures?

S4

- Improving attainment in five or more qualifications by the end of S4.
- Continue to develop tracking and monitoring systems together with active interventions to ensure learners attain to the highest possible level within the senior phase and at exit points and paying particular attention to SIMD.
- Continue to develop consistency in teaching and learning through the three year visible learning collaborative impact programme that focuses on practitioner enquiry to improve learner outcomes.

- Senior Education Managers will be focusing on more forensic examination of school data and more regular support and challenge visits. This will include targeted visits to support schools to close the poverty related attainment gap.
- Schools will be expected to actively pursue targets in relation to improving their performance in the key indicators against their virtual comparator particularly where there is a four year negative trend.

S5

 Building on the improvements at one or more and three or more qualifications at level 6 by the end of S5, we will target performance at five or more at level 6+ to bring in line with the virtual comparator

S6

• Improve the percentage of pupils achieving five or more qualifications at level 6 by the end of S6 to bring in line with the virtual comparator

## 2.6 **Positive Destinations**

Positive destinations data show the following key strengths

- The percentage of school leavers entering a positive destination has improved from 85.2% in 2010/11 to 95.06% in 2015/16. This is the highest recorded positive destinations to date
- For the participation measures, Midlothian now ranks joint 4<sup>th</sup> place when compared with the 32 local authorities with 93.6% of school leavers now in a positive destination. This is the highest recorded figure that Midlothian has ever achieved with Midlothian school leaver destinations now 1.8% higher than the national average.

What are we going to do next in order to continuously improve positive destinations?

- There are relatively low numbers of leavers going into Higher Education. Therefore improving attainment by the end of S5 and 6 is important as stated in the next steps for improvement outlined in this report.
- An ambitious target of 96% has been set for initial destinations.

## 2.7 Wider Achievements

Section 3 of the full report, filed in appendix 1, celebrates the wider achievements in learning through technology; expressive arts and performances; health and wellbeing; outdoor learning; the duke of Edinburgh and partnership working.

## 2.8 Lifelong Learning and Employability

Section 4 of the full report celebrates the successes of the Lifelong Learning and employability service and their full service report is also included in appendix 2 of the main report attached.

## 3. Report Implications

## 3.1 Resource

The Education Leadership Teams, all Head Teachers and staff are committed to closing the attainment gap and this will remain a key priority as we move forward.

## 3.2 Risk

Addressing Inequalities by closing the attainment gap is of significant importance in order to improve the life chances of children and young people in our care.

## 3.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

- Community safety
- Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- Sustainable growth
- Business transformation and Best Value
- None of the above

# 3.4 Key Priorities within the Single Midlothian Plan

Girfec 5: Our people will be successful learners, confident individuals, effective contributors and responsible citizens.

#### 3.5 Impact on Performance and Outcomes

To close the gap by improving 'attainment versus deprivation' and 'attainment for all' outcomes for children and young people.

## 3.6 Adopting a Preventative Approach

The Education (Scotland) Act 2016 aims to take preventative action in order to close the attainment versus deprivation gap by implementing key policies and programmes which are designed to target support to children and young people from disadvantaged communities. This 2017 Attainment and Achievement Report highlights our commitment to closing the attainment gap which compliments the strategies employed by Midlothian. Local Authorities are also required to produce and implement a National Improvement Framework Plan and a copy of this for 2017/18 is also included as appendix 1 of the main report.

## 3.7 Involving Communities and Other Stakeholders

All Head Teachers update their Parent Councils on progress in terms of attainment and all schools publish their Standards and Quality reports for Parents and other stakeholders.

## 3.8 Ensuring Equalities

The recommendations is this report should continue to promote equity of attainment for disadvantaged children and support the steps being taken towards narrowing the attainment gap by imposing duties on education authorities and the Scottish Ministers in relation to reducing pupils' inequalities of educational outcome together with a duty to report on progress.

#### 3.9 Supporting Sustainable Development

There are no impacts arising directly from this report

#### 3.10 IT Issues

Full implementation of the Digital Learning strategy which was approved by Council would assist schools to implement the digital solutions required to deliver 21<sup>st</sup> century skills.

## 4 Recommendations

- To note the significant improvements in performance outlined in this report.
- To note the areas for continuous improvement outlined in this report
- To congratulate pupils, parents and staff on the significant improvements in attainment and achievement during session 2016/17.

## Date 28 November 2017

#### **Report Contact:**

Name Dr Grace Vickers, Head of Education julie.currie@midlothian.gov.uk

Tel No 0131 271 3719



# Midlothian Council Education Attainment and Achievement Report





# December 2017

Page 203 of 558

CONTENTS	Page
Introduction	3
Section 1: Our strengths	3
Section 2: Performance Information	4
2.1 Early Years	4
2.2 Improvement in attainment: reading, writing and numeracy	5
2.3 Secondary Attainment – National Measures	6
2.4 Secondary Attainment – Local Measures	10
2.5 Positive Destinations	18
Section 3: Celebrating wider achievement	19
3.1 Learning through technology	19
3.2 Expressive arts and performances	20
3.3 Improvement in children and young people's health	22
and wellbeing	
3.4 Outdoor Learning	22
3.5 The Duke of Edinburgh Award	23
3.6 Partnership working	23
Section 4: Lifelong Learning and Employability	24
Section 5: What are we going to do next in order to	26
continuously improve: Our priorities for 17/18	
NIF Improvement Plan	Appendix 1
LLE Report	Appendix 2

Midlothian Council Attainment and Achievement Report December 2017 \$2 \$

## Introduction

In Midlothian, we aspire to deliver a world-class education system through equity and excellence. Our vision is to provide the highest quality inclusive education and learning for all individuals and families in Midlothian. To realise this vision we will:

- give all our children the best possible start in life, providing a nurturing and inclusive learning environment;
- ensure that every young person has the opportunity to be a successful learner, confident individual, responsible citizen and an effective contributor;
- support adult returners to achieve their potential and secure positive outcomes including employment
- work with our communities to promote high expectations which deliver the best educational outcomes for all learners;
- celebrate diversity, reduce inequalities and remove barriers to learning.

As we continue to build on our ambition to create a world-class education system through equity and excellence, we are relentless in our focus to interrupt the cycle of poverty at the same time as improving attainment overall. Three core ingredients of the world-class strategy will remain central:

- to adopt an evidence-based practice approach to educational improvement based on the forensic use of data with clear improvements shared and understood by all;
- to create a leadership culture of continuing professional development where systems thinking becomes a habit focussed on delivering improved outcomes for every child;
- to embrace Jim Collin's *Good to Great* Strategy: keeping it simple through a commitment to continuous improvement delivering results that are always better than our previous best.

Building on our theme from last year, Closing the Gap – Creating a World-Class Education System for all ages, in 2017/18 our theme is *Mind the gap - Taking a closer look at Progression, Progression, Progression.* 

## **Section 1: Our Strengths**

- Clear strategic commitment to create a World-Class Education Service through Excellence and Equity;
- Strong and clear leadership across the partnership;
- A shared endeavour to interrupt the cycle of poverty;
- High quality partnership working delivering targeted interventions which are having lifechanging impacts;
- A rich Early Years provision;
- A wide range of rich learning experiences for children and young people;
- Improving attainment in primary and secondary schools;
- Five year positive trend in sustained destinations for school leavers;
- High quality career-long professional development opportunities for staff;
- Growing empowerment of schools by growing Associated Schools Groups into Learning Communities.

Midlothian Council Attainment and Achievement Report December 2017

3

# **Section 2: Performance Information**

## Section 2.1: Early Years

This section outlines the successes and achievements for Early Years:

- Early Years Support Teams and ASN: this team was set up to provide support to families and to assess children. This provision now includes ASD outreach and support for Bright Sparks. One hundred and fifty pupils benefit from this ASN support.
- Family Learning Centres: Loanhead Paradykes opened Summer 2017. Gorebridge Beacon due to open June 2018 (delayed due to fire). Planning work is currently ongoing at the Mayfield FLC.
- Parents involved in their children's learning: sessions running in Woodburn 3-5, Midlothian Surestart Family Learning Centres in Penicuik and Mayfield. Approximately 15 families are currently engaged.
- Co-location: 27-30 month health reviews by HV's being delivered at Woodburn Family Learning Centre. 'Learning is fun together' by Speech and Language therapy (SLT) is now being delivered at Woodburn FLC 0-3 and Paradykes Family Learning Centre.
- Sleep session: 136 families have attended a 45 minute, stage 1 session
- Big Bedtime Read (BBR): 22 Local Authority settings are running the BBR involving approx 1400 children between 0-5. 86% are currently getting a bedtime read 4 or more nights a week. Two Midlothian Sure Start Family Learning Centres are also involved.
- Partners: 5 Service Level Agreements covering Family Learning Centres, Play Therapy, Resource library, Speech and Language and Family Support
- Partnership Centres: 22 existing settings with 2 more at the application stage.
- Play Strategy: produced and published. Working group set up and held 1<sup>st</sup> meeting.
- Peep: 115% growth in number of groups running from 19 in 2015 to 42 in 2017. Two hundred and fifty children (approx) attend a peep session in a typical week.
- A good time to be 2: 141 children as of Sep 2017. Twenty-nine settings & nine childminders currently have children placed. All settings have received their annual QI visit and 2 settings are receiving individual support in an 8 week block.
- Froebel Training: 28 students currently undertaking training with Edinburgh University. New Froebel library developed.
- Childminders: 80 across Midlothian; 14 contracted to provide through 'A Good time to be 2'; new recruitment drive to meet 1140 requirements.

## Page 206 of 558

- Quality Improvement: 80+ visits carried out. 0-5 Self Assessment tool. Three Quality
  Floorbooks developed on 'Environments', 'Literacy' & 'Wellbeing'. Two sets of guidance
  developed 'Planning and observation' & 'Tracking children's progress'. Numeracy
  Floorbook currently being developed. Recent external inspections have been rated good,
  very good and excellent.
- Workforce Development: 80 courses run Aug to Jun 17; 958 places taken up by 487 individual EY staff; 4 modern apprentice placements offered. Ninety-three percent reported positively that the outcomes where fully met, course will impact on practice and knowledge was greatly increased. Thirty-two individuals attended 5 or more courses.
- Midlothian Design Guide for Early Learning and Childcare shared with the Care Inspectorate, planning and architects.
- Early Years Learning Communities: 90% of staff in post supporting all Midlothian Council EL&C settings delivering training, supporting planning, observations and assessments. All staff trained in Starcatchers & Mindstretchers courses.

## Section 2.2: Improvement in attainment, specifically in reading, writing and numeracy

## Primary Sector (Assessment of Children's progress)

Progression through the Broad General Education is a key focus in 2017/18. In December 2016, the Scottish Government for the first time published Curriculum for Excellence (CfE) levels achieved by the end of P1, P4, P7 and S3. In most indicators Midlothian was below the national average. As a result our target for 2017/18 is to bring CfE levels in line with the national average at all stages. A comprehensive plan to improve teacher judgements is in place within each associated schools group which involves teachers across departments, schools and sectors sharing practice and moderating children's work in order to improve their knowledge of achievement of a level.

Conversely, the average standardised scores are as follows;

- the average standardised score at P4 Maths is above the national average;
- the average standardised score at P4 Reading is above the national average;
- the average standardised score at P7 Reading is above the national average.



Recognised for their work in reducing the poverty related attainment gap, Lawfield Primary school and the Lawfield Community project were praised for their work and were invited to present at the national launches of the Pupil Equity Fund.

Midlothian has a clear strategy for the improving literacy and numeracy, which will help to address the challenge of improving Maths at P7 and S2, as well as building on strong reading attainment in our primaries.

Midlothian Council Attainment and Achievement Report December 2017

5

## Page 207 of 558

- Clear schools targets set in order to ensure the percentage of students achieving their expected Curriculum for Excellence (CfE) level by the end of each stage is at or above the national average.
- Three distinct monitoring and tracking periods have been implemented which will provide data for School Group Manager attainment visits during these periods. Schools will be asked to demonstrate how they are actively intervening to ensure learners who are identified to be at risk of not achieving their expected level by the end of P1, 4 and 7 stage are supported to reach the required level for their stage of learning.
- Learning communities will be involved in developing moderation processes within their school and across schools to improve the confidence of staff working to make robust and reliable holistic judgements of learner progress at the appropriate CfE level.

# Section 2.3: Secondary attainment - National Measures

Midlothian's secondary attainment performance in 2016 is shown below. Using the new *Insight* tool, Midlothian is able to compare its SQA performance not only with that of previous years, but also against a *virtual comparator* – i.e. a 'virtual' benchmark authority with a similar social and economic profile to Midlothian.

This data enables schools to review key outcomes such as improvements in levels of literacy and numeracy, attainment in national exams and leaver destinations.

	Year	Midlothian	Virtual Comparator
	2011	74.4	75.1
	2012	77.9	77.6
% Level 4 Literacy	2013	74.6	76.7
& Numeracy	2014	78.97	78.54
	2015	85.65	85.26
	2016	87.80	86.61
% Level 5 Literacy & Numeracy	2011	45.7	48.5
	2012	48.9	52.3
	2013	45.5	49.7
	2014	51.31	51.3
	2015	56.28	56.3
	2016	63.31	60.56

## Improving Literacy and Numeracy

Table 3: National Measures: - Literacy and Numeracy (2011-2016)

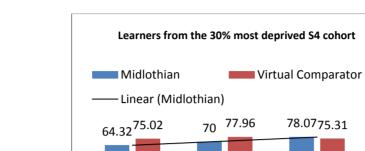
This data in table 3 shows the following key strengths:

- Attainment in level 4 Literacy and Numeracy shows a positive improvement from 74.4% in 2011 to 87.8 % in 2016, an improvement of 14.4%.
- Attainment is 1.2% higher than the virtual comparator leavers group.
- Attainment in level 5 Literacy and Numeracy shows a positive improvement from 45.7% in 2011 to 63.31% in 2016 an improvement of 17.6%.
- Attainment is higher than the virtual comparator leavers group and 0.9% lower than the National leavers group.

The following measures show how the 30% most deprived learners in Midlothian are progressing compared to the virtual comparator in literacy and numeracy.

Midlothian Council Attainment and Achievement Report December 2017

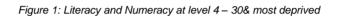
Outcomes by the end of S4: Literacy and Numeracy Outcomes by the end of S4 for the 30% most deprived learners



2014

l evel 4

Level 5



2015

78.0775.31

2016

Figure 1 shows a three year improvement trend for Literacy and Numeracy at level 4 for the 30% most deprived learners by the end of S4. Attainment in 2016 is now above both the virtual and the national average. Attainment at this level in 2016 is 8.07% higher than the previous year.

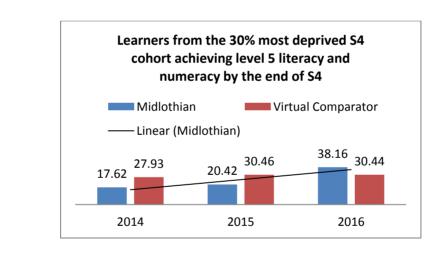


Figure 2: Literacy and Numeracy at level 5 – 30& most deprived

Figure 2 shows a three year improvement trend for Literacy and Numeracy at level 5 for the 30% most deprived learners by the end of S4. Attainment in 2016 is now above both the virtual and the national average with attainment at level 5 in 2016 being more than double the percentage achieved in 2014.

## Page 209 of 558

- Bring literacy and numeracy at levels 4 and 5 in line with national measures for all school leavers.
- Continue to support moderation practice in secondary schools to develop appropriate teacher judgements as part of holistic assessment within the broad general phase of education (BGE - S1-3).
- Continue to support moderation practice in secondary schools to develop appropriate teacher judgements as part of holistic assessment at the transition point from P7 into S1.

## **Improving Attainment for all**

This measure shows the national benchmarking data for the average total tariff score of pupils based on the attainment of the lowest 20%, middle 60% and highest 20% by performance:

		Midlothia	n	Virtual Comparator			
Year	Lowest 20%	Middle 60%	Highest 20%	Lowest 20%	Middle 60%	Highest 20%	
2010/11	125	636	1676	131	684	1723	
2011/12	143	697	1738	151	749	1768	
2012/13	138	651	1663	146	711	1767	
2013/14	146	710	1754	140	728	1798	
2014/15	145	784	1742	155	789	1836	
2015/16	161	802	1890	144	771	1805	

Table 4: Improving attainment for all: the average total tariff score of pupils based on the attainment of the lowest 20%, middle 60% and highest 20% by performance.

The numbers shown in the table are total tariff points gained by Midlothian's lowest performing 20%, the middle performing 60% and the highest performing 20%. Each qualification attained by pupils is given a tariff score by SQA; highest performing 20% of students attain higher tariff scores as they tend to stay on to S6, complete more courses, and pass courses at higher levels.

The data in table 4 shows the following key strengths:

- Total tariff scores for the lowest performing 20% of leavers' shows positive progression from 125pts in 2010/11 to 161pts in 2015/16, an improvement of 36pts. This is higher than the virtual comparator performance of 144pts and 9 pts below the national average.
- Total tariff scores for the middle performing 60% of leavers' shows positive progression from 636pts in 2010/11 to 802pts which is 18pts higher than the previous year. This is higher than the virtual comparator on 771pts and 36pts below the national average.
- Total tariff scores for the highest performing 20% of leavers' shows positive progression from 1676pts in 2010/11 to 1890pts in 2015/16, an improvement of 114pts. This is above the virtual comparator on 1805pts and the national on 1822pts

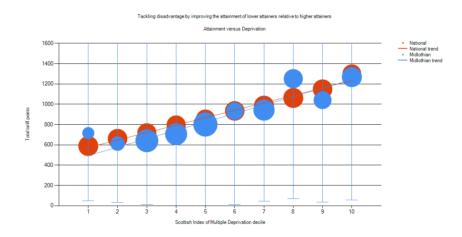
8

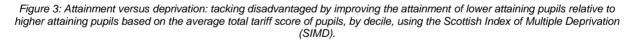
To reduce the gap between the highest and lowest performing leaver groups, we will implement a range of targeted curricular strategies and wider achievement opportunities in order to maximise tariff scores:

- Schools will continue to evaluate how they course students within the Secondary phase (S4-6) and support an integrated S4-6 senior phase model that delivers opportunities to maximise attainment and achievement.
- Schools will ensure tracking systems also include information about skills development and wider achievement options that may provide opportunities to gain additional tariff points.
- Schools will continue to develop tracking and monitoring systems and active interventions to ensure learners attain to the highest possible level within the senior phase at the point of exit.

## Closing the attainment gap between the most and least disadvantaged children: Attainment versus Deprivation

This measure tracks disadvantage by improving the attainment of lower attaining pupils relative to higher attaining pupils based on the average total tariff score of pupils, by Decile, using the Scottish Index of Multiple Deprivation (SIMD):





The discs presented in figure 3 represent the relative performance of Midlothian leavers in each SIMD deciles compared with the virtual comparator group. The size of the disc gives a visual indication of the number of students in the decile. The gradient of the line indicates the relative level of attainment vs. deprivation for Midlothian leavers. The graph confirms that Midlothian leavers are broadly attaining in line with other similar leavers across the country.

• In 2015/16 Midlothian performance was generally better than the virtual comparator for deciles 1 and 8 and lower than the virtual comparator for deciles 3, 4 and 9.

Midlothian Council Attainment and Achievement Report December 2017

9

## Page 211 of 558

- On leaving school students in Decile 1 attained a tariff score of 992 which is 276 less than
  the 1268 accumulated by students in Decile 10. This data confirms that students from the
  least advantaged groups are leaving school earlier and as a result attaining fewer
  qualifications which undermine their ability to access a sustainable positive destination.
  For this reason, Midlothian's priority remains to maintain students from the least
  advantaged backgrounds in mainstream education and training until the end of S6. We
  aim to achieve this by developing progression pathways for all pupils and providing an
  educational experience which meets their needs and secures a positive destination.
- Schools will forensically examine data to know the nature of their attainment gap in relation to deprivation and actively plan to reduce the gap year-on-year.
- Continue to encourage students to stay on at school until the end of S6 in order to reduce the attainment versus deprivation gap. This will involve developing guidance approaches that are about nurture and provide *aspirational* pathways for learners.
- Schools will ensure tracking systems also include information about skills development and wider achievement outcomes that may provide opportunities to gain additional tariff points.
- Schools will continue to develop tracking and monitoring systems and active interventions to ensure learners attain to the highest possible level within the senior phase and at exit points and paying particular attention to SIMD.

## Section 2.4: Secondary Attainment - Local Measures

This section includes the local measures for secondary attainment for examinations undertaken in session 2016/17. Local measures are cohort measures rather than leavers data which was presented in the previous section. Therefore this section will present S4, 5 and 6 cohort attainment data based on the examination results as published in Insight in September 2017.

## Page 212 of 558

Establishment	Year	S	4	S	5	S6	
		% Level 4 Literacy & Numeracy	% Level 5 Literacy & Numeracy	% Level 4 Literacy & Numeracy	% Level 5 Literacy & Numeracy	% Level 4 Literacy & Numeracy	% Level 5 Literacy & Numeracy
	2013	65.1	27.4	79.91	51.1	78.6	53.7
	2014	79.9	40.7	81.23	53.7	81.06	55.7
Virtual	2015	84.2	45.2	87.19	61.1	82.09	57.6
Virtual	2016	83.8	49.4	88.91	62.9	87.66	64.7
Comparator	2017	85.2	51.4	88.62	65.3	89.28	66.3
	3yr avg	84.4	48.6	88.2	63.1	86.3	62.8
	4yr trend	5.0	6.0	2.2	3.5	2.7	3.2
	2013	60.7	18.9	71.97	43.2	73.81	45.8
Midlothian	2014	81.7	33.9	77.06	45.9	71.47	46.1
	2015	81.4	36.7	85.14	57.9	76.92	50.6
	2016	85.0	52.9	84.88	55.0	85.03	60.5
	2017	85.1	54.3	86.71	64.8	84.85	57.9
	3yr avg	83.8	48.0	85.6	59.2	82.3	56.3
	4yr trend	6.1	8.8	3.7	5.4	2.8	3.0

# Literacy and Numeracy (2016/17)

Table 5: Local Measures: - Literacy and Numeracy (2013-2017)

This data shows the following key strengths:

- Positive four year trend across all measures
- S4 Literacy and Numeracy at level 4: this is the highest recorded level achieved with 0.1% improvement on the previous year and a 24.4% improvement (2013-2017)
- S4 Literacy and Numeracy at level 5: this is the highest recorded level achieved with a 1.4% improvement on the previous year and 35.4% improvement (2013-2017)
- S5 Literacy and Numeracy at level 4: this is the highest recorded level achieved with a 1.8% improvement on the previous year and 14.7% improvement (2013-2017)
- S5 Literacy and Numeracy at level 5: this is our highest recorded level achieved with a 9.8% improvement on the previous year and 21.6% improvement (2013-2017)
- S6 Literacy and Numeracy at level 4: this shows a drop of 0.18% on the previous year but 11% improvement (2013-2017)
- S6 Literacy and Numeracy at level 5: this shows a drop of 2.6% on the previous year but 12.1% improvement (2013-2017)

## What are we going to do next in order to continuously improve?

To ensure performance in literacy and numeracy exceeds the virtual comparator and national average we will:

- Continue to support moderation practice in Secondary schools that develops appropriate teacher judgements as part of holistic assessment of literacy and numeracy within the broad general phase of education (BGE S1-3).
- Continue to focus on evidence based approaches to targeted interventions in literacy and numeracy that have a high effect size.
- Continue to use relevant SIMD and other data to ensure that we close the poverty related gaps in attainment in literacy and numeracy.

## Page 213 of 558

# Improving Attainment for all (2016/17)

		S4			S5			S6		
Estalishment	Year	Lowes t 20%	Middle 60%	Highest 20%	Lowest 20%	Middle 60%	Highest 20%	Lowest 20%	Middle 60%	Highest 20%
	2013/14	124	380	618	173	645	1216	174	813	1816
	2014/15	122	381	603	175	665	1189	179	851	1853
Virtual Comparator	2015/16	119	383	601	169	662	1173	181	872	1842
	2016/17	120	376	578	160	671	1177	175	856	1820
	3yr avg	120	380	594	168	666	1180	178	860	1838
	4yr trend	-1.3	-1.3	-13.3	-4.3	8.7	-13.0	0.3	14.3	1.3
Midlothian	2013/14	128	395	627	131	544	1160	119	637	1704
	2014/15	113	356	563	144	646	1227	137	694	1715
	2015/16	123	381	559	127	573	1137	147	810	1878
	2016/17	123	371	564	131	623	1142	131	710	1767
	3yr avg	120	369	562	134	614	1169	138	738	1787
	4yr trend	-1.7	-8.0	-21.0	0.0	26.3	-6.0	4.0	24.3	21.0

 Table 6: Local Measures: - Improving attainment for all (2013-2017)

This data shows the following key strengths:

- Positive four year trend for middle 60% in S5 and S6
- Positive four year trend for the highest 20% by the end of S6

## What are we going to do next in order to continuously improve?

Schools are focussed on setting targets in relation to actively closing the gap between their school data and the virtual comparator, particularly by the end of S4. Strategies include:

- a local authority approach to opening up the curriculum to offer more wider achievement opportunities;
- development of tracking and monitoring systems together with active interventions to ensure learners attain to the highest possible level within the senior phase and at exit points and paying particular attention to SIMD;
- the implementation of the three year visible learning collaborative impact programme that focuses on practitioner enquiry to improve learner outcome;
- Senior Education Managers will be focusing on more forensic examination of school data and more regular support and challenge visits. This will include targeted visits to schools to support pupils at risk of achieving less than 5 or more at level 3+;
- Schools actively pursue targets in relation to improving their performance in the key indicators against their VC.

# Attainment versus Deprivation (2016/17)

## **S**4

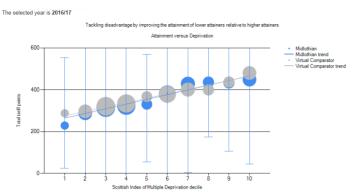


Figure 4: Local Measures: - Literacy and Numeracy (2013-2017)

## **S**5

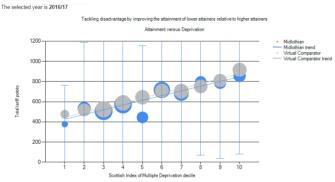


Figure 5: Local Measures: - Literacy and Numeracy (2013-2017)

**S**6

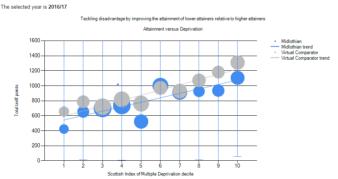


Figure 6: Local Measures: - Literacy and Numeracy (2013-2017)

The data in figures 4-6 show the following key strengths:

• In line with virtual comparator for most deciles by the end of S4 and 5 with the exception of SIMD 1 and 5.

Midlothian Council Attainment and Achievement Report December 2017

# Page 215 of 558

- Implement targeted interventions in order to improve outcomes in SIMD 1 and 5 by the end of S4, 5 and 6.
- Implement targeted pace and progression routes to improve SIMD 8, 9 and 10 by the end of S6. This will include a pilot research programme to look at factors affecting the progress and attitudes of learners within this SIMD in order to look at a variety of ways to improve their performance. It is known that 50% of the variance in learner outcomes is due to how learners behave and of they perceive themselves as successful learners so it is vital we tackle this aspect as well as teacher efficacy.
- Ensure that the curriculum at BGE level is allowing students to progress into and succeed within the senior phase in schools.

#### Improving outcomes for Looked after learners

The following data provides a breakdown of Midlothian's care experienced population and the shifting trends over the last 4 years:

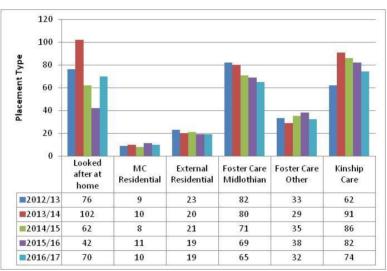


Figure 7: Local Measures: - Looked after Learners (2013-2017)

The data in figure 7 illustrates the changing pattern and trends in relation to Midlothian Council's looked after children and care leaver population over the last 4 years. Overall our Looked After at Home population has seen an increase over the past year in particular which supports a shift in the balance of care towards family care and towards earlier intervention, intensive outreach and strengthening family resilience. Our residential statistics for our own residential houses remain fairly static over the years. Both our external residential placement placements and external foster carer placement have reduced over the past four years which is attributed towards building local capacity and capability within our communities.

#### What are we going to do next in order to continuously improve?

Improving outcomes for looked after learners is a key priority for 2017/18. We are focussing on strategies to both improve attendance. In addition the local authority and schools are working together to develop flexible learning pathways to ensure that there are tailor-made options for our most vulnerable learners building on the success of the approaches utilised to improve positive destinations.

Midlothian Council Attainment and Achievement Report December 2017

14

## Breadth and Depth Measures: S4 Performance in SQA 2017 Examinations (based on S4 % Candidates)

Award	Establishment	Year	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Level 7
		2014	98.6%	98.6%	98.6%	95.4%	76.7%	0.6%	0.0%
		2015	97.7%	97.7%	97.6%	95.1%	74.0%	0.1%	0.0%
1 or more	Midlothian	2016	98.4%	98.4%	98.4%	95.5%	78.6%	0.5%	0.0%
1 or more	wiidiotiilan	2017	98.6%	98.6%	98.5%	94.7%	80.4%	2.2%	0.0%
		3 yr avg	98.2%	98.2%	98.2%	95.1%	77.6%	0.9%	0.0%
		4 yr trend	0.0%	0.0%	0.0%	-0.2%	1.2%	0.5%	0.0%
		2014	96.6%	96.6%	96.5%	94.9%	80.1%	1.2%	0.0%
		2015	96.8%	96.7%	96.6%	95.0%	81.5%	1.3%	0.0%
1 or more	Virtual	2016	97.0%	97.0%	97.0%	95.6%	81.8%	1.4%	0.0%
Tormore	Comparator	2017	97.3%	97.1%	97.0%	95.1%	82.4%	1.3%	0.0%
		3 yr avg	97.0%	96.9%	96.9%	95.2%	81.9%	1.3%	0.0%
		4 yr trend	0.2%	0.2%	0.2%	0.1%	0.8%	0.0%	0.0%
		2014	94.3%	94.3%	94.3%	90.4%	54.9%	0.0%	0.0%
		2015	92.7%	92.7%	92.6%	90.0%	54.6%	0.0%	0.0%
3 or more	Midlothian	2016	95.1%	95.1%	95.1%	89.1%	59.9%	0.0%	0.0%
5 OF INDIE	or more indiotinan	2017	94.6%	94.3%	94.2%	90.0%	60.8%	0.0%	0.0%
		3 yr avg	94.1%	94.0%	94.0%	89.7%	58.4%	0.0%	0.0%
		4 yr trend	0.1%	0.0%	0.0%	-0.1%	2.0%	0.0%	0.0%
		2014	93.0%	93.0%	92.9%	90.0%	59.3%	0.0%	0.0%
		2015	93.3%	93.2%	93.0%	90.3%	62.5%	0.0%	0.0%
3 or more	Virtual	2016	92.9%	92.8%	92.6%	89.9%	62.9%	0.0%	0.0%
5 of more	Comparator	2017	93.1%	93.0%	92.7%	89.6%	63.3%	0.0%	0.0%
		3 yr avg	93.1%	93.0%	92.8%	89.9%	62.9%	0.0%	0.0%
	4 yr trend	0.0%	0.0%	-0.1%	-0.1%	1.3%	0.0%	0.0%	
		2014	90.6%	90.6%	90.6%	83.4%	40.3%	0.0%	0.0%
		2015	88.5%	88.5%	88.4%	84.0%	38.3%	0.0%	0.0%
5 or more	Midlothian	2016	91.3%	91.3%	91.3%	83.9%	44.9%	0.0%	0.0%
5 of more		2017	88.7%	88.7%	88.7%	81.1%	42.0%	0.0%	0.0%
		3 yr avg	89.5%	89.5%	89.5%	83.0%	41.7%	0.0%	0.0%
		4 yr trend	-0.6%	-0.6%	-0.6%	-0.7%	0.6%	0.0%	0.0%
		2014	86.6%	86.6%	86.5%	81.5%	42.2%	0.0%	0.0%
		2015	87.4%	87.3%	87.2%	82.5%	44.3%	0.0%	0.0%
5 or more Virt	Virtual	2016	86.2%	86.2%	86.0%	81.5%	46.4%	0.0%	0.0%
	Comparator	2017	83.6%	83.5%	83.3%	78.7%	44.8%	0.0%	0.0%
		3 yr avg	85.7%	85.7%	85.5%	80.9%	45.2%	0.0%	0.0%
		4 yr trend	-1.0%	-1.0%	-1.1%	-0.9%	0.9%	0.0%	0.0%

Table 7: Local Measures: - Breadth and Depth (2014-2017)

This data in table 7 shows the following key strengths:

- 5 or more at level 4 is 2.4% higher than the virtual comparator
- 5 or more at level 5 has a 4 year trend is positive at 0.6%

Midlothian Council Attainment and Achievement Report December 2017 15

#### Page 217 of 558

#### What are we going to do next in order to continuously improve?

As per the earlier section on improving attainment for all, schools are continuing to focus on setting targets in relation to actively closing the gap between their school data and the virtual comparator. Strategies for the local measures include:

- Improving attainment in five or more qualifications by the end of S4.
- Continue to develop tracking and monitoring systems together with active interventions to ensure learners attain to the highest possible level within the senior phase and at exit points and paying particular attention to SIMD.
- Continue to develop consistency in teaching and learning through the three year visible learning collaborative impact programme that focuses on practitioner enquiry to improve learner outcomes.
- Senior Education Managers will be focusing on more forensic examination of school data and more regular support and challenge visits. This will include targeted visits to support schools to close the poverty related attainment gap.
- Schools will be expected to actively pursue targets in relation to improving their performance in the key indicators against their virtual comparator particularly where there is a four year negative trend.

Award	Establishment	Year	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Level 7
		2014	98.3%	98.3%	98.3%	96.6%	79.7%	48.5%	0.7%
		2015	97.9%	97.9%	97.9%	95.0%	81.8%	55.3%	0.3%
1 or	Midlothian -	2016	97.3%	97.3%	97.1%	95.1%	81.1%	51.4%	0.1%
more		2017	97.6%	97.6%	97.6%	95.0%	82.0%	55.5%	0.0%
		3 yr avg	97.6%	97.6%	97.6%	95.0%	81.6%	54.1%	0.1%
		4 yr trend	-0.2%	-0.2%	-0.2%	-0.5%	0.8%	2.3%	-0.2%
		2014	98.6%	98.5%	98.5%	97.0%	85.4%	56.4%	0.5%
		2015	98.1%	98.1%	98.1%	96.7%	87.4%	61.0%	0.6%
1 or	Virtual Comparator	2016	97.9%	97.8%	97.7%	96.3%	87.1%	60.9%	0.4%
more		2017	97.9%	97.8%	97.7%	96.4%	86.9%	61.5%	0.6%
		3 yr avg	98.0%	97.9%	97.8%	96.4%	87.1%	61.2%	0.5%
		4 yr trend	-0.2%	-0.2%	-0.3%	-0.2%	0.5%	1.7%	0.0%
		2014	92.7%	92.7%	92.7%	90.2%	63.7%	26.1%	0.0%
		2015	93.7%	93.7%	93.7%	91.0%	70.7%	34.2%	0.0%
3 or	Midlothian	2016	93.2%	93.2%	93.0%	90.2%	66.6%	31.3%	0.0%
more	ore	2017	94.6%	94.6%	94.6%	88.9%	68.2%	35.6%	0.0%
		3 yr avg	93.8%	93.8%	93.8%	90.0%	68.5%	33.7%	0.0%
		4 yr trend	0.6%	0.6%	0.6%	-0.4%	1.5%	3.2%	0.0%
		2014	96.9%	96.8%	96.8%	93.0%	70.1%	36.5%	0.0%
		2015	96.0%	95.9%	95.8%	93.4%	73.3%	40.2%	0.0%
3 or	Virtual Comparator	2016	95.4%	95.3%	95.1%	92.8%	74.2%	40.1%	0.0%
more	entual comparator	2017	94.8%	94.8%	94.6%	92.3%	73.9%	41.3%	0.0%
		3 yr avg	95.4%	95.4%	95.2%	92.8%	73.8%	40.5%	0.0%
		4 yr trend	-0.7%	-0.7%	-0.7%	-0.2%	1.3%	1.6%	0.0%
		2014	88.7%	88.7%	88.7%	81.0%	48.6%	12.1%	0.0%
		2015	90.3%	90.3%	90.3%	84.7%	54.1%	17.1%	0.0%
5 or	Midlothian	2016	88.4%	88.4%	88.4%	85.1%	50.1%	12.4%	0.0%
more	re	2017	91.5%	91.5%	91.4%	84.9%	53.7%	14.5%	0.0%
		3 yr avg	90.0%	90.0%	90.0%	84.9%	52.6%	14.7%	0.0%
		4 yr trend	0.9%	0.9%	0.9%	1.3%	1.7%	0.8%	0.0%
		2014	94.4%	94.3%	94.3%	86.6%	56.3%	18.4%	0.0%
	_	2015	92.0%	91.9%	91.8%	88.0%	57.0%	20.0%	0.0%
5 or	Virtual Comparator	2016	91.6%	91.5%	91.3%	87.9%	57.9%	19.1%	0.0%
more	comparator	2017	90.4%	90.3%	90.1%	86.7%	59.5%	20.3%	0.0%
		3 yr avg	91.3%	91.2%	91.1%	87.5%	58.1%	19.8%	0.0%
	Table 9: Local	4 yr trend	-1.3%	-1.3%	-1.4%	0.0%	1.1%		0.0%

#### S5 Performance in SQA 2017 Examinations (based on S4 % Candidates)

Table 8: Local Measures: - Improving attainment for all (2013-2017)

Midlothian Council Attainment and Achievement Report December 2017

#### Page 218 of 558

<sup>16</sup> 

This data shows the following key strengths:

- 1 or more at level 6 is our highest recorded level to date and is 4.1% higher than the previous year and 7% improvement (2014-2017) resulting in a positive 4 year trend of 2.3%.
- 3 or more at level 6 is our highest recorded level to date and is 4.3% higher than the previous year and 9.5% improvement (2014-2017) resulting in a positive 4 year trend of 3.2%.
- 5 or more at level 6 is our second highest recorded level and is 2.1% higher than the previous year and 2.4% improvement (2014-2017) resulting in a positive 4 year trend of 0.8%.

#### What are we going to do next in order to continuously improve?

• Building on the improvements at one or more and three or more qualifications at level 6 by the end of S5, we will target performance at five or more at level 6+ to bring in line with the virtual comparator.

Award	Establishment	Year	Level 1	Level 2	Level 3	Level 4	Level 5	Level 6	Level 7
		2014	97.4%	97.4%	97.4%	95.0%	79.7%	50.7%	16.9%
		2015	98.4%	98.4%	98.4%	96.6%	80.5%	55.1%	16.1%
1 or	Midlothian	2016	98.1%	98.1%	98.1%	95.1%	82.6%	60.4%	20.3%
more	witutotilian	2017	97.5%	97.5%	97.3%	95.3%	81.8%	56.0%	17.6%
	nore	3 yr avg	98.0%	98.0%	97.9%	95.7%	81.6%	57.1%	18.0%
		4 yr trend	0.0%	0.0%	0.0%	0.1%	0.7%	1.8%	0.2%
		2014	98.6%	98.6%	98.6%	97.1%	85.7%	61.7%	20.6%
		2015	98.6%	98.5%	98.5%	97.1%	86.2%	63.1%	22.2%
1 or	Virtual Comparator	2016	98.2%	98.1%	98.1%	96.8%	87.8%	65.9%	23.1%
more	virtual comparator	2017	97.9%	97.8%	97.7%	96.4%	87.6%	65.3%	21.7%
		3 yr avg	98.2%	98.2%	98.1%	96.7%	87.2%	64.8%	22.3%
		4 yr trend	-0.2%	-0.3%	-0.3%	-0.3%	0.6%	1.2%	0.4%
		2014	92.3%	92.3%	92.3%	88.1%	62.9%	36.4%	2.1%
		2015	92.6%	92.6%	92.6%	90.2%	66.2%	40.2%	3.2%
3 or	Midlothian	2016	93.7%	93.7%	93.7%	91.1%	72.3%	43.9%	4.0%
more		2017	93.3%	93.3%	93.1%	90.7%	69.1%	40.9%	3.0%
		3 yr avg	93.2%	93.2%	93.1%	90.6%	69.2%	41.7%	3.4%
		4 yr trend	0.3%	0.3%	0.3%	0.9%	2.1%	1.5%	0.3%
		2014	96.9%	96.9%	96.9%	93.1%	72.6%	46.1%	2.7%
		2015	97.1%	97.0%	97.0%	93.4%	72.9%	47.7%	3.4%
3 or	Virtual Comparator	2016	96.1%	96.0%	95.9%	93.6%	75.5%	50.7%	3.4%
more	Virtual Comparator	2017	95.5%	95.4%	95.2%	93.0%	76.0%	49.7%	2.8%
		3 yr avg	96.2%	96.2%	96.0%	93.3%	74.8%	49.4%	3.2%
		4 yr trend	-0.5%	-0.5%	-0.6%	0.0%	1.2%	1.2%	0.0%
		2014	86.7%	86.7%	86.7%	77.3%	49.9%	26.2%	0.0%
		2015	88.3%	88.3%	88.3%	80.8%	54.2%	24.0%	0.0%
5 or	Midlothian -	2016	89.5%	89.5%	89.5%	84.2%	58.4%	29.5%	0.0%
more		2017	88.0%	88.0%	88.0%	84.9%	54.3%	26.1%	0.0%
		3 yr avg	88.6%	88.6%	88.6%	83.3%	55.6%	26.5%	0.0%
		4 yr trend	0.4%	0.4%	0.4%	2.5%	1.5%	-0.1%	0.0%
		2014	94.6%	94.6%	94.5%	86.7%	60.0%	32.6%	0.0%
	5 or	2015	94.8%	94.7%	94.7%	87.3%	61.4%	33.7%	0.0%
5 or		2016	92.5%	92.5%	92.3%	88.7%	62.3%	36.0%	0.0%
more	Virtual Comparator	2017	92.0%	91.9%	91.7%	88.5%	63.1%	35.1%	0.0%
		3 yr avg	93.1%	93.0%	92.9%	88.1%	62.2%	34.9%	0.0%
		4 yr trend	-0.9%	-0.9%	-0.9%	0.6%	1.0%	0.9%	0.0%

#### S6 Performance in SQA 2017 Examinations (based on S4 % Candidates)

Table 9: Local Measures: - Improving attainment for all (2013-2017)

Midlothian Council Attainment and Achievement Report December 2017

#### Page 219 of 558

The data in table 9 shows the following key strengths:

- 1 or more at level 6 is our second highest recorded level but is 4.4% lower than the previous year and 5.3% improvement (2014-2017) resulting in a positive 4 year trend of 1.8%.
- 3 or more at level 6 is our second highest recorded level but is 3% lower and 4.5% improvement (2014-2017) resulting in a positive 4 year trend of 1.5%.
- 5 or more at level 6 is our second highest recorded level but 3.4% lower than the previous year which was our record high of 29.5%.

#### What are we going to do next in order to continuously improve?

We will target all measures by the end of S6 but in particular we will focus on the following:

• Improve the percentage of pupils achieving five or more qualifications at level 6 by the end of S6 to bring in line with the virtual comparator.

#### **Section 2.5: Positive Destinations**

Increasing post-school participation: this measure shows the National benchmarking data for the percentage of pupils either staying on at school or in a positive initial destination:

% of School Leavers in a Positive Destination	Midlothian	Virtual Comparator
2010/11	85.2	89.3
2011/12	85.8	89.6
2012/13	89.2	91.4
2013/14	94.2	91.6
2014/15	93.4	92.8
2015/16	95.06	92.7

Table 10: Increasing post-school participation: this measure shows the National Measure for the percentage of pupils either staying on at school or in a positive initial destination.

Table 10 shows the following key strengths:

- The percentage of school leavers entering a positive destination has improved from 85.2% in 2010/11 to 95.06% in 2015/16. This is the highest recorded positive destinations and ranks Midlothian in the top 5 local authorities at joint 5<sup>th</sup> place.
- Midlothian is now performing above the virtual comparator leaver cohort of 92.67%.

#### Page 220 of 558

#### **Continuing Participation (16-19 year olds)**

Whilst it is important that our young people achieve positive destinations when they leave school, it is also important that they continue to remain in positive destinations, and the term given to this is *continuing participation*.

Annual Participation %	2015/16	2016/17
Midlothian	88.7%	93.6%
National	90.4%	91.1%
<b>TIL (1 0 11 1 D 11</b>		0045(40 10040(47)

Table 11: Continuing Participation measures: 2015/16 and 2016/17)

Helping our young people, adults and families to increase their skills for learning, life and work is a key priority for Midlothian Council. The Scottish Government report, *Initial Destinations of Senior Phase School leavers*, published on 7 March 2017 provides information on initial destinations of school leavers and outlines the performance across the 32 local authorities with Midlothian now ranking joint 4<sup>th</sup> place with 93.6% of school leavers now in a positive destination. This is the highest recorded figure that Midlothian has ever achieved with Midlothian school leaver destinations now 1.8% higher than the national average.

The number of working age adults has increased their level of qualifications at key stages including the number of local people who have no qualifications. Moving forward, we are ambitious and want to get to a stage where all young people, families and adults are supported to achieve and sustain a positive destination. The progress the Lifelong Learning and Employability (LLE) service and partners have made in support local people to achieve has been validated by the recent Education Scotland Inspection which rated all indicators as very good and found the service to be achieving life changing impacts.

#### What are we going to do next in order to continuously improve?

• There are relatively low numbers of leavers going into Higher Education. Therefore the priority to raise attainment by the end of S5 and S6 should help to build the bank of qualifications learners require to access higher education.

#### Section 3: Celebrating Wider Achievement

#### 3.1 Learning through Technology



Innovative use of technology transforms learning and improves educational outcomes for young people. In 2016/17 pupils from St David's Primary School and Loanhead Primary School represented Midlothian at the VEX Robotics UK competition and Loanhead were awarded the prize for the Think Award at the NEC.

Through the implementation of the new Digital Learning Strategy, our young people and their teachers are developing skills in using computer programs and software,

iPads, digital cameras, robots and web-based applications. The development of Glow (Scotland's education intranet), Google apps and other web-based tools has created a new and exciting landscape for digital learning which promotes creativity and innovation in schools.

Midlothian Council Attainment and Achievement Report December 2017 19

#### Page 221 of 558

This year our primary schools took part in a project called *Inspiring Learning Spaces* – this was very positively evaluation and has enabled them to use some of the leading edge technologies which will help young people develop the skills they require for learning life and work in the digital age. In June 2018, the new Newbattle Community High School will open as our first Centre of Excellence, this will be designated a Centre of Excellence in Digital Learning.

#### **3.2 Expressive Arts and Performances**

Midlothian has a proud heritage in expressive and performing arts, and session 2016-17 featured a wide range of performance-related activities. Here are just some of our achievements.

#### Support to Community Arts Festivals

Expressive Arts Team members were involved in supporting various community events including Mayfield and Newtongrange Winter Festivals, Midfest, and Newtongrange Children's Gala Day to name but a few.

#### Midlothian Instrumental Music Service (MIMS)

After 3 months of intensive after-school rehearsals, led by their MIMS Instructors, 450 young musicians, in 11 county-wide ensembles, performed in front of a sell-out audience at the Usher Hall as part of the 21<sup>st</sup> Midlothian Schools' Festival of Music, in November 2016.



Midlothian Schools' Festival of Music Finale Usher Hall, Edinburgh, November 2016

• The *Voices of Midlothian* concert was a memorable evening, which showcased the vocal talents of our young people when, led by professional choirmaster, Stephen

Midlothian Council Attainment and Achievement Report December 2017 20

#### Page 222 of 558

Deasley, MIMS's Voice Instructor Fiona Mitchell and 5 classroom music teachers, the voices of over 200 young people filled the Queens Hall in Edinburgh covering a broad range of songs from classical, jazz, pop and hip-hop genres. The young singers were supported by a house band made up of MIMS Instructors and classroom music teachers.



Voices of Midlothian Choir Concert Finale Queen's Hall, Edinburgh, April 2017

- The Midlothian Senior and Junior percussion ensembles finished 1<sup>st</sup> and 2<sup>nd</sup> respectively in the SBBA Scottish Youth Percussion Championships. This was the Senior Ensembles 5<sup>th</sup> victory out 5 entries in this prestigious competition.
- Midlothian schools' music ensembles, led by their music instructors, performed at 33 school concerts and community events, including Midfest and various Winter Festivals/Xmas Lights Ceremonies.
- Midlothian high schools put on 6 school-based performances of stage musicals which attracted sell-out audiences.
- Over 2500 primary school pupils, below Primary 6, received music instruction in instruments as diverse as Djembe Djembe drums, cajons, brass, violin, viola, cello, double bass, guitar and ukulele via MIMS and funded via a grant from Creative Scotland's Youth Music Initiative.
- Music instructors supported learners in achieving their SQA results. Last year (2016-17) 266 pupils achieved SQA qualifications in National 5 – Advanced Higher
- MIMS and LLE actively, and financially, support the *Friday Night Music Project* (FNMP) delivering evening Rock & Pop Schools in Newbattle and Lasswade High School's. FNMP currently has around 60 participants between the 2 sites, however, such is their reputation for mentoring aspiring rock and pop musicians that pupils travel from all over Midlothian to participate. FNMP, supported by MIMS.

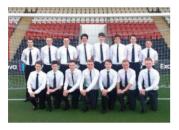
#### Page 223 of 558

#### Midlothian Dance Development Programme:

As part of increasing the range of qualifications and therefore learners' pathways for our pupils our Dance Development Officer (DDO) liaises with schools and community groups to promote and support dance and cultural activity. An annual programme of high quality projects, professional dance residencies, workshops, performance opportunities and CPD for schools from primary through to senior secondary supports the delivery of National Qualification dance courses in the majority of secondary schools. Over the past 2 years 6 of our former dance pupils have gone on to study dance on a full-time basis.

The DDO works in partnership with relevant school staff continuously throughout the year and supports learners in achieving their qualifications. This includes delivering dance blocks for all S1 and S2 pupils including a dance element at Saltersgate School to become part of their regular expressive arts options.

#### 3.3 Improvement in children and young people's health and wellbeing



In November 2016 the inclusion review was launched facilitated by Inclusive Solutions. This review is designed to further improve inclusive services to pupils in Midlothian.

The level and quality of physical education pupils receive can have a significant impact on their health, educational attainment, and life chances. All our schools meet the national target for PE.

Children and young people in Midlothian enjoy a wide range of sporting and leisure activities to help promote active and healthy lives.

Work also continued to build confidence and support the social and emotional wellbeing of our children and young people through interventions such as the *Growing Confidence* programme, play therapy and nurture groups.

#### 3.4 Outdoor Learning

Outdoor Learning provision and Educational visits continue to be a powerful and important part of our approach to learning and teaching in Midlothian and supports engagement as part of schools self-improvement journey.

Continued growth in use of outdoor learning is reflected in the increase year on year in the number of educational visits and demand for support by educational establishments through the Midlothian Outdoor Learning Service.

Outdoor Learning is embedded within the Curriculum for Excellence and is specifically a focus in the children and young people having access to high-quality learning in all curriculum areas and through outdoor learning. Schools are increasingly using educational visits and



outdoor learning as part of the educational mix to improve both academic attainment and health and wellbeing of our pupils from early years to the senior phase.

Midlothian Council Attainment and Achievement Report December 2017 22

#### Page 224 of 558

- **Growth 92%** increase from 2014 to 2017 in Midlothian Outdoor Learning Service (MOLS) sessions delivered.
- **Participation 3200+** pupil participant days using MOLS + **1800** pupils attended annual Midlothian "Discover" events and Festivals 2016/17 (Discover sessions open to all Primary schools).
- Educational establishments 34 Primary and Secondary schools using Outdoor Learning Service (excludes LLE).
- Educational Visits over 9000 recorded for 2016/17 period (via new EVOLVE online visit planning and approval system introduced 2015.)
- **Continue Lifelong Professional Learning 104** Visit Leaders & **42** Visit Coordinators trained across Midlothian since 2015 using nationally accredited course. A total of 52 sessions delivered by MOLS staff for other CLPL and 152 further participants trained.
- **Training 900** First Aid Certificates issued since 2014 with successful SQA accreditation achieved for first aid qualifications delivered by MOLS from 2017.
- **Pupil Safety** continued successful Adventure Activities (AALS) licence inspections & new activities added in 2017. Improving safety of educational visits supported (via new EVOLVE online educational visit planning and approval system introduced 2015).
- **Supporting partnerships 88%** of schools using service growing demand for wider achievement programmes with schools (e.g. Duke of Edinburgh, JASS Schools, John Muir Award).
- **Financial Assistance** Continuing management and use of Outdoor Learning financial assistance fund to support eligible learners within Midlothian (annual 5k fund available). 158 pupils accessed this fund in 2016/17.

#### 3.5 The Duke of Edinburgh Award Scheme

The Duke of Edinburgh Award Scheme continues to grow in Midlothian. Over the last year the following improvement trend is notable.

- 242 young people started the Duke of Edinburgh Award Scheme. This is a 36% improvement when compared with the previous year. There was improved uptake from Lasswade High School, Newbattle High School and the Open group in particular.
- 110 awards were presented during 2016/17 with notable increase in awards gained at Beeslack High School.
- Overall there was a very positive increase in the number of young people from the lowest 30% SIMD areas taking part in the programme.

#### 3.6 Partnership Working

Partnership working was found to be a key strength in Midlothian in the recent Education Scotland Inspection of Community Learning and Development. Through effective partnership working, we were able to drive forward many of the key national and local education priorities. Examples of effective collaboration included:

- The Early Years Collaborative
- Partnership with Education Scotland
- School Improvement Partnership Programme
- Primary Quality Improvement Partnerships
- Partnership with the business community of Midlothian

Midlothian Council Attainment and Achievement Report December 2017

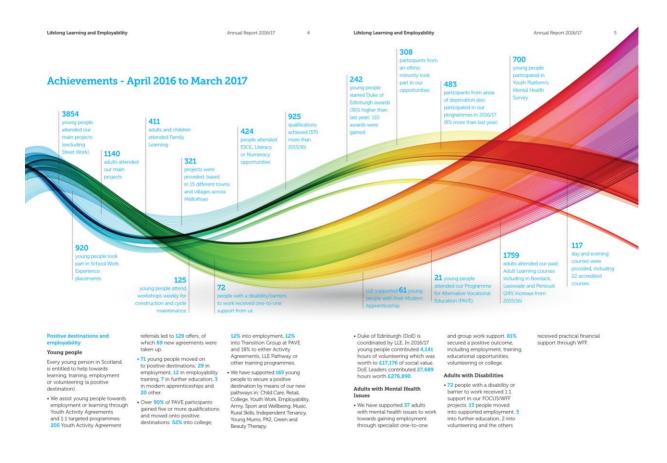
#### Page 225 of 558

- Partnership with support agencies including NHS Lothian, Children's Services, 3<sup>rd</sup> Sector
- University of Edinburgh Teacher Education Partnership
- Developing Midlothian's Young Work Force and the newly formed ELM group which will strategically improve provision for adults in relation to learning and employment.

## Section 4: Lifelong Learning and Employability – Celebrating Successes in Adult Learning

Midlothian's Lifelong Learning & Employability (LLE) Service aims to improve life chances for people of all ages through the development of skills for learning, life and work.

Our priorities are to support young people into positive destinations through offering better support and expanded opportunities, and to support adults and families to increase their life chances by increasing the range of opportunities available to them. We do this by providing access to: qualifications, informal learning for all, vocational learning, employability support, positive destinations support, youth work, adult learning, training, family learning, ESOL, literacy and numeracy support and one to one employability support. We also win contracts and bid for funding to ensure local people have access to wider opportunities including European Funded Employability Projects. Here are just a few of our achievements in 2016/17:



Midlothian Council Attainment and Achievement Report December 2017

24

#### Page 226 of 558

 The people behind our statistics
 "I can see her

 - LLE changing Lives
 confidence growing

 before my eyes"

Annual Report 2016/17

(All participant names have been changed)

and spirsh. He was accepted on a Light Mechanics Maintenance course at college with a promise cance and course of a college with a promise clark struggled to maintain cla

attendance at school due to his behaviour, With substantial support from LLE Rey Morkers, Clark successfully improved attendance in LLE FWZ eand gained Nati 4s. He completed 40 hrs of wolunteering locally gained new interview skills, and successfully secured a place in the army. Colegne and Emod

Secured a place in the army. **Coleen and Stuart** were a young homeless couple living in a BBB, using food banks to get by. Stuart was supported into a trial placement with MARC Recycling earning the living wage, and his attendance after 6 months stands at 1000°

a torox. José had been doing nothing for 19 months. Within days of a knock on the door from an LLE Worker, she was on the Green Outdoor Pathways progressing driving lessons and looking for part. time work Josée Mum says 'the difference is unbelievable, she has

Control of the second of

Midleothian Snow Sports Centre (MSSC) Through the MYJET Programme, one young person was given a one-day a week over the past year with MSSC. They were so impressed by him that he has successfully secured paid hours. He's also doing his food hygiene course whilst still at school.

# Course whills still at school. LLE's Vocational Learning Heather has attended a 6 week beauty therapy pilot programme at Dalketh High School. During the course she learned about different sink types and what products to use for each, how to another makers and care for white

products to use for each, how to apply make-up and care for nails. She was able to practice these new skills on other pupils in the class, carrying out professional treatments, working as a team and eveloping communication skills.

## Supporting Young People back into learning and work gone from lying around all day. Supporting Adults, Families and Young People through having more spring in her size ...Thr really glad you knocled on the door: Supporting Adults, Families and Young People through Employability, Lieflong and Vocational Learning. 2, Pathways and youth projects. The starting and work Supporting Adults, Families

this programme, John successfully secured a full time permanent position with NHS Lothian LLE FOCUS 1:1 Employability

Julie is a lone parent and is dealing

Julie is a lone parent and is dealine with bereavement and severe financial hardship. She was in arrears with childcare costs and was awaiting benefit outcomes as well as trying to hold down here job. Our Working For Families fund helped with childcare costs for a month and with vouchers for food to keep her in employment.

Pat 1 have mental health issues but with support from the Focus service I've set up my own business. I'm still seeking support when I need it to keep healthy. It' struggle but I'm doing well." LLE Staff as Mentors through Career Ready

treatments, working as a team and developing communication skills. 1 can see her confidence growing before my eyes.

Lifelong Learning and Employability

Corinne's mentor placed her with a photographer where she spent 4 week learning the critic of photography. This opened her yees to other services available to her gave her valuable shills and dis-surance. She spoked at this year launch event with confidence, and networked a room of business people at a DrW event - not something we would have thought possible before Carser Ready. LLE Kim High Core Skills for the criticen and worked, but is currently unerployed. Margaret attends the Auro High with of topines shill be and high shalotion Army shop and has apheled a support clader people and have the Auro High work in the Bighish and works to per to balter south and thouse the children and year and have apheled a support clader people work in the Bighish and works to per to balter and have and your work in the Bighish and works to people to locations squarking more than the progener of the arm high programme has helped him to be more continent and has allowed thin to be able to speak and work this wet people. The course has a subation Army shop and has apheled to support clader people work in the Bighish and works to people and work in an office. So the add work in an office to be able to speak and work this wet people. The course has a subation Army shop and has apheled to support clader people to show the govern the able to peak and your there are two Polish migrants and there Whenese the govern the young people were lacking in confidence. but with ney applich the more on the adm high to the how the provided the to be able to speak and work this we proper the through bey the how the provided the to be able to speak and work this we people. The course has the we Ment the poople. The course has the we Ment the structure the provided the to be able to speak and work the the the poople. The course has the we Ment the poople. The course has the we Ment the the provided the to be able to speak and work the the poople. The course has the we have the poople. The course has the we have the poople. The course has the we Me

And High Construction Bob said that the Aim High programme has helped him to be more confident and has allowed him to be able to speak and work with new people. The course has given him skills, including how to behave in the work environment.

 ,...,within the set of the set After several years as a stay at more grints should be there than the Construction is not just for boys, more grints should be its well." **LE Job Club** Took my 16 year old son up to the plo blub more than toget and years and years as a stay at more grints should be its well." **LE Job Club** Took my 16 year old son up to the plo blub more than toget and years and years as a stay at more grints should be its well." **LE Job Club** Took my 16 year old son up to the plo blub more than toget and with making a CV. While we were

course after which she secured a job at the local primary school. She has now applied to become a local Councillor, and is grateful to Lydia c PTLM for her support throughout.

In List of the support throughout LLE Family Languages Nadia I was born in a diverse country, where it is common for people to speak multiple languag luently. The Family French Learning Program at Loanhead library gave my daughter the opportunity to experience a new language, in a casual and friendly environment with other families.

LLE Knitting Group Annie 'Carle has helped me patterns that I have been ha problems with have been having a lot of good tips from the other ladies in class?

#### LLE Working with Employers Developing Scotland's Young

Live Jobs Roadshow feedback Emma Jones, Ernst & Young The feedback from the Careers Team attending the roadshows was phenormani. I haven't heard staff enjoy a careers fair so much before, and we got a superb list of genuinely interested students."

Kerr Wishart, Aldi Stores organisation, layout and quality of candidates involved in the event."

Lynn Brown, Aberdeen Asset Lynn Brown Management PLC We were really impressed with th calibre of the students especially the two who have been put through to the next stage of our menticeship selection process essed with the

A full copy of the LLE Report is filed as Appendix 2.

In September and October 2016, the Education Scotland Inspection of Community Learning and Development evaluated the service as very good across all indicators and reported on the following key strengths: an ethos of shared endeavour; strong and clear leadership across the partnership; ambitious and enthusiastic staff and volunteers and a range of targeted learning programmes leading to life-changing impacts.

In addition, this service has made significant improvements to positive destinations in particular for the most deprived 30%. Graph 6 shows significant improvement when comparing 2015/16 with the previous year for the 30% most deprived:

#### Midlothian Council Attainment and Achievement Report December 2017 25

Annual Report 2016/17

Increasing post-school participation

Percentage of School Leavers in a Positive Destination

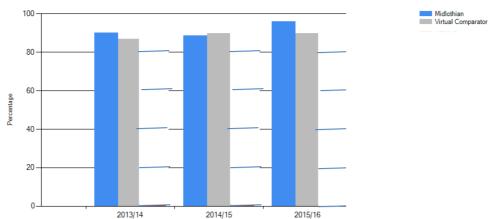


Figure 8: Increasing post school participation for the 30% most deprived

## Section 5: What we need to do next in order to continuously improve - Our Priorities for 2017/18

As part of our commitment to build a World-Class Education Service, our self-evaluation processes have identified clear priorities for continued improvement. We have now transformed these priorities into clear plans of action, and have agreed three main priorities areas for the year ahead:

- 1. Raising Attainment and Achievement (NIF: Performance Information and School Information):
- To bring CfE levels in line with the national average in Reading, Writing, Listening and Talking, Numeracy and Maths by the end of P1, P4, P7 and S3
- 2% increase in attendance
- 2% decrease in exclusions
- Each secondary school have individualised targets for the senior phase
- 5% increase in the number of children from SIMD 1 and 2 achieving the expected level in Reading, Writing, Listening and Talking, Numeracy and Maths by the end of P1, P4, P7 and S3
- Each secondary school have individualised targets for the senior phase

#### 2. Learning Provision

#### Curriculum as a hook – the power of learning pathways:

- BGE: Taking a closer look at learning pathways, including transitions, in order to deliver a curriculum that acts as a hook to improve engagement and participation resulting in improved outcomes for all learners.
- Senior Phase: Taking a closer look at learning pathways, including transitions, through the senior phase in order implement the recommendations in DYW and the Delivery Plan for Education in order to deliver a coherent curriculum that acts as a hook to improve engagement and participation resulting in improved attendance, attainment, wider achievements and sustained positive destinations.

26

#### Learning Teaching and Assessment (NIF: Assessment of Children's Progress):

- To continue to support schools with moderation, tracking and assessment of progress through the BGE
- To continue to implement Visible Learning including Impact Cycle Training
- To share best practice in learning and teaching Ensuring wellbeing, equity and inclusion.
- 3. Self-evaluation for Self-Improvement and Leadership of Change (NIF: School Leadership and Teacher Professionalism): *I-Collaborate*
- Creating a Collaborative Leadership Culture at all levels by continuing to grow our ASGs into Learning Communities and building the professional networks
- Implementing Personal leadership reflection tool for all senior leaders resulting in an individual leadership action plan

#### Self Evaluation for self improvement

Developing independence in self-evaluation for self-improvement through

- Reviews theme or other
- Inspections- Learning communities
- HMIe inspections
- Toolkit evaluation
- Challenging conversations and support

A full copy of our NIF Plan is included in Appendix 1.

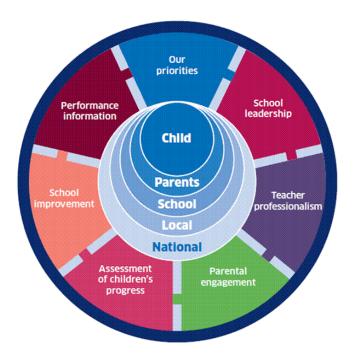






## **National Improvement Framework Improvement Plan**

August 2017 – July 2018



Theme for 2017/18: *Mind the Gap – Taking a closer look at progression, progression, progression* 

#### Theme for 2017/18: Mind the Gap - Taking a closer look at progression, progression, progression

In August 2017, the following key requirements as outlined in the Education (Scotland) Act 2016 came into force: pupils experiencing inequalities of outcome; National Improvement Framework; Planning and Reporting. This National Improvement Plan for the Education Service provides a detailed narrative on the actions which were previously outlined in the Education service plan which was published in March 2017.

The new duties which have come into force fall under section 13 of the Standards in Scotland's Schools etc. Act 2000 ("the 2000 Act") as amended by section 4 of the Education (Scotland) Act 2016 ("the 2016 Act"). Section 13 enables the Scottish Ministers to issue guidance to education authorities in relation to their functions under section 3 to 8 of the 2000 Act, and education authorities are required to have regard to this guidance in discharging these functions.

The new duties relate in particular on education authority duties which are designed to enhance equity and support improvement within schools and across education authorities as provided for in the following statutory provisions:

• Section 3B of the 2000 Act: imposes duties on education authorities which are designed to promote a reduction in inequalities of educational outcome experienced by pupils as a result of socio-economic disadvantage.

• Section 3D of the 2000 Act: imposes a duty on education authorities, in discharging their duty under section 3(2) of the 2000 Act (to secure improvement in the quality of school education) to do so with a view to achieving the strategic priorities of the National Improvement Framework

• Sections 3F, 3H and 6 of the 2000 Act: impose duties on education authorities in relation to annual planning and reporting; and annual school improvement planning.

The NIF plan has been developed in line with the Single Midlothian Plan; the GIRFEC (Children's services plan 2017-2020) and the Education Service Plan (2017-18).



### MIDLOTHIAN COUNCIL NATIONAL IMPROVEMENT FRAMEWORK PLAN: OVERVIEW OF HIGH LEVEL PRIORITIES (2017/18)

<ul> <li>(1a) To bring CIE levels in line with the national average in Literacy and Numeracy by the end of P1, P4, P7 and S3</li> <li>(1b) Measuring with Meaning: To develop an evidence-based practice approach in classrooms (Impact Casching), including and Sa</li> <li>(2b) Identify the current gaps in educational attainment at individual school level and young people's progress to plan targeted interventions. This will be supported by the new Centre for Research and Innovation in Learning</li> <li>(1c) To continue to implement Visible Learning including Impact Cycle Training</li> <li>(1d) BGE: Taking a closer look at learning pathways, including transitions, in order to deliver a curriculum that acts as a hook to improve engagement and participation resulting in improved outcomes for all learners.</li> <li>(1e) To continue to support schools with moderation, tracking and assessment of progress through the BGE</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <li>(1f) To share best practice in learning and teaching</li> <l< th=""><th>Priority 1 Improvement in attainment, particularly literacy and numeracy</th><th>Priority 2 Closing the attainment gap between most and least disadvantaged children</th><th>Priority 3 Improvement in children and young people's health and wellbeing</th><th>Priority 4 Improvement in employability skills and sustained, positive school leaver destinations for all young people</th></l<></ul>	Priority 1 Improvement in attainment, particularly literacy and numeracy	Priority 2 Closing the attainment gap between most and least disadvantaged children	Priority 3 Improvement in children and young people's health and wellbeing	Priority 4 Improvement in employability skills and sustained, positive school leaver destinations for all young people
(3) Reduce the number of young people referred to CAMHS by providing alternative support	<ul> <li>national average in Literacy and Numeracy by the end of P1, P4, P7 and S3</li> <li>(1b) Measuring with Meaning: To develop an evidence-based practice approach in classrooms (Impact Coaching), including careful analysis of data on children and young people's progress to plan targeted interventions. This will be supported by the new Centre for Research and Innovation in Learning</li> <li>(1c) To continue to implement Visible Learning including Impact Cycle Training</li> <li>(1d) BGE: Taking a closer look at learning pathways, including transitions, in order to deliver a curriculum that acts as a hook to improve engagement and participation resulting in improved outcomes for all learners.</li> <li>(1e) To continue to support schools with moderation, tracking and assessment of progress through the BGE</li> <li>(1f) To share best practice in learning and</li> </ul>	increase in number of children from SIMD 1 and 2 achieving the expected CfE level in Literacy and Numeracy by the end of P1, P4, P7 and S3 (2b) Identify the current gaps in educational attainment at individual school level and implement a range of targeted strategies to close the gap (2c) Ensure Pupil Equity Fund/SAC funding is used to effectively and measurably close the attainment gap (2d) Continue to develop and implement an Early Years Strategy on closing the gap to reduce the literacy gap by the end of P1 through the P1 network (2e) Maximise the use of Family Learning approaches to increase the number of family learning interventions across Midlothian (2f) Increase % National Qualifications with a focus on level 3 and 4; raising attainment for looked after, particularly those looked after at	<ul> <li>sharing best practice</li> <li>(3b) Child Health and Wellbeing PEF Project (3 target communities)</li> <li>(3c) Implement the outcomes of the Inclusion Review in order to ensure Children with ASN are offered timely and appropriate interventions</li> <li>(3d) Further Improve attendance and reduce exclusions</li> <li>(3e) Reduce the rate of child protection referrals connected with parental alcohol or drug misuse</li> <li>(3f)Reduce the alcohol related youth calls (rate per 10,000 population aged 8-17)</li> <li>(3g) Reduce the percentage of repeat child protection referrals within a 12 month period</li> <li>(3h) Support girls and young women to enable them to reach their full potential through teenage pregnancy pathways</li> <li>(3i) Reduce the number of young people referred to CAMHS by</li> </ul>	<ul> <li>96% Sustained Positive Destinations</li> <li>(4b) Implement the Centres of Excellence model commencing with Newbattle Digital Centre of Excellence.</li> <li>(4c) Senior Phase: Taking a closer look at learning pathways, including transitions, through the senior phase in order implement the recommendations in DYW and the Delivery Plan for Education in order to deliver a coherent curriculum that acts as a hook to improve engagement and participation resulting in improved attendance, attainment, wider achievements and sustained positive destinations.</li> <li>(4d) Increase provision aligned to DYW for vulnerable learners to</li> </ul>

#### MIDLOTHIAN COUNCIL NATIONAL IMPROVEMENT OPERATIONAL TEAM PLAN

August 2017-July 2018

PRIOF	RITY AREAS	KEY D	DRIVERS
1.	Improvement in attainment, particularly in literacy and numeracy		School Leadership
2.	Closing the attainment gap between the most and least disadvantaged children		Teacher Professionalism
3.	Improvement in children and young people's health and wellbeing		
4.	Improvement in employability skills and sustained, positive school leaver destinations for all young people		Parental Engagement
			Assessment of Children's Progress
			School Improvement
			Performance Information

Area for improvement	Key Actions	By Whom/ By When	Impact Evidence
<ul> <li>To bring CfE levels in line with the national average in Literacy and Numeracy by the end of P1, P4, P7 and S3</li> </ul>	Ensure Early Years Learning Community team focus on the development of literacy rich and numeracy rich environments in all early years settings.	Led by Nicola McDowell June 2018	<ul> <li>EYs Learning Community teachers able to evidence impact of inputs.</li> </ul>
Key Drivers:   Teacher Professionalism   Sasessment of Children's Progress   Single Midlothian Plan: Improving outcomes GIRFEC Plan: Children in their early years and their families are being supported to be healthy, to learn and to be resilient	<ul> <li>Revisit teachers' planning, assessment and moderation support in order to ensure that all teachers are designing courses based on schools' own curriculum rationale and progressive programmes that enable almost all children to achieve the expected level by the end of P1, P4, P7 and S3</li> <li>Design and implement rigorous tracking and monitoring systems including links to longitudinal progress over time for year groups</li> <li>Continue to promote the work of the QAMSOs to support planning and holistic assessment towards achievement of a level, based on use of Literacy and Numeracy Benchmarks</li> <li>Implement robust strategies to identify early gaps and to close these as soon as they are detected (Mind the gap: taking a closer look at progression, progression, progression).</li> <li>Early intervention and prevention strategies in plan for 0-5</li> <li>implementation of the revised 0-5 Quality Improvement Framework during the programme of QI visits across all EYs settings, input from the EY Learning Community team and the EY Support team to give targeted support through early intervention</li> </ul>	3 visits by School Group Managers in Sept 2017/Jan 2018 and April 2018	<ul> <li>CfE Attainment in BGE is line with the national average for reading, writing, listening and talking; and numeracy in P1,P4, P7 and S3</li> <li>Early identification of additional need allows appropriate universal or targeted support to be puin place.</li> </ul>
	<ul> <li>Continued input by Lifelong Learning and Education (LLE) to support young people with literacy and numeracy qualifications who are not in fulltime school education</li> </ul>		<ul> <li>Young people gain awar in Literacy and Numerac ( LLE awards)</li> </ul>

Priority 1: Improvement in attainme	nt, particularly literacy and numeracy	<b></b>	1
Area for improvement	Key Actions	By Whom/ By When	Impact Evidence
<ul> <li>Measuring with Meaning: To develop an evidence-based practice approach in classrooms (Impact Coaching), including careful analysis of data on children and young people's progress to plan targeted interventions.</li> <li>To continue to implement Visible Learning including Impact Cycle Training</li> <li>Key Drivers:</li> <li>Teacher Professionalism Assessment of Children's Progress</li> <li>Single Midlothian Plan:</li> <li>Improving opportunities</li> </ul>	<ul> <li>Share VL EYs good practice from Nursery School settings and work with Ed Psychologist</li> <li>Ensure that Visible Learning (VL) Action plans and schools and practitioner enquiry has literacy and numeracy as a focus.</li> <li>Support collaborative practice through the VL</li> <li>Collaborative impact programme that directly impacts on learner attainment and achievement and meets or exceeds appropriate targets set with Secondary schools and the Local Authority</li> <li>Establish the new Centre for Research and Innovation in learning in partnership with the University of Edinburgh</li> </ul>	Led by Craig Biddick by June 2019 Head of Education; Craig Biddick January 2018	<ul> <li>Progress and impact of the <i>Visible Learning</i> <i>Collaborative Impact</i> <i>Programme</i> will follow the process for monitoring and impact including: All Secondary schools will report via direct survey that 100% of their staff in faculty/departments are using Insight to analyse attainment data and improve outcomes for learner cohorts.</li> <li>Audit of School SQIP documents show that all schools are setting clear targets in relation to the NIF priorities and reporting on the degree to which they have closed the identifiable gap within their school.</li> <li>Progress and impact of the <i>Visible Learning</i> <i>Collaborative Impact</i> <i>Programme</i> will follow the process for monitoring and impact including: <i>Full</i> <i>evaluative reports will feed</i> <i>into our evaluation of</i> <i>progress in relation to the</i></li> </ul>

Priority 1: Improvement in attainme	nt, particularly literacy and numeracy	<b>D</b> 14/1 /	1
Area for improvement	Key Actions	By Whom/ By When	Impact Evidence
			<ul> <li>NIF priorities</li> <li>Schools attainment targets based on analysis of Insight data and agreed with the Authority are met or exceeded</li> <li>New Centre for Research and Innovation in learning established</li> </ul>
BGE: Taking a closer look at learning pathways, including transitions, in order to deliver a curriculum that acts as a hook to improve engagement and participation resulting in improved outcomes for all learners. Key Drivers: Teacher Professionalism School Improvement School Leadership	<ul> <li>Introduction of developmental milestones in one EYs Learning Community</li> <li>Collate information on current transition practice in Associated School Groups (ASGs) from first entry to EY settings to High School including the use of Profiles for S1 and S3</li> <li>Collate information on current transition practice in Associated School Groups (ASGs) including the use of Profiles for S1 and S3</li> <li>Evaluate learner's experiences of Transitions in their learning in S1 and use the information gained from this evaluation. Carry out a pilot on Transition in an ASG.</li> <li>Share this model of Transition as good practice across ASGs</li> </ul>	Led by Maria Lloyd by May 2018	<ul> <li>Impact of home visits at entry to ELC</li> <li>Transfer of learning across settings, into school and across stages</li> <li>Improved use of Profiles in Secondary school</li> <li>More coherence for learners in Secondary BGE with clear progression in S1-S3</li> <li>Lessons observed in school visits for QI 2.3 include reference to skills</li> </ul>
	<ul> <li>ASGs</li> <li>Use learners' pathways in Secondary reviews for the curriculum to evaluate progression for learners. Include a</li> </ul>		<ul> <li>Curriculum models are based on a clear vision</li> </ul>

Area for improvement	Key Actions	By Whom/ By When	Impact Evidence
Single Midlothian Plan: Improving opportunities	<ul> <li>range of partners in this.</li> <li>Further promote the Midlothian employability skills to staff, learners and parents</li> </ul>		have sound rationales and take account of the 7 design principles, learners' entitlement and the 4 capacities.
To share best practice in learning and teaching Key Drivers: Teacher Professionalism	<ul> <li>'I Collaborate' approach used to share best practice across early years, primary and secondary networks including:         <ul> <li>Early Years Learning Community Team</li> <li>Leadership Learning Community Meetings</li> <li>PT/DHT Network Meetings</li> <li>Quality Improvement Partnerships</li> <li>Early Leadership Group</li> <li>Literacy Champions</li> <li>Numeracy Coordinators</li> <li>Subject Leaders</li> <li>ASG shared CAT Sessions</li> <li>Primary Networks</li> </ul> </li> </ul>	Led by Nicola McDowell by June 2018	Best practice is shared and improvement evidenced through SGM Theme Visits, in-school monitoring and evaluation
Improving opportunities	<ul> <li>Practitioner enquiry approach to develop leadership of school projects</li> </ul>	Led by Leisa Randall and EPS by June 2019	<ul> <li>Evidence from individual project managers within own school context</li> </ul>
To continue to support schools with moderation, tracking and assessment of progress through the BGE Key Drivers: Assessment of children's progress Teacher Professionalism	<ul> <li>To continue to build capacity and expertise through the development of a number of assessment and moderation approaches to develop a shared understanding of the standard and new Benchmarks in Literacy and Numeracy, for example:         <ul> <li>Across Early Years settings moderation with EY Learning Community team</li> <li>In school, cross-stage moderation</li> <li>ASG moderation</li> </ul> </li> </ul>	Led by Nicola McDowell by May 2018	<ul> <li>CfE levels are brought in line with the national average at all stages.</li> <li>Assessment using benchmarking will be evident in teachers forward plans in Primary Schools</li> </ul>

Area for improvement	Key Actions	By Whom/ By When	Impact Evidence
	<ul> <li>Authority wide moderation</li> </ul>		
Single Midlothian Plan:	<ul> <li>Holistic assessment training and implementation</li> </ul>		
Improving opportunities	<ul> <li>Network opportunities to share practice</li> </ul>		
	Advice on tracking and monitoring is routinely reviewed to reflect the most up to date guidance, including training in the use and implementation of, and interrogating the reports resulting from the new Scottish National Standardised Assessments		

Priority 2: Closing the attainment gap between most and least disadvantaged children	Key Actions	By Whom/ By When	Evidence of Impact
Interrupt the cycle of poverty (PEF): 5% increase in number of children from SIMD 1 and 2 achieving the expected CfE level in Literacy and Numeracy by the end of P1, P4, P7 and S3	Identify the current gaps in educational attainment at individual school level and implement a range of targeted strategies to close the gap Ensure Pupil Equity Fund/SAC funding is used to effectively and measurably close the attainment gap	Led by Nicola McDowell June 2018	5% increase in number of children from SIMD 1 and 2 achieving the expected CfE level in Literacy and Numeracy by the end of P1, P4, P7 and S3
Key Drivers: Teacher Professionalism Assessment of children's progress	Monitor the impact of PEF		
<b>Single Midlothian Plan:</b> Improving opportunities <i>GIRFEC Plan:</i> <i>Children in their early years and their</i> <i>families are being supported to be</i> <i>healthy, to learn and to be resilient</i>			
Continue to develop and implement an Early Years Strategy on closing the gap to reduce the literacy gap by the end of P1 through the P1 network Key Drivers: Teacher Professionalism Assessment of children's progress	Continue to develop and implement an Early Years Strategy on closing the gap to reduce the literacy gap by the end of P1 through the P1 network.	Led by Julie Fox by March 2019	<ul> <li>NLC focus on attendance across all EYs settings and schools</li> <li>Developmental milestones pilot in Lasswade ASG EYs settings</li> <li>Mayfield NS and Mount Esk NS use VL approaches/SSTEW/Echers</li> <li>Identification of gaps using PIPs assessments in all P1 classes</li> <li>As part of the CYPIC work tests of change being carried out across various EY settings</li> </ul>

Priority 2: Closing the attainment gap between most and least disadvantaged children	Key Actions	By Whom/ By When	Evidence of Impact
Single Midlothian Plan: Improving opportunities GIRFEC Plan: Children in their early years and their families are being supported to be healthy, to learn and to be resilient Maximise the use of Family Learning approaches to increase the number of family learning interventions across	<ul> <li>Family Learning Board to be set up to co-ordinate joint working with EYs, LLE and our third sector partners</li> </ul>	Led by GIRFEC board and Julie Fox by January 2019	<ul> <li>and schools eg P1 phonics test of change at Gorebridge PS</li> <li>Quarterly reports from MSS shows evidence of impact of the transmission of transmission of the transmission of transmi</li></ul>
Midlothian Key Drivers: Parental engagement Performance information Assessment of children's progress Single Midlothian Plan: Improving opportunities GRFEC Plan: Children in their early years and their families are being supported to be healthy, to learn and to be resilient	<ul> <li>Family Learning Centre model of provision developed in each Learning Community</li> <li>Co-location of services within FLCs</li> <li>Parents Involved in Children" Learning (PICL) approach developed across two EY Learning Communities</li> <li>PEEP rolled out across all EY Learning Communities with development of creative approach with Peep in the Woods and Peep in the Park</li> <li>27-30 month health checks carried out in FLC's initially in WFLC and rolling out across session</li> <li>Continue to develop key partnerships and offer an increase in the range of course for families, through EYs Parenting work and LLE.</li> </ul>	2010	<ul> <li>joint working with MLC</li> <li>Tests of change model used to measure impacts with PICL, PEEP and LIFT project</li> <li>Data shows increase in percentage of families taking up training opportunities and attendance maintained for duration of course</li> <li>Increased uptake of offer and increased attendance at first appointment</li> <li>Improved scores at 27-30 month check</li> </ul>
Increase % National Qualifications with a focus on level 3 and 4; raising attainment for looked after, particularly those looked after at home Key Drivers: School Leadership Teacher Professionalism	<ul> <li>Improve schools understanding of the BGE and the need for early learners pathways for all by taking a closer look at learning pathways, including transitions, in order to deliver a curriculum that acts as a hook to improve engagement and participation resulting in improved outcomes for all learners.</li> <li>Focus 3.2 attainment meetings with Secondary schools in order to agree aspirational targets</li> </ul>	Led by Maria Lloyd by June 2018	<ul> <li>Increase in flexible pathways for learners in the Senior curriculum</li> <li>Targets met by schools</li> <li>More young people achieve level 3 and 4 awards- with a focus on improvement for LAAC.</li> </ul>

Priority 2: Closing the attainment gap between most and least disadvantaged children	Key Actions	By Whom/ By When	Evidence of Impact
Performance information 💱 👔	delivering better than our previous best. Targets set. LAAC interventions discussed and implemented in Secondary schools.		
Single Midlothian Plan:			
Improving opportunities			
Continue to develop and implement an Early Years Strategy on closing the gap to reduce the literacy gap by the end of P1 through the P1 network Key Drivers: Parental engagement Performance information Assessment of children's progress Single Midlothian Plan: Improving opportunities Children in their early years and their families are being supported to be healthy, to learn and to be resilient	<ul> <li>NLC focus on attendance across all EYs settings and schools</li> <li>Developmental milestones pilot in Lasswade ASG EYs settings</li> <li>Mayfield NS and Mount Esk NS use VL approaches/SSTEW/Echers</li> <li>Identification of gaps using PIPs assessments in all P1 classes</li> <li>As part of the CYPIC work tests of change being carried out across various EY settings and schools e.g. P1 phonics test of change at Gorebridge PS</li> </ul>	Led by Julie Fox by Dec 2018	<ul> <li>Attendance across all settings shows a percentage increase – what?</li> <li>Developmental milestones support identification of possible gaps and action plan then put in place</li> <li>Nursery schools have evidence of focused deep literacy learning through use of EYs tools</li> <li>Identified P1 pupils with low PIPS scores have action plans in place</li> <li>CYPIC work gives data that shows improvement in attainment and confidence</li> </ul>

Priority 3: Improvement in children and young people's health and wellbeing			
Improvement Activity	Key Actions	By Whom/ By When	Evidence of Impact
Improve mental health and wellbeing for children and young people Reduce the number of young people referred to CAHMS by providing alternative support Key Drivers: Teacher Professionalism School leadership Single Midlothian Plan: Children's Services Plan: GIRFEC Children and young people are supported to be healthy, happy and reach their potential	<ul> <li>Casework in schools e.g. developing attention control</li> <li>Develop guidance for dealing with anxiety for teachers and parents, and training for schools</li> <li>Develop training for schools around self-harm and suicide</li> <li>Develop nurturing approaches in schools across Midlothian</li> <li>Ensure alternative support is responsive and holistic enabling children and young people to engage in education</li> <li>Develop through the DHT network meetings, alternative support pathways for children and young people who are struggling to engage in education.</li> <li>Establish partnership working to maximise school attendance, income maximising for families and children and young people's well being.</li> <li>Agree key messages and provide training for guidance staff on young people's risk taking behaviours</li> </ul>	Led by Leisa Randall ASN Officer 2017-2020 CAMHS/ASN officer Led by; Andrew Sheridan and GIRFEC Strategic Groups by June 2018	<ul> <li>Attendance and exclusion figures will have improved</li> <li>Evaluations from individual schools</li> <li>Reduction in number of CAHMS referrals from 689 to 650</li> <li>Reduction in waiting times to ensure that 90% are seen within 18 weeks (current baseline is 33.98%)</li> </ul>
Child Health and Wellbeing PEF Project (3 target communities) Key Drivers:	Team Around the Child revised model now in place to be reviewed in Dec 2017. This will ensure children and young people receive appropriate services and timely interventions	Led by: GIRFEC Strategic Groups	<ul> <li>System clear, understood and being used</li> <li>Children receiving appropriate interventions that improve their wellbeing</li> </ul>
Teacher Professionalism	<ul> <li>NLC Wellbeing project – as in NLC joint plan NLC attendance focus for all EYs settings and schools</li> </ul>	June 2018	Data from CYPIC tests of change measures impact
School leadership	<ul> <li>Co-ordinator appointed and team of HSPs in place</li> <li>Shared experience of Lawfield Community Project</li> </ul>		Report of interventions – successes and next steps ➤ Improved attendance across

Improving opportunities <b>Children's Services Plan:</b> <b>GIRFEC</b> Children and young people are supported to be healthy, happy and reach their potential	<ul> <li>and identify items to take forward for NLC Wellbeing Project</li> <li>Joint working with Empowering Families Project team.</li> <li>Referral process defined and underway and well being meetings held across all settings</li> <li>Baseline data to be collected and shared with all NLC SLTs. Analysis of data for attainment, attendance, exclusion, positive destinations in line with PEF proposal</li> <li>Links made with various third sector partners that can support health and wellbeing for families</li> <li>CAT session held for all NLC staff with NHS</li> <li>Poverty proofing plan in place</li> </ul>	<ul> <li>all NLC EYs settings and schools</li> <li>Action plans in place to support attendance issues Improved tracking of the referral process – monitoring number of families, exclusion, attainment, attendance, number of children timescale of intervention</li> </ul>
Further Improve attendance and reduce exclusions Key Drivers:	<ul> <li>Attendance: ASL Development officer will track attendance looking for patterns and identify early intervention opportunities for schools. Specific focus on LAAC. The ASL Development officer will be the link to all schools.</li> </ul>	Attendance and Exclusion data. Schools will show increase in attendance and reduction in exclusions from the year before.
School leadership Performance information	<ul> <li>New attendance policy completed and implemented</li> <li>January 2018</li> </ul>	<ul> <li>LAAC attendance will increase</li> <li>Consistent approach being used in schools to address</li> </ul>
Assessment of children's progress	Weekly checks by SGM of attendance and focus at ASGs Weekly	attendance
Single Midlothian Plan: Inequalities in learning outcomes have reduced.	<ul> <li>Exclusions: Two new enhanced nurture provisions have been established in the Newbattle Community to target high levels of exclusions, one primary and one in</li> </ul>	Secondary exclusions reduced to under 49 cases per 1,000

	Cooperative This will require a reduced evolution levels		
	Secondary. This will result in reduced exclusion levels.		
	<ul> <li>Weekly checks by SGM of exclusions and focus at ASGs</li> </ul>	Weekly	
	Improve attendance at S1. Investigate attendance patterns in P6/ P7 and plan for improved transition package for S1	Leisa Randall	<ul> <li>Improved attendance in S1</li> </ul>
Reduce the alcohol related youth calls (rate per 10,000 population aged 8-17)	Implement appropriate learning pathways to promote healthy lifestyles in line with Education Scotland guidance	GIRFEC sub group	<ul> <li>Alcohol related youth calls</li> <li>(Rate per 10,000 population aged 8-17 yrs). Data will show</li> </ul>
Key Drivers:	guidance	By June 2019	intervention impact.
Performance information			
Single Midlothian Plan: Children's Services Plan: All Midlothian children and young people are being offered access to timely and appropriate supports			
Reduce the percentage of repeat child protection referrals within a 12 month period <b>Key Drivers:</b>	Implement appropriate learning pathways to promote healthy lifestyles in line with Education Scotland guidance	Children Services Managers	Percentage of repeat CP referral within 12 month period data will show impact.
Performance information			
Single Midlothian Plan: Children's Services Plan:			
Inequalities in learning outcomes have reduced			

Support girls and young women to enable them to reach their full potential through teenage pregnancy pathways Key Drivers: Parental engagement Single Midlothian Plan: Children's Services Plan: GIRFEC Inequalities in learning outcomes have reduced	Support girls and young women to enable them to reach their full potential through teenage pregnancy pathways, through engagement by Midlothian Young People's Advisory Service, Schools, Children's service staff, and young people.	Led by NHS in conjunction with GIRFEC sub group by June 2019	NHS Lothian data over time.
Taking a closer look at 3.1 – sharing best practiceKey Drivers:School ImprovementParental engagementImage: Single Midlothian Plan: Children's Services Plan:All Midlothian children and young people are being offered access to timely and appropriate supports	<ul> <li>Develop and implement the 3.1 improvement packs to assist with robust self evaluation of 3.1</li> <li>Share best practice in order to build consistency of application</li> </ul>	Led by Andrew Sheridan by June 2018	<ul> <li>Schools evaluations of QI3.1 will have more depth with robust evaluations.</li> <li>Inspection reports will reflect an improvement in this area in Midlothian.</li> </ul>

Implement the outcomes of the Inclusion Review in order to ensure Children with ASN are offered timely and appropriate intervention	<ul> <li>Ongoing review and evaluation of outcomes of the Inclusion review throughout the academic year 17/18. Working groups established to lead on key recommendations.</li> <li>Complete the work of the resources group and</li> </ul>	Led by Andrew Sheridan by June 2018	<ul> <li>Tracking document of pupils with ASN. Working group oputputs</li> </ul>
Key Drivers:	implement recommendations		
School Leadership Assessment of children's progress			
Performance information 🐳			
Single Midlothian Plan: Children's Services Plan: GIRFEC All Midlothian children and young people are being offered access to timely and appropriate support			
αρριοριίατο δαρροιτ			

Improvement Activity	Key Actions	By Whom/ By When	Evidence of Impact
Senior Phase: Taking a closer look at learning pathways, including transitions, through the senior phase in order implement the recommendations in DYW and the Delivery Plan for Education in order to deliver a coherent curriculum that acts as a hook to improve engagement and participation resulting improved attendance, attainment, wider achievements and sustained positive destinations.	<ul> <li>Strengthen Business school partnerships</li> <li>Further develop Midlothian Science Zone Educational Offer linked to the new Easter Bush Science Outreach Centre</li> <li>Schools strategic contribution to the digital skills lifeline pathways provision through initial participation at the ELM Conference</li> <li>LLE awards provision sustained</li> <li>Joint celebrations of achievements through year of young people 2018</li> <li>Address the 9 priority areas identified by the DYW Midlothian Board:-         <ul> <li>Disability/ASN- work experience model, deliver mentoring support, improve transportation</li> <li>Employer Engagement out with schools-Create clear strategic relationships with employers to provide guidance on priority areas</li> <li>School/College Partnerships- Establish levels of demand. Expand the vocational provision for schools in accessible venues</li> <li>School/Business Partnerships-Support developments between schools and businesses. Further develop the Market Place resource for Midlothian schools</li> <li>Work Experience- Increase the number of learners receiving a Work Placement unit or course award</li> <li>Foundation Apprenticeships- Guidance and training of staff in the new standard,</li> </ul> </li></ul>	Led by Maria Lloyd & Annette Laing /Regional DYW and Schools DYW Group by June 2019	<ul> <li>Secure and sustain 96% Positive Destinations</li> <li>Impact evaluations</li> <li>Market Place Data</li> <li>LLE awards data</li> <li>Better progression to FE and HE for STEM subjects</li> <li>Midlothian DYW Scorecard trend data</li> <li>Education and Industry Partnership model.</li> <li>School visits</li> <li>Staff engage fully with the DYW Standards for Career Education and the Nationa Standards for Work Placements to support all young people to a sustained destination.</li> <li>Evaluation of school SQIPS</li> <li>DYW audit outcome and next steps</li> <li>Insight awards data</li> <li>QI 3.3 evaluations in Secondary Increased number of wider achievement awards being accredited from last year More personalisation and choice for learners in the curriculum at our Secondary school</li> </ul>

Secure and sustain a three year pattern of 96% Sustained Positive Destinations Key Drivers	Sustain targeted approach to those in unknown destination through partnership working with LLE and SDS	Led by: Annette Lang by March 2018	Weekly analysis of the data hub statistics Ongoing quarterly themed weeks for joint action
Performance Information School Leadership School Improvement	<ul> <li>Increased number of Market Place offers and increased the use of Market Place and the Guarantee by schools and other partners</li> <li>Increased use of recruitment centres at Fort Kinnaird and Airport Pave 2 sustained</li> <li>LLE Pathways sustained</li> </ul>		<ul> <li>Annual publication of participation measure statistics currently 16 -19 year olds</li> <li>Market Place and Guarantee Data demonstrating positive trends</li> <li>Impact evaluations</li> <li>Course information booklets</li> <li>Uptake of college courses</li> </ul>
Single Midlothian Plan: Improving outcomes	<ul> <li>Further strengthen the partnerships with Schools and Colleges, review the SQA courses on offer and ensure we can offer courses that are progressive and coherent for pupils</li> <li>Increase number of learners achieving 3 or more Highers, therefore increasing the opportunity to attend University</li> </ul>	Led by Maria Lloyd Dec 2020	<ul> <li>Insight information</li> <li>FE and HE PD figures</li> <li>Increase in the uptake of course related to STEM</li> </ul>

Increase provision aligned to DYW for vulnerable learners to improve their long term outcomes Key Drivers Performance Information School Leadership School Improvement	<ul> <li>Continue to work with LEAPS/SHEP Board to ensure targeted approach for specific groups of learners and particularly Group 1 schools</li> <li>Monitor those learners on extended work placements to ensure their progress is being monitored</li> <li>Closely track learners on Activity Agreements and the PD of Looked after children</li> </ul>	Led by Maria Lloyd by January 2018 Led by Annette Lang	<ul> <li>LEAPS summer school update</li> <li>Evaluation of Extended Work Placements and Awards related to these</li> <li>Positive Destinations results for LAC</li> <li>Data hub</li> </ul>
Single Midlothian Plan: Improving outcomes Implement the Centres of Excellence model commencing with Newbattle Digital Centre of Excellence Key Drivers	<ul> <li>Develop the Centres of Excellence model in partnership with the University of Edinburgh</li> <li>Implement phase 1: Digital Centre of Excellence for the new Newbattle High School:</li> </ul>	Led by Head of Education Led by Maria Lloyd; Gib McMillan &	<ul> <li>Wider community engages effectively with the project</li> <li>Curriculum is progressive</li> <li>Achievement of the Digital schools award</li> <li>New Newbattle High School apage on a Contra</li> </ul>
Parental engagement School Leadership School Improvement Single Midlothian Plan: Improving outcomes	<ul> <li>Create a Community of Interest to drive innovative practice surrounding centres of excellence</li> <li>Begin to create and implement new learner pathways that are progressive in Digital learning with Edinburgh University and other partners</li> <li>Develop training for staff and pupils at Newbattle and beyond</li> <li>Develop the 'Demontrator Project' with City Deal partners for learners to showcase of digital technology at its best.</li> <li>Implement aspects of the Midlothian Digital Learning Strategy</li> </ul>	Tommy Lawson June 2018 Dec 2018	<ul> <li>School opens as a Centre of Excellence in June 2018</li> <li>Schools report via Standards and Quality reports note more learners using digital technology as part of their learning</li> </ul>

# Aim High

Lifelong Learning and Employability Midlothian Council Annual Report 2016/17



2

Lifelong Learning and Employability is part of the Education Service in Midlothian Council.

We support young people, adults and families to improve their life chances through the development of skills for learning, life and work.

We also work with key partners to implement initiatives such as Developing Scotland's Young Workforce, Positive Destinations and Employability.





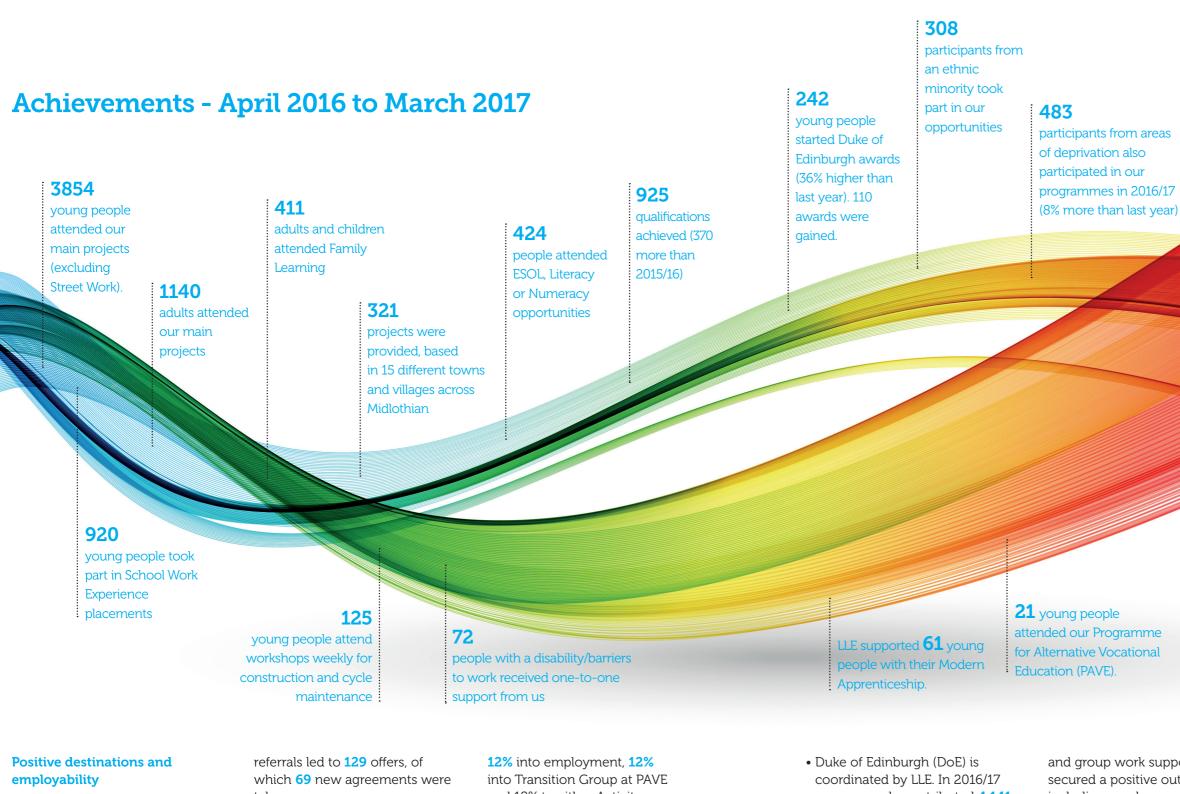
Page 253 of 558

## HELP WITH POSITIVE DESTINATIONS

Help towards a positive destination – getting a job, entering a training course, going to college or university or volunteering

### LOTS OF DIFFERENT OPPORTUNITIES

Lots of different opportunities – youth work, adult learning, vocational training and work experience 4



#### Young people

Every young person in Scotland is entitled to help towards learning, training, employment or volunteering (a positive destination).

• We assist young people towards employment or learning through Youth Activity Agreements and 1:1 targeted programmes. 205 Youth Activity Agreement

taken up.

- 71 young people moved on to positive destinations: 29 in employment, **12** in employability training, 7 in further education, 3 in modern apprenticeships and 20 other.
- Over 90% of PAVE participants gained five or more gualifications and moved onto positive destinations: 52% into college,

and 18% to either Activity Agreements, LLE Pathway or other training programmes.

• We have supported 165 young people to secure a positive destination by means of our new pathways in: Child Care, Retail, College, Youth Work, Employability, Army, Sport and Wellbeing, Music, Rural Skills, Independent Tenancy, Young Mums, PX2, Green and Beauty Therapy.

young people contributed 4,141 hours of volunteering which was worth to £17,176 of social value. DoE Leaders contributed 27,689 hours worth £276,890.

#### Adults with Mental Health Issues

• We have supported **37** adults with mental health issues to work towards gaining employment through specialist one-to-one

and group work support. 81% secured a positive outcome, including employment, training, educational opportunities, volunteering or college.

#### Adults with Disabilities

barrier to work received 1:1 support in our FOCUS/WFF projects. 13 people moved into supported employment, 5 into further education, 2 into volunteering and the others

700 young people participated in Youth Platform's Mental Health Survey

#### 1759

adults attended our paid Adult Learning courses including in Beeslack, Lasswade and Penicuik (24% increase from 2015/16)

#### 117

day and evening courses were provided, including 22 accredited courses.

received practical financial support through WFF.

• 72 people with a disability or

5

6

## The people behind our statistics - LLE changing Lives

(All participant names have been changed)

#### Supporting Young People back into learning and work

#### One to One Support, Pave. Pave 2, Pathways and youth projects.

Albert had been out of school for nearly two years due to traumatic events. With his LLE Key Worker he completed a work placement with a local tool hire company, and gained his Nat 3 in Maths and English. He was accepted on a Light Mechanics Maintenance course at college with a promise of a mechanics apprenticeship.

Clark struggled to maintain attendance at school due to his behaviour. With substantial support from LLE Key Workers, Clark successfully improved attendance in LLE PAVE 2 and gained Nat 4s. He completed 40 hrs of volunteering locally, gained new interview skills, and successfully secured a place in the army.

Coleen and Stuart were a young homeless couple living in a B&B, using food banks to get by. Stuart was supported into a trial placement with MARC Recycling earning the living wage, and his attendance after 6 months stands at 100%.

Josie had been doing nothing for 18 months. Within days of a knock on the door from an LLE Worker, she was on the Green Outdoor Pathways progressing to a college course. She is taking driving lessons and looking for part time work. Josie's Mum says "the difference is unbelievable, she has

gone from lying around all day, being depressed and unhappy to having more spring in her step

....I'm really glad you knocked on the door".

Matt was disengaged from school and was uncommunicative. He was volunteering for his brother's company. His LLE Worker obtained funding for training, helped him study for his construction safety test and secured a modern apprenticeship for him. He works full time plus some weekends with 100% attendance. He is more talkative, and is studying for his driving theory test.

#### **Midlothian Snow Sports Centre** (MSSC) Through the MYJET

Programme, one young person was given a one-day a week over the past year with MSSC. They were so impressed by him that he has successfully secured paid hours. He's also doing his food hygiene course whilst still at school.

#### LLE's Vocational Learning

Heather has attended a 6 week beauty therapy pilot programme at Dalkeith High School. During the course she learned about different skin types and what products to use for each, how to apply make-up and care for nails. She was able to practice these new skills on other pupils in the class, carrying out professional treatments, working as a team and developing communication skills. "I can see her confidence growing before my eyes".

#### **Supporting Adults, Families** and Young People through Employability, Lifelong and Vocational Learning.

"I can see her

before my eyes"

confidence growing

#### **Employability Programme**

John had struggled to secure permanent employment since being made redundant in 2011. He was referred to the CWP programme, where he gained advice and support. John commenced a structured work placement within Midlothian Council. Within 3 months of starting this programme, John successfully secured a full time permanent position with NHS Lothian.

#### LLE FOCUS 1:1 Employability Service

Julie is a lone parent and is dealing with bereavement and severe financial hardship. She was in arrears with childcare costs and was awaiting benefit outcomes as well as trying to hold down her job. Our Working For Families fund helped with childcare costs for a month and with vouchers for food to keep her in employment.

Pat "I have mental health issues but with support from the Focus service I've set up my own business. I'm still seeking support when I need it to keep healthy. It's a struggle but I'm doing well."

#### LLE Staff as Mentors through Career Ready

Keira has been to three master classes and developed "a fab relationship" with her mentor. "I'm so much more inspired and confident, can't thank you enough Lily thanks for being there egging me on."

**Corinne's** mentor placed her with a photographer where she spent 4 weeks learning the craft of photography. This opened her eyes to other avenues available to her, gave her valuable skills and self assurance. She spoke at this year's launch event with confidence, and networked a room of business people at a DYW event – not something we would have thought possible before Career Ready.

#### LLE Aim High Core Skills for Employability

Margaret, 53 is a mum of 4. Since leaving school she's brought up her children and worked, but is currently unemployed. Margaret attends the Aim High on a one to one basis. 'Being on the course has really improved my confidence in IT, writing & typing skills'.

She now successfully volunteers in a Salvation Army shop and has applied to support older people with Connect Online as a volunteer. Margaret is working towards an SQA Communications qualification and hopes to get paid work in an office.

#### **Aim High Construction**

Bob said that the Aim High programme has helped him to be more confident and has allowed him to be able to speak and work with new people. The course has given him skills, including how to behave in the work environment.

**Gilly** "Coming to the construction workshops has been a massive boost to my confidence and the support that the staff gives you is great. I'm the only girl in a group of 11 boys and coming to the workshops and challenging myself on the construction based tasks has shown me that I can do this every bit as good if not better than them. Construction is not just for boys, more girls should do it as well."

#### LLE Job Club

"I took my 16 year old son up to the job club in order to get help with making a CV. While we were Page 255 of 558

there I told her I was thinking about taking a night class to brush up on my computer skills in order to get a better job and found one at Penicuik High School. Susan showed me how to apply for funding for the course and I am now attending. My son has also started a new job after school and is keeping his CV up to date".

#### English for Speakers of other Languages

Ali is 33 years old. He came to Scotland in April 2016 as a refugee from Syria with no English at all. He attended ESOL classes with his wife and is now able to communicate in basic English. He started volunteering in a local cafe in December 2016, and now works in the kitchen for around 10 hours a week. Ali is working hard to improve his English and wants to get work in a garage in the future.

#### The Young People's ESOL

"Speakeasy" group supports S5/ S6 learners and unaccompanied young asylum seekers, all with limited English. Currently there are two Polish migrants and three Vietnamese in the group. The young people were lacking in confidence, but with regular attendance, they have improved in all skills. Throughout, the ESOL service has liaised closely with the schools, foster carers and social work in order to provide the best support possible for these vulnerable youngsters.

#### Progress through Learning Midlothian – from community based learning to university.

After several years as a stay at home mum, Jean discovered some locally-run courses, beginning with a parents' group. She took part in a new 'Starting with Psychology' course. She then joined the community-based Introduction to Sociology Course run by QMU. She completed an Open University

course after which she secured a job at the local primary school. She has now applied to become a local Councillor, and is grateful to Lydia of PTLM for her support throughout.

#### LLE Family Languages

Nadia I was born in a diverse country, where it is common for people to speak multiple languages fluently. The Family French Learning Program at Loanhead library gave my daughter the opportunity to experience a new language, in a casual and friendly environment with other families.

#### LLE Knitting Group

Annie "Carle has helped me with patterns that I have been having problems with have also picked up a lot of good tips from the other ladies in class."

#### LLE Working with Employers -**Developing Scotland's Young** Workforce.

#### Live Jobs Roadshow feedback:

#### Emma Jones, Ernst & Young

"The feedback from the Careers Team attending the roadshows was phenomenal. I haven't heard staff enjoy a careers fair so much before, and we got a superb list of genuinely interested students."

#### Kerr Wishart, Aldi Stores

"I was really impressed by organisation, layout and quality of candidates involved in the event."

#### Lynn Brown, Aberdeen Asset Management PLC

"We were really impressed with the calibre of the students especially the two who have been put through to the next stage of our apprenticeship selection process"

## Young People – Democracy in Action



**Hilda** – I had my plans for what I wanted to do and my LLE Worker supported me completely, going as far as to get me a role creating a history project for LLE from my internship. It was amazing and made me realise that being a teacher was not for me. And then I went through something that scared me a lot - my house was broken into and I made a lot of decisions in that aftermath when I realised that life was too short and my LLE Worker once again supported and gave me the space that I needed so that I could sort my head out. Then she decided that I needed to be pushed back into society, or at least that is how it felt to me, and she got me to attend the Midlothian Youth Platform where I have met several amazing people. She used this to restore my faith in people and I don't know if she knows how much it had helped me but I can honestly say I will never be able to express it in words.

Contact us to find out more and see what's on offer for 17/18.

### Lifelong Learning and Employability

Central Support Tel: **0131 271 3713** Email: **lle@midlothian.gov.uk http://www.facebook.com/llemidlothian twitter.com/LLEadult\_family** 



#### Universal Credit in Midlothian - 2017 update

#### Report by Kevin Anderson, Head of Customer & Housing Services

#### 1 Purpose of Report

This report provides an update to Council on the key issues related to the introduction of Universal Credit (UC) in Midlothian. It is has previously been reported to Council of the Welfare Reform measures which resulted in significant changes introduced across a range of state benefits that have affected individual households from April, 2013.

#### 2 Background

Welfare Reforms have been introduced by the UK Government to simplify benefits and increase incentives to work.

There have been three main elements to the Welfare Reform changes implemented; in the replacement of existing benefits by another benefit; a number of reductions in benefit entitlements; and the localisation of some benefits.

Universal Credit has been introduced in stages to different groups of claimants over the past four years, with about 610,000 people now receiving it. Almost a quarter of all claimants have had to wait more than six weeks to receive their first payment in full because of errors and problems evidencing claims.

The UK Government recently approved a major extension of the programme to a further 45 job centres across the country, with another 50 to be added each month, however in the Autumn Budget, the deadline for the rollout of the major welfare reform will be delayed by three months to December 2018 to support UC system changes announced. The Department for Work and Pensions (DWP) maintains that this will not impact on the planned completion date of March, 2022.

DWP latest data, from September, 2017, indicates 81% of new claimants were paid in full and on time at the end of their first assessment while 89% received some payment.

#### 3 Universal Credit

Midlothian Council was initially involved as a partner agency to Dalkeith and Penicuik Job Centre Plus, (JCP) during the rollout of the Universal Credit 'Live Service' (UCLS) from 27 April 2015. The Council subsequently signed up to a further Delivery Partnership Agreement, (DPA) for the full digital rollout of the Universal Credit "Full Service" (UCFS) from 22 March 2017.

Universal Credit aims to make the welfare system simpler by replacing six benefits and tax credits with a single monthly payment. It is administered by the Department for Work and Pensions (DWP). It replaces:

- Housing Benefit
- Income Support
- Income-Based Job Seekers Allowance
- Income-related Employment & Support Allowance
- Child Tax Credits
- Working Tax Credits

As it is for people of working age, Universal Credit does not affect pension age benefits.

In Midlothian UCFS is being rolled out by Dalkeith and Penicuik Job Centre and is currently part-way through a 'natural migration' phase which requires claimants of the above legacy benefits to transfer to UC as and when they encounter a significant, (trigger) change in circumstance.

#### 4 Impact of Universal Credit

In preparation for the introduction of Universal Credit an Operational Group consisting of the Department of Work & Pensions (DWP), Council service teams and external partners established a framework of support for all Midlothian citizens.

Actions continue to be led by the Council and the Midlothian Financial Inclusion Network (MFIN) partnership to inform and support people about sources for those in hardship, such as foodbanks, Scottish Welfare Fund, Welfare Rights, Credit Unions and budgeting advice. Evidence indicates that claimants and the Council are experiencing effects of;

- Delays in payment to claimants
- Financial Hardship to households, with extra demand on the Scottish Welfare Fund and Discretionary Housing Payments
- Additional administrative burdens to the Council
- Increased rent arrears
- Impact on temporary accommodation for homeless households

While DWP funding was initially provided for additional administrative costs, the burdens in dealing with the process and complexities of claims is more than the resources received.

In projecting the rental income effects from Universal Credit, the available evidence from the universal credit areas is that the move to one monthly payment direct to these claimants resulted in a significant increase in rent arrears as tenants in social housing struggle to adjust. As reported to Council in May, 2013, the Housing Revenue Account Financial Model has been updated to reflect the anticipated increase in rent arrears of  $\pounds$ 1.5 million per annum.

An increasing number of people in Bed and Breakfast accommodation are in receipt of Universal Credit rather than Housing Benefit (HB), consequently the level of income which the Council receives in relation to this accommodation has dropped significantly and that will be an increasing deficit trend.

Consequently, the subsidy budget for bed and breakfast will be reviewed as part of the 2018/19 budget setting process.

In Temporary Accommodation, provided by the Council in its statutory duties to homeless households, the housing costs of occupants who are currently paid by Universal Credit are restricted to Local Housing Allowance rates based on the age and size of the family unit, resulting in significant rent arrears for individual households. Discretionary Housing Payment is being used by the council towards mitigation of these costs meantime as it is reported DWP are now progressing plans to remove housing costs for emergency temporary accommodation. It is expected the housing element of a claimant's entitlement will be transferred back to local authorities to administer through Housing Benefit, although it will not be effective before April, 2018.

The Impact of Universal Credit Full Service on Council house rent collection has been severe.

At 3 April 2017 132 Midlothian Council tenants were claiming UC with total arrears of £97,808 and average arrears of £740.97. The average rent arrears at 3 April 2017 were £265.42 for those still in receipt of HB and £299.21 for those not receiving HB.

As at 6 November 2017 this had increased to 657 tenants with total arrears of £520,522 and average arrears of £792.27.

At 3 April 2017 current tenant rent arrears were £1,167,625 comprising £1,106,626 for mainstream properties and £60,999 for temporary accommodation. As at 6 November current tenant arrears has increased to £1,472,222 comprising £1,283,124 for mainstream properties and £189,098 for temporary accommodation.

Increased demand for Discretionary Housing Payments (DHP) with £828,492 being paid in 2016/17 and £966,368 paid and committed in 2017/18 as at 31 October 2017.

Additional demand for Scottish Welfare Fund, (SWF) saw a 20% increase in Crisis grant applications in the 7 month period to 31 October 2017 compared with the same period last year. Recent regulations require councils to make decisions on crisis grant applications no later than the end of the next working day.

#### **5 Universal Credit Scottish Flexibilities**

The Scotland Act 2016 gave the Scottish Government powers to vary how Universal Credit is paid in Scotland. The Department for Work and Pensions (DWP) retains responsibility for the delivery of Universal Credit as it remains a reserved benefit. DWP will deliver the Scottish Government's policy.

The new Universal Credit choices were made available from 4 October 2017 to people living in Scotland making a new Universal Credit claim in full service areas.

Eligible claimants of Universal Credit will be offered the choice after they have received their first payment of Universal Credit. This means the offer will be made at the start of the second assessment period, when the expected Universal Credit award is known, and there has been time to assess the claimant's award, including housing costs if applicable.

The choice will be offered in the claimant's online account in two stages:

one for choosing to be paid monthly or twice monthly; and
one for choosing to have the relevant housing costs in the Universal Credit award paid to themselves or to their landlord.

The claimant can make either or both choices. If the claimant does not make a choice within 60 days of the offer being presented, then the offer will be removed from their online account, but they will still be able to request the new Universal Credit choice at any time. If the claimant does not make a choice, Universal Credit will continue to be paid as standard in a single monthly amount direct into their bank account.

Existing claimants cannot currently access this choice although it is expected to be available from January 2018.

#### **6 Scottish Social Security**

A Scottish Social Security Agency has been established by the Scottish Government to administer the devolved benefits responsibilities.

Council Officers have met with the Scottish Government's Agency Implementation Team to provide them with an understanding of how services are delivered in Midlothian for people seeking assistance on social security and other related matters and to consider how the new social security agency will deliver its local services and explore local delivery options for the different communities in our area in places that people already visit.

Discussions shall continue in the different methods and partnership models of delivery in place for the Scottish Social Security Agency's development of an Overarching Partnership Agreement on specific types of assistance and wider service delivery input.

#### 7 Report Implications

#### 7.1 Resource

Digital access and assistance to claimants to make a state benefit claim is provided by the Council through our libraries and Personal Budgeting Support is also contracted for Universal Credit claimants, considering assistance in a combination of financial and other challenging factors e.g. homelessness, addiction, learning difficulties etc.

Significant support is also provided to claimants for Universal Credit by the Council's Welfare Rights Team. This includes assisting vulnerable clients with completing online claims, taking client referrals from adult health and social care and children and families staff. As UC rolls out the number of appeals, requests for reconsideration of decisions and representation at tribunals involving UC claims will grow.

In the first six months of this year the team has ensured  $\pounds$  1,278,039.37 of entitlements have been brought into individuals in the overall benefits system, a return on Council investment of £17.70 per £1.00. An analysis of UC related activities within this figure is being undertaken.

Extensive training throughout Midlothian was delivered by the Council's welfare rights team in conjunction with DWP Job Centre Plus in preparation for Universal Credit full service roll out. Specific training on Universal Credit has now been provided to the Joint Mental Health Team and Social Workers for Marie Curie Care and continues to be offered as required to support internal and external colleagues.

Formalised training for the second half of 2017/2018 is underway to deliver a programme of Universal Credit training and briefings in Children & Families services.

Day Services at Marie Curie Hospice are developing an 8 week programme for carers and people living with cancer. One session every 8 weeks will cover Welfare Rights & Benefit Advice delivered by the Macmillan Welfare Rights Officer. Training on all other benefit areas will continue to be delivered when necessary.

Although Universal Credit is administered directly by the Department for Work & Pensions (DWP), Midlothian Council continues to administer Housing Benefit (HB) on behalf of DWP for the local authority and Housing Associations, and Local Housing Allowance for private sector landlords. Revenues Services continue to administer these residual legacy HB cases and also provides assistance for Universal Credit claimants.

Universal Credit is currently unable to deal with households which have more than 2 children and these will remain on HB or revert back to HB after the birth of a third child. Midlothian Council will also continue to administer HB for pensioners and Council Tax Reduction for all claimants.

While the need for local authorities to administer Housing Benefit for working age people will progressively reduce this uncertainty does not lend itself to effectively support any subsequent workforce planning and any planned reductions in staffing resource arising from anticipated increases in UC claim volumes.

Local authorities need to plan for the future and consider the implication for staff administering Housing Benefit. Forecasted reductions in HB caseloads in terms of timelines in particular are very difficult to achieve at a time when DWP's administration grant to local authorities is already reducing.

As a Local Authority in Universal Credit Full service there are limitations to the information we receive from DWP regarding our tenant's eligibility and entitlement. DWP pay Housing costs and any arrears value monthly on a collective four weekly submission schedule. We are not notified of incoming 4 weekly payments until the payment file is processed.

As a landlord, Midlothian Council have no means or influence in monies collected by DWP as they communicate directly to their claimant via an online Journal entry and the claimant has this responsibility to inform their landlord.

Any claimant may have variances due to part time working, non-dependant deductions, overpayments, payment advances, or sanctions etc. that can all influence DWP payment and ultimately any scheduled landlord payment without any notification the landlord, or being made aware.

Our staff aim to mitigate the effects and sign post to help and offer guidance. due to the complexity the changeover to UC brings, however, tenants have a responsibility to pay and maintain a clear rent account, and where Housing Cost assistance is eligible the tenant must make and maintain the conditions of their claim with DWP.

Where Tenants are vulnerable they are encouraged to engage with the support service we provide for further assistance in making and maintaining their claim with DWP otherwise rent recovery action is progressed for tenants where rent arrears accrue on their account.

#### 7.2 Risk

It was originally reported to Council in May 2013 that Welfare Reform will place pressure on the Council's financial resources and the hardship impact to households and income effects to the council has been referenced.

The financial loss to people in Midlothian, and to the Midlothian economy, as a result of welfare reform changes has been estimated to be £12.5 million each year from 2015. (*Research: People, Councils, the Economy; the Scottish Local Government Forum against Poverty and Rights Advice Scotland, 2013*).

There is a risk in withdrawing or reducing the Welfare Rights service, which is an option under consideration in the current Financial Strategy budget proposals, this will reduce the capacity to intervene earlier to prevent or reduce impacts on rent and Council tax debt.

Rent arrears can be complex but debt increases where there are delays in verification or other problems; the fact of the time lag in UC payments made monthly, the failure of claimants to pay the money received for housing costs onto the landlord and some claimants not identifying that they have housing costs because they may have been on Housing Benefit for some time and do not appreciate they are liable for rent.

Since 2011, the UK Government has sought to reduce the scope of state support to cover rents of those on benefits. While the Under-occupancy Charge (Bedroom Tax) has gained a lot of attention, there have also been a series of cuts to the Local Housing Allowance (LHA), which are the maximum rates of housing benefit payable in the private rented sector. Rates are currently frozen for the next 4 years. The cumulative changes to LHA rates mean that in many areas, LHA rates no longer have any real relationship to actual rents but limit the benefit expenditure.

The UK Government has recently announced that the intention to extend the LHA cap from 2019 to all social sector tenants and supported accommodation claimants on Universal Credit will not now take effect. However, continuing to limiting claimants aged under 35 to the Shared Accommodation Rate (SAR) ignores the restricted availability of this type of accommodation in the social sector.

There are financial risks that may impact Midlothian Council as the benefit system is complex and there are financial capability concerns that vulnerable people have in managing money. Consequently, the estimated financial impact was revised upwards and the risk status increased from a service level risk to a High Corporate Risk in the Risk Register.

#### 7.3 Policy

#### 7.3.1 Strategy

There is no change in the strategic approaches guiding Midlothian Council's response to Welfare Reform, which is to mitigate against the impact of the effects within the capability and resources of the Council and its partners.

- Preventative Approach While there is an inevitability that some of the responses will be reactive wherever possible opportunities will continue to be sought to take a proactive approach to prevent crisis intervention
- Co-ordinated Service Provision Opportunities to co-ordinate service provision continue so people can receive information and advice from as wide a range of professionals as possible.
- Build individuals own / community capacity Consistent with coproduction approach work takes a capacity building approach where possible.
- Protecting Financial Position of Midlothian Council Welfare Reform creates a financial exposure to Midlothian Council. Actions continue to be taken to mitigate this exposure where possible.

The UK Government has announced significant changes to Universal Credit in the Autumn Budget of 22 November, 2017.

These include; legislating for stay in Temporary Accommodation to be paid through Housing Benefit. This change requires secondary legislation to be passed and is expected to be implace by April 2018.

The initial seven-day waiting period from assessment before a person can apply for Universal Credit is to be abolished and effective from February 2018 after legislative change, which will reduce the total waiting time down from six weeks to five weeks.

A further change from April 2018 will be for a UC claimant who at the point of the claim receives support towards their housing costs, will be provided with a further two weeks of housing benefit to assist their transition to Universal Credit to address rent arrears.

Advance payment arrangements of Universal Credit have been announced by DWP, where an Advanced Payment can be made to claimants in 5 days if someone is in immediate need. This is deducted from subsequent payments. From January, 2018, claimants will be able to access 100% of their estimated UC entitlement in the form of a loan which includes the housing costs, instead of the 50% value at present. The period of repayment has been extended to 12 months which will relieve some of the financial pressure experienced, especially where claimants have third party deductions. In addition from the Spring of 2018, claimants will be able to apply for an advance online, with payment expected within 5 days.

Alternative Payment Arrangements (APA) are available for claimants who can't manage the standard Universal Credit payment. There are three types of APA available:

- direct payment of the housing cost element to landlords (known as managed payments)
- splitting of payment between members of a couple
- more frequent payment of benefit.

DWP should set up a managed payment for claimants if the following conditions are met:

- a claimant is in arrears with their rent for an amount equal to, or more than, two months of their rent.
- a claimant has continually underpaid their rent over a period of time, and they have accrued arrears of an amount equal to or more than one month's rent.

If the DWP does not set up a managed payment, landlords can request one.

The DWP Universal Credit telephone helpline has been chargeable to callers, but was made free of charge from December, to be followed by all other DWP helplines. The UK Government does not make any money from the phone charges, as the money goes to the phone providers.

#### 7.3.2 Equalities

At an individual level welfare reform impacts many people in the main equalities groups, including those affected by poverty which Midlothian Council recognised as a further protected characteristic grouping. Making additional support available to equalities groups to mitigate the impact of welfare reform is therefore consistent with council policy.

#### 7.3.3 Sustainability

The sustainability of the Housing Revenue Account Capital Plan in the long term is at risk if mitigating actions are not undertaken to offset the effects of Welfare Reform on the level of arrears. The loss of benefits from the effects of the Welfare Reform Act and the changes in housing benefit will have a negative effect on the local economy. There is a risk that unsustainable demands may be placed on the council in respect to addition costs associated with Welfare Reform and reduced income from the current and proposed benefit changes. The actions outlined in this report seek to mitigate these risks.

#### 7.3.4 IT Issues

No IT impacts at present.

#### 8 Recommendations

Council is recommended to:

- Note the work done to date, and continuing, related to Universal Credit;
- Note the risks outlined in this report.
- Agree to re-establish the Welfare Reform Members Group following the local elections and nominate group representatives.

Date: 23 November, 2017 Report Contact: Name: Kevin Anderson, Head of Customer and Housing Services Tel: 0131 271 2775 Email: kevin.anderson@midlothian.gov.uk

Midlothian Council 19 December 2017



#### Parking in Midlothian

#### **Report by Ricky Moffat, Head of Commercial Operations**

#### 1 Purpose of Report

This report seeks to update Council on progress towards the introduction of decriminalised parking and approval to publish the 'Midlothian Parking Strategy'. The strategy has been developed as part of the requirements of The Scottish Government to introduce de-criminalised parking.

#### 2 Progress Update

#### 2.1 On street signs and road markings refresh

The on street work has recently been completed with the exception of a small number of streets where parked cars obstructed with the sand some streets where signs or lines have deteriorated in the period between surveying and awarding the contract. These will be completed prior to the introduction of decriminalised parking.

#### 2.2 Consolidation of Traffic Regulation Orders (TRO's)

As part of the application to The Scottish Government for de-criminalised parking powers, a validation of all Traffic Regulation Orders with on street markings and sign was required. This was carried out by surveys, mapping and comparing the details on the Traffic Regulation Orders. Anomalies were identified and corrected and consolidated orders (map versions) created. These will be ready to advertise early in the New Year and the Council will publish them online for public information thereafter.

#### 2.3 Midlothian Parking Strategy

To set the context of parking in Midlothian, the 'Midlothian Parking Strategy' has been developed. This report seeks to have the strategy approved.

The Strategy includes sections on Existing Situation, Future Growth and Key Parking Issues, Strategy Objectives, Parking Policy, Strategy Implementation and Interventions and a Delivery Plan. The strategy does not assume that Midlothian will obtain decriminalised parking powers but does discuss issues such as residents parking that may or may not be introduced, should the powers be obtained by the Council.

The Strategy is attached as an Appendix to the report

Page 267 of 558

#### 2.4 Indicative costs – estimated operating costs

Expenditure		
	Staffing Equipment and	
Parking Contractor Costs	materials	£170,000
	Parking Services Office	
City of Edinburgh Council	Support	£30,000
	Infrastructure maintenance	
Midlothian Council	e.g. signs and lines	£10,000
Midlothian Council	Part Time Officer	£25,000
	Total Estimated Costs	£235,000
Income		
Penalty charge notices		£125,000
Additional Dalkeith car park income		
(based on surveys of length of stay)		£32,000
	Total Estimated Income	£157,000
	Estimated Projected Deficit	£78,000

The following table outlines the potential and updated estimated cost of introducing de-criminalised parking in Midlothian

Further work has been carried out with the potential parking enforcement contractor regarding costs for the service Midlothian will require and the expenditure has been adjusted in line with this. In addition to this, further discussion with the City of Edinburgh Council Roads Services has resulted in very limited back office support costs for Midlothian.

Whilst the risk of income varying compared to that predicted is apparent, there are measures which can be taken to mitigate this. The potential contract with City of Edinburgh Council and the parking contractor will allow for variations. Therefore both parking controls and the level of enforcement can be altered to maximise income versus expenditure, which will be an ongoing review process.

#### 2.5 Timetable

Midlothian recently received information regarding the likely date at which powers could officially be given to the Council. Due to a change in the legislative process the proposed new start date for Midlothian has been changed to 2 April 2018. Reasons for this are explained by Transport Scotland below.

'Scottish Parliament has put in place a new requirement on negative statutory instruments (such as the orders that are associated with Decriminalised Parking Enforcement (DPE)) this means when the suite of Statutory Instruments are laid in the Scottish Parliament they will not come into force until the full 40 laying days is complete. This means we need to change the date of commencement for the Council's DPE regime.

To allow for the preparation and meaningful consultation with key stakeholders on the suite of draft Statutory Instruments, obtain approval from Scottish Ministers to make the Orders and to take account of the new requirement for laying Orders means the commencement date would be <u>6 March 2018</u> rather than 31 January 2018. This will need to be reflected in the final application.'

Council have since had confirmation that the Scottish Statutory Instruments are in the process of being prepared.

#### 2.4 Warden Service

Preliminary discussions have taken place with Police Scotland should there be a need to extend the current traffic warden provision until such times as decriminalised parking can be introduced in Midlothian.

#### 3 Report Implications

#### 3.1 Resource

The current estimates of income and expenditure are indicated in section 2.4. It is considered prudent to retain the £200,000 budget previously allocated until further details become clear.

#### 3.2 Risk

If there were no parking controls operating across Midlothian there is an increased risk that road safety issues could endanger life and that congestion coupled with a lack of appropriate parking places could impact on the economic viability of Midlothian's town centres.

Vulnerable users such as disabled people, children and the elderly may be affected by access issues.

The risk of less parking enforcement income than estimated has been explained fully in the body of the report and is balanced with the possibility of there being a greater income than estimated. In addition mitigating measures can be put in place to balance losses and these will be reviewed annually on an ongoing basis.

#### 3.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

 $\boxtimes$  Community safety

 $\boxtimes$  Adult health, care and housing

Getting it right for every Midlothian child

Improving opportunities in Midlothian

 $\boxtimes$  Sustainable growth

Business transformation and Best Value

None of the above

#### 3.4 Key Priorities within the Single Midlothian Plan

**Community Safety** – Death and Injury on Midlothian Roads, Protecting Midlothian's Children.

**Sustainable Growth** – Support the local economy, Promote and develop active and sustainable travel and transport.

#### 3.5 Impact on Performance and Outcomes

If parking is not managed appropriately Injury accident casualty targets could be adversely affected, government cycling targets, and access issues could affect the economic performance of Midlothian.

#### 3.6 Adopting a Preventative Approach

By managing parking, road safety and access issues should be reduced.

#### 3.7 Involving Communities and Other Stakeholders

There are two stages at which consultation takes place. Firstly local consultation by Midlothian Council at the stage of preparing a business case (outlining where there would be changes to parking restrictions) and then by Scottish Government drafting as part of the Scottish Statutory Instruments.

A comprehensive engagement exercise was undertaken during 2016 where views on this proposal were sought.

#### 3.8 Ensuring Equalities

Parking restrictions and enforcement are essential to ensure disabled people have access to disabled parking places, the elderly and infirm can safely access public transport and roads and footways are kept clear for access and crossing within restricted parking areas.

#### 3.9 Supporting Sustainable Development

Parking restrictions and enforcement are conducive to creating a pedestrian and cycle friendly environment.

#### 3.10 IT Issues

There are no IT issues as a consequence of this report. However Digital Services are part of a working group established with a view to establishing information for the public regarding the operation and details of the decriminalised parking restrictions are realised at the soonest opportunity.

#### 4 Recommendations

Council is recommended to:

- Agree the Director; Resources progress with the implementation of Decriminalised Parking enforcement and should powers be granted by the Scottish Government, seek to implement the scheme early in April of 2018
- Agree to approve the 'Midlothian Parking Strategy' for publication.

#### 29 November 2016

**Report Contact:** Ricky Moffat Tel No 0131 561 5306 ricky.moffat@midlothian.gov.uk **Background Papers:** 



## Midlothian Parking Strategy October 2017

D-10Ed





Midlothian Parking Strategy



#### **1. Introduction**

•	Purpose and Overview	4
•	Context	5
•	Key Responsibilities	6
•	Need for Management	8

#### 2. Existing Situation, Future Growth & Key Parking Issues

Area Overview	10
• Demographics, Car Ownership and Travel Patterns	11
Car Ownership by Midlothian Area	12
• Future Growth	13
Overview of Existing Parking Issues	15
• Bonnyrigg	16
• Dalkeith and Eskbank	19
• Penicuik	22
Gorebridge and Middleton	25
• Easthouses, Newbattle, Dalhousie and Mayfield	28
• Pentland, Thirnybank, Pathead and Rural Midlothian	29
• Roslin and Bilston, Rural South Midlothian and Shaw	fair 30
• Straiton	31

Summary of Parking Problems

#### 3. Strategy Objectives

•	Objectives	34
•	Links to Local Transport Strategy	35
•	Monitoring and Evaluation	36
<b>4.</b> Pa	arking Policy	
•	Parking Supply	38
•	Parking Management and Enforcement	39
•	Charges, Restrictions and Resident's Schemes	40
•	Parking Standards and Blue Badges	41
•	Park and Ride, Event Management, Utilities and Electric Vehicles	42
•	Car Club, Signage, Footways and Parking Zones	43
•	Other Parking Considerations	44
<b>5.</b> St	trategy Implementation & Interventions	
•	Framework for Implementation	46
•	Interventions	47
6. D	elivery Plan	

• Timescales and Funding 50



32





Page 275 of 558

## **Purpose and Overview**



#### Purpose of Strategy

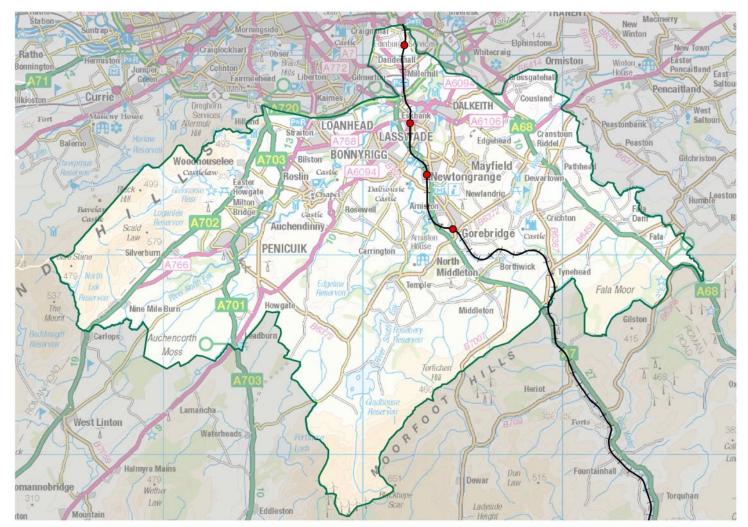
The Midlothian Parking Strategy has been developed by Midlothian Council to provide a policy context for Parking related issues and to supplement the Midlothian Local Transport Strategy 2007-2010 (current at the time of writing) and to assist with the Council's application to Transport Scotland to assume powers in relation to Decriminalised Parking Enforcement.

In addition, this Parking Strategy builds upon the 2014 Midlothian Parking Standards document that provides policy and guidance on parking specific to Midlothian, taking in to account the councils urban and rural environments, road safety, and encourages sustainable/green modes of transport. The new strategy translates this policy into evidence-based issues and specific interventions that will be delivered across the towns and villages of Midlothian., influenced by parking surveys that were carried out in each local area.

The development of this strategy has been informed by analysis of parking data collected in May 2016, site visits, consultation with traders in our largest settlements, secondary data analysis and a review of relevant literature. It has also been closely guided by a Midlothian Council Steering Group.

#### **Overview of Strategy**

The strategy first sets out a summary of the known parking problems and issues across our towns and villages in the following chapter. This is followed by our identified objectives, which the strategy seeks to deliver. We then set out the parking Policy to be applied by the Council followed by the interventions that will be taken forward in each of our settlements. Finally, a Delivery Plan is provided that outlines timescales for implementation.







#### **Planning Hierarchy**

The strategy has been developed within the context of the Local Transport Strategy and also forms part of a strategic planning hierarchy set at national, regional and local level. In particular, the Parking Strategy has been developed to maintain consistency with South East Scotland Regional Transport Partnership's (SEStran) Parking Management Strategy.

This document states:

"Parking is no longer a standalone issue, but has become a key aspect of both transport and land use planning. It must be integrated with all other aspects of urban policy now that it is to be managed at levels below "unfettered demand". This is necessary in order to promote and to support:

- Lifestyles that are less car-dependent;
- Transport provision that is more socially inclusive;
- Development that is more sustainable in terms of energy and pollution; and
- Settlements which are more attractive and user-friendly.

Control over the availability of parking spaces is a key policy instrument in limiting car trips, and for the time being is the most widely available and readily accepted method of doing so. Even without control over private parking, strict control over public parking could have a major impact on travel choices. In most circumstances parking control is regarded as easier to implement and more appropriate than other measures such as road user charging."

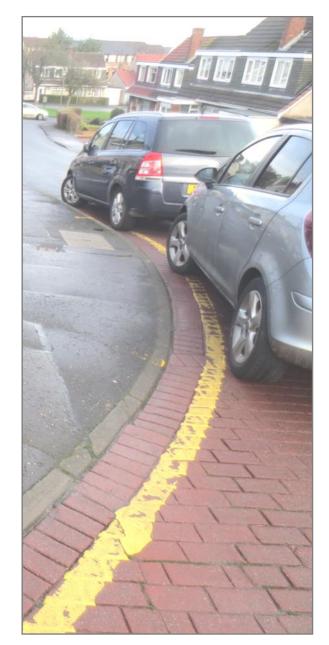
The SEStran Regional Transport Strategy contains two relevant policies within which parking should be considered:

- Policy 10 Town and city centre parking provision (including areas on the edge of centres) will favour shoppers, essential business users and residents. Commuter parking in town or city centres will be discouraged with decriminalised parking control where viable and the provision of Park and Ride (see the SEStran Park and Ride Strategy)
- **Policy 11** The efficient use of parking provision at major employment and essential service centres out with town and city centres (e.g. hospitals, areas around business parks) will be supported. This will be in line with the SEStran Parking Management Strategy.

#### **Appraisal & Policy Setting**

The development of the strategy has been undertaken in a manner consistent with the principles set out in the Scottish Transport Appraisal Guidance (STAG) - the Scottish Government's best practice advice in the development and appraisal of transport projects and strategies.

The Policies that are developed are formulated by an evidence led approach and recent surveys of the local area that identify key patterns of parking behaviour such as, capacity, duration of stay, occupancy of car park across standard weekdays and on a Saturday.







The provision and management of parking in Midlothian is largely the responsibility of Midlothian Council, supported by a range of stakeholders in supporting roles.

#### **On-Street Parking**

On-street parking, waiting and loading restrictions (Traffic Regulation Orders) are implemented by Midlothian Council and a breach of on-street parking restrictions is currently a criminal offence, enforced by Police Scotland. However, the Police effectively ceased operation of their Traffic Warden Service from February 2014 and, while enforcement remains their responsibility, they typically only act in respect of dangerous or obstructive parking infringements.

Any local authority may apply to the Scottish Ministers for orders decriminalising certain parking offences within their area and many have, including the City of Edinburgh Council. Midlothian Council is currently in the process of applying to the Scottish Government to assume powers to decriminalise the enforcement of parking restrictions. This is known as Decriminalised Parking Enforcement (DPE) and should the Council be successful in enacting these powers in Midlothian, parking offences would revert from being a criminal offence to become a civil offence, allowing the Council to take over the responsibility for enforcing parking restrictions from Police Scotland. Without going through this formal process, enforcement of parking in the area would no longer exist, leading to a number of problems and difficulties outlined later in this Strategy.

#### **Off-Street Parking**

Midlothian Council provides a number of off-street car parks which are available for public use. All of these are free to use apart from North Wynd and St. Andrew Street in Dalkeith which are free to use for the first hour, providing a valid ticket is displayed with charges being applied for stays over an hour. At both of these locations the ticketing system is controlled by car park operator CP Plus.

Alongside the public car parks there are off-street car parks provided by private companies e.g. supermarkets. These are either owned and used by private organisations, and used as staff car parks, or are attached to shops and services like supermarkets and are for use by their customers.

#### **Bus Based Park and Ride**

Further parking facilities for bus based park and ride are provided by Midlothian Council at Sheriffhall (561 spaces) and City of Edinburgh Council at Straiton (600 spaces).

#### **Rail Based Park and Ride**

Park and Ride is generally seen as a positive measure and is becoming increasingly important in respect of managing road space and encouraging modal shift.

The Borders Railway reopened in 2016 and currently rail based park and ride is provided on this line, at the following locations in Midlothian:

٠	Gorebridge	73 spaces (no charge) + 20 cycle spaces
٠	Newtongrange	56 spaces (no charge) + 20 cycle spaces
٠	Eskbank	248 spaces (no charge) + 30 cycle spaces
•	Shawfair	59 spaces (no charge) + 20 cycle spaces

#### **Residents Parking Permit Schemes**

The implementation of residents parking permit schemes is the responsibility of Midlothian Council, although there are currently none in place. They could be considered in future years subject to detailed assessment, although recent consultations failed to demonstrate an appetite in Dalkeith (the town with the most parking issues). At the time of writing, only a few requests for residential parking permits have been received in Penicuik, with none from any other settlements.

#### **Blue Badge Scheme**

Midlothian Council administers the Blue Badge Scheme in its area which provides a national arrangement of parking concessions for:

- people with severe walking difficulties;
- registered blind;
- people with very severe upper limb disabilities who are unable to turn by hand the steering wheel, even if that wheel is fitted with a turning knob; and
- people who travel either as drivers , or passengers.

The badge holder is permitted to park in areas normally subject to restrictions and this benefits those who are mobility impaired and unable to walk great distances.

Midlothian has around 1000 disabled bays both on and off-street.



#### **Parking in New Developments**

The Council is responsible for setting relevant parking standards for new developments in line with local development guidelines and in accordance with national and regional policy, such as Designing Street and the National Roads Development Guide.

#### **Parking at Schools**

Midlothian Council is responsible for introducing parking restrictions around schools and these are typically in the form of double yellow lines (TROs) and School Keep Clear markings. It is currently the responsibility of the Police to enforce these as well as parking on pedestrian crossing zig zags, which are often located close to schools. As a result of DPE the Council will assume the power to enforce on streets around schools.

#### **Industrial Estates / Business Parks**

As well as introducing Traffic Regulation Orders to control the right of passage and safety on public roads within or close to industrial estates and business parks, Midlothian Council can influence new industrial activities and encourage employers to prepare staff travel plans to reduce the impact on public roads. Staff travel plans can reduce the pressure for on-street parking and create more space for customer or suppliers to use.

#### **Retail Parks**

While the car parks for retail unit are generally privately maintained and operated the Council have control over the access roads that lead to the car parks and responsibility for managing them. This has to be done effectively so as to ensure that safe access and egress can be achieved.











#### **Importance of Parking Management**

In September 2007, South East Scotland Transport Partnership (SEStran) produced a parking management strategy that gives general guidance to its constituent authorities, of which Midlothian is one, to manage parking to the benefit of residents, visitors and business users and discourage commuter parking in line with National and Regional Transport Strategy (RTS) policies.

The SEStran Parking Management Strategy was produced and notes that:

Parking is no longer a standalone issue, but has become a key aspect of both transport and land use planning. It must be integrated with all other aspects of urban policy now that it is to be managed at levels below "unfettered demand". This is necessary in order to promote and to support:

- Lifestyles that are less car-dependent;
- Transport provision that is more socially inclusive;
- Development that is more sustainable in terms of energy and pollution; and
- Settlements which are more attractive and user-friendly.

As policy has moved from a "predict and provide" approach to one based on the achievement of wider objectives, the management of parking has become a more important part of national policy. It is becoming accepted that the unlimited growth of car use cannot be tolerated, as the infrastructure costs of providing the necessary road and parking space would be unacceptable in both financial and environmental terms.

#### **Economic Impact of Parking Control**

The control of the availability of parking places for different kinds of user is important for the economic wellbeing of town centres in the SEStran area. It is generally accepted that the economic vitality of a town centre is helped by the availability of short-stay parking spaces for business, delivery and shopping use and that long stay commuter parking should be relocated or limited to actively promote more sustainable travel choices. In towns where a large contribution to the local economy is made by visitors, then medium stay provision outside the main business district may serve this need without disadvantaging the day-today running of the town centre, or congesting its streets.

#### Considerations

The Strategy outlines considerations, and measures for tackling, the following:

- Supply is less / greater than demand
- Long stay commuter parking detrimentally impacts shops and businesses
- Lack of control over private car parks
- Long stay parking overspills into residential areas
- Park and Ride located within a town centre
- Location and quality of car parks
- Resistance to introduction of parking charges
- Lack of private residential provision
- Confusing and inconsistent restrictions/signs
- Inappropriate and illegal parking

#### **Hierarchical Approach**

The Strategy suggests that a consistent approach across the region should reduce the amount of confusion currently experienced by drivers confronted by many subtly different restrictions, increase the degree of compliance with restrictions and help manage parking in locations where no controls exist at the moment.

It advocates a simple three tier hierarchy of parking demand, and hence the degree of parking management required, based on the size of each town/settlement.

It should be noted that, as of the time of writing, Midlothian Council has negotiated to retain a Traffic Warden until the end of March 2017, after which there would be no enforcement resource available.





# 2. Existing Situation, Future Growth & Key Parking Issues

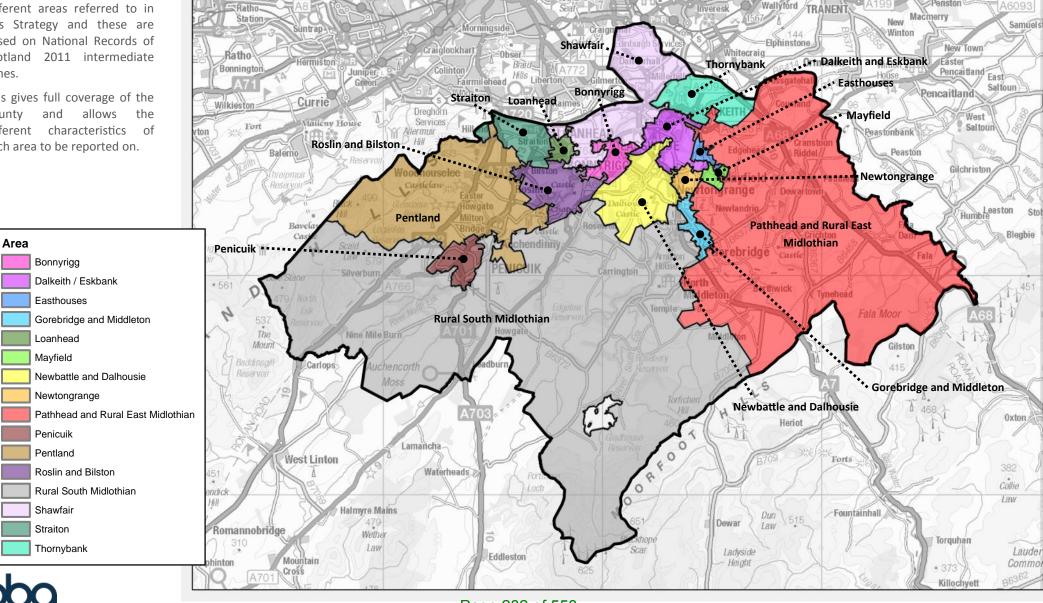




enston

The figure opposite shows the different areas referred to in this Strategy and these are based on National Records of Scotland 2011 intermediate zones.

This gives full coverage of the County and allows the different characteristics of each area to be reported on.







#### Introduction

This chapter provides a summary of future parking provision as well as the likely problems, pressures and issues in the towns and villages across Midlothian. All of the major towns are experiencing growth and are subject to significant development pressures, which will undoubtedly impact upon the demand for parking in the town centres.

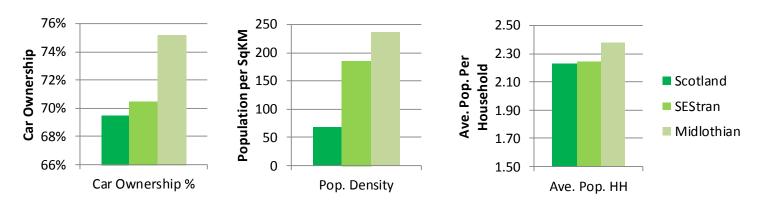
#### Demographics and Car Ownership

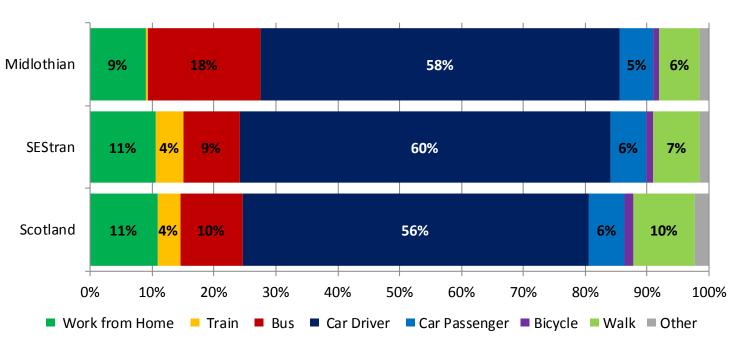
2011 census data shows that Midlothian has a higher percentage of car ownership, a higher population density per square kilometre and a higher average population per household than the SEStran and Scottish averages.

#### **Travel to Work**

The 2011 census data shows the following:

- the proportion of people driving to work in Midlothian (58%) is higher that the Scottish average (56%) but lower than the SEStran average (60%).
- Compared to Scotland and SEStran, Midlothian has a lower percentage of people working from home (9%)
- It also has a lower percentage of people walking to work (6%).
- It has a high percentage of people using the bus network (18%) compared to other areas, although people choosing to travel by train to travel to work is currently very low (0%), although as the census was undertaken in 2011, prior to the reopening of the Borders Railway, it will not fully reflect emerging travel patterns.







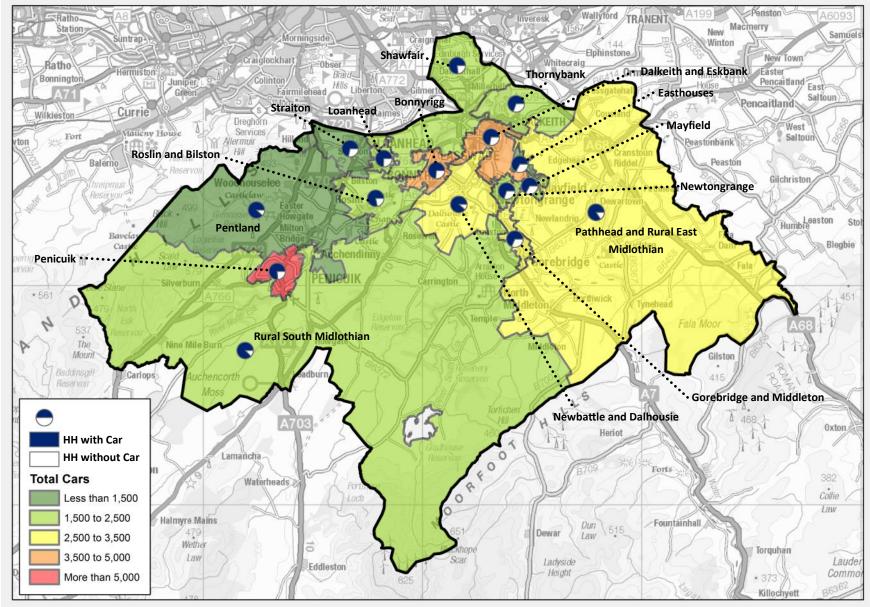
Page 283 of 558



#### Car Ownership

As with most areas, car ownership varies from urban to rural, with households in outlying areas likely to own more cars; a reflection of their reliance on this mode of travel due to a lack of viable alternatives.

In the more urban areas car ownership is lower; influenced by density of population, competition of land for uses other than parking and increased alternative travel options that are far more accessible.





## **Future Growth**



#### Growth

As well as considering the existing situation, it is important to consider likely future changes and demands within Midlothian. All of the major towns in the Council area are growing and are subject to significant development pressures, which will undoubtedly impact upon the demand for parking in town centres and put pressure on the supply/availability of parking spaces.

#### **Planning: Strategic Development Plan**

The current development plans for Midlothian consists of the Strategic Development Plan (SDP) for South East Scotland (approved June 2013) and the Midlothian Local Plan (adopted December 2008). The Midlothian Local Plan (2008) will remain in force until replaced by the Midlothian Local Development Plan.

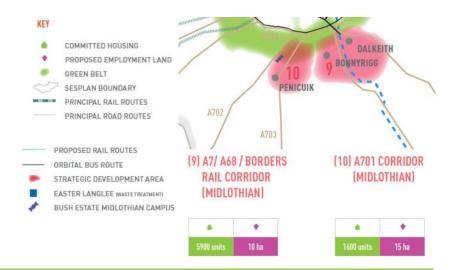
The SDP outlines that development within Midlothian will be focused on the A7 / A68 / Borders Rail and A701 Corridors. There are substantial committed housing (around 7,500 new homes, 5,900 within the A7 / A68 / Border Rail Corridor and 1,600 within the A701 Corridor) and economic development proposals representing very significant growth.

It is the role of the SDP to provide the framework for the six LDPs in the SESplan area to allocate sufficient land for housing development and to ensure that the area's overall assessed housing requirements for the periods 2009 to 2019 and 2019 to 2024 can be met, by new house completions. Most of the new houses required are expected to be built on land which is already committed for housing development, either because it is already allocated for that purpose in the existing local plans, or because planning permission has already been granted. The scale of the potential contribution which might be secured from sites currently committed for housing development in Midlothian is 10,200 houses. However it is known that a significant proportion of these potential house completions will not be delivered before 2024, and that some of the sites will not be completed until after 2032, or may not prove to be deliverable at all.

#### Transport: Local Transport Strategy 2007-2010

The Midlothian Local Transport Strategy (LTS) 2007-2010, which has not been updated since and is therefore still the current relevant Strategy, outlines that there are growing traffic congestion problems in Midlothian and there is potential for this to ultimately damage the local economy and the environment. The significant volume of planned new development will only add to this problem in the future, if steps are not taken to encourage travel by other more sustainable forms of transport.

It also states that the use of town centre car parks as informal long-stay park and ride facilities for 'journey to work' trips also causes a problem and is resulting in a shortage of availability for short-term parking spaces. This, in turn, is leading to a lack of parking spaces for local shoppers who are travelling else where to shop, with a detrimental effect on the viability of town centre economies.



#### Local Transport Strategy Objectives

1. To **widen travel choices** and make travel by more sustainable modes of transport more attractive than the private car, particularly at peak times.

2. To protect the health of the population.

3. To reduce, and where possible, mitigate the effects of the transport system on the built and natural environment.

4. To reduce the number of casualties involving death and serious injury and ensure that the design of the transport system improves personal safety and minimises crime.

5. To **stabilise traffic growth** in line with national targets and secure more reliable journey times by all modes.

6. To ensure that transport networks are managed, maintained and improved so as to provide the quality of infrastructure that will meet the needs of all users.

7. To improve integration between all modes of transport.

8. To enhance connections between areas within Midlothian and provide improved links to the rest of Scotland and beyond.

9. To **reduce social exclusion** by improving accessibility to jobs, education and services for all and by all modes of transport.



## Future Growth



#### **Population Growth**

It is expected that the total population of Midlothian will rise from around 80,000 people in 2007 to around 100,000 by 2035. This rise follows a decade of stagnation between 1997 and 2007 and will undoubtedly out pressure on all existing centres and transport networks.

In order to accommodate this level of growth a number of large scale release sites are planned—one of these areas is located at Shawfair.

#### Shawfair

One example of the scale of future growth is demonstrated at Shawfair where a major new development is expected to deliver thousands of homes and community facilities over the next twenty years.

Once complete, it will be largest urban expansion project in Edinburgh and Midlothian comprising up to 4,000 homes alongside other proposed amenities such as new schools, shopping, health and leisure facilities and community spaces.

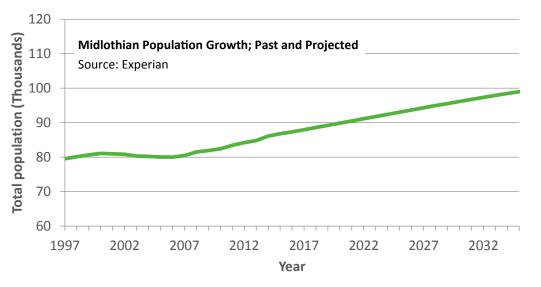
The development, which is already underway, will take around 20 years to complete with the first phase of housing development to build 170 homes at the Millerhill site to the south-east side of Shawfair is expected to be available from late 2016.

On land adjacent to Shawfair, house-building is expected to start at Danderhall South near to the existing Danderhall community in early 2017. This site will contain around 440 houses, to be built over the next five years from 2016.

#### **Parking Standards**

As previously explained, the document 'Midlothian Council Parking Standards' details the number of parking spaces to be provided as part of any new development. The population increase outlined above will require additional homes to be constructed and the parking standards document dictates how many new parking spaces will be provided.

The 20% to 25% increase in population in the period 1997 to 2032 will result in a similar increase in parking provision over the same timeframe.



#### Table 1: SESplan housing land requirements for Midlothian

Strategic Development Area	Housing Units (2009 - 2019)	Housing Units (2019 - 2024)
SE Edinburgh (Shawfair part)	100	350
A7/ A68/ Borders Rail Corridor	350	900
A701 Corridor	250	500
MIDLOTHIAN TOTAL	700	1,750





#### Main Town Centres and Bus Based Park & Ride

As the majority of parking provided by Midlothian Council is free and there are no time restrictions in any of the Council owned car parks, the town centres are often used as informal park & ride sites by commuters utilising good bus links from the adjacent town centres (especially Dalkeith, Loanhead and Bonnyrigg) into Edinburgh and by people working in Midlothian who are able to park for free all day, preventing turnover.

People wishing to use the local shops therefore often find it difficult to find available shortstay parking spaces within the town centres. This pattern is having a detrimental effect on the viability of local shops and on the local economy and this was highlighted by business representatives during the consultation process.

In the main town centres, such as Bonnyrigg, Dalkeith, Loanhead and Penicuik, there are typically the following key difficulties:

- there is a high incidence of long-stay car parking throughout the day on weekdays;
- there is no differentiation between short and long stay car parks; and
- there is significant unrestricted on-street parking within the town centres as well as extensive illegal parking which increases traffic congestion and reduces road safety.

However, in general, there is a plentiful supply of parking provision in town centres and the issue requiring resolution is not so much the lack of spaces, but the way in which they are managed and used.

That said, the extension of parking zones in Edinburgh may become an issue for Midlothian residents who currently use informal park & ride methods to get to work.

Parking is a huge issue for retailers in Dalkeith and Penicuik town centres as many currently use the free parking as informal park & ride sites. This is resulting in a lack of short-term parking for shopping trips.

#### **Parking at Schools**

Parking on roads surrounding schools is a common problem at both primary and secondary schools within Midlothian. There are many examples of inappropriate and selfish parking taking place in close proximity to school gates. Measures to manage the roads surrounding schools will always ensure that safety is the primary consideration. Traditionally, the School Keep Clear markings have been an advisory road marking that were laid expecting to discourage inappropriate parking.

It should be noted that parking demand surrounding schools is condensed into very short

periods of the day and is often worse in the morning, as pressure of time and available road space contribute to poor driver choices and behaviour. In the afternoons, it is becoming more common for parents/relatives to arrive earlier at the school gates to pick up their children which results in drivers protecting road space for longer periods of time.

#### **Industrial Estates / Business Parks**

Parking in industrial estates can often be problematic with a large number of employees choosing to travel by private car and then parking on surrounding surface streets. Insufficient parking at their destination will often put a pressure on surrounding roads which can then subsequently affect the free movement of vehicles, especially larger vehicles that deliver and uplift to commercial premises and be detrimental for customers.

#### **Retail Parks**

Whilst retail parks are largely based in out of town locations they inherently encourage trips by private car. There are many examples of these in the Edinburgh conurbation and arguably Straiton in Midlothian is an example of a retail park that has proven to be very popular for car based shopping journeys.

Sometimes cars parking to access these locations will overspill onto surrounding streets impacting on the operation of the network and causing congestion and safety concerns.







#### **Overview**

The town of Bonnyrigg, which was a mining village until the 1920s, lies on the B704 (High Street)/(Dundas Street) and the A6094 (Polton Street)/(Lothian Street) which cross at Bonnyrigg Toll. The town centre mostly dates from the 19th century, though buildings at the main crossroads were rebuilt in the 1960s. In 2006, Bonnyrigg town centre benefited from £1.5m of environmental improvements including the installation of natural stone paving, new street lighting and furniture.

Although outwith the Bonnyrigg area, Eskbank station is only one mile away and has reconnected Bonnyrigg to the national rail network.

#### **Key Parking Issues**

- Significant proportion of vehicles park for longer than 2 hours at Campview, High Street, Library and Scotmid car parks.
- Around a third (32%) of on-street parking is low turnover with vehicles staying for more than 3 hours.
- An element of on-street commuter parking in residential streets (Eskdale Drive, Moorfoot View and Waverly Crescent).
- On-street parking within the main retail / commercial parking area generally has a high turnover.
- Overspill illegal parking on double yellow lines from the Health Centre by staff and visitors.
- Parking on zig-zags and in bus stops close to local shops on Lothian Street near to Waverley Crescent.
- Non-delivery vehicles parking in loading bays

#### **Current On-street Waiting Restriction**

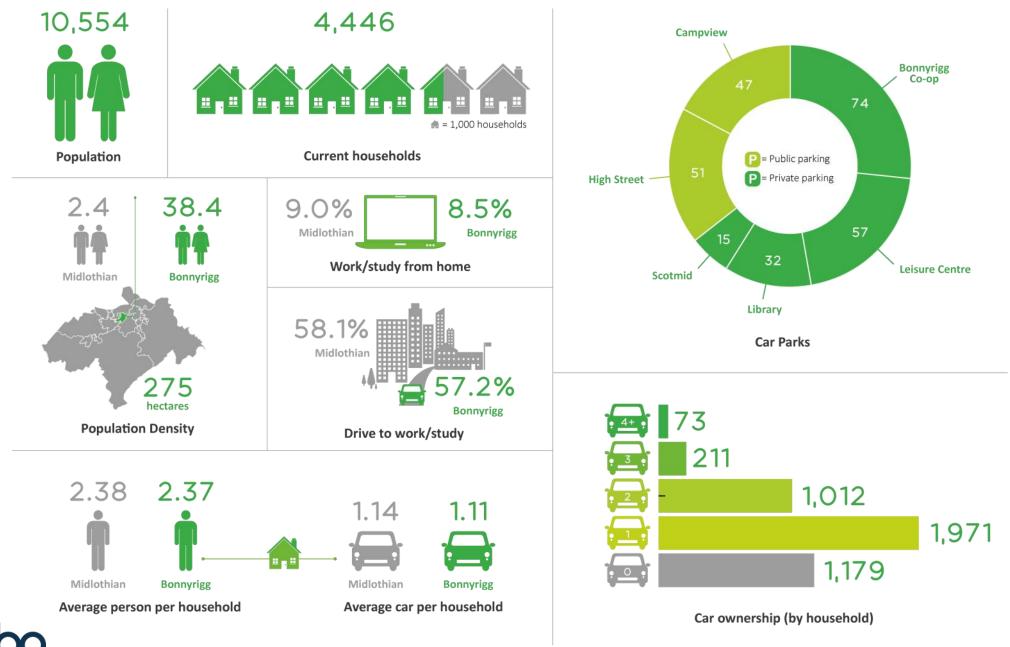
• Some locations in the town centre where parking is prohibited during the day (typically between 9am-6pm Monday-Saturday or restricted to 45 minutes)





### **Bonnyrigg - Demographics**





Midlothian Parking Strategy

17

Midlothian 🎾

The top figure shows the capacity of off-street car parks as well as occupancy on the surveyed weekday. The bottom figure shows the average duration of stay in each off street car park, on the surveyed weekday.

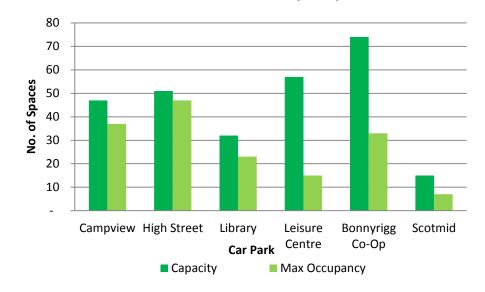
#### **Off-Street Car Park Usage**

Surveys of off-street car parks identified the following trends:

- A total of 276 off-street spaces were surveyed with the maximum observed occupancy 162 vehicles, 59% of capacity. This shows that there is significant parking capacity to meet demand in the area.
- Demand is highest in the Campview and High Street car parks, closest to the town centre. Although the average length of stay is between 3 and 4 hours, around 61% of vehicles at Campview and 48% at High Street stay for less than two hours and around 19 % and 22% respectively are assumed to be commuters who stay for more than 5.
- Larger car parks at the Leisure Centre and Co-op are significantly underutilised with occupants staying for much shorter periods, in both cases more than 90% of vehicles stay less than two hours.
- The Scotmid car park, although the smallest, has the highest proportion of long-stay parking suggesting it is being used by commuters or residents. Around one-third (36%) of vehicles arrive between 08:00 and 10:00 and stay for more than 5 hours.

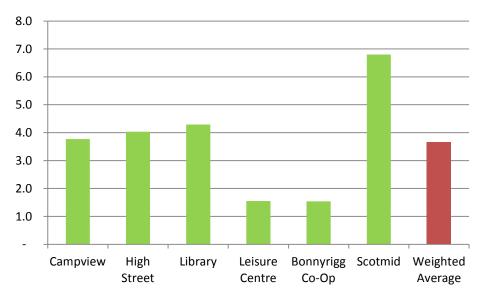
#### **On-Street Parking**

- Around two-thirds (67%) of vehicles parked on-street in Bonnyrigg stay for up to 2 hours with only a small proportion likely to be residents parked up all day (6% staying for more than 10 hours). Around 16% of vehicles park between 2 and 5 hours and 10% between 5 and 10 hours.
- The surveys found that only around 5% of vehicles parked at on-street locations are likely to be commuters; those assumed to arrive between the hours of 08:00 and 10:00 and stay for more than 5 hours.
- On-street locations where commuter parking occurs includes around the Health Centre, entrance and junction with High Street, around St Mary's Primary School, and on Waverley Crescent, potentially as a result of overspill parking from the cosmetic plant situated there.
- Around 10% of vehicles (97) parked on-street in illegal locations, predominantly double yellow lines, though the majority is for short periods only.



**Car Park Occupancy** 

#### **Average Duration of Stay**





#### Page 290 of 558



#### Overview

Dalkeith is the main administrative centre for Midlothian and includes the area of Eskbank. Until the new A68 bypass was built in 2008, it passed through Dalkeith making it one of the main routes between Edinburgh and Jedburgh and across the border. The rebuilding of the northern section of the Waverley Railway line reconnected Dalkeith to the national rail network, via Eskbank station, after more than 40 years.

#### **Key Parking Issues**

- Centralisation of council staff in the town centre has increased parking pressures (currently around 132 spaces for council staff across Midlothian House, Fairfield House, Golf Club and St Andrews Street).
- Use of the Morrison's car park for short stay parking by non-customers
- North Wynd and St. Andrews Street pay and display car parks are under-utilised. Since the North Wynd car was opened in 2011 motorist have parked in adjacent streets to avoid paying to park in the car park all day. Additional on-street restrictions have been introduced.
- Increased parking pressure on residential streets, such as Mitchell Street with some enquiries about making pay and display car parks free again or introducing a residents parking scheme.
- Parking around schools, such as King's Park Primary schools, causing operational and safety concerns.

#### **Current On-street Waiting Restrictions**

- Some locations in the town centre where parking is prohibited during the day (typically between 8.30am 6.00pm Monday to Saturday)
- Some locations in the town centre where the duration of parking is limited during the day (typically limited to up to one hour between 8.30am 6.00pm Monday to Saturday)

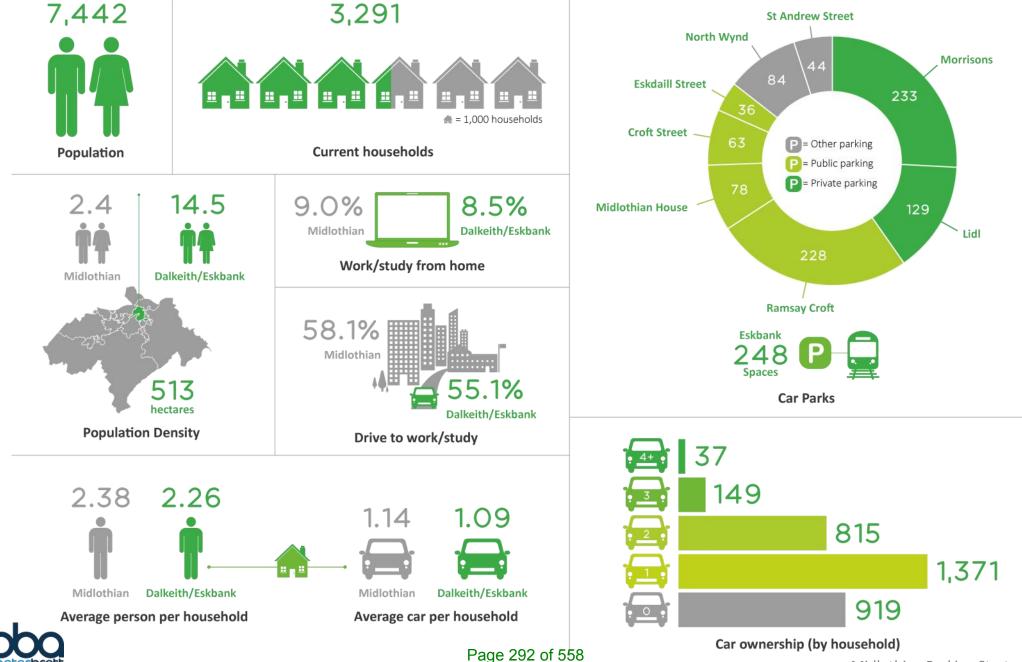




Page 291 of 558

### Dalkeith / Eskbank Demographics







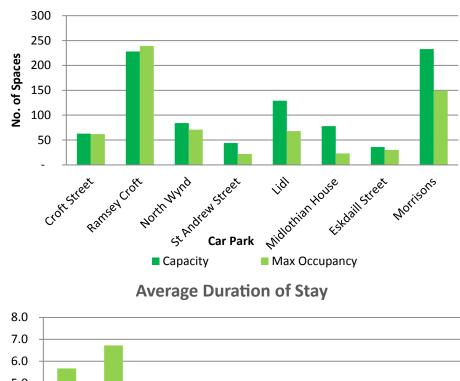
The top figure shows the capacity of off-street car parks as well as the occupancy on the surveyed weekday. The bottom figure shows the average duration of stay in each off-street car park on the surveyed weekday.

#### **Off-Street Car Park Usage**

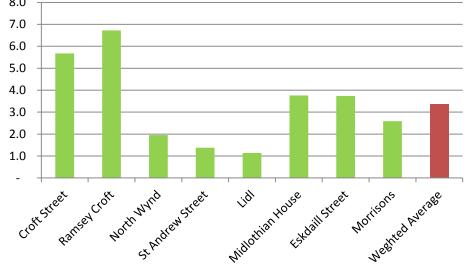
- A total of 895 off-street spaces were surveyed with the maximum observed occupancy of 664 vehicles, 74.2% of capacity. This shows that there is adequate parking capacity to meet demand in this area.
- Despite this, some car parks are under significant parking pressure with occupancy at, close to, or over capacity at some times during the day. Ramsey Croft car park is over capacity throughout the period 10:00 to 15:00 with Croft Street close to capacity (>90%) throughout most of the day.
- In both cases, a high proportion of vehicles park for periods of between 5 and 10 hours (Croft Street 38% and Ramsey Street 58%). It is assumed that a substantial number of users of these car parks are commuters, or employees working in Dalkeith town centre.
- Lidl and St. Andrew Street car parks have the shortest stays in duration. Around 99% of vehicles in the Lidl car park and 93% of vehicles in the St. Andrew Street car park stay for less than 2 hours.
- Morrison's car park is the largest car park in Dalkeith and one of the least utilised in Dalkeith reaching a maximum occupancy of 63.9%. Around 51% of vehicles in this car park stay for less than 2 hours.

#### **On-Street Parking**

- Around three-fifths (60%) of vehicles parked on-street in Dalkeith stay for up to 2 hours with only a small proportion likely to be residents parked up all day (7% staying for more than 10 hours). Around 17% of vehicles park between 2 and 5 hours and 16% between 5 and 10 hours.
- It is estimated that there are 871 on-street parking spaces in Dalkeith, of which the maximum occupancy in any one period was 521 vehicles, roughly at 59.8%.
- The surveys found that around 9% of vehicles parked at on-street locations are likely to be commuters; those assumed to arrive between the hours of 08:00 and 10:00 and stay for more than 5 hours.



**Car Park Occupancy** 





### Penicuik Parking Patterns



#### **Overview**

Situated on the west bank of the River North Esk, Penicuik is the largest settlement in Midlothian and lies on the A701 midway between Edinburgh and Peebles. It provides a gateway to the attractions of Midlothian, Edinburgh and the Borders

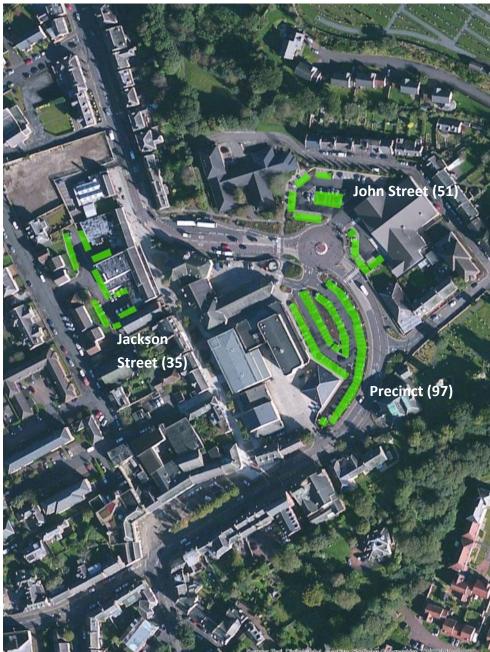
The town was originally developed as a planned village in 1770 and became a burgh in 1867. It was well known for its paper mills, the last of which closed in 2004. The Penicuik Centre, which opened in April 2007, includes a 25m swimming pool, health and fitness suites and a public library.

#### **Key Parking Issues**

- Significant proportion of vehicles parking long term in residential streets around Penicuik High School and Eastfield Industrial Estate.
- Around a quarter of parking in the Jackson Street car park is long-stay commuter (more than 5 hours).
- Some long-stay commuter parking over-spilling from John Street car park onto residential streets.
- Some long-stay commuter parking on strategic routes through the town.
- Some short-stay illegal parking on strategic routes impacting flow of vehicles and reducing capacity.

#### **Current On-street Waiting Restriction**

• Some locations in the centre of Penicuik where parking is prohibited during the day (typically between 8.30am to 6pm Monday to Saturday).

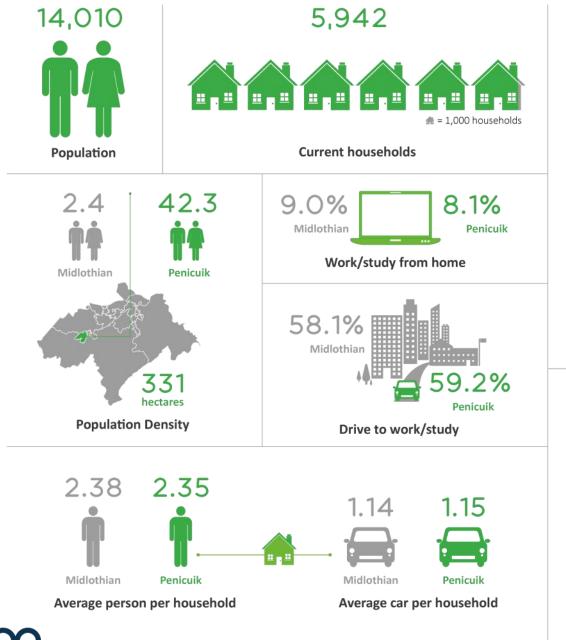


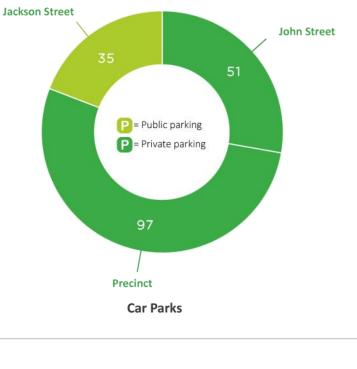
peterbrett

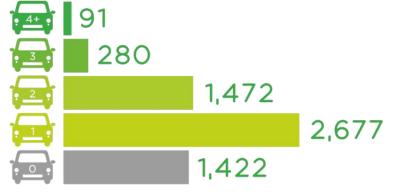
Page 294 of 558

### Penicuik Demographics









Car ownership (by household)





The top figure shows the capacity of off-street car parks as well as the occupancy on the surveyed weekday. The bottom figure shows the average duration of stay in each off-street car park on the surveyed weekday.

#### **Off-Street Car Park Usage**

Surveys of off-street car parks identified the following trends:

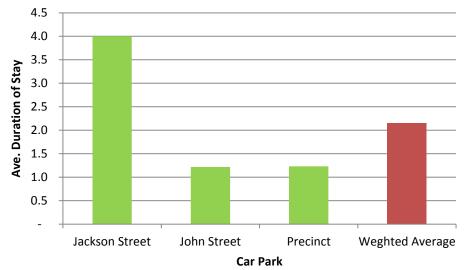
- A total of 183 off-street spaces were surveyed with the maximum observed occupancy of 150 vehicles, 82%. This shows that parking in Penicuik is relatively close to capacity in the area.
- Demand is high in all three car parks at peak times in Penicuik. The maximum occupancy is 77.1% in Jackson Street, 82.1% in John Street and 83.5% in Precinct car parks. Although, around 98% in John Street and 98% in Precinct car parks stay for less than two hours.
- The Jackson Street car park, although the smallest, has the highest proportion of long-stay parking suggesting it is being used by commuters and residents. Around a quarter (26%) of vehicles in Jackson Street car park are assumed to be commuters who stay for more than 6 hours.

#### **On-Street Parking**

- Around three-fifths (60%) of vehicles parked on-street in Penicuik stay for up to 2 hours with only a small proportion likely to be residents parked up all day (6% staying for more than 10 hours). Around 23% of vehicles park between 2 and 5 hours and 11% between 5 and 10 hours.
- It is estimated that there are 850 on-street parking spaces in Penicuik, of which the maximum occupancy was 260 vehicles, roughly at 30.5%.
- The surveys found that only around 5% of vehicles parked at on-street locations are likely to be commuters; those assumed to arrive between the hours of 08:00 and 10:00 and stay for more than 5 hours.
- On-street locations where commuter parking occurs includes the A701 Bridge Street/ High Street, Croft Street, possibly as a result of the high number of commercial premises in the area with little or no off-street parking and Imrie Road, potentially as a result of overspill from Penicuik Medical Centre.
- Around 3% of vehicles (23) parked on-street in illegal locations, predominantly double yellow lines, though the majority is for short periods only.



#### Average Duration of Stay



**Car Park Occupancy** 

### Gorebridge and Middleton Parking Patterns



Gorebridge and Middleton is located approximately 10 miles south of Edinburgh. Historically, Gorebridge was a mining town and at one time was one of the UK's largest producers of gunpowder. Its population is set to double over the next ten or so years with several new housing developments proposed or under construction and plans for a new community hub. The reopening of the Borders Railway in 2015 has further improved links to and from Gorebridge.

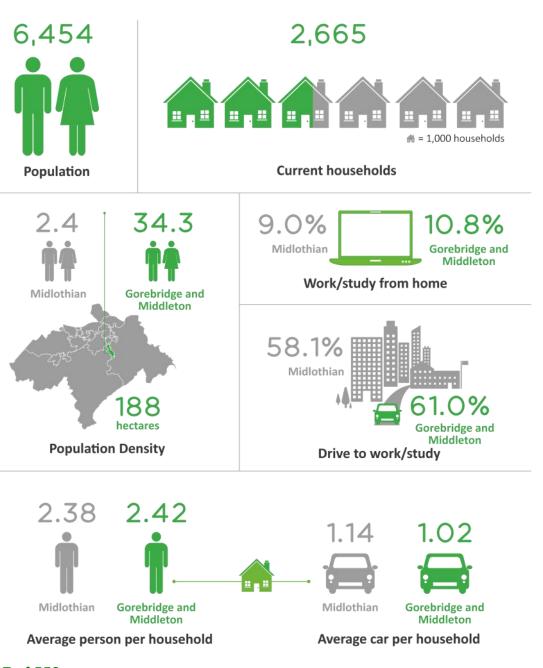
Parking restrictions in Gorebridge are mainly situated on the B704 Main Street / Station Road which is the main through route lined with local shops in some locations.

#### **Off-Street Car Park Usage**

- In total, there are a total number of 70 off-street parking spaces available in the Newbyres Car Park. On the day of the survey the maximum occupancy was 56 (80%) spaces between 10:00-11:00 in the morning.
- The average duration of stay in Newbyres car park is 2.7 hours, however, around two-thirds of vehicles (67%) stay for around 2 hours.
- Around 9% of all vehicles in Newbyres car park stay for between 5 to 10 hours suggesting they may be commuters working in or around the local area.

#### **On-Street Parking**

- Around three-quarters (72%) of vehicles parked on-street in Gorebridge stay for less than 2 hours with only a small proportion likely to be residents parked up all day (1% staying for more than 10 hours). Around 19% of vehicles park between 2 and 5 hours and 8% between 5 and 10 hours.
- The surveys found that only around 1% of vehicles parked at on-street locations are likely to be commuters; those assumed to arrive between the hours of 08:00 and 10:00 and stay for more than 5 hours.
- Around 10% of vehicles (14) parked on-street in illegal locations, all of whom were recorded parking on double yellow lines on Main Street or adjacent locations.





Page 297 of 558

### Loanhead Parking Patterns

Midlothian 🎾

Loanhead is an established town built on historic industries of coal and shale mining, limestone industry and the paper industry. The town is located approximately 20 minutes to the south of Edinburgh. Employment has diversified since the closure of the mines and mills and the area has benefited from a thriving main street and Straiton Business Park while also being a popular home location for those commuting to Edinburgh.

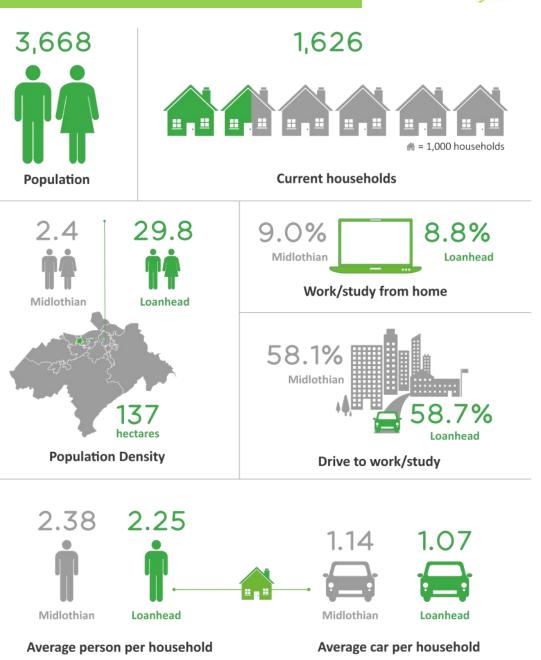
The top figure shows the capacity of off-street car parks as well as the occupancy on the surveyed weekday. The bottom figure shows the average duration of stay in each off street car park on the surveyed weekday.

#### **Off-Street Car Park Usage**

- In total, there are a total number of 39 off-street parking spaces in the Station Road Car Park. The maximum occupancy was 27 (69%) of these spaces between the hours of 14:00-16:00 hours.
- The average duration of stay in the car park is 4.0 hours with 27% of vehicles staying for between 2 to 5 hours. This would suggest that the car park is used by a mixture of shoppers, residents, Edinburgh commuters and individuals working within Loanhead.
- 8% of all vehicles utilising the Station Road car parks stay for between 5 to 10 hours which suggesting they are commuters.
- There is a shortage of off-street public parking locations in Loanhead, as demonstrated by the high volume of vehicles parking in inappropriate locations.

#### **On-Street Parking**

- About two-thirds (70%) of vehicles parked on-street in Loanhead stay for up to 2 hours with only a small proportion likely to be residents parked up all day (5% staying for more than 10 hours). Almost one-fifth (20%) of vehicles park between 2 and 5 hours and nearly one-tenth (8%) between 5 and 10 hours.
- The surveys found that only around 4% of vehicles parked at on-street locations are likely to be commuters; those assumed to arrive between the hours of 08:00 and 10:00 and stay for more than 5 hours.
- On-street locations where commuter parking occurs on Station Road suggesting that there is some over spill from Station Road car park and commuter parking on Church Street.
- A high proportion of vehicles, around 24% (104) parked on-street are in illegal locations, predominantly double yellow lines and a lesser extent in bus stops, though the majority is for short periods only.



Page 298 of 558

### Newtongrange Parking Patterns



Newtongrange is a former mining village in Midlothian located approximately 9 miles south of Edinburgh. The town has grown from its humble beginnings in the early 1800's to one of the largest mining villages in Scotland in the 1890's. Employment has diversified since the closure of the mine in the 1980's, with the opening of an industrial estate on the site of the old colliery and good links to Edinburgh including the reopening of the Borders Railway in 2015.

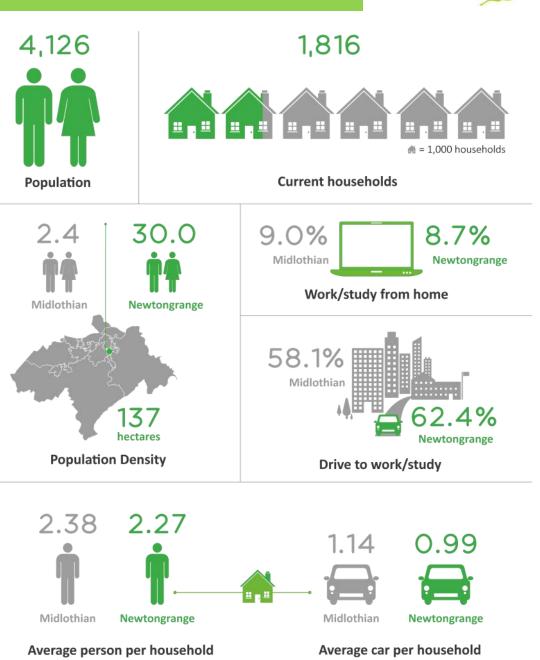
The top figure shows the capacity of off-street car parks as well as the occupancy on the surveyed weekday. The bottom figure shows the average duration of stay in each off-street car park on the surveyed weekday.

#### **Off-Street Car Park Usage**

- In total, there are a total number of 73 off-street parking spaces available in the Cooperative Car Park in Newtongrange. At the time of the survey, the maximum occupancy was 24 (33%) of these spaces between 10:00-11:00 meaning that there is capacity to meet demand in the area.
- The average duration of stay in this car park is 1.8 hours, this is 1.3 hours less than the weighted average of 3.1 hours throughout Midlothian. 87% of all vehicles parking in the Co-operative car park stay for less than 2 hours reflecting its usage as a short stay car park.
- The Co-operative car park has a high turnover rate largely reflecting its intended use for shoppers visiting the area.

#### **On-Street Parking**

- Nearly three-quarters (72%) of vehicles parked on-street in Newtongrange stay for up to 2 hours with only a small proportion likely to be residents parked up all day (4% staying for more than 10 hours). Around 12% of vehicles park between 2 and 5 hours and one-tenth (10%) between 5 and 10 hours.
- The surveys found that only around 4% of vehicles parked at on-street locations, close to commercial premises on Station Road and the B703 Main Street are likely to be commuters; those assumed to arrive between the hours of 08:00 and 10:00 and stay for more than 5 hours.
- About 7% of vehicles (19) parked on-street in illegal locations, predominantly double yellow lines, though the majority is for short periods only.





Page 299 of 558



#### **Easthouses Area**

- Primarily comprising public housing, Easthouses
   developed in the 1920s to accommodate miners for the nearby Easthouses Colliery and was significantly extended in the 1950s. Employment has diversified since the closure of the mines and the area is becoming increasingly popular for those commuting to Edinburgh.
- The area has a high population density with low car ownership.
- There are no parking controls in the area.
- Easthouses has a regular bus services linking the community to Dalkeith and Edinburgh. However, areas
   to the south suffer from poor accessibility compared to the rest of Midlothian.
- There are no local rail connections.
- Around 10% of people in the area work from home and walking and cycling to work is higher than the Midlothian average.

#### Newbattle and Dalhousie Area

- Newbattle and Dalhousie are villages located approximately 25 minutes drive to the south of Edinburgh City Centre in close proximity to the town of Bonnyrigg.
- The Newbattle and Dalhousie area has a high population density and high car ownership.
- Travel to work patterns in Newbattle and Dalhousie are in line with those of Midlothian as a whole although a relatively low proportion of people (7.5%) in the area working from home.
- There are no parking controls in the area.
- A bus service to Edinburgh is available in Newbattle from the B703 Newbattle Road.
- There are no railway connections in Newbattle or Dalhousie however, the new Borders Railway is accessible from within 2 miles of both villages at Newtongrange.

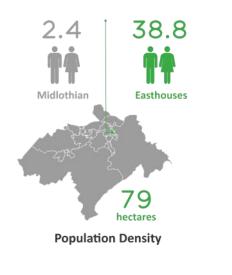
#### **Mayfield Area**

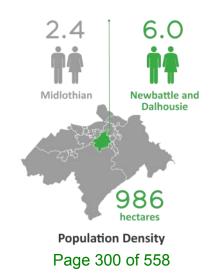
•

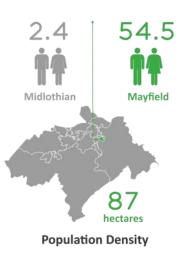
.

.

- Mayfield was developed in the 1950s to accommodate the overspill of collier workers for the nearby Easthouses and Newtongrange.
- The area has a high population density with low car ownership when compared to the Midlothian average.
- There are limited parking controls in the area.
- Mayfield has a regular bus services linking the communities of Dalkeith and Edinburgh.
- There is a local rail connection in neighbouring Newtongrange which opened in 2015 as part of the Borders Railway. The station operates two services per hour to Edinburgh City and Tweedbank.
- Travel to work patterns are typical of Midlothian as a whole although there is a higher than average propensity for people to get to work as a car passenger.









#### **Pentland Area**

- Pentland is located to the south west of Edinburgh. The
   area is well known for the Pentland Hills Regional Park
   and is popular for recreational activities.
- The area has a low population density with a high car ownership.
- There are no parking controls in the area.
- Pentland has a regular bus services making Edinburgh easily accessible.
- There are no local rail connections in the Pentland area. •
- Travel to work patterns in Pentland are in line with
   Midlothian as a whole with 18% of people choosing to use the bus service and 58% choosing to travel to work by car or van. Around 9% of people in the area work from home.

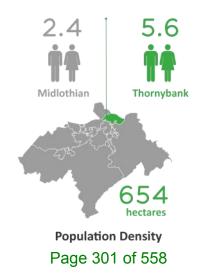
#### **Thornybank Area**

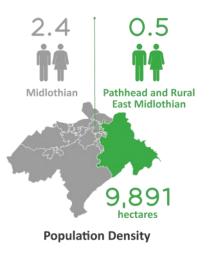
- Thornybank has a high population density with a low car ownership.
- Travel to work patterns in Thornybank differ from Midlothian as a whole with a high proportion (23%) choosing to use the bus and only 50% travelling to work by car. An additional high proportion get towork as a car passenger (6.1%) and almost 10% of people in the area travel to work by bicycle; the highest proportion of an • are in the County.
- There are no parking controls in the area.
- Thornybank has a regular bus service to Gorebridge, Bonnyrigg and Edinburgh.
- There are no local rail connections in the Thornybank with the closest rail station being Eskbank near Bonnyrigg.

#### Pathhead and Rural East Midlothian Area

- Pathhead is located in Rural East Midlothian, an area which is predominantly agricultural land. Pathhead is around 4 miles south east of Dalkeith and 11 miles south of Edinburgh. Historically, Pathhead grew with the construction of a linen mill and connections improved with the construction of Thomas Telford's designed Lothian Bridge on the 1830's.
- Pathhead and Rural East Midlothian area has a very low population density with a high car ownership.
- Pathhead has an almost hourly bus service between Edinburgh and Kelso. Rural East Midlothian is not as well served by bus services.
- There are limited parking controls in this area.
- Despite much of the area being relatively remote, travel to work patterns are typical of Midlothian as a whole. However, the proportion of people cycling is below the Midlothian average (4.8%) and the percentage working from home higher (11.9%).

2.4 Midlothian M





•



#### **Roslin and Bilston Area**

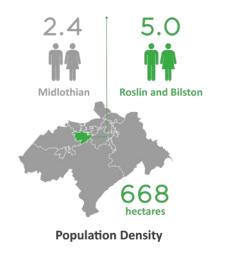
- Roslin and Bilston are two villages located approximately 7 miles south of Edinburgh. Roslin is a popular tourist destination as well as being home to the Roslin Biocentre, a 'centre of excellence' for life sciences and the location of a range of successful companies.
- Roslin and Bilston has a high population density with a high percentage of car ownership.
- Parking restrictions in apply in Roslin and Bilston. There are times parking restrictions in some locations of Bilston limiting parking to 30 minutes Monday to Saturday and no return within 90 minutes.
- Roslin and Bilston have regular bus services making Edinburgh easily accessible.
- There are no local rail connections in either Roslin or Bilston.

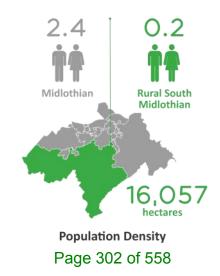
#### **Rural South Midlothian Area**

- Rural South Midlothian is a sparsely populated area predominantly consisting of agricultural land and small villages.
- Rural South Midlothian has a low population density with a high percentage of car ownership when compared to Midlothian.
- There is no regular bus service in Rural Midlothian. Lothian Community Transport Services run a bus service is in operation in and around Rural Midlothian.
- There is no local rail connections in Rural Midlothian.
- Due to the outlying nature of much of the area, the proportion of residents travelling to work is lower than most other parts of the County (15.5% which a high dependency on the car (60.1%) . The proportion of people cycling to work is also relatively low (4.9%).

#### Shawfair Area

- Shawfair is a brand new development built on the Monktonhall Colliery to the south east of Edinburgh. The proposed development will create 4,000 new homes and 1 million square feet of commercial and retail space over the next 20 years. The development is centred around the new Shawfair train station on the reopened Borders Railway.
- The area has a low population density with a high car ownership.
- There are currently no parking controls in the area.
- Shawfair has a regular bus service making Edinburgh easily accessible.
- There is a train service from the newly opened Borders Railway providing a service to Edinburgh every 30 minutes.
- Shawfair has a high percentage of people travelling to work by bus (21.8%) and a low proportion who cycle (4.6%).







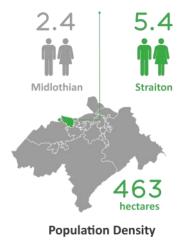
**Population Density** 

### Straiton



#### **Straiton Area**

- Straiton is a village located approximately 20 minutes south of Edinburgh. It is in close proximity to Loanhead in Midlothian. Straiton has become a popular destination for shoppers in recent years with the development of Straiton Retail Park which includes one of only two IKEA stores in Scotland.
- Straiton has a bus park and ride site with 230 car parking spaces and a regular service operates to Edinburgh.
- There is no train service available from Straiton or the surrounding area.









There are a number of common parking problems affecting Midlothian's towns and villages as summarised in the following figure:

#### **Overspill Parking**

- •School and Train Station overspill parking on nearby streets
- •Overspill parking from new developments and other locations affecting residential and nearby areas

#### Enforcement / Illegal Parking

- •Limited enforcement of existing restrictions leading to abuse
- •Illegal parking creating bottlenecks
- •Low turnover of on-street spaces - especially around town and commercial centres

#### Balance of Parking Supply

- Lack of long-stay parking provision / long-stay parking in inappropriate locations
- •Lack of balance between short & medium and longstay parking
- •Off-street car park capacity taken by commuters / traders with little for visitors

### General Parking & Loading Management

- Lack of Blue Badge parking
- •Lack of resident parking management in some areas
- Poor signage / lack of awareness of parking
- •Loading difficulties too few bays, poorly located bays, abuse of bays, double parking, etc.

Most of these problems can be partially or completely addressed by overarching parking policy measures that the Council can enact to change the way in which parking is controlled and managed across the whole of Midlothian. Other problems are more locally specific and require interventions that address that particular problem in that individual location. The remainder of the Parking Strategy sets out the policy measures that will be applied to address the overarching problems before defining a number of location specific interventions required to address the more significant parking hotspots across Midlothian.

However, firstly we define the objectives of the Parking Strategy in the context of the link to the identified problems and the national and regional policy context.





# **3. Strategy Objectives**



Page 305 of 558



#### **Definition of Objectives**

Based on the observed problems **four objectives** have been defined for this Parking strategy which are:

Objective 1 - to provide balanced and appropriate parking facilities that support the economic, environmental and accessibility requirements of towns of Midlothian; and

**Objective 2** - to maximise the efficient use of parking provision.

**Objective 3** - to provide a stimulus for economic activity

**Objective 4** - to assist with controlling air pollution

The fundamental **outcomes** underpinning these overarching objectives are:

- the delivery of parking supply that meets local demand whilst minimising the adverse impacts of parking;
- effective enforcement of parking restrictions,
- improved economic activity within town centres that retain their vitality, and
- controlled air pollution.

The table below shows the relationship between the objectives and the measures to tackle overarching parking problems identified at the conclusion of Chapter 2. This highlights where the measures would help to achieve the objectives.

	environmental and	<b>Objective 2</b> - to maximise the efficient use of parking provision.	<b>Objective 3</b> - to provide a stimulus for economic activity	<b>Objective 4</b> - to assist with controlling air pollution
Tackle Overspill Parking	$\checkmark$	$\checkmark$	$\checkmark$	$\checkmark$
Enforcement of Illegal Parking	$\checkmark$	$\checkmark$	$\checkmark$	$\checkmark$
Create Balance of Parking Supply (Long Stay v Short Stay)	$\checkmark$	$\checkmark$	$\checkmark$	$\checkmark$
Improve General Parking and Loading Management	$\checkmark$	$\checkmark$	$\checkmark$	





#### Link to LTS Objectives

The Parking Strategy is closely linked to the Local Transport Strategy (LTS) 2007—2010, which is still current, and it is consequently important to maintain consistency with it. The table below shows the linkages between the Parking Strategy objectives and LTS objectives.

	Objective 1	Objective 2	Objective 3	Objective 4
	Provide balanced and appropriate parking facilities that support the economic, environmental and accessibility requirements of towns in East Lothian.	Maximise the efficient use of parking provision.	To provide a stimulus for economic activity	To assist with controlling air pollution
1. To <b>widen travel choices</b> and make travel by more sustainable modes of transport more attractive than the private car, particularly at peak times.	$\checkmark$	$\checkmark$	$\checkmark$	$\checkmark$
2. To <b>protect the health</b> of the population	$\checkmark$			$\checkmark$
3. To reduce, and where possible, mitigate the effects of the transport system on the built and natural environment.	$\checkmark$			$\checkmark$
4. To <b>reduce the number of casualties</b> involving death and serious injury and ensure that the design of the transport system improves personal safety and minimises crime.		$\checkmark$		$\checkmark$
5.To <b>stabilise traffic growth</b> in line with national targets and secure more reliable journey times by all modes	$\checkmark$	$\checkmark$		
6.To ensure that transport networks are managed, maintained and improved so as to provide the quality of infrastructure that will meet the needs of all users.	$\checkmark$	$\checkmark$		
7. To improve integration between all modes of transport.	$\checkmark$	$\checkmark$		
8. To <b>enhance connections</b> between areas within Midlothian and provide improved links to the rest of Scotland and beyond.	$\checkmark$		$\checkmark$	
9. To <b>reduce social exclusion</b> by improving accessibility to jobs, education and services for all, and by all modes of transport.	$\checkmark$	$\checkmark$	$\checkmark$	





#### **Monitoring and Evaluation**

This Parking Strategy has been developed within the framework of the SEStran Parking Management Strategy which covers the whole SEStran area including Midlothian. This regional strategy has developed a three tier hierarchy of parking demand and management for towns across the SEStran area. Tier 1 towns have the strongest demand management and Tier 3 the weakest.

#### Measure 1 – Proactive Monitoring and Reporting

In order to fully understand the existing problems, issues and possible solutions to the control and management of parking within town centres, problem areas should be identified and monitored on a regular basis.

- <u>Tier 1</u>: Site investigation to be undertaken on an annual basis with car parking beat surveys commissioned to support monitoring regime;
- <u>Tier 2</u>: Site investigation undertaken once per two year period. Car parking beat survey commissioned if required; and
- <u>Tier 3</u>: Site investigation on an annual basis of known parking 'hotspots'.

#### Measure 2 – Reactive Monitoring and Reporting

Complaints from members of public, Councillors, shopkeepers, business users etc. should be investigated at the earliest opportunity and monitored.

• <u>Tiers 1, 2 and 3</u>: Complaints should be input to parking database. Problem should be investigated and actioned as necessary and the database reviewed annually for monitoring and correlation purposes.

All towns and villages in Midlothian, including Dalkeith, fall within the definition of a Tier 3 town suggesting that annual monitoring of parking hotspots is sufficient under measure 1. This ties in with the Council's aspiration to minimise the cost and resource requirements associated with collecting data to inform the monitoring and evaluation the parking policies set out in this strategy.

#### Outcomes

The following outcomes have been identified to monitor and evaluate against.

- Visible reduction in inappropriate parking at known hotspots (as determined through anecdotal site observations and spot-checks)
- Increased turnover of vehicles in town centre locations / on-street town centre locations (as determined through parking surveys at targeted locations)
- Perception of availability of parking spaces in town centres to access retail (as determined through anecdotal site observations and spot-checks)
- An increase in positive public perception of parking in Midlothian council (measured through a reduction in the number of complaints received from members of public, Councillors, shopkeepers, business users etc)



# Midlothian **A**Ĥ**H**Í ANGER 4. Parking Policy



Page 309 of 558

### **Parking Supply**



#### Introduction

This chapter sets out the Council's overarching parking policy for the whole of Midlothian in relation to issues such as on and off-street parking provision, short stay and long stay parking, enforcement, parking charges, waiting and loading restrictions, resident's parking permits, 'School Streets' and Blue Badge parking which were all identified as issues in Chapter 2.

Midlothian is subject to significant development proposals with sites currently committed for housing development anticipated to provide an additional 10,200 houses. This will lead to further pressures on parking in our towns and villages and underlines the need for a comprehensive, coherent and strategic approach to parking.

#### **Parking Supply**

The management of parking supply is crucial to ensure it is being used appropriately and that there is adequate capacity available in our towns and villages. We will apply a hierarchical approach to parking supply management which seeks to maximise the efficient use of existing parking provision first and foremost before considering the creation of additional parking capacity.

To achieve this we will consider parking demand in the area then ensure that there is adequate enforcement of the existing parking restrictions that are in place. The means proposed to achieve this is set out later in this chapter in relation to Decriminalised Parking Enforcement. If parking problems cannot be resolved by adequate enforcement we will seek to apply parking management strategies to alter the balance of parking supply in the area. In the case of on-street provision this could involve:

- removing / amending waiting restrictions;
- increasing the turnover of spaces;
- altering the balance between parking and loading in relation to areas with no waiting;
- physical interventions to create more or less formalised parking spaces; and
- the application of parking charges to generate more turnover.

With regards to off-street supply this can be managed by:

- increasing the turnover of spaces;
- changes to or introduction of waiting restrictions in car parks; and
- the application of parking charges to generate more turnover.

If these parking management techniques are unsuccessful in resolving parking problems then the Council will consider whether additional parking provision should be created. This would most likely be achieved through new or expanded car parks although, in some instances, there may be scope to increase on-street parking supply as well.

Parking Policy 1: The Council will apply a hierarchical approach to parking supply starting with the application of decriminalised parking enforcement then parking management and, finally, increasing parking provision if these other measures fail to resolve the problem.





### Parking Management and Enforcement



#### **Parking Management**

We have identified the need to ensure that short-stay and long-stay parking is adequately catered for in our town and village centres and that it functions in accordance with the role assigned to it. In general, on-street parking will be for the purposes of short-stay parking, especially in our town centres up to 60 minutes in duration, as it is essential that people have easy access to shops and services to maintain the economic vitality of our towns. Where there is insufficient on-street car parking to cater for all shoppers and other visitors to our town centres there will also be a need to designate off-street parking provision to short-stay parking as well. This will be assessed on a town-by-town basis, taking into account parking demand and provision. Medium and long-stay parking will also be accommodated in off-street car parks but these are more likely to be at the edge of or out of the town centre, as commuter parking delivers less economic activity to our town centres. Overall, the adjacent parking hierarchy model will be applied to parking in our towns wherever possible.

### Parking Policy 2: We will implement a parking management hierarchy in our towns.

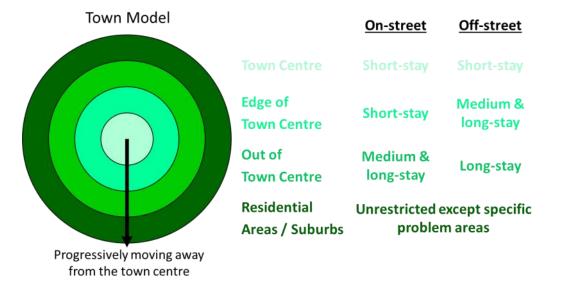
#### **Decriminalised Parking Enforcement**

As outlined earlier, the Council is currently applying to take responsibility for the enforcement of parking restrictions within its area. This is done through the implementation of



Decriminalised Parking Enforcement (DPE) which enables a local authority to takeover enforcement of parking restrictions from Police Scotland. When enacted the Council would also have responsibility for issuing Penalty Charge Notices (PCNs) to illegally parked vehicles. The Council would also retain the income from penalty charges to finance the ongoing costs of administering the operation, enforcement and adjudication of the DPE regime. Any surpluses would be used firstly for the provision and maintenance of off-street parking facilities and secondly for road improvement and public transport purposes in the local authority area.

It has been highlighted that a lack of enforcement of existing parking restrictions is a major problem which affects numerous settlements across Midlothian. The need for effective enforcement



has therefore been identified as a key requirement to the resolution of parking problems in our settlements. Through ongoing engagement it has become apparent that Police Scotland do not have sufficient resources available to deliver the level of enforcement required to resolve these issues. On this basis, the Council has taken a decision to take forward proposals to implement DPE in Midlothian.

The Council is preparing the Business Case and developing the necessary statutory documents to enable the implementation of DPE in the area.

### Parking Policy 3: The Council will seek to implement Decriminalised Parking Enforcement (DPE) in Midlothian.



### Charges, Restrictions and Resident's Schemes



#### **Parking Charges**

The Council currently charges at only two car parks in Dalkeith, as highlighted previously; we will keep this situation under review and may consider implementing charges in further car parks in the future

There is no intention to introduce charging in any of the other Council owned off-street car parks or for on-street parking at this time. In the event that DPE is implemented in Midlothian, as is intended, it will be funded through the

Penalty Charge Notices (PCNs) collected as a result of illegal parking. Any surplus income generated through these means will be allocated to schemes to improve public transport provision, further enhance the delivery of DPE, better management of our parking capacity and, only where no alternative provision can be made, for increased parking capacity.

No car parks will be designated as short / medium / long term stay; this will be controlled through parking charges.

#### Parking Policy 4: The Council do not intend to introduce charging for offstreet car parks or for on-street parking at this time. However, this situation will be kept under review to identify if the introduction of charges may be appropriate in the future.

#### Waiting & Loading Restrictions

There is currently some disparity across the Council area in terms of the waiting restrictions that are in place in each town and even within towns. There are several variations as to when parking restrictions apply with some Monday to Friday and some Monday to Saturday. Hours of control include 08:30 to 18:00, 08:00 to 18:00, 08:00 to 16:30 and 09:00 to 18:00 depending on locations.

Typically time-limited waiting restrictions around 30, 45 or 60 minutes. However, it is widely considered that a waiting restriction of less than 60 minutes is prohibitive to the general commercial viability and economic vitality of our towns and villages. Any time less than 60 minutes is felt to be too short to enable people to park in our town centres and undertake their shopping or other activities within a comfortable timeframe. Therefore, the Council intends to promote Traffic Regulation Orders (TROs) to move all towns with waiting restrictions to a standard 60 minute period. This is in line with the 60 minutes of free parking at otherwise fee paying car parks in Dalkeith. The council will not introduce waiting restrictions on residential streets unless there are mitigating circumstances.

restrictions in towns where the existing waiting restrictions are less than this. Towns with no waiting restrictions will not be affected at this time. The Council will not introduce waiting restrictions in residential streets unless there are exceptional mitigating circumstances.

The Council will keep the loading provision in our town centres under constant review to ensure loading bays are appropriately located, are sufficient in number, are not being abused and are generally meeting the needs of the commercial premises they serve. Where any local problems are identified, measures will be taken to remove or mitigate the problem.

### Parking Policy 6: The Council will keep loading provision in town centres under constant review and amend as necessary.

#### **Residential Parking**

Currently there are no Residents Parking Permit Schemes in place in Midlothian. A survey, which was carried out by Council officers in March 2013, found that a residents parking scheme covering Dalkeith town centre would not be welcomed nor would residents be willing to pay. Therefore, the Council have no immediate plans to introduce such schemes.

This, however, does not change the issue that some residents are being affected adversely by parking and that in the future this could be exacerbated by increased demand for parking, changes to town centre car parks, changes to on-street restrictions or the enforcement of parking regulations.

The Council will therefore, continue to examine the case for the introduction of new Resident Parking Schemes in areas where residents parking is affected by commuters and other competing short-stay and long-stay parking demands. Each situation will be reviewed on a case-by-case basis and the needs of all users taken into consideration when determining whether to make a scheme; including public demand and viability of the scheme through a business case analysis.

As the Council incurs administrative costs for the processing of applications and issuing of permits it is likely that a small charge for this service would be part of any future schemes.

Parking Policy 7: The Council will not introduce waiting restrictions in residential streets unless there are strong mitigating circumstances and a business case has been made that proves a scheme is financially viable.

icy 5: The Council will introduce standard 60 minute werage 312 of 558





#### **Maximum Parking Standards**

In accordance with national planning policy (Scottish Planning Policy Document addendum to NPPG17 'Transport and Planning Maximum Parking Standards') there is a requirement to apply maximum parking standards to new developments. New Scottish Government policy and guidance 'Designing Streets' has drastically changed street design and some of the previous standards used by local authorities are now considered inappropriate.

With this in mind the Council have produced <u>'Midlothian Council Parking Standards'</u> which seeks to provide policy and guidance, specific to Midlothian, taking into account our urban and rural environments, road safety, and encouragement of sustainable/green modes of transport.

SEStran (South East of Scotland Transport Partnership) have also published <u>parking standards</u>, based largely on accessibility, and these have also been taken into consideration.

The Council complies with both the national and regional parking standards as defined in Scottish Planning Policy and the SEStran Regional Transport Strategy respectively and will continue to do so. The Council also has its own Midlothian specific parking standards which form part of the Standards for Development Roads published in 2008. These are applied for local developments which do not meet the requirements of the regional or national standards.

The standards seek to strike a balance between limiting accessible car parking; to encourage walking, cycling and public transport use and road safety concerns caused by migration of overflow parking into surrounding areas. Road safety issues are particularly relevant in areas where parking enforcement is not regular.

Parking Policy 9: The Council will apply national and regional parking standards where appropriate and apply its own local parking standards where developments do not meet the requirements for these standards.

#### Blue Badge Parking

The Disabled Persons' Parking Places (Scotland) Act 2009 requires local authorities to identify all existing advisory disabled street parking places and, for those still needed, to promote Traffic Regulation Orders (TROs). For those that are no longer required then the Act requires the local authority to remove any road markings or sign posts. In relation to disabled off-street parking, local authorities are required to promote a



TRO covering the disabled persons' parking places in its own public car parks. The Act also requires each local authority to contact and seek to negotiate arrangements with owners of, or person having an interest in, private car parks including supermarkets and out of town retail centres. Securing an arrangement enables the local authority to promote an order to make the disabled persons' parking places in private car parks enforceable. In addition, individuals or organisations holding a disabled persons' badge can apply to the local authority for a disabled persons' street parking place. Under current legislation blue badge holders are able to park on yellow lines as long as they do not park on "no loading at any time" restrictions or cause obstructions.

The Council is still in the process of taking forward measures to comply with its statutory requirements under the Act and will continue to do so during the lifetime of this strategy. In particular, we will seek to promote TROs to ensure all advisory disabled parking places are enforceable to maintain consistency with our proposals to enhance enforcement of parking restrictions in Midlothian through the implementation of DPE as outlined previously. We will also undertake ongoing reviews of disabled parking provision in our town centres to ensure it is sufficient, appropriately located and is meeting the needs of users.

The Midlothian Council Parking Standards specifies that whilst private spaces are not required to be enforceable, it is recommended that they are marked with statutory markings to enable a Traffic Regulation Order to be made at any time thereafter.

Parking Policy 10: We will continue to undertake measures to ensure compliance with the Disabled Persons' Parking Places (Scotland) Act 2009 and will continually review the provision of Blue Badge parking in our town centres.



Page 313 of 558



#### Park & Ride and Modal Shift

The Council will work with ScotRail to develop more sustainable travel patterns by ensuring that adequate Park & Ride provision is available at stations wherever possible taking into account demand at the station and their accessibility by walking and cycling. More widely, we will also explore opportunities to increase Park & Ride provision at new or existing sites to cater for journeys into Edinburgh and also, potentially, into our major town centres by public transport. The justification for

available within the centre itself;



- implementing Park & Ride will be based upon:
  The need to provide access to a town centre without increasing the parking supply
- Enabling the amount of parking in a town centre to be reduced to accommodate other developments;
- Removing long-stay parking and commuters from town centres; and
- Reducing traffic on roads leading to the town centre and relieving congestion.

### Parking Policy 11: The Council will support additional appropriate Park & Ride provision, wherever possible.

We will also endeavour to ensure that Park & Ride car parks are used for this purpose and not by commuters to nearby employers or other such inappropriate uses. To do this we will seek to implement a system of car park charges which are refundable when users purchase a ticket for travel. ScotRail are already rolling out this policy across other station car parks where misuse by non-train users has been identified and we will work with them to deliver a similar system in Midlothian.

Parking Policy 12: We will endeavour to ensure Park & Ride car parks are used solely for this purpose and not used for long-stay parking by non-

#### travellers or other purposes.

The Council will seek to ensure that public transport is not delayed or hindered by illegal parking in our towns or villages through a combination of reviewing existing restrictions and the implementation of more rigorous enforcement through DPE.

### Parking Policy 13: We will continue to give priority to public transport by ensuring that it is not hindered by illegal parking.

#### **Event Management & Utilities**

The Council are routinely required to provide parking related services in relation to events, such as the Dalkeith Show, Midstock and various gala days (we have a full list of these) and the suspension of parking during public utilities roadworks on the carriageway. These activities require Council Officers time both planning for the parking management in advance and delivery of it on the ground at the time. The Council consequently incurs costs for undertaking these activities which it will seek to recoup through the application of charges for parking event management services and suspension of parking for public utilities works. The fees will be determined on an event by event basis, depending on the level of input required.

Parking Policy 14: The Council will apply charges for its parking services in relation to event management (temporary traffic orders) and public utilities works requiring on-street parking suspension.

#### **Electric Vehicle Charging Points**

Electric vehicles represent an increasingly realistic option in terms of future car ownership and travel; they have the potential to contribute substantially to an overall reduction in CO2 emissions, improved air quality and delivering sustainable development.

The Council will support the implementation of infrastructure to encourage the use of electric vehicles including provision of public charging points. There are currently thirteen charging points in Midlothian and the Council are committed to extending charging facilities across council property, monitor the Development Management application register, encourage private developers to consider the issue in pre-planning application



### Car Club, Signage, Footways and Parking Zones



#### **Car Club Spaces**

Car clubs provides the convenience of owning a car without the hassle or costs of repairs, servicing or parking. Members can book cars locally for just an hour, up to a whole weekend, or longer.

Currently within Midlothian car clubs options are limited, although Enterprise acquired City Car Club in April 2015 and has since been operating a car club as part of the Enterprise CarShare network.

There is only car club space in Midlothian, situated in Dalkeith.

The Council intend to set up access to membership of City Car Club for Midlothian Council employees and develop proposals for vehicles at new railway stations through discussions with City Car Club (Enterprise) and Scotrail.

Parking Policy 16: The Council will continue to support the provision of Car Club parking spaces across Midlothian.

#### Signage

We will raise awareness of parking provision in our town centres through provision of appropriate information and directional signage. This will help to direct people to the most appropriate car park for them depending on whether they intend to park for a short-stay, medium-stay or long-stay. It will also reduce 'searching time' where traffic causes severance, noise, pollution and congestion whilst driving around our town centres looking for parking spaces. Primarily this will involve improvements to street signage and road markings but we will



also continue to keep under review the case for introducing Variable Message Signs (VMS) which provide real time information on the availability of parking spaces (see the adjacent example).

Parking Policy 17: The Council will implement improved signage to guide drivers to appropriate parking spaces in our towns.

#### **Parking on Footways**

The Scottish Parliament is currently considering legislation to introduce new national regulations to tackle problems caused by drivers parking on footways and at dropped footways, etc. and by double parking of vehicles. The Bill is designed primarily to enable freedom of movement for all pedestrians, maintaining their safety, cut down damage to footways, reduce the blockage of passage of emergency and service vehicles, and provide clarity for road users, the police and parking attendants.



Parking Policy 18: We will implement appropriate measures associated with the Footway Parking and Double Parking (Scotland) Bill.

#### **Controlled Parking Zones (CPZs)**

These require that all roads are covered either with waiting restrictions or parking places. Generally, waiting restrictions cover roads and junctions where parking is dangerous or the carriageway must remain unobstructed. Parking places are normally time limited and can be free or charged. Signs are provided at the entry and exit of CPZs to inform drivers of its extent and hours of operation. CPZs help give priority to residents and local businesses, who must display a parking permit or voucher. They are most appropriate in areas with various competing demands for parking and where it outstrips supply. The main aim is to discourage commuter and long-stay parking. In Midlothian, the application of CPZs will be considered where these competing demands exist and a structured approach to parking management is required. Comprehensive enforcement is critical if CPZs are to operate effectively and the introduction of DPE will be a fundamental requirement prior to any CPZs being created.

The use of Controlled Parking Zones offers advantages in comparison to Resident Parking Schemes as it allows spaces in the area to be used by both residents and non-residents.

Parking Policy 19: We will continuously review the need to introduce Controlled Parking Zones in Midlothian.





#### **Parking at Schools**

The Council will introduce measures to manage the roads surrounding schools will always ensure that safety is the primary consideration. Traditionally, the School Keep Clear markings have been an advisory road marking that were laid expecting to discourage inappropriate parking but there is still significant non-compliance. Zig-zags at schools marked "School Keep Clear" are now legally enforceable if accompanied by a sign to make them a TRO.

### Parking Policy 20: The Council will promote a Traffic Regulation Order to allow enforcement to take place around schools.

#### Cycle Parking

Installing cycle parking is key to encouraging and allowing the public to use bikes for more of the everyday journeys they make. Promoting active travel has many benefits in the community and our towns and cities, including better health, lower emissions and air pollution. Introducing cycle parking also compliments new initiatives around car parking in the local authority area and will help provide the public with an alternative mode of transport to the private car.

Parking Policy 21: Cycle parking will be installed in the close vicinity of key public buildings, including schools, health centres and community centres. This will be reflected in Midlothian Council's forthcoming Active Travel Strategy which will use cycle parking standards in line with Cycling by Design (Transport Scotland, 2010).

#### **Motorcycle Parking**

Midlothian council will provide designated space for motorcycles at no charge . There are few existing standards for motorcycle parking, however Midlothian Council will supply facilities in line with Sestran Parking Standards which states ;

"Residential cycle and motorcycle parking should consist of designated spaces with appropriate stands for cycles to be locked to. Provision should be covered and secure. At nonresidential locations covered provision is less important but facilities should still be appropriate and secure. Good visibility and lighting will usually be sufficient to ensure security".

Parking Policy 22: Midlothian council will provide designated space for motorcycles at no charge and in line with Sestran Parking Standards.

#### **HGV Parking**

The SEStran Freight Action Plan explains that a number of Local Authorities raised concern about inappropriate HGV parking relating to littering, noise pollution from vehicle movement and refrigerated trailers running generators all night plus importantly that of driver and vehicle security.

Although there are no dedicated HGV parking facilities in Midlothian which provide food and driver washroom facilities, drivers can pass through the area in a relatively short period meaning there may be limited demand. Some of the large industrial estates in the area may provide a function in terms of overnight parking but there are no service stations.

Parking Policy 23: Although there are no specific plans for providing dedicated facilities for HGV parking, the Council will consider any low cost initiatives for utilising existing public parking areas within towns during the night time hours for Heavy Goods Vehicle parking.

#### **Industrial Estates / Business Parks**

Parking Policy 24: Midlothian Council will influence the location of new industrial activities to ensure they are suitably located. We will also encourage employers to prepare staff travel plans to reduce the impact on public roads.

For existing estates, Traffic Regulation Orders will be considered to control the right of passage and safety on public roads. The focus will be on controlling road space in the vicinity of industrial estates to ensure that safe passage is available for all road users.

#### **Retail Parks**

Parking Policy 25: The Council will consider introducing appropriate restrictions on the access roads associated with retail parks to control road space in the vicinity of retail parks to ensure that safe passage is available for all road users.







## 5. Strategy Implementation & Interventions



Page 317 of 558

### Framework for Implementation



The delivery of the Parking Strategy is based upon a hierarchical approach to our settlements with extensive measures being applied in our larger towns where parking problems are more acute as previously identified. The overarching solutions proposed for each settlement are shown adjacent along with outline timescales for implementation. The solutions have been grouped under three main categories which include:

- implementation of minor measures to reduce demand for parking, resolve localised difficulties and ensure that Traffic Regulation Orders (TROs) are appropriate and enforceable;
- identification and implementation of a strategic hierarchy of parking designation in line with the model defined in Chapter 4; and
- introduction of enforcement mechanisms which will ensure that the measures implemented through the previous two elements are adhered to.

Progressive increase in scale of interventions						
Demand Management Measures	TRO Amendments	Bottleneck Removal	Localised Measures at Problem Areas	Designate Waiting Restrictions for Off-street Parking	Resolve On- street Difficulties & Designations	Introduce DPE & CPZs
Short	Short	Short	Short	Short	Short	Short - Medium
Short	Short	Short	Short	Short	Short	Short - Medium
Short - Medium	Short - Medium	Short - Medium	Short	Medium	Medium	Short - Medium
Medium - Long	Medium - Long	Medium - Long	Medium			Short - Medium
Minor inte	erventions im	plemented f	or all tiers	Strategic H	lierarchy of	Introduce Effective Enforce- ment Measures
	Management Measures       Short       Short       Short       Short       Medium       Long	Demand Management Measures       TRO Amendments         Short       Short         Short       Short         Short       Short         Short       Short         Medium       Medium         Medium       Medium	Demand Management Measures     TRO Amendments     Bottleneck Removal       Short     Short     Short       Medium     Medium     Medium       Medium     Medium     Long	Demand Management Measures       TRO Amendments       Bottleneck Removal       Localised Measures at Problem Areas         Short       Short       Short       Short       Short         Medium       Medium       Medium       Medium	Demand Management Measures       TRO Amendments       Bottleneck Removal       Localised Measures at Problem Areas       Designate Waiting Restrictions for Off-street Parking         Short       Medium       Medium       Medium       Medium       Medium       Medium       Develop       Strategic H       Strategic H	Demand Management Measures       TRO Amendments       Bottleneck Removal       Localised Measures at Problem Areas       Designate Waiting Restrictions for Off-street Parking       Resolve On- street Difficulties & Designations         Short       Medium       Medium       Medium       Medium       Medium       Image: Short       Short

#### ogressive increase in scale of interventions

Staged Implementation

Indicative Timescales



Short Up to 3 years Medium Between 3 to 6 years Long Between 6 to 10 years

Page 318 of 558



#### **Demand Management Measures**

This would involve implementation of locally specific measures intended to encourage modal shift from cars to walking, cycling and public transport. This helps to reduce demand for parking and the pressure on the available parking facilities.

Whilst we have shown indicative timescales for the implementation of demand management measures across the settlements, opportunities should be taken whenever they arise to facilitate modal shift. As such, this should be an ongoing process across all the settlements. In particular, the development management process is a means through which sustainable travel can be encouraged on a continuous basis as proposals are brought forward and implemented.

#### **TRO Amendments**

The purpose of this element is to ensure that the TROs which are in place are appropriate, and robust and to amend their extent where necessary. In particular, many minor problems can be addressed through the implementation of new or amended waiting restrictions.

It is also essential that TROs are legally enforceable to ensure that people cannot exploit loopholes which allow them to park illegally or which inhibit the ability to penalise illegal parking. This is of fundamental importance prior to implementing a Decriminalised Parking Enforcement regime.

Midlothian Council undertook an exercise to validate all TROs in 2016 and shortly after began to make changes to lines and signs on the ground. A new set of map-based Consolidated Orders will be prepared prior to DPE powers being implemented.

#### **Bottleneck Removal**

This requires localised bottlenecks to be removed from the network to ensure smooth traffic flow and reduce the occurrence of congestion. In some instances this may necessitate reducing or moving parking provision where it is creating problems on the carriageway. In addition, clearways will be used to ensure unhindered access into our town centres.

#### **Localised Measures at Problem Areas**

Many parking problems are caused by localised circumstances in a given area. They are consequently best addressed through tailored interventions in the local area.

In particular, on-street parking problems are frequently associated with overflow parking from locations like schools and railway stations. These are some of the main problems in the

smaller settlements and require fairly localised solutions to resolve them. This can often be facilitated by simple measures without the requirement for significant investment.

These problems can consequently be addressed as 'quick wins' although the priority placed upon them should be proportionate to the level of problem that they create and the strategic importance of the location.

#### **Designate Waiting Restrictions for Off-street Parking**

For the larger settlements off-street parking provision will be designated in line with the strategic parking hierarchy defined previously. A key requirement will be the identification of the existing parking stock available within a location and then allocating it to short, medium or long stay parking depending upon its situation and most appropriate function within the town.

Indicative time allocations for off-street parking which will be used are:

- Short-stay: free up to 60 minutes; and
- Other times— controlled by tariff.

#### **Resolve On-street Difficulties & Designations**

This involves the creation of balanced on-street parking provision which takes account of the demands placed upon it by the area. In particular, it is necessary to ensure sufficient kerbside space is allocated for loading, buses, blue badge and resident parking where appropriate and that it is located in a sensible position. This is a key aspect in the designation of on-street parking provision.

The permitted duration of stay for on-street parking closest to local shops and services should be consistent throughout the local authority area and encourage a high turnover of vehicles. The Council intends to limit all on-street parking, in marked bays, to 30 mins (no return within two hours). This is deemed sufficient time for people to visit local shops and services with those wishing to stay longer reverting to off-street locations (car parks).

At other locations, such as the key routes into and out of towns, on-street parking can cause delays to traffic during the day but is less problematic at other times. On some routes parking will be prohibited between 08:00 and 18:00 (7 days or Monday to Saturday) keeping routes free for traffic but allowing parking outwith these times for use by residents and / or businesses with an evening / night-time presence (for example, restaurants).



#### Introduce DPE & CPZs

The introduction of Decriminalised Parking Enforcement (DPE) in Midlothian will lead to the Council being responsible for enforcing waiting restrictions across the whole Council area. The introduction of DPE is the cumulative product of the other components of the parking strategy and will ensure that it operates as intended. Once the Council take on the powers there is no hand-back option.

Part of the process of applying for DPE powers requires consultation to be undertaken and the Council have engaged with key stakeholders and the public throughout the process, and as required. In general, there has been support for the Council taking on DPE powers with most of those engaged acknowledging the benefits it can bring.

An Option Appraisal exercise identified that a full DPE operation (enforcement and processing) should be externally resourced through a formal arrangement and service level agreement with the City of Edinburgh Council.

This would involve extending the contract and geographical scope of the existing Edinburgh DPE operation, which is well defined and has mature operating experience. Capital costs to the Council are minimised as the enforcement is a bolt on to an existing operation and the back-office processing is already in place and enforcement could be undertaken by an external team, limiting the involvement of Council resource and reducing management burden. Both enforcement and processing would simply be extended rather than set-up from scratch and would be included in a Service Level agreement over a defined period.

This option would still require some involvement for Midlothian Council staff (i.e. to deal with over-the-counter cash payments, challenges and appeals).

A Business Case has been prepared which predicts that DPE will not result in any financial gain for the Council but they have deemed the cost associated with running a DPE scheme to be worthwhile in relation the benefits it brings (see opposite).

The Business Case is based on a number of assumptions about future parking behaviour once DPE is implemented which are hard to accurately predict. However, once the Council have DPE powers they can chose to undertake enforcement however they see fit, altering the level of enforcement to minimise the financial deficit as required.

Similarly, they can alter enforcement to meet any of the Parking Strategy objectives, for example, focussing on parking around schools on in town centres with particular problems.



#### **Benefits of Decriminalised Parking Enforcement (DPE)**

Implementing DPE can be introduced to facilitate the management of roads; improve network capacity, improve economic viability and opportunity; improve road safety; and deliver sustainable transport solutions. It can also contribute to:

- delivering community regeneration by increasing short-stay parking opportunities in town centres and reducing congestion arising from illegally parked vehicles, to enhance access to shops and businesses and create a sustainable and successful local economy;
- a high quality natural and built environment;
- assistance in the development of well-connected communities with increased use of sustainable forms of transport.
- improving the quality and accessibility of public transport;
- meeting the needs of disabled people, some of whom will be unable to use public transport systems and depend entirely on the use of a car; and
- improved community safety by improving compliance with parking restrictions at pedestrian crossings, schools and junctions where visibility can be restricted by illegally parked vehicles.





# 6. Delivery Plan



Page 321 of 558



#### **Timescales for Implementation**

The interventions set out in Chapter 5 will be taken forward and implemented in accordance with the indicative timescales it defines. This focusses the immediate actions upon the larger settlements with a sliding scale of delivery where the simpler, easier to deliver measures are implemented initially and the more large-scale interventions are implemented over a longer timeframe. Subsequently, the smaller settlements will be the focus for latter attention once the main interventions in the larger settlements have been implemented.

It is anticipated that the strategy will be implemented over a period of up to 10 years with the majority of interventions in the larger settlements being scheduled for the initial 3 year period then implemented fully over the period up to 6 years. In the smaller settlements, most interventions will be implemented in the 3 year to 10 year period.

#### Funding

The measures will be delivered making use of existing Midlothian Council capital and revenue funding budgets and any additional funding sources that can be identified during the lifetime of the strategy. In addition, to support the implementation of Decriminalised Parking Enforcement (DPE), the Business Case examines the range of funding options and scenarios that are available to enable a commercially viable scheme to be delivered. This may lead to additional funding sources being identified and / or delivery of a DPE scheme. It is not envisaged that it will create an operating surplus that could assist in implementing other elements of the Parking Strategy. The Council will seek to explore all potential funding opportunities to support delivery of this Strategy.







#### **Automatic Public Conveniences**

#### Reported by John Blair, Director Resources

#### 1 Purpose of Report

The purpose of this report is to explore further the option of installing automatic public conveniences across a range of sites in Midlothian as agreed by Council on 26 September 2017.

#### 2 Background

At the meeting on 26 September 2017 the Council considered a report entitled Midlothian Public Conveniences by the Director Resources.

Following consideration of the report the Council agreed to

- a) Note the options as set out in report.
- b) Option 2 as set out in the report, i.e. to keep the five public conveniences open with reduced staffing levels.
- c) Receive further reports in relation to the option of automated facilities.

In the intervening period the Director Resources has taken steps to implement Option 2 as agreed by the Council which keeps all 5 public conveniences open, reducing the staffing levels from 2 full time equivalents to 1.07 full time equivalents and reduce staffing cover to the following functions and hours of operation.

Open	Clean	Clean and Close	
08.30 - 09.30	12.00 – 14.00	16.30 – 19.00	

#### 3 **Present Locations**

Presently there are five public conveniences located in Midlothian situated at:-

	Average Daily Usage	Average Daily Usage	Annual Usage
Location	Mon-Fri	Sat-Sun	
Penicuik, Bank Street, EH26 9BG	140	49	41,496
Loanhead, Station Road, EH20 9RQ	76	14	21,216
Bonnyrigg, Woods Court, EH19 3JR	146	92	47,528
Gorebridge, Hunterfield Road, EH23 4TS	15	14	5,356
Dalkeith, Eskdaill Court, EH22 1AG	280	185	92,040
Total	657	354	207,636

As previously reported the facilities are prone to vandalism and the table below details the amount of days in 2016/17 when the public toilets have been closed due to vandalism:-

Location	Total Days Closed
Bonnyrigg Public Toilets	84 days
Dalkeith Public Toilets	66 days
Gorebridge Public Toilets	12 days
Loanhead Public Toilets	5 days
Penicuik Public Toilets	27 days
Total	194 days

Furthermore on Sunday 5 November 2017 the toilets at Dalkeith were set on fire and extensive interior damage occurred.

The estimated costs of returning this facility to a reusable condition is estimated to be in the region of  $\pounds 10,000$  and will take approximately six weeks to complete.

These repairs have been put on hold pending consideration of this report coupled with the financial position facing the Council in the current year.

In the interim the Director Resources has reached agreement with the Art Centre and Morrisons Supermarket to allow access to their existing toilet facilities.

#### 4 Review of Public Conveniences

It is proposed to close all five existing public conveniences and to market the resultant vacant land where possible. Furthermore it is proposed to install new automatic self-cleaning, opening and closing public conveniences in the 3 town centres of Bonnyrigg, Dalkeith, and Penicuik. Examples and full details of these units in appendix 1 of this report.

For clarity the proposal as costed and set out in this report is for a one cubicle facility.

In Loanhead the Paradykes Hub would be available for the public to use allowing the closure of the Loanhead facility. In Gorebridge the Gorebridge Hub would be available for the public to use this allowing the closure of the Gorebridge facilities. In the short term the Leisure Centre would be available.

The operation of the Automated Facilities at Dalkeith, Bonnyrigg and Penicuik are self-cleaning, opening and closing. There would still be a need to check the facilities daily and to replenish supplies and collect money etc. This would be overseen by existing members of the Facilities Services Team. Income would be generated by charging 20p admission fee. Current usage is estimated at approximately 180,000 users per annum at the three locations. Based on an estimated drop in usage of 50% following introduction of a charge, income is estimated at:-.

Projected No's	Charge	Projected Yearly Income
90,000	20p	£18,000

However at this stage it is challenging to predict income levels and the Director Resources would establish the necessary monitory arrangements.

#### **Report Implications**

#### 5.1 Resource

Council on 26 September 2017 approved reducing the Public Toilet service as set out in section 2 of this report.

The option of complete closure of all existing facilities and to install new automatic self cleaning, opening and closing public conveniences in the 3 town centres of Bonnyrigg, Dalkeith, and Penicuik would result in a additional full year revenue saving of £46,700 however an initial £289,000 one off investment would require to be made in order to purchase the 3 new automatic public toilets.

Note the additional allocation of £289,000 of capital costs in the General Services Capital Plan will increase the overall level of debt outstanding (which is already significantly above the cap set by the Council) and will have a corresponding increase in loan charges as shown in the table below.

	Baseline Budget	Required Full Year Budget
Employee Costs	£27,000	£0
Premises Costs	£53,000	£30,000
Transport Costs	£2,700	£0
Supplies and Services	£1,000	£1,000
Loan Charges	£0	£24,000
Income	£0	£(18,000)
Total	£83,700	£37,000
Saving		£(46,700)

It is envisaged that this proposal would not be in place until 2018/19 due to the requirement to consult on locations to obtain planning permission, installation of services and the delivery of the units.

#### 5.2 Indicative Timescales

Tabled below are the projected timescales for the planning and installation of the new automated units.

										We	ek Co	mmei	ncing									
Procedure	De	с			Jar	ı				Fel	C			Ma	ar			Ар	r			
	4	11	18	25	1	8	15	22	29	5	12	19	26	5	12	19	26	2	9	16	23	30
		1					1	1		1		1	1	1		1	1					1
Report to Council																						
Identify Sites																						
Procure Units																						
Planning Permission																						
Ground Works																						
Install Services																						
Unit Delivery and Install Dalkeith																						
Unit Delivery and Install Bonnyrigg																						
Unit Delivery and Install Penicuik																						
Contingency																						
Go Live																						

#### 6 Risk

A risk assessment of the cleaning standards for has been undertaken.

Income may be less than projected depending on public usage.

Overall any changes to the public toilet position may lead to criticism of the Council.

#### 6.1 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

Community safety

Adult health, care and housing

Getting it right for every Midlothian child

Improving opportunities in Midlothian

Sustainable growth

Business transformation and Best Value

None of the above

#### 6.2 Impact on Performance and Outcomes

The review of public conveniences will alter the way in which the services are provided and if approved public access to facilities could be reduced.

#### 6.3 Adopting a Preventative Approach

Provision of facilities in town centres adds to the range of services offered and may influence public choice in where to visit.

#### 6.4 Involving Communities and Other Stakeholders

Full consultation will be undertaken with staff, local members and publicity campaign will operate alongside the option of automated public conveniences if approved.

#### 6.5 Ensuring Equalities

An equalities input assessment has been carried out.

#### 6.6 Supporting Sustainable Development

Changes to the way in which public conveniences are operated will contribute to the overall financial viability of the Council.

#### 6.7 IT Issues

There are no IT issues arising from this report.

#### 7 Recommendations

The Council are recommended to:

- a) note the option of automated toilets set out in this report
- b) instruct the Director Resources to progress the installation of the automatic public conveniences located in Dalkeith, Bonnyrigg and Penicuik
- c) to close Loanhead and Gorebridge facilities with a view to marketing the sites for future development and if this proves unsuccessful then the buildings would be demolished.

#### 20 November 2017

Report Contact: Craig GillieTel No 0131 561 5260E-mail craig.gillie@midlothian.gov.uk

#### Background Papers:

#### Appendix 1: Automatic Toilet Specification and Operations

Midlothian Council Resources Director

# **Automatic Toilet Specification and Operations**



#### **Automatic Cubicle Specification Summary**

#### **Interior Dimensions**

- DDA compliant minimum dimensions of cubicle 2.2m \* 1.5m
- Ambulant Cubicle 1.5m by 1.5m

#### Materials

- Cubicle Lined full height in Trespa Virtuon.
- Non Slip aluminum extrusion floor
- High security stainless steel door
- Roof in Trespa or equivalent

#### Automation

- Diagnostic computer and remote Fault detection and relay
- Full Bowl, wall and floor wash after each user
- Weight Plate to prevent door closing with less than 30kg or more than 130kg inside (adjustable)
- Anti-Bacteria atomizer to operate once per day
- Automatic remote locking/unlocking
- Vandal detection high pressure spray
- Smoke detection and sprinkler system

#### Specification

- Stainless Steel Toilet Bowl
- Automatic hand washing unit
- No-Touch toilet flush sensor
- High specification baby change facilities
- Automatic Toilet paper dispenser, positioned in service area

#### Page 328 of 558

- Stainless steel mirror
- Two stainless steel coat hooks per cubicle
- Automatic ventilation system

User Considerations

- Door open and lock buttons by automatic electronic operation (LED ILLUMINATED) including Braille
- Sliding door
- Two emergency exit buttons by automatic electronic operation
- DDA compliant Toilet Alarm
- Automatic lighting on entry
- Emergency lighting in the event of power failure
- External coin plate indicating 'in service', 'vacant' or 'out of service'
- Validator coin system capable of managing different denominations
- RADAR key operation for disabled access
- Computer controlled operation to allow 15 mins usage
- 24/7 access
- External signage
- External lighting

#### **Cubicle Technical Specification**

The fully self-cleaning automatic toilets provide a clean, safe and economic alternative to traditional toilets. The specification provides each user with the best possible environment within the bounds of a public toilet. It simultaneously provides the best environment to stop antisocial behaviour and vandalism.

#### User Experience

An external visual display provides instructions to the user on entry into the toilet. Users can enter by a simple coin entry or via a RADAR key (DDA cubicle only).

Once inside, the user will receive full audio instructions on the use of the toilet. Occupation is limited to fifteen minutes, at which point the door will open after an audio warning.

Users entering the toilet with a RADAR key will render inoperative the restricting control features of the unit during their period of occupation.

- Timed access restriction is not operated
- The weight plate is disconnected

In this way, a wheel chair user can be accompanied.

Exit is typically afforded through a simply press of the illuminated and Braille 'exit' button positioned beside the door. In the DDA cubicle, two further buttons marked 'SOS', positioned at mid and floor level beside the toilet bowl will also operate the door.

In the unlikely event of an emergency, it is possible for an approved third party to enter the toilet via two separate and independent methods. In the first instance, it is possible to send a simple pre coded SMS text message to the toilet, which will instruct the system to release the valve holding the door closed. This text can be sent by the Council, the emergency services or other

third party. Secondly there is a manually operated switch which can be accessed by the emergency services.

#### **Remote Operation, Diagnostic and Fault Repair**

The cubicles are fitted with two-way modems that can send as well as receive messages. The communication system is cellular so does not require the installation of a telephone line.

The operator of the toilet can monitor a cubicle activity remotely, can request that it performs certain actions, for instance 'open the door', 'run through a clean cycle after next user' or 'switch off'. All actions that occur, for instance 'cleaner on site' or 'vandal attack' are all logged.

The cubicles are fitted with fault sensors which trigger messages via the unit modem both to the provider. The Council can monitor this activity on the Web. In the event of minor problems, (for instance, a door jammed open), the engineer can run through a number of fault repairing routines remotely in order to rectify the problem. In the event of this not working, the engineer is then dispatched to fix the problem. Cleaning

All cubicles are fitted with a standard 'break the beam' flush. In the event that the user exits without having flushed the toilet, this will operate automatically.

All our cubicles are fitted with a bowl, wall and floor wash. This can either be operated either on the number of users or at certain times of day.

The wash is activated by the user leaving the cubicle and the door shut, once there is zero weight on the floor and the "across the bowl" infra-red sensor is satisfied that the cubicle is empty the walls are washed to 1 meter high using a combination of water and disinfectant. The second stage of the cleaning involves the toilet bowl, a panel situated behind the toilet bowl opens and upon contact with the edge of the toilet bowl sprays a combination of water and disinfectant to the inside and outside of the bowl. If the toilet has not been flushed manually it automatically flushes at this point. The toilet will continue to be cleaned until the washing equipment reaches ninety degrees and the whole toilet has been washed, then a large volume fan operates to dry the bowl, the washing equipment will return across the bowl to dry and return into it's rest position in the wall. The third stage of the cleaning involves the cleaning of the floor, at the end of the bowl wash two panels either end of the cubicle open a floor level allowing the floor washing equipment to enter, the equipment transverses across the floor spraying a mixture of water and disinfectant and pushes any debris left on the floor into a receptacle in the service area. Once the washing equipment has reached it's full stroke the water and disinfectant mixture is turned off and the equipment returns back across the floor removing any excess water.

#### Paper Dispenser

It is proposed to fit automatic paper dispensers in each unit, which will give a pre-defined amount of paper per user to limit malicious use.

#### Weight Sensitive Floor

As standard, all cubicles are fitted with a floor based on load cells. The unit is calibrated to allow a certain weight on the unit, if the minimum weight is not reached, for an example a small child enters the toilet the door will not close likewise if the maximum weight is reached, for example a group of people enter the toilet the door will not close. Both these parameters can be altered to the Councils wishes but are factory set at 30kg minimum and 130kg maximum. This feature is easily switched off if requested by the Council.

If the RADAR key is used this will turn off the maximum weight setting and the occupancy time to allow a disabled person and helpers to enter the toilet.

#### Washbasin Unit

The washbasin is designed to maximise ease of use, while aiming to reduce utility costs through wasteful action. It serves soap, water and hot air into a stainless steel basin, which are automatically triggered by proximity switch. In the event of the user exiting the cubical during the water or air cycle, the service will immediately stop. The sink is designed to allow a wheel chair to enter under the sink thus allowing easy access without being too far away while washing hands.

The sink also incorporates a system for the collection of needles, if a needle is thrown into the sink it falls through a chute into the service area into a collection point for easy removal to a sharps box.

#### **Fire Dousing Equipment**

Sinks, Bowls, Litter bins are all potential fire traps for the energetic vandal. These are fitted with smoke and heat detectors and associated sprinkler equipment. If the detector senses smoke or heat it immediately opens the door for the egress of the person and triggers localised solenoids to operate to dowse the area in question. A signal from our monitoring equipment is immediately sent to the Engineer and our operations service centre.

#### Vandal Resistance

All materials used are highly vandal resistant.

- The walls are made from Trespa Virtuon, which is the market leading fire resistant (class "O"), hard wearing. The material is resistant to scratching, acid, alkali and graffiti can be easily removed.
- The toilet bowl can be in stainless steel
- All buttons are fully encased and resistant to menace. They also incorporate a visual ring of "LED" lamps to indicate the status of the button.
- All services into the cubicle are not accessible from within the cubicle
- The roof and lighting are well protected and built to withstand vandalism.

In the event of the robust movement sensor being triggered by extreme and violent movement within the cubicle, the door automatically opens, a high pitch alarm will sound and a fine water jet thoroughly soaks the interior of the unit. A signal is also sent by the monitoring equipment to the local Engineer and operations service centre.

As part of the maintenance contract, the supplier will repair all damage caused by vandalism.

#### **Automatic Lighting and Heating**

The cubicles will only be lit and the heaters on within the interior of the unit when it is occupied. This is backed up with emergency lighting in the event of power failure, and double cubicle lights to allow for local bulb failure.

#### **Automatic and Definable Locking**

The units are fitted with electronic locking which is infinitely flexible and reliable. It is assumed the units will be operating twenty four hours, but the toilets can operate to any variation of times which the Council specify.

In addition, all cubicles are fitted with timers which will automatically open the door after an audible warning and twenty minutes have elapsed. This can be programmed to the Council requirements.

#### **RADAR operation**

All users entering using a RADAR key will disable the majority of the control features of the unit during their period of occupation. In this way, a wheel chair user can be accompanied and spend as long as required in the unit.

#### **Compliance with Legislation & Specification**

The DDA units comply with Disabled Discrimination Act 2005 and Building Regulations.

#### The Interior of an Automatic Public Toilet





#### Midlothian Council Small Grants Allocation 2018/19

# Report by Dr Mary Smith, Director Education, Communities and Economy

#### 1 Purpose of Report

This report is asking the Council to approve the recommendations of the Small Grants Programme for the funding of Voluntary and Third Sector organisations in 2018/19.

#### 2 Background

- **2.1** In June 2014 the Council approved a set of recommendations following a review of Council grants (part of the wider review of Services to Communities) to establish a three-year grants programme for small and large grants from 2015/16 to 2017/18. The review was prompted by a need to focus on the areas of greatest need for the Council's resources and services and to ensure a more focused approach, as part of a wider agenda of financial savings.
- **2.2** The Small Grants Programme has an annual budget allocation of £150,000 and funds individual projects up to £3,000. The Small Grants Programme is made up of four separate funding streams. Each stream has a grant stream lead, an allocated budget and set criteria for assessment a copy of the guidance and criteria for all streams is included in **Appendix 1** of this report. The small grant streams are:
  - i) Developing Communities, including Community Councils;
  - ii) Employability, Learning, and Training
  - iii) Health and Physical Activity
  - iv) Poverty
- **2.3** On 15 December 2015 Council agreed that Gala Day funding of circa. £10,000 be considered as a separate funding stream outwith the Small Grants Programme: and the Head of Commercial Operations to be responsible for the future management of Gala Day funding.
- 2.4 On 28 June 2016 Council agreed to allocate the £40,000 annual Poverty Stream to the priority communities of Dalkeith/Woodburn, Mayfield/ Easthouses and Gorebridge in the 2017/18 small grant round and beyond, using a participatory decision making process and gave governance for officers to use this money to apply for external match funding. The Communities Team is developing a participatory budgeting programme for the targeted areas for 2017/18 and 2018/19 and has secured an additional £40,000 grant from the Scottish Government's Community Choices Fund to support this work. The programme will involve working with the Child Poverty Action Group and 11 local primary schools to reduce the cost of the school day.
- **2.5** On the 27 June 2017 Council discussed the future of Voluntary Sector Grants. A reduction to the overall grants budget is one of the proposals being considered as part of the current budget challenge. At the meeting the

- **2.6** Due to the decisions agreed in Section 2.3, 2.4 and 2.5 the Small Grants fund available to apply for in 2018/19 was £100,000.
- 2.7 Between August and October 2017 a small grants communications plan was delivered. The promotion included adverts in the local press, a social media campaign, correspondence to existing grant recipients, communication via Third Sector networks, promotion at funding events and face-to-face meetings to ensure that community groups received the support they needed to apply for a small grant see Appendix 2.

#### 3 **Report Implications**

#### 3.1 Resource

From the overall budget of £100,000 the Small Grants Programme recommends the following allocation for each of the grants streams;

Grant Stream	Budget	Requested	Awarded
Developing Communities	30,000	102,044	30,054
Community Councils	10,000	11,103	8,369
Employability, Learning and Training	20,000	41,782	19,371
Health and Physical Activity, including junior football clubs	40,000	122,564	32,476
Total	100,000	277,493	90,270

A full breakdown of the proposed awards is available in **Appendix 3**.

#### 3.2 Risk

The Review of Council Grants has been risk assessed and these risks are included in the Council's Risk Register. The Small Grants Programme provides financial support to a range of local organisations, many of whom are struggling financially because of a reduction in funding from public bodies and other grant providers. The risks for these organisations include a reduction in staff and volunteers, increased pressure to fundraise from other sources, loss of external funding leverage and a reduction in services. The Small Grants Programme helps to mitigate against these risks.

#### 3.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

- Community safety
- $\boxtimes$  Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- Sustainable growth
- Business transformation and Best Value
- None of the above

#### 3.4 Key Priorities within the Single Midlothian Plan (SMP)

The SMP has directly informed the criteria used to assess and award all of the small grant applications for 2018/19.

#### 3.5 Impact on Performance and Outcomes

The proposed small grants allocation will be monitored to help ensure that the allocation of small grants will support the outcomes identified in the SMP.

#### 3.6 Adopting a Preventative Approach

Prevention is part of the criteria for all grant streams. All applications were assessed by the scoring panels against this criterion.

#### 3.7 Involving Communities and Other Stakeholders

The review of Council Grants used a co-production approach with the Third Sector. Many of the criteria and processes in the Small Grants Programme have been informed by this process.

#### 3.8 Ensuring Equalities

A full Equality Impact Assessment was undertaken as part of the Council's review of grants in 2014. The approved recommendations are now embedded in the three year small grants programme. The grants panels carefully assess the applications against the Council's equality duties. The funded organisations are required to monitor equalities and take positive action to promote access for equality groups.

A further Equalities Impact Assessment was completed on the 24 August 2016. The assessment concluded that the Small Grant Programme is compliant with the Council's Equalities Duties and will have a positive impact on equalities groups in Midlothian.

A full Integrated Impact Assessment was completed on the 13 November 2017. The assessment concluded that the Small Grant Programme will have a positive impact on equality groups across Midlothian.

#### See Appendix 4.

#### 3.9 Supporting Sustainable Development

The Small Grants Programme funding will help maintain the Voluntary and Third Sectors in Midlothian. With reductions in public sector funding, the Voluntary and Third Sector have an important role in developing communities, reducing inequalities and addressing social isolation.

#### 4 Summary

**4.1** The Small Grants Programme 2018/19 is a key part of the Council's overall contribution to Voluntary and Third Sector organisations. It therefore remains a Council commitment to support local organisations in Midlothian. The programme has been promoted across Midlothian, and the applications have been carefully assessed against the Council's agreed criteria. The poverty stream has been reallocated to the priority areas, allowing officers to use this resource to attract additional external funding.

#### 5 Recommendations

- **5.1** It is recommended that Council:
  - i) approves the recommended grant awards as set out in Appendix 3 of this report (subject to meeting the appropriate conditions of grant); and
  - ii) acknowledges the significant contribution that Voluntary and Third Sector organisations make to communities across Midlothian.

Date 24 November 2017

Report Contact:	Stephen Bermingham, Senior Communities Officer
Tel No. 0131 271 3338	stephen.bermingham@midlothian.gov.uk

Appendix 1: Small Grants Guidance and Criteria

Appendix 2: Small Grants Communications Plan

Appendix 3: Small Grants Proposed Awards

- i) Developing Communities
- ii) Community Councils
- iii) Health and Physical Activity
- iv) Employability, Learning, and Training

Appendix 4: Small Grants Integrated Impact Assessment

#### Community Councils 2018-19

Organisation	Spend	Amount Item 8 Requested	Amount 13 Awarded
Midlothian Federation of CC	Core running costs, notice boards, CP workshop	£1,400.00	£1,400.00
Tynewater Community Council	Notice boards	£1,100.00	£1,100.00
Rosewell & District CC	Meeting room hire, stationery, data protection fee, marketing materials, website maintenance, travel costs, , laptop, donation to calendar	£844.00	£844.00
Gorebridge CC	General running costs, memorial, calendar	£2,300.00	£800.00
Damhead CC	General running costs, contribution to big lunch, survey of bing to create species list, refreshments for litter pick, actions to implement NP	£680.00	£680.00
Penicuik & District CC	General running costs, citizen of the year - buffet, flowers and memento, wreath for remembrance day	£585.00	£425.00
Mayfield & Easthouses CC	All in one computer & package, tablet	£1,373.98	£400.00
Newtongrange Community Council	Administrative expenses, Information Commissioner's Annual Fee, Remembrance Wreath	£370.00	£335.00
Bonnyrigg & Lasswade CC	Minutes, Agendas production and mailings. Letters of representation. Stamps and photocopying.	£300.00	£300.00
Dalkeith & District CC	Core running costs	£300.00	£300.00
Danderhall & District CC	Administration costs	£300.00	£300.00
Loanhead & District CC	General running costs	£300.00	£300.00
Mayfield & Easthouses CC	General running costs	£300.00	£300.00
Moorfoot CC	Room rentals, Newsletter expenses	£300.00	
Tynewater Community Council	Council expenses, notice boards	£300.00	£300.00
Bonnyrigg & Lasswade CC	Volunteer costs to maintain and upgrade website, Two Remembrance wreaths, Information commissioners	£350.00	£285.00

Organisation	CC Area	Spend	Amount Requested	Amount Awarded
Midlothian Foodbank	Midlothian Wide	A contribution towards Assistant Foodbank	£3,000.00	£3,000.00
		Manager salary costs.		
Beeslack Family Disabled Club	Midlothian Wide	Contribution towards Coordinator Post for the club to develop a programme for people with disabilities and their families.	£2,943.36	£2,943.00
Edinburgh Rape Crisis	Midlothian Wide	1 to 1 support for survivors of sexual	£2,999.00	£2,500.00
Centre		violence in Midlothian. A contribution towards support worker, volunteer expenses and room hire.		
Danderhall/Newton Community Youth Project	Danderhall	Start up costs for a youth work project in Danderhall. Item 8.13	£3,000.00	£2,100.00
MAEDT	Mayfield and Easthouses	Lunch club for elderly and isolated members. Volunteer driver mileage, lunches and minibus hire.	£1,772.00	£1,772.00
Grandparents Parenting Again & Kinship Carers	Midlothian Wide	Contribution towards staffing costs to support kinship carers.	£3,000.00	£1,500.00
Midlothian Community Media Association	Midlothian Wider	Contribution towards the running costs of Black Diamond FM.	£2,900.00	£1,450.00
Lothian Veterans Centre	Midlothian Wide	Contribution towards staffing costs and catering for a new service for the partners of veterans.	£3,000.00	£1,250.00
Rosewell Development Trust	Rosewell and District	Volunteer expenses and training for community projects.	£3,000.00	£1,240.00
Bonnyrigg Rose Charitable Society	Bonnyrigg and Lasswade, Poltonhall and District	Support to older people's group. Membership contribution and contribution towards running costs.	£1,800.00	£1,200.00
Pathhead Youth Project	Tynewater	Contribution towards staffing costs and community projects.	£1,566.00	£1,000.00
Mayfield & Easthouses Men's Shed	Mayfield and Easthouses	Contribution towards men sheds costs.	£845.25	£845.00
Poltonhall Scottish Pensioners Association	Poltonhall and District	Transport costs to support older isolated residents.	£1,210.00	£760.00
Gorebridge Community Cares - Big Lunch	Gorebridge	Community celebration and neighbours lunch in Auld Gala Park.	£1,500.00	£750.00
Roslin Men's Shed	Roslin and Bilston, Penicuik and District	Contribution to start up costs for a men's shed project.	£1,525.00	£750.00
The Crescent Playgroup	Dalkeith and District, Mayfield and Easthouses, Newtongrange	Indoor and outdoor children's equipment.	£3,000.00	£640.00
Cousland Smiddy Trust	Tynewater	Telephone, internet, accountancy fees, postage, printing, fuel, minor repairs, companies house registration	£2,350.00	£500.00
Danderhall & Newton Old Peoples Welfare	Danderhall	Contribution towards Christmas event for isolated old people.	£2,000.00	£500.00
Gorebridge Community Cares - Santa Event	Gorebridge	Contribution towards community Christmas event.	£1,525.00	£500.00
Midlothian Youth Platform	Midlothian Wide	Contribution towards youth participation events.	£1,400.00	£500.00
Penicuik Silver Band	Penicuik and District	Hall hire, conductors expenses, insurance, music purchase, drum kit, instrument	£3,000.00	£500.00
		repairs, uniform purchase		

Edgehead Village Committee	Tynewater	Contributions towards gardening project, village day, community speed watch	£620.00	£420.00
Bilston Senior Youth Club	Roslin and Bilston	initiative to improve the village. Arts and crafts, sports and games, issue based experts, iPad mini 2	£689.00	
Bilston Youth Club	Roslin and Bilston	Contribution towards materials for the youth club.	£739.00	£350.00
Bonnyrigg Playgroup	Bonnyrigg and Lasswade, Poltonhall and District	Contribution towards venue costs.	£2,962.90	£350.00
Dalkeith Horticultural Society	Midlothian Wide	Contribution towards venue costs.	£630.00	£315.00
Carrington Village Hall Association	Moorfoot	Contribution to maintaining village hall.	£500.00	£250.00
Pathhead Scottish Women's Institute	Tynewater	Hire of pavilion and venue costs	£450.00	£250.00
Midlothian Muslim Community Centre	Midlothian Wide	A contribution towards community event.	£2,850.00	£225.00
Danderhall Playgroup	Danderhall	Children's wet weather clothing.	£3,000.00	£210.00
Midlothian World History Society	Midlothian Wide	Talking History - hire of venue for monthly         meetings, speakers expenses, post and	£200.00	£200.00
Pentlands Scottish Women's Institute	Penicuik and District	Venue hire.	£637.00	£192.00
Midlothian Community Arts	Midlothian Wide	Contribution towards venue hire.	£318.00	£150.00
No 1739 Squadron	Newtongrange, Mayfield and Easthouses, Dalkeith and District, Gorebridge	IT costs so young people can take part in training.	£150.00	£150.00
Danderhall & District Community Action Group	Danderhall	Contribution towards running costs for this community project.	£112.00	£112.00
Bonnyrigg & Lasswade Local History Society	Bonnyrigg and Lasswade	Digitising archive material, hall rental, insurance premium, web-site maintenance	£400.00	£100.00
Cousland Women's Institute	Tynewater	Contribution towards venue costs.	£150.00	£80.00

Organisation	CC Area	Spend	Amount Requested	Amount Awarded
Capital City Partnership	Midlothian Wide	Into work and in work support for those in	£3,000.00	£3,000.00
		danger of not sustaining employment by		
		providing barrier free funding and assistance		
Newbattle Beekeepers Association	Midlothian Wide	Equipment and resources to support delivery of learning programmes and accredited qualifications	£3,000.00	£3,000.00
Girlguiding Midlothian	Midlothian Wide	To install wifi, fund training weekends for adult volunteers & first aid equipment to deliver community classes Item 8.13	£2,634.28	£2,200.00
Rosewell Development Trust	Rosewell and District	Volunteer & sessional staffing costs plus equipment to work with all generations in digital skills	£2,729.96	£2,200.00
Pathhead Youth Project	Tynewater	Training costs for volunteers, youth worker time to support accreditation for young people	£2,226.00	£1,700.00
Beeslack Family Disabled Club	Midlothian Wide	Contribution towards tutors in cookery, woodwork & computing	£2,911.70	£1,500.00
St. David's Brass Band	Gorebridge	Instrument & tuition costs for beginner workshops for primary school pupils in SIMD area	£2,000.00	£1,500.00
MAEDT	Mayfield and Easthouses	Cost of training courses for job club members	£2,620.00	£1,000.00
Penicuik Youth Band	Penicuik and District	Tuition fees & instrument repair to support young people in SIMD area to participate	£3,000.00	£900.00
RUTS	Midlothian Wide	Employee costs & SQA registration costs to support Stage 1 and 2 young people into employment	£2,990.00	£830.00
33rd Midlothian Mayfield	Mayfield and Easthouses	Camping equipment to extend learning and	£541.00	£541.00
Scout Group		accreditation opportunities		
Lasswade HS PHAB Club	Midlothian Wide	Contribution towards cookery tutor costs and craft materials	£500.00	£500.00
No 1739 Squadron	Newtongrange, Mayfield and Easthouses, Dalkeith and District, Gorebridge	Broadbank link to access online training for cadets	£600.00	£500.00
	l			

#### Health and Physical Activity 2018-19

Organisation	CC Area	Spend	Amount Requested	Amount Awarded
Arniston Rangers Youth Football Club	Gorebridge	Towards annual lease costs of Gore Glen Pavilion. They are growing girls section of the club.	£3,000	£3,000
Dalkeith Thistle FC	Dalkeith and District	Training Travel & season ticket discount. Staff development, winter training costs and some free access.	£3,000	£3,000
Rural and Urban Training Scheme Ltd	Midlothian Wide	Boxing Mini Academy aimed at stage 1 and 2 young people aged 16 - 18 years. Gym hire, employee, insurance, SQA reg costs.	£2,990	£2,990
Bonnyrigg Rose Community Football Club	Bonnyrigg and Lasswade, Poltonhall and District, Loanhead and District	Positive mental health seminar feed agareness programme, marketing material wrist bands.	£2,950	£2,950
Lothian Veteran Centre	Midlothian Wide	Applying for funding to run a programme of sports, leisure and wellbeing activities throughout the year.	£3,000	£1,942
Mayfield and Easthouses Development Trust	Mayfield and Easthouses	Healthy Walking Group travel expenses, travel expenses, volunteer expenses, first aid kits Minibus trips.	£2,010	£1,860
Midlothian Boxing and Fitness Club	Midlothian Wide	Charity boxing club who keep their fees to a minimum. Treadmill and exercise bike for club use to replace not fit for purpose equipment.	£1,648	£1,648
Lasswade Thistle Football Club	Bonnyrigg and Lasswade	Purchase container for storage, football strips, repairs to building, running costs and football development.	£3,000	£1,642
Eskvale Hockey Club	Midlothian Wide	Grass Roots Hockey to include, coaching, pitch hire, leaflet and running costs.	£3,000	£1,100
Gorebridge Community Development Trust	Gorebridge	Monthly nature based activities for families, Forest Families Education Leaders, equipment and administration costs.	£2,800	£1,100
Ү2К	Mayfield and Easthouses	Positive Energy project to engage young people in out of school hours activities.	£3,000	£1,000
Children 1st	Midlothian Wide	Costs to support children and families access , after schools clubs, join community clubs find them holiday activities to take part in.	£2,890	£750
Midlothian Sure Start	Mayfield and Easthouses, Penicuik and District	Dynamic Dads programme Residential trip costs including centre hire, transport, catering and activities.	£2,935	£750
1st Midlothian Scout Group (Gorebridge)	Gorebridge, Mayfield and Easthouses, Dalkeith and District	Utilities, heating and lighting, waste water, insurance and young leader training.	£3,000	£725
Pink Ladies 1st	Midlothian Wide	Run art classes for vulnerable women. Venue, staff and equipment costs for Mindful Art Classes.	£2,000	£700
Rosewell Lunch Club, Rosewell Development Trust Company	Rosewell and District	Transport to and from Lunch club for 35+ elderly members and volunteer expenses.	£1,600	£700
Bonnyrigg Seniors Social Club	Bonnyrigg and Lasswade, Poltonhall and District	Weekly transport for 15 elderly disabled or homebound to social group meetings and assistance with Christmas meals cost.	£1,518	£600
Lasswade High PHAB Club	Midlothian Wide	General running and activity costs for 40 + vulnerable adults who attend the social club.	£600	£600
Midlothian Peoples Equity Group	Midlothian Wide	Mela cultural event 2019, food, staff for workshops, master of ceremonies and venue hire.	£1,312	£560

Midlothian Voluntary Action	Midlothian Wide	Mapping, training events & consultancy. To provide a joined up and integrated approach to the prevention of type 2 diabetes.	£3,000	£500
33rd Midlothian Mayfield Scout Group	Mayfield and Easthouses	Play activity equipment for scout group to develop hand eye coordination, send to ensure that they are taking part in physical activity.	£439	£439
Dalkeith Rugby Football Club	Dalkeith and District, Eskbank and Newbattle, Mayfield and Easthouses, Gorebridge, Newtongrange	General running costs. Support youth and senior rugby, training, transport and facility improvement.	£3,000	£400
Play Midlothian	Midlothian Wide	Play resources for sessions aimed at children 5 to 13 years to encourage outdoor play.	£1,645	£400
Rosslyn Bowling Community Club	Roslin and Bilston, Loanhead and District	Bowling coaching courses and promotional material to be used in the village.	£900	£400
Saltersgate Parents Group	Midlothian Wide	Parents Crèche. Upgrade the parents room within Saltersgate.	£3,000	£380
Gorebridge Bowling Club	Gorebridge and District, Newtongrange	Night Time Carpet Bowls. Purchase indoor bowling mat and bowls to allow for evening sessions to be held for their members.	£1,000	£350
51st Bonnyrigg Boys Brigade	Bonnyrigg and District	Equipment, rucksacks and stoves to help with their attempt to gain the Duke of Edinburgh Award.	£510	£310
5th Dalkeith Brownies	Dalkeith and District, Eskbank and Newbattle	Equipment to allow for movie and dance nights for the girls and allow them to provide entertainment for family nights.	£1,350	£300
Girl Guiding Scotland	Penicuik and District	Pack holiday for 26 children including, accommodation, meals, crafts and games.	£1,240	£300
Gorebridge Out of School Care	Gorebridge	Health and wellbeing for Gorebridge out of school care by buying healthy breakfast and snack choices.	£2,939	£300
Midlothian Sub Aqua Club	Midlothian Wide	Equipment, regulators and buoyancy devices.	£3,000	£300
Dalkeith Arts	Midlothian Wide	Arts and craft workshops; tutor, materials and hall hire costs.	£1,180	£280
Woodburn Women's Health and Motivation	Dalkeith and District	Rent and equipment to have pilates and fitness classes for 50 to 80 year old.	£754	£200

# 2018/19

# Small Grants Communications Plan



# Midlothian Council Communities Team

Supporting communities to engage, connect, develop and prosper www.midlothian.gov.uk/yourcommunity





Contents Page	Page
1. Background	3
2. Purpose	3
3. Communications Objectives	4
4. Key Messages	4
5. Target Audience	5
6. Communications Approach	6
7. Evaluation	6
8. Small Grants 2018/19 - Key Communications Activities	7



Small Grants 2018/19

**Communications Plan** 

#### 1. Background

Midlothian Council Small Grants Fund supports local projects aimed at improving the quality of life of people living in Midlothian.

Grant applications for 2018/19 open on 28 August 2017 and close on 6 October 2017. Applications for grants of up to £3000 are available under three separate streams:

- Developing Communities Fund
- Employability, Learning and Training Fund
- Health and Physical Activities Fund

#### 2. Purpose

This communication plan sets out how Midlothian Council will promote the 2018/19 Small Grants Fund to prospective applicants to ensure effective communication and engagement.



#### 3. Communications Objectives

- Increase uptake by promoting the Small Grants Fund, and the availability of financial support from its different funding streams, to as wide a range of Midlothian community groups, charities and social enterprises as possible.
- Raise general awareness of the Small Grants Fund and demonstrate its value in supporting specific projects and improving outcomes across Midlothian.
- Encourage and support applications from communities that experience high levels of disadvantage and have been underrepresented in previous funding rounds.

#### 4. Key Messages

- The aim of the Small Grants Fund is to provide funding for local projects aimed at improving the quality of life of people living in Midlothian communities. A community can either mean a geographical area or a community of interest.
- Applications, for grants of up to £3000, can be submitted by community groups, charities or social enterprises.
- There are three funding streams and applications can be made to more than one funding stream.
- Applications for 2018/19 must be submitted between 28 August and 6 October 2017.



#### 5. Target Audiences

#### Primary

- Community groups
- Charities
- Local residents
- Third sector groups
- Social enterprises

#### Secondary

- Wider Midlothian community including:
- Partner organisations
- Local businesses
- Specific interest groups



#### 6. Communications Approach

- Review design, content and effectiveness of 2016 campaign advert/ poster
- Review grant application form for simplicity and ease of use
- Where possible, illustrate value of Small Grants Fund to groups/ communities by using examples of previous successful applications
- Use mix of media channels including local press and community radio as well as online
- Place emphasis on use of social media with regular facebook and twitter posts during application period
- Ensure publicity emphasises the support available to local groups in the form of further information and assistance in completing applications, generating ideas and developing new groups
- Disseminate information as widely as possible through existing networks, council contacts, previous applicants and partner organisations

#### 7. Evaluation

The success of this communications plan will be evaluated after the closing date, based on the number of responses received and on feedback from local groups and individuals on publicity and the application process. We will continue to collate recipients' feedback to ensure lessons are learnt and processes can be improved.



### 8. Small Grants 2018/19 - Key Communications Activities

What	How	Who	Why	When
Launch fund applications	Launch press release Council website Partner websites Local press Evening News Local radio Community websites Social media Direct mailings to local groups Posters distributed	Communications/ Communities Team/ MVA	Promote funding scheme and encourage applications	W/B 28 August 2017
Social media campaign	Twitter and Facebook	Communications	Promote funding scheme and encourage applications	Launch W/B 28 August and regular reminders during September 2017
Profile success of previously funded projects	Press/ web article	Communications	Promote funding scheme through positive examples to encourage applications	W/B 18 September 2017
Reminder that application closing date is approaching	Web, Local press Social media Local radio	Communications	Reminder	W/B 25 September 2017
Applications close	Social media	Communications	Final reminder	2-4 Oct 2017 [Closing date 6 Oct 2017 at noon]

# **Guidance and Criteria**



# **Midlothian Council Small Grants Fund**

Midlothian Council Small Grants Fund is now open for applications for local projects aimed at improving the quality of life of people living in Midlothian communities. A community can mean either a local area, or a group of people who are united by a common issue.

Applications are welcome from community groups, charities, or social enterprises. In order to apply you must be constituted and have a bank account. If you are a new group, you will need a statement of purpose and a bank account in the name of the group. No new applications will be accepted from public sector organisations.

You can apply for a small grant of up to £3000 on a Small Grant application form for a one-year project. Applications can be made to more than one grant stream but must be for different things, as duplicate applications will not be considered.

There are three separate types of funding and the criteria for the different streams are detailed below.

## **Developing Communities Fund**

#### Criteria for Funding

The work that you are doing must meet one or more of these criteria to qualify for funding:

- Local people and/or groups are supported to work together to be more involved in their community
- Local people and/or groups are supported to work together to improve their community
- Community groups, charities, and social enterprises are supported to be involved in Community Planning
- Communities are supported to become safer and more economically active

Your project should improve the quality of life of local people and support them to be involved in their community. This might be through things like:

- Organising training so that people can learn things or develop new skills
- Holding an event or a series of events
- Buying materials or equipment
- Promoting tourism
- Paying for a worker
- Encouraging people to volunteer
- Paying volunteer expenses
- Carrying out consultation with people
- Cultural activity like arts, drama, or music
- Activities that improve local neighbourhoods

# Employability, Learning and Training Fund

#### Criteria for Funding

Your project should support people to take part in learning, training or secure work. Activities might include things like:

- Local people seeking work are supported to find a job
- People are supported to gain confidence and develop new skills relating to jobs
- People are supported to volunteer to build up skills for the work place
- People are supported to gain qualifications and certificates
- People are supported to get a place at college or a place of further study
- Local learning and development opportunities are provided for young people and adults

## Health and Physical Activities Fund

#### Criteria for Funding

The work that you are doing must meet one or more of these criteria to qualify for funding:

- People's Health and Wellbeing is improved by taking part in Physical Activity
- People are supported to lead a more Healthy Lifestyle (this covers both Physical Health and Mental Health and Wellbeing)

Your project should improve the quality of life, Health and Wellbeing of local people. This could be through:

- Health promotion activity
- Promoting active leisure or travel
- Developing group activities
- Encouraging sporting activity or starting a sports club
- Promoting access to the countryside and encouraging physical activity such as walking, cycling, or running

The following information will apply to applications to **all** grant streams.

#### **Eligible and Ineligible Activities**

The funding can be used for things like:

- Paying staff
- Volunteer expenses
- Running costs
- Start up costs for new projects
- Developing business plans
- Governance costs
- Buying equipment

There are some activities that are not eligible for grant funding. It cannot be used to:

- Repair buildings
- Provide personal clothing for groups or organisations
- Support people in religious activity
- Pay for religious services, education, or prayer groups
- To buy religious publications
- Pay for material that is designed to support political activity or a political party

#### A Good Application

To keep things fair, award decisions are solely based on information provided in your application, but you can provide supporting evidence like research or evidence of consultation with partners and the people who will benefit from your Project.

A strong application will include:

- A demonstration of the need or demand for your project
- Clarity about who, and how many people, will benefit from your project
- Clarity about outcomes, activities that will support their achievement, and how you will measure and evaluate these
- A commitment to working alongside people to develop and deliver services and to provide them with the skills and knowledge to do this
- Links to key partners from Midlothian third and public sectors
- Activity that helps people to avoid more serious difficulties in their lives
- Ease of access to services for local people or the removal of barriers to accessing services
- Clear costing and timescales
- Details of how the funding will supplement funding or resources from other sources

#### **Decisions on Applications**

Your application will be considered by the scoring panels. You will find out by the end of December 2017 if your application has been successful.

#### **Further Support**

Please contact the following for further information or advice about applying to a particular grant stream.

Developing Communities Fund Grant			
Stephen Bermingham	0131 271 3338	stephen.bermingham@midlothian.gov.uk	
Employability, Learning and Training Fund Grant			
Karen McGowan	0131 271 5697	<u>karen.mcgowan@midlothian.gov.uk</u>	
Health and Physical Activity Fund Grant			
Tony Malone	0131 561 6501	tony.malone@midlothian.gov.uk	

For help with completing the application, discussing ideas or general funding support please contact: <u>communities.team@midlothian.gov.uk</u>

# Integrated Impact Assessment Form

Promoting Equality, Human Rights and Sustainability





1



## **Integrated Impact Assessment Form**

#### Promoting Equality, Human Rights and Sustainability

Title of Policy/ Proposal	Midlothian Small Grants Project 2018-19
Completion Date	November 2017
Completed by	Paul Johnson
Lead officer	Stephen Bermingham

#### Type of Initiative:

Policy/Stra	tegy 🖂		
Programme	e/Plan 🗀	New or Proposed	
Project		Changing/Updated	
Service		Review or existing	
Function			
Other	Statement of Intent		

#### 1. Briefly describe the policy/proposal you are assessing.

Set out a clear understanding of the purpose of the policy being developed or reviewed (e.g. objectives, aims) including the context within which it will operate.

Small grants programme 2018/19.
The procedure where applications are invited and processed from local community groups, charities or social enterprises for awards from Midlothian Small Grants Fund. The awards made are up to £3,000 for the period 2018/19.
The projects are required to be aimed at improving the quality of life of people living in Midlothian communities and can be awarded from the following 3 streams: Employability, Learning and Training Health and Physical Activity Developing Communities
Recommendations for grant fund awards which have been made by three grant panels (Employability, Learning and Training, Health & Physical Activity and Developing Communities). There are recommendations for small grants (up to £3000) for the period 2018/19.

2

#### 2. What will change as a result of this policy?

- Communities of interest and place have more capacity to act for the benefit of their community
- Communities of interest and place are more resilient, cohesive and safer
- Local communities are better enabled to thrive through community action, the development of social enterprise and community assets
- Anchor organisations (e.g. community councils, development trusts) have improved ability to represent their local communities and deliver services
- The third sector is supported to grow and is able to influence the community planning process
- Key economic sectors are supported to grow
- Individuals are better equipped to access the labour market
- The quality of life of Midlothian residents is improved through lifelong learning
- Midlothian residents are better able to be successful learners and are more likely to go on to positive destinations when they leave learning
- Individuals in Midlothian have improved health and wellbeing through participating in physical activity
- Individuals in Midlothian have an increased number of affordable and accessible opportunities to engage in more healthy lifestyles (physical and mental health and wellbeing)

#### 3. Do I need to undertake a Combined Impact Assessment?

High Relevance	Yes/no
The policy/ proposal has consequences for or affects people	Yes
The policy/proposal has potential to make a significant impact on equality	Yes
The policy/ proposal has the potential to make a significant impact on the economy and the delivery of economic outcomes	No

The policy/proposal is likely to have a significant environmental impact	No
Low Relevance	
The policy/proposal has little relevance to equality	No
The policy/proposal has negligible impact on the economy	Yes
The policy/proposal has no/ minimal impact on the environment	No
If you have identified low relevance please give a brief description of your reasoning here and send it to your Head of Service to record.	

If you have answered yes to high relevance above, please proceed to complete the Integrated Impact Assessment.

4. What information/data/ consultation have you used to inform the policy to date?

Evidence	Comments: what does the evidence tell you?
Data on populations in need	Evidence shows that awareness of the availability of awards should be promoted Midlothian wide, with particular emphasis in the 3 priority areas.
	Promotion of availability of grants is focussed on the 3 priority areas but work is also undertaken Midlothian wide.
Data on service uptake/access	Evidence shows that previously some groups found the application form challenging to complete. It has since been simplified.
	Previous applicants have been contacted to promote the process.
	Groups (especially minority groups) who have not previously applied, have been identified and approached in person.
	Drop-in sessions held previously held were not popular so these have not been used this year.
Data on quality/outcomes	Review has been undertaken. Evaluation and

4

	monitoring has been undertaken
Research/literature evidence	Information has been used from Neighbourhood Profiles, MC Service plans. Partner Agencies Service Plans
Service user experience information	Evidence shows that previously, some groups have found the application challenging to complete. The form has since been simplified. Groups will receive support to complete this process if required. All groups who make a successful application will complete an end of project evaluation.
Consultation <b>and</b> <b>involvement</b> findings	Evidence shows that direct contact has resulted in increased applications therefore groups have been contacted directly rather than using drop-in sessions.
Good practice guidelines	The Small Grants process is undertaken within the guidelines of the National Standards for Community Engagement
Other (please specify)	
Is any further information required? How will you gather this?	

# 5. How does the policy meet the different needs of and impact on groups in the community?

	Comments – positive/ negative impact
Equality Groups	The process of promoting the Small
	Grant project takes into account the
	needs of these groups. This includes
	targeting specific groups and using a
	range of methods to promote the
	availability of these grants: Social
	media, posters, fliers, direct contact by
Older people, people in the middle years,	email, telephone and face-face.
	If they make an application, grant

		awards will enable people in these
		groups or working with these groups, to
		access funds to develop and sustain their activities.
•	Young people and children	
		If they make an application, grant
		awards will enable people in these groups, to
		access funds to develop and sustain
•	Women, men and transgender people	their activities
•	(includes issues relating to pregnancy and	The process of promoting the Small
	maternity)	Grants project takes into account the needs of these groups.
		needs of these groups.
•	Disabled people (includes physical disability,	Groups supporting disabled people are
	learning disability, sensory impairment, long- term medical conditions, mental health	included in promotion of the availability of grants. Targeted support will be
	problems)	provided.
•	Minority ethnic people (includes	Grant awards will enable people in
	Gypsy/Travellers, migrant workers, non-	these groups to access funds to develop
	English speakers)	and sustain their activities.
•	Refugees and asylum seekers	Grant awards will enable people in
		these groups to access funds to develop and sustain their activities.
•	People with different religions or beliefs	Faith based groups are able to apply in order to facilitate their group's activities,
	(includes people with no religion or belief)	but exclude the purchase of religious
		literature.
•	Lesbian, gay, bisexual and heterosexual	Grant awards will enable people in
	people	these groups to access funds to develop and sustain their activities.
		מויט ששזמווו נוופון מטנועונופט.
•	People who are unmarried, married or in a civil	Grant awards will enable people in
	partnership	these groups to access funds to develop and sustain their activities.
Th	ose vulnerable to falling into poverty	The process of promoting the Small
		Grant project takes into account the needs of these groups. Actions will also
		include targeting specific groups and
	Unemployed	using a range of methods to promote the availability of these grants.
Ľ	Chompioyou	and availability of those granter

6

<ul> <li>People on benefits</li> <li>Single Parents and vulnerable families</li> <li>Pensioners</li> <li>Looked after children</li> <li>Those leaving care settings (including children and young people and those with illness)</li> <li>Homeless people</li> <li>Carers (including young carers)</li> <li>Those involved in the criminal justice system</li> <li>Those living in the most deprived communities (bottom 20% SIMD areas)</li> <li>People misusing services</li> <li>People with low literacy/numeracy</li> <li>Others e.g. veterans, students</li> </ul>	<ul> <li>Within the Small Grant project the 3 streams will support vulnerable people in these categories.</li> <li>Individuals will be better equipped to access the labour market.</li> <li>There will be particular emphasis on targeting Midlothian's 3 priority area and groups that work with or support people in these categories.</li> <li>The poverty grant stream has been diverted to spend exclusively in the three priority communities that experience the highest levels of deprivation.</li> </ul>
Geographical communities	
Rural/ semi rural communities	Groups in this category are able to apply for this funding.
Urban Communities	Groups in this category are able to apply for this funding
Coastal communities	Groups in these communities cannot apply as Midlothian has no coastal communities

6. Are there any other factors which will affect the way this policy impacts on the community or staff groups?

None

7. Is any part of this policy/ service to be carried out wholly or partly by contractors?

If yes, how have you included equality and human rights considerations into the contract?

No

8. Have you considered how you will communicate information about this policy or policy change to those affected e.g. to those with hearing loss, speech impairment or English as a second language?

7

## 9. Please consider how your policy will impact on each of the following?

Objectives	Comments			
Equality and Human rights				
Promotes / advances equality of opportunity e.g. improves access to and quality of services, status	Communities of interest and place will have more capacity to act for the benefit of their community Communities of interest and place will be more resilient,			
	cohesive and safer. Local communities will be better enabled to thrive through community action, the development of social enterprise			
	and community assets.			
	Anchor organisations (e.g. community councils, development trusts) will have improved ability to represent their local communities and deliver services.			
	The third sector will be supported to grow and able to influence the community planning process.			
Promotes good relations within and between people with protected characteristics and tackles harassment	Local communities will be better enabled to thrive through community action, the development of social enterprise and community assets.			
Promotes participation, inclusion, dignity and self control over decisions	Communities of interest and place will have more capacity to act for the benefit of their community.			
	Communities of interest and place will be more resilient, cohesive and safer.			
Builds family support networks, resilience and community	Communities of interest and place will have more capacity to act for the benefit of their community.			
capacity	Communities of interest and place will be more resilient, cohesive and safer.			
Reduces crime and fear of crime	Communities of interest and place will be more resilient, cohesive and safer.			
Promotes healthier lifestyles including	Individuals in Midlothian will have improved health and wellbeing through participating in physical activity.			

<ul> <li>diet and nutrition,</li> <li>sexual health,</li> <li>substance misuse</li> <li>Exercise and physical activity.</li> <li>Lifeskills</li> </ul>	Individuals in Midlothian will have an increased number of affordable and accessible opportunities to engage in more healthy lifestyles (physical and mental health and wellbeing).
Environmental	
Reduce greenhouse gas (GHG) emissions in East Lothian (including carbon management) Plan for future climate change Pollution: air/ water/ soil/ noise Protect coastal and inland waters Enhance biodiversity Encourage resource efficiency (energy, water, materials and minerals) Public Safety: Minimise waste generation/ infection control/ accidental injury /fire risk Reduce need to travel / promote sustainable forms or transport Improves the physical environment e.g. housing quality, public and green space	The Developing Communities stream will have a positive impact. Local communities will be better enabled to thrive through community action, the development of social enterprise and community assets. Communities of interest and place will have more capacity to act for the benefit of their community.
Economic	
Maximises income and /or	
reduces income inequality Helps young people into positive destinations Supports local business	The Employability Learning and Training stream has a positive impact and will directly address these issues.

Helps people to access jobs
(both paid and unpaid)
Improving literacy and
numeracy
Improves working conditions,
including equal pay
Improves local employment
opportunities

# 10. Is the policy a qualifying Policy, Programme or Strategy as defined by The Environmental Impact Assessment (Scotland) Act 2005?

No	

## 11. Action Plan

Identified negative impact	Mitigating circumstances	Mitigating actions	Timeline	Responsible person

## 12. Sign off by Head of Service/ NHS Project Lead

Name: Stephen Bermingham

Date: 27 November 2017

10



## Penicuik Heritage Regeneration Project

## Report by Ian Johnson, Head of Communities and Economy

## 1 Purpose of Report

This report requests that Members approve the appointment of a Ward 1 Midlothian Council Penicuik councillor as Chairperson of the Penicuik Heritage Regeneration Project TH/CARS Project Team.

## 2 Background

- **2.1** At its 30 August 2016 meeting Midlothian Council's Cabinet approved the simultaneous submission of applications to the Heritage Lottery Fund (HLF) for Townscape Heritage (TH) and to Historic Environment Scotland (HES) for Conservation Area Regeneration Scheme (CARS) for grants for a heritage regeneration scheme for Penicuik. This scheme is called the Penicuik Heritage Regeneration Project. The application to the HLF was what is called a stage 1 application.
- **2.2** The applications were submitted to HLF and HES and approved in principle. The HLF awarded a grant of £114,000 towards the development cost work to produce a stage 2 application. Work is on going to produce the stage 2 application and for it to be submitted to HLF in early 2018. This stage 2 application has involved the appointment in July 2017 of external consultants (Douglas Wheeler Associates and Austin Lord Smith) to assist with compiling necessary detailed work for the application. This has included survey work and developing a programme for works and programmes for training and community engagement and involvement. A draft stage 2 application will be produced by the end of 2017. If the stage 2 application is successful that will release funding from HES and the project will run for a period of five years.

Main Elements of Penicuik Heritage Regeneration Project

- **2.3** The aim of Penicuik Heritage Regeneration Project is to regenerate the historic core of Penicuik town centre by:
  - providing grant aid to repair and restore key historic buildings in the centre of the Penicuik Conservation Area.
  - providing grant aid to improve the public realm focussing on the High Street and The Square;
  - developing a training plan to encourage contractors, owners of historic buildings, schools and others to understand and appreciate the methods and techniques of traditional building construction; and
  - developing wide ranging community engagement activities to enable local people, organisations and schools to actively get involved in history and heritage projects and thereby gain a greater understanding of Penicuik's unique heritage.

**2.4** The scheme would be very similar to the Dalkeith THI/CARS and Gorebridge CARS town centre heritage regeneration projects.

#### Need for a Chair for Project Team

**2.5** For the efficient and transparent management of the project, HLF and HES will require a Project Team and a project Steering Group to be established. This was done for the Dalkeith THI/CARS and Gorebridge CARS project.

#### Role of the Project Team

- **2.6** The Project Team will comprise: three local Midlothian Council Members, two representatives from Penicuik Community Development Trust, two representatives from Penicuik First, Midlothian Council's Conservation and Town Centres Officer and the Penicuik TH/CARS Project Officer.
- **2.7** The Team will help to manage the project, advising on the development of projects and public realm projects, and approve applications for grants for building projects and training and community engagement. The tTam will meet on a regular basis throughout the life of the project.
- **2.8** The first Project Team meeting was held on 30<sup>th</sup> August 2017 where it was agreed that the Chairperson would be a local Midlothian Council Member and the Vice Chair would be a member of one of the other two partner community organisations.

## Role of the Steering Group

A Steering Group is also being set up and it will comprise a number of local organisations. Its aim will be to engage with the wider community of Penicuik and assist with the strategic direction of the project. The group may meet about twice a year during the course of the scheme if the stage 2 application to HLF is successful.

## 3 **Report Implications**

## 3.1 Resource

There are no resource implications arising directly from this report.

The appointment of a Chairperson for the Project Team has no effect on budgets already secured for the project and the post has no remuneration.

#### 3.2 Risk

The funders, HLF and HES, will expect the project to have a functioning Project Team and Steering Group in order to provide grant funding.

A successful stage 2 application to HLF will need to demonstrate that a functioning Project Team with a Chairperson is operational. Not having a Chairperson would have a negative effect on the stage 2 application to HLF.

## 3.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

- Community safety
- $\boxtimes$  Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- Sustainable growth
- Business transformation and Best Value
- None of the above

#### 3.4 Key Priorities within the Single Midlothian Plan

Investment in comprehensive improvement of town centres in Midlothian directly addresses economic inequalities.

#### 3.5 Impact on Performance and Outcomes

As set out in paragraph 2.3 above.

#### 3.6 Adopting a Preventative Approach

Investment in town centres can arrest and reverse their decline.

#### 3.7 Involving Communities and Other Stakeholders

Section 2 of this report sets out that local community groups, Penicuik Community Development Trust and Penicuik First (BIDs), will be represented on the Project Team. Section 2 also sets out that at its first meeting on 30 August 2017 the Project Team agreed that its Chairperson would be a local Midlothian Council Member and the Vice Chair would be a member of one of the other two partner community organisations.

#### 3.8 Ensuring Equalities

This report does not relate to a new / revised policy / service change / budget change. It is therefore considered that undertaking an Equalities Impact Assessment (EqIA) in relation to this report is unnecessary. An EqiA for the project was undertaken for the 30 August 2016 report to Cabinet referred to in section 2 of this report.

#### 3.9 Supporting Sustainable Development

A successful Penicuik Heritage Regeneration Project can help create a more vibrant and vital town centre which are contributors to a more sustainable economic and physical environment.

This report does not relate to the adoption by the Council of a strategic document and Strategic Environmental Assessment' ('SEA') legislation does not apply to this report.

#### 3.10 IT Issues

There are no IT implications from this report.

## 4 Summary

A successful stage 2 application to HLF will need to demonstrate that a functioning Project Team with a Chairperson is operational. Not having a Chair would have a negative effect on the stage 2 application to HLF.

Accordingly, this report recommends that a Ward 1 Midlothian Council Penicuik Councillor is appointed to chair the Penicuik Heritage Regeneration Project Townscape Heritage/Conservation Area Regeneration Scheme Project Team.

## 5 **Recommendations**

It is recommended that Council:

- a) Approve the appointment of one of the Ward 1 Midlothian Council Penicuik Councillors as Chairperson of the Penicuik Heritage Regeneration Project Townscape Heritage/Conservation Area Regeneration Scheme Project Team; and
- b) Confirm which Ward 1 Councillor will assume the role of Chairperson of the Penicuik Heritage Regeneration Project Townscape Heritage/Conservation Area Regeneration Scheme Project Team.

#### 23 November 2017

#### **Report Contact:**

Name Rod Lugg, CARS Project Manager Tel No 01968 664041 rod.lugg@midlothian.gov.uk

#### Background Papers: None



# Penicuik to Edinburgh : Public Transport Links and Rail Feasibility Assessment

## Report by Ian Johnson, Head of Communities & Economy

#### 1.0 Purpose of Report

**1.1** This report provides a statement of the current issues relating to the transport links between Penicuik and Edinburgh, with particular reference to the potential for a heavy rail connection.

#### 2.0 Background

- 2.1 At both strategic (South East Scotland Strategic Development Plan 2013) and local (Midlothian Local Development Plan 2017) planning levels, the A701 road corridor is identified as a growth area. The committed levels of development arising within this growth corridor include major housing at Bilston, Roslin and Penicuik, together with substantial retail and commercial development at Straiton. The most recent Census data (2011) indicates that around half of the workforce living in Penicuik travel to jobs in the Edinburgh area; there is no definitive evidence to suggest that this level of commuting would have altered significantly since 2011, nor that it will continue at a similar rate.
- **2.2** In recognition of this level of growth, the Local Development Plan includes a proposal for a new A701 relief road and A702 spur road, the former running to the west of the existing A701 to act as the main link for traffic between Penicuik and the A720 Edinburgh City Bypass. This will enable the existing A701 road to be re-prioritised as a public transport corridor, as well as a safer and more attractive route for cyclists and pedestrians. There has also previously been reference to the possibility of a light rail link along the A701, an extension of the Edinburgh tram network, and a link to the orbital bus proposals along the A720 City Bypass.
- 2.3 The proposal to re-establish a heavy rail link between Penicuik and Edinburgh has been considered by the Council since at least 2001, when a bid to the then Scottish Executive for funding for a feasibility study into the matter was submitted, but which was unsuccessful. More recently, in August 2012 and February 2013 the Council considered further reports on the *Penicuik Rail Line* which maintained the Council's continued interest in considering the project. Heriot Watt University undertook a Governance for Railway Investment Projects (GRIP) Stage 2 Engineering Study in 2014, followed by a GRIP 3 Engineering Study shortly afterwards. That latter study recommended that further development to GRIP 4 stage be undertaken specifically to examine a route running from Pomathorn Road north eastwards along the track of a former railway through Rosslynlee, past Rosewell, and through Bonnyrigg, to link into the Borders railway line close to Eskbank Station. Since then no further work has been undertaken.
- **2.4** In resolving to adopt the Midlothian Local Development Plan at its meeting on 26 September 2017, Council agreed that

"Further reports be brought forward in relation to a feasibility study in respect of a rail link to Penicuik."

## 3.0 Rail Feasibility Assessment

- **3.1** Whilst the proposals in the adopted Midlothian Local Development Plan provide the opportunity for faster and more frequent bus services along the existing A701 road, the likely scale of demand arising from new development is such that all other public transport options are worthy of consideration. As noted above, one such option that has previously been considered is for a heavy rail link.
- **3.2** The previous study reports mentioned above provided a helpful initial assessment. However, they can only be regarded as the early stages of a full feasibility study, which would require substantially more resource if it is to provide a sound basis for any policy and investment decisions.

## 4.0 Report Implications

#### 4.1 Resource

There are no resource implications arising directly from this report. If, at a later date, Council were to commission a comprehensive feasibility study then a budget would need to be identified.

#### 4.2 Risk

If options for enhanced public transport links between Penicuik and Edinburgh were not assessed there is a risk that over-reliance on the bus services could result in issues of under-capacity of service to meet demand. If a decision is made to take forward the heavy rail option then a comprehensive feasibility study would be required to minimise the risk of unforeseen difficulties and wasted resources.

## 4.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

- Community safety
- Adult health, care and housing
- Getting it right for every Midlothian child
- Improving opportunities in Midlothian
- Sustainable growth
- Business transformation and Best Value
- None of the above

## 4.4 Key Priorities within the Single Midlothian Plan

More attractive and efficient public transport would enable residents of Penicuik to have greater access to labour markets and training locations, thereby reducing the relatively low levels of income and qualifications in Midlothian.

**4.5 Impact on Performance and Outcomes** See paragraph 4.4 above.

# **4.6** Adopting a Preventative Approach See paragraphs 4.2 and 4.4 above.

## 4.7 Involving Communities and Other Stakeholders

If the heavy rail link proposals were to be taken forward then, at the appropriate stage, there would need to be extensive public and stakeholder consultation.

## 4.8 Ensuring Equalities

This report does not propose a new or revised policy, nor any service or budget change; and therefore has not required an equalities assessment. As part of any further study an equalities appraisal would be required as an integral part of the assessment.

## 4.9 Supporting Sustainable Development

The modal shift of travellers from private cars to rail would have a direct positive impact on environmental sustainability.

## 4.10 IT Issues

None.

## 5.0 Summary

**5.1** The potential for a heavy rail link between Penicuik and Edinburgh has been under consideration for many years, although there has been little progress since 2013/14. The scale of forthcoming development approved in the new Local Development Plan for Penicuik and the A701 corridor is such that further consideration could be given to the potential to maximise the public transport link opportunities, including that of heavy rail.

#### 6.0 Recommendations

- **6.1** It is recommended that Council,
  - agrees to receive a more detailed report on the relative merits of options to maximise the capacity and quality of public transport links between Penicuik and Edinburgh; and
  - ii) receives a report which reviews in more detail the work already undertaken on the feasibility of a heavy rail link between Penicuik and Edinburgh, together with an assessment of the next stages in assessing the merits of such a proposal.

30 November 2017

#### **Report Contact:**

Ian Johnson, Head of Communities and Economy ian.johnson@midlothian.gov.uk

Tel No 0131 271 3460

Background Papers: None



## School Estate Capacity and Pupil Intake Limits - School Session 2018/19

## Report by Mary Smith, Director, Education, Communities and Economy

## 1 Purpose of Report

This report provides Council with an update on the school estate capacity, identifies the requirement for additional school capacity to be provided by August 2018 and informs Council of the pupil intake limits required for the school session starting in August 2018 and the implications for pupil placement.

#### 2 Background

The pressure on schools' capacities in the 2017/18 school session was reported to Council on 20 December 2016. That report noted officers' intention to cap the pupil intake of August 2017 for Bonnyrigg, Burnbrae, Cuiken, Hawthornden, King's Park, Lasswade, Lawfield, Mayfield, Newtongrange, Sacred Heart, St Andrew's, St David's, St Luke's, Stobhill, Strathesk, Tynewater and Woodburn Primary Schools and Lasswade High School.

In June 2017 Council approved provisions in the General Services Capital Plan to progress planning of the extensions to Cuiken and Sacred Heart Primary Schools and to allow the procurement and installation of modular units during the 2017/18 school session. The design layout of the extensions to both schools has been agreed and the detailed designs are being progressed.

The modular units were to provide additional early years' capacity at Mayfield Nursery School, Burnbrae, Danderhall and St David's Primary Schools, and to provide additional primary capacity at Danderhall, Lasswade and St David's Primary Schools. The contract to provide the modular units was awarded to Portacabin in October 2017 and planning and design of the units is progressing. The design of the units which will provide additional early years' capacity has gone through a number of iterations taking into account feedback from Portacabin and the affected schools. Reaching agreement on the siting of the units for a couple of the primary schools has also delayed the project. The installation of the first units is anticipated to start on site in March 2018 and should be completed by August 2018.

In September 2017 Council agreed in principle the elements of the Learning Estate Strategy required to meet the essential learning estate requirements over the period through to 2023 and asked officers to undertake further work on the financial implications of the short term strategy so that these could be considered as part of the Council's Capital Strategy and General Service Capital Plan report. This work is progressing but is not yet complete and the financial governance for the Learning Estate Strategy is not yet in place. Resolutions are required urgently in order to provide the capacity which will be needed as outlined in this paper.

Pupil enrolment for the 2018/19 school session is underway and schools will complete the registration of catchment pupils in the first week of December. The closing date for receipt of placing requests is 15 March 2018 and decisions on those requests will be made and communicated to parents/carers during April. The placing request appeal panel will meet in May to consider appeals in respect of placing requests which have been refused.

The progress of house building in parts of Midlothian is continuing to generate significant growth in pupil numbers. This combined with parental placing requests for certain schools

with limited capacity means that pupil intake limits are required in order to safeguard places for pupils to be able to attend their catchment primary school.

The Council's approach to pupil placement is to provide a place for every pupil at one of their catchment schools and to grant placing requests for siblings whenever this is possible. Where catchment schools are over-subscribed the pupil placement process reserves places at neighbouring schools to ensure every pupil is afforded the opportunity to attend a local school. Maintaining this commitment is becoming increasingly challenging with the growth in pupil numbers we are experiencing and the consequent pressure on school capacities.

## 3 Intake August 2018

3.1 A full list of primary schools showing Primary 1 (P1) capacity and estimated numbers of P1 catchment pupils for August 2018 is included in Appendix 1. Secondary 1 (S1) capacity and numbers of S1 catchment pupils for August 2018 is included in Appendix 2. The September 2017 census figures are included in Appendix 3.

For August 2018, the schools where the number of P1 pupils residing in their catchment exceeds the P1 capacity include Burnbrae, Cuiken, Hawthornden, King's Park, Lasswade, Lawfield, Mayfield, Newtongrange, Sacred Heart, St Andrew's, St David's, St Luke's, Stobhill, and Woodburn Primary Schools. In addition the primary schools which are expected to experience pressure on intake in respect of placing requests for August 2018 include Bonnyrigg and Tynewater Primary Schools.

The 2018 pupil enrolment process is at an early stage, the full extent of the pressure on each school's capacity will not be known until mid March which is the closing date for receipt of placing requests and by which time decisions will have been taken about deferred entry.

Intake limits based on schools' P1 intake capacity will be applied as necessary in order to prevent primary schools from becoming overcrowded. Table 1 outlines the intake limit for each of the affected primary schools:

School	P1 Intake Limit August 2018	
Bonnyrigg	60 pupils	
Burnbrae	90 pupils	
Cuiken	50 pupils	
Hawthornden	50 pupils	
King's Park	72 pupils	
Lasswade	60 pupils	
Lawfield	60 pupils	
Mayfield	60 pupils	
Newtongrange	56 pupils	
Sacred Heart	20 pupils	
St Andrew's	25 pupils	

Table 1: The primary schools for which intake limits will be applied are:

St David's	33 pupils
St Luke's	30 pupils
Stobhill	30 pupils
Tynewater	30 pupils
Woodburn	115 pupils

3.2 As in previous years pupil intake for August 2018 will be assessed regularly, ensuring effective management of the pupil placement process by taking account of placing requests and reserving places in neighbouring schools to provide places for pupils whose catchment school is over-subscribed.

The primary schools which require alteration or additional space by August 2018 in order to admit the Primary 1 pupil capacity specified in Table 1 are detailed in Section 4 along with the actions required to enable these limits to apply.

## 4 School Capacity Constraints

4.1 The expected number of Primary 1 pupils for the August 2018 intake residing in the **Burnbrae** catchment is now over 90. The plan to accommodate this level of pupil intake is to expand Burnbrae to become a three-stream school. This will be done by building Burnbrae Early as part of the new Hopefield Joint Campus which will provide expanded capacity for early learning and childcare places and 90 Primary 1 pupil places in 4 class spaces. The current Burnbrae school building will be adapted to provide 18 class spaces to accommodate 540 pupils, with 3 class spaces for each year group from Primary 2 to Primary 7.

However, the additional capacity for Burnbrae at the Hopefield Joint Campus will not come on stream until August 2019 at the earliest and the adaptations to the current school building will not be carried out until after that. Therefore, Council at its meeting on 29 August 2017 approved the use of bespoke modular units at Burnbrae Primary School to ensure that there is adequate capacity for all pupils until the new school building is ready for occupation. This was done without identifying the associated resource requirements

By August 2018, in order for there to be sufficient capacity across the five Bonnyrigg primary schools to accommodate the estimated Bonnyrigg Primary 1 catchment numbers of 271 pupils, additional capacity is required at Burnbrae in order that the school can admit up to 90 Primary 1 pupils.

	P1 Catchment 2018	P1 Intake Capacity 2018	P1 Intake Capacity 2017
Bonnyrigg Primary School	49	60	60
Burnbrae Primary School	97	90	60
Hawthornden Primary School	65	50	50
Lasswade Primary School	60	60	50
St Mary's RC Primary School		30	30
	271	290	250

The modular unit which is planned to be installed at Burnbrae in 2017/18 will increase the nursery capacity of the school. Additional space will be required for 2018/19 to accommodate seventeen classes and an eighteenth class will be required for 2019/20 if the delivery of the Hopefield Joint Campus is delayed beyond August 2019. To meet the class requirements for August 2018 it is proposed to add two classrooms with breakout space to

the Burnbrae school building. The requirements for August 2019 will be defined once the detailed delivery programme for the Hopefield Joint Campus is known.

Increasing the P1 intake limit at **Lasswade** Primary School to 60 pupils is contingent on the installation of modular units at the school being completed by August 2018. We are having difficulty finding a way in which to install three additional class spaces in the school's playground, which is what was allowed for in the contract with Portacabin. Access for the delivery of the modular units is also problematic and if the units are to go ahead at Lasswade there will be additional costs for special cranes. The playground areas will also need to be replaced and the nursery playground expanded. We have now requested Portacabin to confirm if a two class unit can be installed in the upper school playground. If confirmed we will progress on this basis, if not then modular units will not be installed at Lasswade and the school's intake limit will revert to 50 pupils.

4.2 Primary school capacity in **Mayfield** is provided through Lawfield and Mayfield Primary Schools each with 13 classes (just under 2 streams) and St Luke's with 8 classes (1 stream), which in total supports an annual intake of 130 pupils. The estimated August 2018 catchment numbers for the Mayfield area is 155 pupils which will require additional capacity to be provided as there is no spare capacity in the existing schools in the vicinity.

	P1 Catchment 2018	P1 Intake Capacity 2018	P1 Intake Capacity 2017
Lawfield Primary School	90	60	50
Mayfield Primary School	65	60	50
St Luke's RC Primary School		33	33
	155	153	133

The Learning Estate strategy proposes an additional primary school for the Mayfield area to be located on the current Newbattle High School site in Easthouses. The master planning of the Easthouses site is progressing however it is unlikely that the new school will be completed before 2020.

An interim solution, which is required to be in place by August 2018, may be to use the Mayfield Library building, which is part of the Mayfield Campus and will be vacant from April 2018, to provide additional primary school capacity. In order to allow Mayfield Primary School to take in up to 60 Primary 1 pupils in August 2018 it is proposed to adapt the Mayfield Library building to provide space for three additional primary classes. This will require some internal refurbishment including the creation of lower windows in the main space and maintenance to be undertaken to make the building wind and water tight.

Two additional class spaces are also required at Lawfield Primary School so that it can support a pupil intake of 60 pupils from August 2018. Lawfield is a PPP school so we need to engage with the facility manager to assess the feasibility and cost of extending the school.

4.3 Primary school capacity in **Dalkeith** is provided through King's Park Primary School with 18 classes (2.5 streams), Woodburn Primary School with 22 classes (3 stream) and **St David's** Primary School with 7 classes (1 less than 1 stream), which in total supports an annual intake of 195 pupils. The estimated August 2018 catchment numbers for the Dalkeith area is 219 pupils which will require additional capacity to be provided as there is no spare capacity in the existing schools in the neighbourhood.

	P1 Catchment 2018	P1 Intake Capacity 2018	P1 Intake Capacity 2017
King's Park Primary School	77	72	72
Woodburn Primary School	142	115	90
St David's RC Primary School		33	25
	219	220	187

The Learning Estate strategy proposes an additional primary school for the Dalkeith area and, although work to secure a suitable location for a fourth primary school in Dalkeith is progressing, it is likely that the earliest a new school could be completed is 2020. An interim solution is required for August 2018 which will ensure that there is adequate capacity for all Dalkeith pupils until the new school building is ready.

It would be possible for Woodburn Primary School to have five Primary 1 classes for the 2018/19 school session, rather than the four Primary 1 classes which is the norm for a threestream school. This would enable Woodburn Primary School to admit up to 125 Primary 1 pupils in August 2018, although the intake will be limited to 115 pupils as this should be sufficient to provide a place for all catchment pupils.

The school has sufficient class spaces to cope with this for the coming school session however it would require two additional classrooms to continue to support this level of intake in August 2019. If the new Dalkeith school building is not open for August 2020 and Woodburn Primary School is required to operate five Primary 1 classes for a third year then the school will require a further three additional classrooms.

In all of these scenarios the intake limit for Woodburn Primary School will need to be curtailed in the years following the opening of the new Dalkeith primary school in order to bring its pupil roll back in line with the design capacity of the school.

The P1 Intake limit of 33 pupils at **St David's** Primary School is contingent on the installation of the modular units at the school being installed by August 2018. The initial intention was for the modular units to provide the school with a nursery and an additional class space. However the best solution for the children and the operation of the school is for the nursery to be provided in the front part of the existing school building and the modular units to provide three class spaces to house the upper school pupils.

This will require some internal refurbishment of the current Primary 1 and Primary 2 areas to create a nursery with space for 32 places, including the creation of a nursery entrance and office, the installation of windows and or doors in the gable wall to provide viewing of and access to the area which will become the nursery play area and formation of the outdoor play area.

4.4 Primary school capacity for **Newtongrange** pupils is provided at Newtongrange Primary School and St Andrew's Primary School. The size of the classrooms at both schools is relatively small and not large enough to accommodate 30 pupils. The Primary 1 intake capacity of 56 pupils at Newtongrange is based on the school being able to accommodate two classes of 28 pupils each at later stages. The Primary 1 intake at St Andrew's which has seven classes is based on the school being able to accommodate 25 pupils at each stage.

The Learning Estate strategy recognises that additional capacity is required at Newtongrange in the short term which requires an evaluation of how the current capacity at Newtongrange Primary School can be expanded. If an expansion to full two-stream is feasible and deliverable within two years, then the school could admit up to 62 pupils in August 2018. The estimated August 2018 catchment number for Newtongrange Primary School is 86 pupils, a number of whom will choose to attend St Andrew's, however additional places may still be required for Newtongrange pupils. Neighbouring schools should be able to provide alternative places for these pupils if all the actions identified in sections 4.1 to 4.3 have been put in place.

4.5 **Cuiken Primary School** currently has nine classes which supports an annual Primary 1 intake of 35 pupils. The plan is to extend Cuiken Primary School to two-stream, with fifteen classes which would support an annual intake of 60 pupils. This extension will not be in place by August 2018 when the estimated intake for the school is 50 pupils, requiring a tenth class. The wrap around care room at Cuiken is currently being used as a break-out area for

the nursery, it is proposed to make this space suitable for use as a classroom so that it can provide a tenth classroom in 2018/19, if required.

4.6 In secondary schools pressure on capacity continues to be experienced at **Lasswade High School**, although the provision of school transport to Loanhead resident pupils choosing to attend Beeslack High School had some success in 2017. This is demonstrated by the 2017 pupil census which shows 278 pupils in S1 at Lasswade High School compared with 297 in S2. The total pupil roll in 2017 is 1,510 which remains above the school's published capacity of 1,480 pupils.

The Learning Estate strategy recognises that additional capacity is required at Lasswade High School in the short term. In September 2017, by approving the Learning Estate Strategy, the Council approved in principle the immediate enhancement of core facilities, such as toilets and changing facilities, at Lasswade High School to provide capacity for 1,600 pupils.

The S1 intake limit of 300 pupils that has been in place for Lasswade High School can continue to apply for the August 2018 intake on the assumption that the immediate capacity requirements will be addressed. Should these not be addressed the only mitigation available will be to apply a significantly lower intake limit in subsequent years i.e. from August 2019 on.

## 5 Costings

Additional capacity is required by August 2018 as follows:-

#### 1 Bonnyrigg

There is a requirement to add to Burnbrae Primary School two classrooms with breakout space, which will be linked to other learning spaces in the existing school building. The estimated cost of providing and installing prefabricated units to provide 2 classes of 65 square metres with activity/break-out space of 25 square metres each is detailed in Section 6.1.

The budget required to fully equip the classes at Burnbrae Primary School will be developed and presented in an update report to February Council.

#### 2 Mayfield

It is proposed to adapt the Mayfield Library building to provide space for three additional primary classes. This will require some internal refurbishment of the library including the creation of lower windows in the main space and maintenance to be undertaken to make the building wind and water tight. The estimated cost of these works is detailed in Section 6.1.

Ascertain the feasibility and cost of providing two additional class spaces with breakout space to Lawfield Primary School which is a PPP operated school building. Allocate resource from the research and development fund approved by Business Transformation Board to progress the preparation of detailed plans and costs for the extension to Lawfield Primary School.

The budget required to fully equip the classes at the Mayfield Campus and Lawfield Primary School will be developed and presented in an update report to February Council.

#### 3 Dalkeith

To create space for a nursery at St David's Primary School within the existing school building will require internal refurbishment of the current Primary 1 and Primary 2 areas, including the creation of a nursery entrance and office, the installation of windows and or doors in the gable wall to provide viewing of and access to the area which will become the nursery play area and formation of the outdoor play area. The estimated cost of these works is detailed in Section 6.1.

The budget required to fully equip the classes at St David's and Woodburn Primary Schools will be developed and presented in an update report to February Council.

#### 4 Newtongrange Primary School

Allocate resource from the research and development fund approved by Business Transformation Board to assess the feasibility and cost of expanding the capacity at Newtongrange Primary School, with the outcome of this feasibility reported to Council in an update report in February.

#### 5 Cuiken Primary School

The budget required to fully equip the additional class space at Cuiken Primary School will be developed and presented in an update report to February Council.

#### 6 Lasswade High School

Allocate resource from the research and development fund approved by Business Transformation Board to progress the preparation of detailed plans and costs for the works required to enhance the core facilities, including toilets and changing facilities, at Lasswade High School to provide capacity for 1,600 pupils.

#### 6 Report Implications

#### 6.1 Resource

The estimated capital cost of the works outlined in Section 5 are as follows:-

Facility	Capacity Created	£000's
Burnbrae Primary	2 additional primary classrooms + atrium space	525
Mayfield Primary	3 additional primary classrooms	283
St. David's Primary	Nursery space (1 class) + 3 new single classes, replacing previous provision of 1 nursery class and 1 single class	322
Total		1,130

It is therefore recommended that a provision sum of £1.130 million is included in the General Services Capital plan, with the expenditure phased across 2017/18 and 2018/19. Further work will be undertaken between now and February in order to establish the final project budget, which will also include fit out requirements.

In the update report to Council in February 2018, any available funding from developer contributions will be noted, along with the full revenue implications (premises costs etc) of these units.

Feasibility work will be undertaken to establish options and costings for creating additional capacity at Lawfield, Woodburn and Newtongrange Primaries and Lasswade High School. If this feasibility work establishes a solution to the capacity requirement, there will be a further report brought back to Council which will request approval for the preferred solution.

## 6.2 Risk

There is a risk that the Council will not have a place for every pupil at their catchment school which is mitigated by the application of limits on pupil intake and the proposals to put in place additional capacity in the Bonnyrigg, Mayfield and Dalkeith areas by August 2018.

There is a significant risk that the additional capacity identified in this report will not be delivered before the commencement of the coming school session in August 2018. Contingency plans will be developed once detailed delivery programmes for each school site are provided.

The costings require further work and a detailed client brief in order to establish a more robust budget for each project. Officers will determine between now and the February 2018 report any further financial implications on the project budgets outlined above and convert the provisional sum outlined in Section 6.1 above into a final budget in the General Services Capital Plan.

## 6.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

Community safety

Adult health, care and housing

 $\boxtimes$  Getting it right for every Midlothian child

Improving opportunities in Midlothian

Sustainable growth

Business transformation and Best Value

None of the above

## 4.4 Key Priorities within the Single Midlothian Plan

Key priority: Reducing the gap in learning outcomes.

GIRFEMC outcomes: Children and young people are supported to be healthy, happy and reach their potential; Inequalities in learning outcomes have reduced.

## 6.5 Impact on Performance and Outcomes

The aim of this paper supports the priority to reduce the inequalities in learning outcomes by improving the quality of learning and teaching, leading to raised levels of achievement and attainment, by providing every child with the opportunity to attend school in their local community

## 6.6 Adopting a Preventative Approach

The Council's approach to pupil placement adopts a preventative approach by maximising the opportunities for pupils to attend school in their local community.

## 6.7 Involving Communities and Other Stakeholders

This report informs Council of the potential impact on communities arising from pressure on school places.

## 6.8 Ensuring Equalities

This paper informs Council of the impact of managing pupil admissions in line with national and local policy and procedure. The paper proposes no change to existing policy and procedures used and accordingly, no Integrated Impact Assessment is required.

## 6.9 Supporting Sustainable Development

The sustainability issues relating to this report relate to the sufficiency of schools places particularly in areas of housing development, the provision of additional capacity is being taken forward via the Delivery Plan for the School Estate coupled with the School Catchment Review Programme.

#### 6.10 IT Issues

There are no IT issues arising directly as a result of this report. The IT requirements arising in order to put in place the additional capacity for each school will be identified as part of the development of the project specifications. The budget required to fully equip the additional classes for August 2018 will be developed and presented in an update report to February Council.

## 7 Recommendations

Council is requested to:

- 1. Note the content of report.
- 2. Note the ongoing feasibility assessments required to assess the specifications and develop the financial implications of providing the additional school capacity as detailed in sections 4 and 5 of this report for:
  - Lawfield Primary School;
  - Woodburn Primary;
  - Newtongrange Primary School;
  - Lasswade High School.
- 3. Request the Director, Education Communities & Economy to bring a further report back to Council in February 2018 to provide an update on the feasibility work outlined in recommendation 2 above.
- 4. Approve the proposals to provide additional capacity by August 2018 as follows:-
  - install prefabricated units at Burnbrae Primary School to provide two classrooms with breakout space;
  - adapt the Mayfield Library building to provide space for three primary classes;
  - refurbish St David's Primary School to create nursery space.
- 5. Approve the allocation of a provisional sum of £1.130 million in the General Services Capital Plan to increase August 2018 intake capacity as outlined in recommendation 4 above.
- 6. Request the Director, Education Communities and Economy to bring a report back to Council in February 2018 outlining the additional capital budget required to fully fit out the class spaces created as outlined in Recommendation 4.
- 7. Note the intention to cap Primary 1 intake as shown in table 1.
- 8. Note the intake limit for Lasswade High School remains in place for August 2018 subject to the immediate capacity requirements being addressed.
- 9. Note the intake limits specified in this report are predicated on the solutions to provide additional capacity being delivered by August 2018.

#### 11 December 2017

**Report Contact:** Sandra Banks **Tel No:** 0131 271 3727 **E mail:** sandra.banks@midlothian.gov.uk

#### Appendices

Appendix 1 Projected Primary Catchment Pupil Numbers – August 2018
 Appendix 2 Projected Secondary Catchment Pupil Numbers – August 2018
 Appendix 3 Pupil Census 2017 and School Capacities

## Background Papers:

Learning Estate Strategy 2017-2047, Midlothian Council 26 September 2017

# Appendix 1

## Projected Primary Catchment Pupil Numbers – August 2018

	P1 Catchment	P1 Intake Capacity
Danderhall Primary School	38	42
King's Park Primary School	77	72
Woodburn Primary School	142	90
Tynewater Primary School	25	30
St David's RC Primary School		33
	282	267
Lawfield Primary School	90	60
Mayfield Primary School	65	60
St Luke's RC Primary School		33
-	155	15
Newtongrange Primary School	86	56
Gore Glen Primary School	59	60
Gorebridge Primary School	39	60
Stobhill Primary School	36	30
Moorfoot Primary School	7	14
St Andrew's RC Primary School		25
	227	245
Bonnyrigg Primary School	49	60
Burnbrae Primary School	97	90
Hawthornden Primary School	65	50
Lasswade Primary School	60	60
St Mary's RC Primary School		30
	271	290
Rosewell Primary School	22	25
St Matthew's RC Primary School		
	22	36
Loanhead Primary School	29	25
Paradykes Primary School	49	60
St Margaret's RC Primary School	10	14
Bilston Primary School	22	30
Roslin Primary School	26	42
	126	171
Glencorse Primary School	17	14
Mauricewood Primary School	37	60
Strathesk Primary School	48	50
Cuiken Primary School	<del>4</del> 0 59	50
Cornbank St James Primary School	39	50
Sacred Heart RC Primary School	65	20
called Hourt to Finnary Concor	200	245
	1,283	1,407
	1,203	1,407

#### Notes

P1 capacity in the table is based on 25 pupils per class, this can be increased by allocating an additional teacher to that class.

P1 capacity for a school operating with composite classes is dependent on the number of other pupils attending later stages (P2 to P7).

12

## Projected Secondary Catchment Pupil Numbers – August 2018

	S1 capacity	S1 catchment pupils
Beeslack Community High School	160	94
Dalkeith High School	200	184
Lasswade High School Centre	260/300	307
Newbattle High School	220	194
Penicuik High School	180	126
St David's RC High School	180	132
Total	1,200/1,240	1,037

#### Notes

- 1. Pupils attending one of Midlothian's denominational schools in Primary 7 are assumed to be catchment for St David's RC High School.
- 2. St David's RC High School S1 catchment pupils include an estimate for East Lothian resident pupils.
- 3. The 307 Lasswade catchment pupils include 81 resident in the Loanhead area.

## Pupil Census 2017

School Name	P1	P2	<b>P3</b>	P4	P5	<b>P6</b>	P7	Total
Bilston Primary School	18	15	13	8	12	10	7	83
Bonnyrigg Primary School	59	57	59	64	55	62	66	422
Burnbrae Primary School	74	66	58	65	55	47	36	401
Cornbank Primary School	42	35	35	25	32	45	39	253
Cuiken Primary School	36	39	32	28	38	31	27	231
Danderhall Primary School	47	41	38	43	41	26	40	276
Glencorse Primary School	2	2	4	3	1	3	2	17
Gore Glen Primary School	37	25	14	13	11	10	9	119
Gorebridge Primary School	31	41	59	51	33	39	40	294
Hawthornden Primary School	57	48	57	37	46	52	50	347
King's Park Primary School	67	69	72	67	61	60	58	454
Lasswade Primary School	57	47	58	49	58	49	58	376
Lawfield Primary School	56	57	55	52	26	43	42	331
Loanhead Primary School	21	26	25	29	29	29	31	190
Mauricewood Primary School	45	49	43	47	58	55	55	352
Mayfield Primary School	38	43	45	40	30	43	22	261
Moorfoot Primary School	12	15	15	9	12	14	11	88
Newtongrange Primary School	48	45	50	52	52	43	46	336
Paradykes Primary School	40	41	39	31	43	31	50	275
Rosewell Primary School	11	15	22	21	11	18	16	114
Roslin Primary School	24	26	25	25	26	23	31	180
Sacred Heart Primary School	23	20	22	20	16	14	17	132
St Andrew's Primary School	27	27	19	25	24	24	18	164
St David's Primary School	29	27	30	32	31	29	26	204
St Luke's Primary School	33	33	21	22	23	32	29	193
St Margaret's Primary School	7	10	8	9	7	10	8	59
St Mary's Primary School	15	14	26	25	16	27	25	148
St Matthew's Primary School	10	4	7	9	5	1	6	42
Stobhill Primary School	29	27	28	29	29	27	25	194
Strathesk Primary School	44	51	51	47	49	49	46	337
Tynewater Primary School	29	27	29	22	22	27	24	180
Woodburn Primary School	80	79	73	67	65	59	59	482
	1,148	1,121	1,132	1,066	1,017	1,032	1,019	7,535

School Name	<b>S1</b>	<b>S2</b>	<b>S3</b>	<b>S4</b>	<b>S5</b>	<b>S6</b>	Total
Beeslack High School	107	116	120	105	114	99	661
Dalkeith High School	189	161	116	149	146	81	842
Lasswade High School	278	295	297	281	202	153	1,506
Newbattle High School	163	189	145	149	125	86	857
Penicuik High School	101	102	116	102	86	50	557
St David's RC High School	112	109	102	83	80	84	570
	950	972	896	869	753	553	4,993

School Name	SP
Saltersgate	111
	111



Midlothian Council Tuesday December 2017

## Carers Strategy 2017-19

## Report by Allister Short, Joint Director Health and Care

## 1 Purpose of Report

The report seeks agreement to the refreshed Midlothian Carers' Strategy intended to provide support to the very many unpaid carers including young carers who fulfil a vital role in caring for their relatives and friends.

## 2 Background

- 2.1 It is difficult to be precise about the number of carers as many people undertake a caring role without regarding themselves as a "carer". The 2011 census estimated that 9.9% of the population in Midlothian are carers while the 2015 Scottish Survey Core Questions found that 14.4% of respondents considered themselves to be carers.
- **2.2** The level of care they provide clearly varies with 43% of carers undertaking 20 hours or more each week. Growing numbers of older people are carers; in Midlothian it is estimated that 10% of unpaid carers are over 65yrs.
- **2.3** The increasing emphasis in recent years on supporting people longer in their own homes means it is increasingly important to proactively reach out to carers and ensure they are supported through information, advice and access to a break when they need it. Local voluntary organisations, in particular VOCAL, provide invaluable advice and information to unpaid carers.
- **2.4** The crucial role played by local carers was reflected by a Council decision in August 2012 to appoint an elected member as a Carers Champion. This role is currently undertaken by Councillor Margot Russell.
- **2.5** At a national level there have been renewed efforts to strengthen the support to carers. The Carers (Scotland) Act 2016 is a key piece of new legislation that promises to 'promote, defend and extend the rights' (Scot Gov.) of adult and young (unpaid) carers across Scotland. The Act aims to "ensure better and more consistent support for carers and young carers so that they can continue to care, if they so wish, in better health and to have a life alongside caring" (Scot Gov.). This legislation has implications for Adult Services and both Education and Children's Services. A report on the implications of the carers Act was considered by Council in June 2017
- **2.6** Following the publication of the national carers' strategy *Caring Together; Carers Strategy 2010-15* a programme of consultation was undertaken to develop a local Carers Strategy. This strategy has been reviewed and

updated and is presented to both the Council and the Integration Joint Board for formal approval.

## 3 Report Implications

## 3.1 Resource

Expenditure on support for carers is difficult to quantify. Support services are commissioned from voluntary organisations including VOCAL, Alzheimer Scotland and Children First. The Carers Information Strategy fund which is allocated directly to NHS Boards provides approximately £64,000 additional funding to Midlothian but the future of this fund is unclear. A range of respite services are provided including residential provision for older people and people with disabilities and more flexible breaks arranged through the Wee Breaks Service or directly by service users through Self Directed Support.

## 3.2 Risk

As a result of the increasing ageing population there is an increased demand on services and supports and a reliance on informal unpaid carers to support people at home for longer. Developing a strategy and action plan is essential to ensure the projected demographic increase of people requiring community care services are planned and delivered effectively and efficiently.

## 3.3 Policy

## Strategy

The national importance attached to supporting carers is reflected in a range of policy documents over the past 20 years including *Strategy for Carers in Scotland* (1999), *The future of unpaid care in Scotland* (2005) *Building a Health Service fit for the Future* (2005) and *Changing Lives* (2006), which contain a number of common themes including working with carers as partners in providing care; shifting the balance of care towards preventative support; and enabling and encouraging self-directed care. Local strategies for community care groups including children affected by disability all have as their central theme the importance of providing more effective supports to enable people to remain at home longer within their own communities. There is a shared recognition that this shift is dependent on supporting carers more effectively. This involves ensuring sufficient and appropriate services including advice, support and access to respite care is available.

## Consultation

The attached strategy details the consultation undertaken throughout the preparation of the strategy including unpaid carers and a wide range of voluntary and statutory agencies that have a role to play in supporting unpaid carers

## Equalities

An Integrated Impact Assessment has been undertaken and concluded that while there are a number of positive impacts there are no negative impacts associated with this report. The strategy itself makes explicit reference to addressing inequalities and seeking to identify hidden carers in areas of deprivation.

## Sustainability

There are no sustainability issues associated with this report

## 3.4 IT Issues

There are no IT issues associated with this report.

## 4 Summary

The care system has always been heavily dependent on the input of family and informal carers. This reliance will increase as the move to care in the community accelerates and as the elderly proportion of the population increases. The implementation of the attached strategy is intended to strengthen local support services for unpaid carers.

## 5 Recommendations

Council is asked to: Approve the 2017-19 Midlothian Carers Strategy

Date: 22 November 2017Report Contact:Shelagh SwithenbankTel No:0131 271 3645E-mail:shelagh.swithenbank@midlothian.gov.uk

Item 8.17



Midlothian Health and Social Care Partnership

Midlothian

**Carers Strategy** 

2017-2019

June 2017

## Contents:

- 1. Foreword
- 2. Introduction
- 3. Profile of Midlothian Carers
- 4. Changes in Legislation: Carers (Scotland) Act (2016)
- 5. Outcomes for Carers
- 6. Priorities over next 3 years
- 7. Contact

## 1. Foreword – Jane Cuthbert



In 2012, I was proud to be part of the Strategic Planning Group that created the first Strategic Plan for Midlothian. The Plan focussed on improving the day-to-day lives of Carers living in Midlothian. Since 2012, there have been many changes to the way that Health and Social Care are managed, with the creation of the Joint Health and Social Care Board.

In 2016 The Carers Strategy Group began a programme of work aimed at creating a new Strategic Plan for carers in Midlothian. Again, the plan aims to address the wide spectrum of issues that carers may face.

In creating this strategy, we have listened to carers and paid particular attention to three areas of concern for carers.

## 1. 'It's my partner/parent/child/sibling/friend – it's my job to look after them!'

Firstly, we have looked at **Carer Identification**. One of the biggest difficulties can be in recognising that a child, young person or adult is in a caring role. Most people who look after someone, view that this is just something they have to do. Very often carers do not have the time to stop and think about what their lives would be like if they did not have the responsibility of providing care.

The sooner someone themselves recognises, or is identified by someone as being in a caring role, the sooner help can be provided to support them in this role.

# 2. 'I used to be able to play sport/go to the cinema/meet friends/work in the garden/walk the dog'

The strategy has also focussed on helping carers to have a Life Outside of Caring.

We recognise that having another person dependant on one carries a huge responsibility, often with few breaks, and often little recognition. A carer may be responsible for the physical and mental needs of the person they look after and the inevitable consequences of tiredness, however, they often have other concerns such as money worries, stress, ill health, managing school and peer groups, loneliness and isolation. Young carers need to have their unique rights as children and young people recognised and supported. Caring responsibilities for young carers can affect opportunities to mix with peers and on school attendance. That is why it is so important to enable carers to continue to have a life outside caring, including enjoying participating in hobbies or just have a little time for themselves.



# 3. What will happen to the person I care for if I have to go to hospital/go on holiday/can't get away from work?

One of the biggest worries a carer can have is over **planning for an emergency**. We are all human and there can be unavoidable emergencies when a carer simply cannot be there for the person they care for.

There is no 'one size fits all' fix for this but, with careful thought and planning in advance, it is possible to sort out a way of coping with the cared-for person's needs. In the situation of young carers, this might include the needs and care of the young carers themselves, especially if a parent/guardian has an emergency that makes them less able or takes them away from home.

Creating an emergency plan can be as simple as having a note of a neighbour or relative's phone number who would be willing to help out in the short term, to a whole book of telephone numbers of healthcare and social workers, lists of essential medications etc. Once a plan is in place, the carer and the person they care for can have peace of mind.

These three areas are not the only areas covered by the strategy that follows this introduction. I sincerely believe that this new strategy is fit for purpose and hope that it can reassure carers in Midlothian that they are valued and supported.

## Jane Cuthbert

Carer and member of Midlothian Carers Strategic Planning Group

# 2. Introduction

Unpaid carers fulfil a significant and valuable role within our communities and economy; a role that statutory services cannot replicate in terms of actual care provision, or in terms of budgetary availability, approximately 120,000 hours of care per week is provided by unpaid carers in Midlothian<sup>1</sup>. This role is likely to become even more critical as Midlothian Health & Social Care Partnership and its two partners NHS Lothian and Midlothian Council face considerable challenges in terms of working within very restricted budgets, whilst attempting to make available high-quality care delivered by suitably skilled and experienced staff.

Within our communities there are an increasing number of people living with long-term health conditions, people are living longer, and mental wellbeing is a challenge for many people. This increased demand alongside reducing budgets means that the current model of service provision is unsustainable. The re-design of health & social care services involves a cultural shift to support more people to be directly involved in their care and decisions that affect their health and wellbeing. The Partnership continues to work towards providing the tools to enable individuals to be more involved in self-management of their long-term conditions' offer and receive Peer Support, tap into Assistive Technology as a resource to assist in the monitoring of conditions; whilst recognising how crucial it is to enable people to receive breaks from caring.

Encouraging a future planning approach to support the best outcomes for service users, patients and carers can be seen in developments such as the promotion of Anticipatory Care Planning, Emergency Planning for Carers, and the uptake of Power of Attorney. These tools have at their core the involvement of service users and carers in how they would like to live their lives. It is necessary that we recognise and respect what unpaid carers do, and we can do this by treating them as equal partners, recognising the impact that their caring role can have on them, whilst also seeking to identify the many hidden carers and offer support to them.

# **Strategy Development Process**

The new Midlothian Carers Strategy aims to recognise and address issues faced by both young and adult carers. As such the Carers Strategic Planning Group met as a larger group, but also contained a subgroup focussing on young carers so that particular attention could be given to their needs. In Midlothian the Health & Social Care Partnership oversee services for Adults, whilst Education and Children & Families Social Work services are the direct responsibility of Midlothian Council. The Carers Strategic Planning Group itself has representative from Health

<sup>&</sup>lt;sup>1</sup> Number of carers identified from Scottish Household Survey 2012; hours of care provided based on an estimate from 2011 Census data.

and Social Care; VOCAL; carer representatives; and representatives from organisations whose services include carer support. In preparation of the strategy and action plan, a series of themed specific meetings were held with invited specialist workers, aiming to understand particular challenges and identify actions that would be taken forward during the period of the new strategy.

Specialist workers included:

- a housing officer to discuss the housing application process, and carer awareness raising for staff
- workers from Midlothian Financial Inclusion Network and Midlothian Council Welfare Rights team to discuss changes to the national insurance and welfare benefits system
- representatives from the Department of Work and Pensions, and Midlothian Lifelong Learning and Employability Team to explore support to get into work and training
- a Health Promotion Specialist to discuss health inequalities and how to support groups of people who may find it difficult to prioritise their own health and the impact of their social situation on their wellbeing
- an Assistive Technology specialist who discussed options to use technology to support health and wellbeing and to provide support to the caring role

In addition other practitioners contributed to widening the understanding of the group.

# **Making Links**

The Action Plan to support the strategy has identified areas of work to take forward with many of the specialists who contributed to the discussions. The next step for the Strategic Planning Group is to promote, highlight, and progress the issues and actions identified. Examples of this work may include promoting carer supportive employment practices within our own organisations and with large scale employers within Midlothian; working with the Housing Department to offer carer awareness training for staff; making connections with services and members of communities that are under-represented in the support services we offer; and finding out what we need to do differently to support people we would identify as providing an unpaid carer role.

# How did we construct the plan?

The Carers Strategy and Action Plan have formed around a structure of positive Outcomes for carers. Outcomes are aspirations that we would want to achieve, in this situation aimed at supporting and improving the physical, mental, financial and economic wellbeing of carers. The action plan is formed around the outcomes of:

- 1. Being Identified and Valued Earlier
- 2. More Informed and Confident Carers
- 3. Improved Health and Wellbeing
- 4. Being More Involved in Support Planning
- 5. Improved Financial Wellbeing
- 6. Carer Awareness in Employment and Education

This Carers Strategy is for the period 2017 – 2019 but will be reviewed in light of the new carers legislation following April 2018.

# 3. Profile of Midlothian Carers

There are two main sources of survey data on unpaid carers in Scotland, the 2011 Census data and the Scottish Household Survey 2012 and the estimates for Midlothian differs in each. The 2011 census outlines that **9.90% of the Midlothian population are carers**, which is in line with the Scottish national average. In the 2015 Scottish Survey Core Questions, which collates identical questions in the Scottish Crime and Justice Survey, the Scottish Health Survey and the Scottish Household Survey, **14.4% of respondents** stated that they provided care. This would equate to approximately **12,000 adult carers in Midlothian**. The national statistics for young carers estimates there to be **29,000 young carers in Scotland** (specific numbers of young carers not specified per local authority within census data).

"Carers are equal partners in the planning and delivery of care and support. There is a strong case based on human rights, economic, efficiency and quality of care grounds for supporting carers. Without the valuable contribution of Scotland's carers, the health and social care system would not be sustained."

Caring together: The Carers Strategy for Scotland 2010 - 2015

The 2012 Scottish Household Survey found that 70% of carers did not access any external support. The most common support sought was help from family and friends (17%), carer's allowance (8%) and advice and information (7%).

*I was near mental and physical exhaustion but going to counselling turned my life around and enabled me to cope.* 

- The majority of carers providing help or care within the home provide care to a parent. This is closely followed by care to other relatives including spouses, children and siblings. For those undertaking a caring role in the household, the Scottish Household Survey (2012) suggests 46% of carers have been providing care for over 5 years.
- In the 2011 Census, 43% of Midlothian unpaid carers were undertaking 20+ hours of care per week. Of these, 61% were undertaking 50+ hours of care. This is largely in line with the national figures, which showed that 44% of carers provided more than 20 hours of care, and of this 60% provided more than 50.

I feel guilty leaving my son with someone who doesn't understand his additional needs and I have difficulty finding someone who has experience/ training of looking after children with additional needs.

- 11% of all carers in Midlothian providing 20+ hours of care per week reported that they were in bad or very bad health, which matches the nationally reported statistic, and of this group 13% of carers providing 50+ hours of care per week reported being in bad or very bad health. Again this is in line with the national result of 14%.
- In Midlothian 60% of carers are female and 40% are male. 10% of carers are over the age of 65. All data sources indicate that as carers get older they take on more caring responsibility.
- Scottish Household Survey statistics updated in 2012 noted that 9% of unpaid care given by adults was to people not living with them, which was a 5% drop from the previous collection.

# Inequalities

# ...Carers in more deprived communities provide more hours of care per week...

Across Scotland, the level of the population providing care across data zones was fairly consistent, with 9.4% of people providing care in the most deprived area and 9.3% in the least deprived. However, when considering the intensity of care provided, the 2011 census showed that 47.4% of carers in the most deprived areas provided 35+ hours of care per week compared to 23.9% of carers in the least deprived areas. This is a particular issue in Midlothian where following economic downturn some parts of Midlothian have seen increasing levels of deprivation. Deprivation is most prevalent in the communities of Gorebridge, Mayfield & Easthouses and Woodburn. There are also smaller pockets of deprivation within many other of Midlothian's communities.

The 2011 Census showed that nationally 45% of all people providing care were not in employment, rising to 65% for those providing more than 35 hours of care. For Midlothian, these figures were comparable at 44% and 64% respectively. 25% of people providing care across Scotland are retired, rising to 34% for those providing more than 35 hours of care. Again, for Midlothian carers, this figure is comparable at 24% and 33% respectively.

"I had to get early retirement to look after my husband who was in a wheelchair and had many health problems. After I retired I had to use my own money to supplement my income, as with a works pension I did not qualify for Carers Allowance."

# 4. Changes in Legislation: Carers (Scotland) Act 2016

The Carers (Scotland) Act 2016 is a key piece of new legislation that promises to 'promote, defend and extend the rights' of young and adult carers across Scotland. The Act aims to "ensure better and more consistent support for carers and young carers so that they can continue to care, if they so wish, in better health and to have a life alongside caring" (Scot Gov.).

The Carers Bill passed as law on 4th February 2016 and the Act will be implemented on 1st April 2018. The Scottish Government recognise that implementation will require a significant programme of preparation in the development of regulations and statutory guidance as well as the development of systems to provide monitoring and evaluation of the Act. A Scottish Government Implementation Steering Group involving key stakeholders has undertaken work to look at different areas of the Act and from this work strategic advice and guidance is being developed to support implementation. In addition, subject-specific expert sub-groups are feeding in. The new Act will require local authorities and health boards to prepare for implementation by addressing the new duties and responsibilities placed upon them, but also how supports/assessments are undertaken and delivered.

The Carers Act places new duties and responsibilities on Local Authorities and/or health boards. The duties outlined in the new Act build on previous carers legislation and national strategy documents (Caring Together: The Carers Strategy for Scotland 2010 – 2015 and *Getting It Right For Young Carers*)

- 1. Duty to prepare and review Adult Carer Support Plans and Young Carer Statements
- 2. Establishment of Local Eligibility Criteria for Services for Young and Adult Carers
- 3. Duty to Provide Support
- 4. Duty to involve carers in carer's services
- 5. Duty to prepare a carers strategy
- 6. Each local authority must establish and maintain an information service for carers, and produce a short breaks service statement.

In preparation of new duties and responsibilities, The Scottish Government invited a number of Local Authorities to participate in pilot work to test the provisions of the new Act. Midlothian was invited to participate and the area that has been chosen to focus on is Adult Carer Support Plans (ACSP), including the introduction of Emergency and Future Planning as part of these plans.

# Implementation of the new legislation

Implementation will require planning and preparation by the Health & Social Care Partnership, Local Authority and Health Board. We will need to work in partnership with the Voluntary Sector, and involve the public. There will need to be consultation with stakeholders regarding some of the new duties and responsibilities before the Act comes into effect. We will form an Implementation Group to plan and undertake this work for both young and adult carers.

# 5. Outcomes for Carers

The Action Plan to support the Midlothian Carers Strategy is structured around the main outcome themes that have come up repeatedly in conversations with carers and at carer forums. These outcome themes link with the Scottish Government developed National Health and Wellbeing Outcomes. These are high-level statements of what health and social care partners are attempting to achieve through integration and ultimately through the pursuit of quality improvement across health and social care.

This is the link to the National Health and Wellbeing Outcomes:

http://www.gov.scot/Topics/Health/Policy/Health-Social-Care-Integration/National-Health-WellbeingOutcomes

Though all of the National Health and Wellbeing Outcomes are relevant to carers living in Scotland, there is a specific Outcome relating to this group.

Outcome 6. People who provide unpaid care are supported to look after their own health and wellbeing, including to reduce any negative impact of their caring role on their own health and well-being

*"I took some time away and was able to meet friends and have a lunch with former work colleagues, allowing me to switch of and not worry about mum"* 

# 6. Priorities over next 2 years

The next 2 years will see a significant change in legislation as the new Carers (Scotland) Act 2016 is implemented in April 2018, and as policy and practice within Health & Social Care Partnerships, Local Authorities and Health Boards adapts to reflect this. This is an opportunity to work in closer partnership with Voluntary Sector organisations to share learning and resources with the shared objective of providing the best possible support to carers in our communities. Work with Young Carers is subject to influence from ongoing developments related to other legislation and strategies including the Children & Young People (Scotland) Act 2014.

The strategy contains the following key priorities, which we aim to make an impact on over the next 2 years:

- Increased Carer Identification and Support
- > Improved Access to Breaks from Caring
- > Reducing Health Inequalities and Financial Hardship
- > More systematic approach to Emergency Planning

# 7. Contact

Shelagh Swithenbank Carers Planning Officer Health & Social Care Fairfield House Lothian Road Dalkeith <u>shelagh.swithenbank@midlothian.gov.uk</u>

0131 271 3645

# 1. Being Identified and Valued Earlier

# a. Early identification of carers

#### Progress in 2016 -17

Identification as a carer can come through a variety of routes and experiences. Progress during the period of the previous Carers Strategy was that more carers are now identified through GPs and hospital, whilst self-identification also remains a significant factor as in the VOCAL Carer survey 2015 - over half of carers (51%) said that they realised themselves that they were a carer.

There is a wide range of information and support available, which is increasingly selfdirected and person-centred, but there is also recognition that this information and support is not reaching all carers at an early stage which otherwise may help in the prevention of unnecessary crises or lessen the physical, emotional and financial impact of caring.

Education is referred to as a "Universal Service" (all children have access to educational opportunities), and as such can provide opportunities to contact young carers who may not self-identify or come to the attention of statutory services. The voluntary organisation Children 1<sup>st</sup> was involved in supporting Education staff to implement a strategy to assist in the identification of young carers through the annual information collection form issued to gather information about pupils (SEEMiS). The inclusion of a question about being a young carer enabled parents/guardians to identify if the young person they were completing the form for was a young carer. This information is helpful in highlighting to school any circumstances that pupils may need support with and how these may impact on how they manage at school.

The Wellbeing Service, which is part of the *House of Care* initiative operated through the voluntary organisation Thistle, has seen the establishment of Wellbeing Workers in eight GP practices across Midlothian. These workers are there to support patients with non-medical issues relating to their health and wellbeing; of which carers are a relevant group.

# Plans for 2017 – 19

- Aim to increase number of carers identified at point of diagnosis of condition of cared for in primary care
- Address some of the specific challenges faced by 'hard to reach' carers (ref: Carers UK, 'Missing Out: the Identification Challenge, 2016)
- Create and strengthen internal systems that support identification of carers through professional practice, in primary, social and acute care, employment and in local communities.
- Continued awareness raising of young carers issues and systems to support identification
- Development and expansion of connections between the Wellbeing Service and Carer Support Services in Midlothian. Continue to support carers to acknowledge caring role undertaken and encourage early access to support and advice.

#### Outcomes (Measures)

- Demographic breakdowns ethnicity, condition of cared for, age of cared for, location with number of years caring at point of referral (VOCAL)
- Examples of initiatives to address challenges faced by 'hard to reach' carers and measurement of success
- Examples of systems used by local agencies, teams and organisations to routinely identify and support carers.
- Number of young carers referred and by whom
- Recording of numbers of referrals received from Wellbeing Service

### b. <u>Early identification and awareness of carers receiving services provided by</u> <u>Statutory and Voluntary Services</u>

#### Progress in 2016 -17

Identification of carers has been an ongoing challenge and commitment undertaken by Statutory and Voluntary Services in Midlothian. To promote early identification and awareness of carers as both customers and employees, there was been work delivered through NHS Think Carer Awareness training (Allie Cherry, VOCAL). Training and information sessions have been delivered at local hospitals and GP surgeries, and bimonthly Professional Information events at Midlothian Carers Centre. A well-established link within acute services is the Hospital In-reach support work that is undertaken by VOCAL. A more recent development has been the production of a Professional e-bulletin by VOCAL, which includes links to support and advice for staff working with Unpaid Carers. Services have noted pockets of systematic and consistent referrals from practitioners within health, social care, education and the voluntary sector. Alzheimer Scotland Dalkeith has observed that some of the identification work they have undertaken had come because of contact with the service for the Dementia Friends initiative. Contact with the service relating to becoming a Dementia Friend, enabled some people to recognise that they were a carer themselves, and could receive support if they chose to.

#### Plans for 2017 – 19

- Continued promotion of Think Carer training locally
- Sustain work with GP surgeries and primary care on early identification
- Embedding legislative requirements (s28 of Carers Act) re hospital discharge in work within acute/hospital settings and NHS and social care staff to identify and involve carers
- Dissemination of tools (e.g. VOCAL professionals e-bulletin, Wee Breaks website, Alzheimer Scotland newsletters; Midlothian Carers News; NHS e-learning) which promote carer awareness amongst professionals
- Continued awareness raising amongst Statutory, Voluntary and Universal Services to enable carers of all ages to be identified and access support. Young carers benefit from a wider range of friendships and relationships, and access a variety of educational and social activities. We must consider how these groups and organisations can help identify young carers and support them to meet Wellbeing indicators and achieve positive outcomes.

- Establish if Young Carer Champion role is still ongoing within schools

#### Outcomes (Measures)

- Number of Think Carer training sessions delivered in Midlothian (NHS/VOCAL)
- Number of carers referred for support via GP surgery/ acute/hospital settings/education/SW/Third sector/Fire Brigade
- Records and information systems (Mosaic, VOCAL, Children 1st and Alzheimer Scotland)

#### c. <u>Self identification</u>

#### Progress in 2016 -17

Encouraging self-identification of carer has been and is ongoing work due to the continual number of people undertaking new caring roles, but also for others the gradual change in their circumstances which changes their own perceptions of the support they provide and how this impacts on their life. Information assisting in enabling self-identification is communicated via publicity in various forms including distribution of posters and leaflets to GP surgeries; information in the local press, articles in the Midlothian Advertiser and Health & Social Care Newsletter; emerging channels such as Social Media – Midlothian Carers Centre Facebook page and Carers@Work group, and Carers Connect group –carers trained to create podcasts, local radio link. Talks and presentations to local community groups are additionally helpful in aiding discussion and recognition.

The inclusion of the question regarding being a young carer through the Education information collection system SEEMiS helps to aid identification and access to support. The introduction of a Young Carers ID card is a tool that has been used by young carers and can be shown to professionals and offers quick explanation of their caring situation.

Health &Social Care staff continue to offer adults Carers Conversations (which will become Adult Carers Support Plans), whilst young carers will have access to support to complete Young Carers Statements, both with the aim of allowing an opportunity to explore the caring role, impact on self and personal outcomes.

#### Plans for 2017 – 19

- Use of social media to reach a wider network of potential carers and extended family members
- Increased carer awareness through range of local media on e.g. regular slots on local radio
- Increased multiagency approaches to carers awareness promotion
- Raising awareness to partner agencies and to evaluate the benefit of having a Young Carers identification card
- Investigate possibility of using SEEMiS information to refer to services

# Outcomes (Measures)

- Examples of carer awareness campaigns and types of media used
- Children 1st will keep record of how many young carers receiving the ID card and how used.
- Monitor numbers of Carers Conversations (ACSP) and Young Carers Statements (YCS) completed.
- Number of Young Carers referred and by what route.

# 2. More Informed and Confident Carers

# a. Future planning (Emergency, POA, Guardianship)

#### Progress in 2016 -17

Planning and putting in place arrangements for the future has been consistently raised as a priority by carers in Midlothian. To support this there has been training opportunities, surgeries and promotional campaigns organised by local services covering a range of situations, as future planning is different for each person. Future planning may focus on the care and support needs of the cared for person, either as their condition changes or as they get older and may approach different life transitions. Future planning may also address the needs of the carer and supports they require or decisions that need to be made as the caring role impacts on themselves and their ability to continue in their caring role. There are monthly Power of Attorney surgeries at Midlothian Carer Centre, as well as legal surgeries on Guardianship and long-term planning. There are also training sessions covering planning for an emergency, fire safety and the use of Telecare (Assistive technology in the home) to assist in equipping carers with information and skills to deal with unexpected situations.

There has been a Power of Attorney promotional campaign funded through Midlothian Council Small Grants Scheme and undertaken by MVA/MFIN aiming to increase the uptake of POA to Midlothian residents. The campaign sought to increase the knowledge of POA in residents, but also promote the uptake of Legal Aid to facilitate putting a POA in place (reducing barriers to uptake).

Midlothian Health & Social Care Partnership in conjunction with local Voluntary Sector partners, were invited to participate in Scottish Government pilot work re the implementation of the new Carers legislation. The local pilot work set to test the development of Adult Carer Support Plans, including emergency and future planning.

#### Plans for 2017 – 19

- Encourage and provide support to carers to make emergency and future plans; aiming to improve decision-making and the response/action initiated, and the impact these have on the carer and cared for in a crisis. Increase number of emergency plans produced and POA/Guardianships applied for.
- Development/use of tools to support carers in reflection and planning for use in one to one or group settings. Outcomes focused approach of ACSP and YCS will assist with this.
- Up skilling workforce in supporting carers to have difficult conversations with wider support network, and initiating carers to start making plans for the future
- Ongoing promotion of POA through range of initiatives using multiagency approaches
- Development of system for local agencies to be aware of existence of an emergency plan
- Identification mechanism (card) for carer and cared (including aim to include mechanism to highlight existence of emergency plan)

#### Outcomes (Measures)

- Number of carers with; Emergency Plans; POA; Guardianship; Adult Carer Support Plan or Young Carers Statements

# b. <u>Advocacy</u>

#### Progress in 2016 -17

Having their voice heard is of significant importance to carers in developing confidence in their role and ability to manage. Carers can access self-advocacy training courses at Midlothian Carer Centre to develop skills to assist in their caring role, but in also confidence in expressing their own needs.

#### Plans for 2017 – 19

- Establish what advocacy services are available to young and adult carers
- Explore opportunities to further develop self and peer advocacy for carers.

#### **Outcomes (Measures)**

- Carers express confidence in being able to articulate their needs and confidence in dealing with providers. Explore possibility of measured outcomes via survey at end of training or period of involvement?)

# c. <u>Training/Learning Skills</u>

#### Progress in 2016 -17

Having the skills, knowledge and support to undertake a task or role is helpful in developing confidence and resilience. Carer services in Midlothian provide training opportunities in response to feedback from carers around what might be helpful to them both in their role as a carer in supporting the cared for person, but also for themselves in managing the decisions and impact that role has on them. Training opportunities are available locally and in Edinburgh, and are publicised via posters, newsletters, email and contact with Carer Support Workers. Support from a Voluntary sector organisation offers Young carers and their families the opportunity to gain support and undertake work together, but in addition offers support to young carers solely to participating in group work, receiving tailored input to support particular identified needs.

#### Plans for 2017 – 19

- Diversify range, format and timing of training, based on carer feedback and in response to local need
- Increase learning opportunities in areas of palliative care; condition specific courses; economic well-being; emotional issues; personal development activities
- Increase accessibility to courses at weekends and evenings and increase range of formats, e.g. online, via social media
  - Increasing confidence and ability to cope in caring role.

#### **Outcomes (Measures)**

- Number of carers attending formal training sessions

# 3. Improved Health and Wellbeing

# a. Short Breaks/Respite/Respitality for Carers

#### Progress in 2016 -17

The importance of Short Breaks from caring was recognised in the National Strategy for Carers and Young Carers 2010 – 2015 and is included in the new Carers (Scotland) Act 2016. In Midlothian, VOCAL operates the Short Breaks Bureau for Midlothian Council and Wee Breaks Scheme facilitating access for carers to personalised short breaks. Alzheimer Scotland also provide opportunities for carers to access funding to arrange short breaks or buy equipment to enable a break. Following promotion and pilot support from the Scotlish Government, Respitality has been an area of development over the past few years, and there has been an increase in the number of local carers engaging in these opportunities. VOCAL have secured increased availability of funding for short break opportunities through existing and new funding streams.

#### Plans for 2017 – 19

- Widen promotion of Wee Breaks Scheme within the local community
- Further develop Respitality concept to support carers and families to access mainstream provision
- Increase number of carers accessing support to plan, manage and fund breaks from caring
- Increase access and opportunities for young carers to have a break from caring

#### **Outcomes (Measures)**

- Number of community groups engaged with by Wee breaks staff
- Number of applications to Short breaks Fund
- Number of carers supported through Wee Breaks
- Number of Respitality breaks being offered and used
- Number of grants for Short Breaks given
- Monitor reports of increased access to break opportunities within the community
- Number of Short Breaks being accessed by young carers

### b. <u>Supporting a life outside caring</u>

#### Progress in 2016 -17

Midlothian carers identified in the VOCAL 2015 survey identified factors contributing to barriers to a life outside caring as including issues such as restrictions on time; flexibility and availability of respite; finances; and, inability to relax. Contact with support services can assist carers to look at their own needs and the personal outcomes they want to achieve, and 77% carers reported improved social well-being following support in 2016-17 (VOCAL). Children 1st provide a service to Midlothian Young Carers aged 7 – 18 yrs and seek to provide support and opportunities to Young Carers, including opportunities to support some of the SHANARRI Wellbeing Indicators.

#### Plans for 2017 – 19

- Increase range of interventions to support carers health outcomes; including counselling, courses, groups, emotional support, and fundraising for breaks.
- Increased emphasis on supporting carers to think about their own health and the implications of an improvement or deterioration
- Increased awareness of Wee Breaks and opportunities to access breaks from caring

- Promotion of support for Young Carers and listening to what supports they need

#### Outcomes (Measures)

- Number of young carers referred to support services
- Number of Adult Carer Support Plans and Young Carers Statements (content relating to Health and Wellbeing)
- Number of Emergency Plans and Power of Attorneys completed
- Number of carers attending courses and training opportunities

#### c. <u>Support to maintain and improve health and recognising impact/issues relating</u> to Health Inequalities in our communities

#### Progress in 2016 -17

The duration and intensity of caring is seen at its highest levels within some of our most disadvantaged areas in Midlothian. Issues associated with poverty become compounded by the impact of the caring role. The adaptation and response of local services and strategies recognising and targeting some of the issues associated with health inequalities are addressed within courses, training and support from local carer support services including VOCAL and Alzheimer Scotland. The pilot and subsequent roll out of the Wellbeing Service within local health centres recognises the complexity of social and economic situations (in addition to caring) and the impact that these can have on the lives of families and individuals within our communities.

#### Plans for 2017 – 19

- Initiatives to identify carers living in areas of multiple deprivation
- Support initiatives developed specifically for carers living in areas of multiple deprivation
- Increased identification and support of carers where:
  - 1. Their caring role may not be immediately apparent to them (e.g. subjective perception of normality of what they are doing, or lack of awareness/recognition within culture of caring role)
  - 2. There may be challenges/barriers to accessing support (e.g. Perception that particular services do not, or will not meet their needs; lack of identification with service as a source of support
- Increase referrals to support services from health and social care workers.

#### Outcomes (Measures)

- Data formatted to represent visual map
- Increase referrals received
- Number of carers by postcode

#### d. Building resilience and confidence

#### Progress in 2016 -17

Building resilience and confidence are assets to draw on by carers in undertaking their caring role. Local carer support organisations offer training courses to develop these strengths aiming to provide tools and opportunities to explore the impact of stress and anxiety; looking at coping strategies such as mindfulness; and exploring thoughts and feelings including those associated with changing relationships (VOCAL).

Within the services offered by carers organisations carers are offered asset and strengthbased conversations with support staff (80% carers reported improved confidence in caring 2016/17 - VOCAL); access to a carer counselling service; and practical support, including access to breaks from caring and funding via Wee Breaks.

Work undertaken with young carers is embedded in building resilience and confidence, and the family, individual and group work undertaken has been focussed on these strengths as outcomes for the young people involved.

Links have started to be developed with Midlothian Council's Lifelong Learning and Employability Service, seeking to identify links with carer services and opportunities for carers to participate in programmes either generally open to the public, or bespoke for carers.

#### Plans for 2017 – 19

- Further strengthen carer resilience by expanding emotional health and wellbeing support for carers
- Encourage asset and strengths-based approaches during early carer conversations with information and resilience building to strengthen carer confidence and reduce likelihood of a breakdown in circumstances
- Expand opportunities and accessibility to Lifelong Learning and Employability programmes

#### **Outcomes (Measures)**

- Number of training courses being offered
- Number of ACSP and YCS being completed
- Number of attendees at Community Health Improvement Team appointments

#### e. Suitable Housing for Long Term Need

#### Progress in 2016 -17

Health and wellbeing is contributed to and impacted on by many factors, both physically and mentally. Suitable housing and adaptations have been a recurrent topic raised by carers. A suitable physical environment can have a significant impact on independence and the level of support someone might need within that environment. To gain insight into some of the practical challenges associated with caring and aim to promote independence and ability, there has been carer involvement in building redesign and development for one of the local authority care homes. There has also been the introduction of a section on the local housing to include information about carers; information which is helpful in understanding need and finding housing to meet those needs.

### Plans for 2017 – 19

- Workforce development and training.
- Working more closely with housing to involve carers, and work in partnership to provide training to housing staff regarding carers

#### Outcomes (Measures)

- Number of housing staff participating in training

# f. Isolation

#### Progress in 2016 -17

Local carer services are aware of the potential impact caring can have in causing isolation for both adult and young carers. Reduced opportunities to engage in social activities, sometimes leaving employment, and reduced financial capacity can all impact on carers not engaging in regular social contacts and lead to becoming isolated. Young carers have received support to access community resources and activities with other young carers, and engaged in support that seeks to maintain normal social activities for that age group. Adult carers have access to the Wee Breaks website and support workers; peer support groups; monthly drop ins; Midlothian carers newsletter twice a year; Monthly SMART recovery group; Partnership work (e.g. Braw Blether); Carers@Work FB group; and training courses. There are various mainstream and carer specific projects ongoing in Midlothian that has reducing isolation as one of their main aims.

### Plans for 2017 – 19

- Carers are supported to fully participate and access mainstream services to achieve personal outcomes/goals
- Collate and disseminate peer support options, including group and one to one options.
- Increased use of social media to link carers with time or location constraints
- Encourage employers to participate in the Carer Positive initiative with the aim of enabling more carers to remain (or take up) paid employment

#### **Outcomes (Measures)**

- Number of employers engaged in dialogue re the Carer Positive initiative.
- Demonstrate range of social media options available.
- Information leaflet on availability and range of peer support opportunities for carers in Midlothian

# 4. Being More Involved in Support Planning

# a. <u>Carer and wider family involvement in assessments and support planning for</u> <u>Cared For Person</u>

### Progress in 2016 -17

Self Directed Support (SDS) has moved on from a change in national legislation, to the norm of how assessments and support are routinely carried out in Midlothian. Information and advice regarding SDS for carers has been developed through partnership between the Carer Centre and Midlothian Council. This partnership led to the development of information pathways and booklets explaining the options and supports available to find personalised solutions using SDS. Workshops between local services and the Lothian Centre for Integrated Living have seen to push boundaries and limits of what arrangements and forms of support are possible. Scottish Government funding supports local specialist SDS Carer Support Worker availability for carers until March 2018.

Young carer services have changed their model of support to include family work; seeking to work within the family to make changes and raise awareness of the impact of caring on the young person.

#### Plans for 2017 – 19

- Workforce development and training in relation to carer involvement
- Awareness raising of SDS and support planning options with carers
- Carer involvement and representation in development of future commissioning plans (e.g. Home care, review of services)
- Identifying wider family support during assessment and support planning through Family Group Conferencing.

#### Outcomes (Measures)

- Train Health and Social Care staff in Carer Awareness
- Provide staff access to Emergency Planning training
- Evaluation of Scottish Government pilot work focussing on ACSP and YCS
- Evaluate new ACSP and YCS in respect of quality and effectiveness.

#### b. Carer Support Plans/Statements and Reviews

#### Progress in 2016 – 17

Early identification offers carers the opportunity to access advice services and support at an early point in their caring journey, aiming to adopt a preventative approach and reduce the impact of the caring role on their finances, health and wellbeing, and reducing burn-out and crisis situations. Both statutory and voluntary services work with carers to identify needs, and offer the opportunity to identify personal outcomes that are important and personal to individual carers. Support plans develop out of conversations intended to provoke thought and discussion about what is important to people, their strengths, and limits to their capacity. The implementation of the Carers (Scotland) Act 2016 will introduce a duty on the local authority to provide and produce Adult Carer Support Plans and Young Carers Statements, replacing "Carers Conversations". Midlothian Council are one of the Scottish Government pilot areas in relation to Adult Carer Support Plans; work that will be done in partnership with local Voluntary Sector Carer organisations.

#### Plans for 2017 – 19

- Participation in Scottish Government pilot work for Adult Carer Support Plans and Emergency and Future Planning for implementation of Carers (Scotland) Act 2016
- Development of Adult Care Support Plan and Young Carers Statement tools and guidance and associated staff training

#### Outcomes (Measures)

- Outcomes from Scottish Government pilot work

#### c. Carer involvement in Hospital Discharge and with Primary Care

#### Progress in 2016 -17

The care and treatment that is given following the discharge from hospital of someone who has been, or continues to be unwell is of huge significance. Who, when and how this treatment is provided can be complex and the meaningful involvement and partnership working with carers is vital in hoping to achieve a positive outcome. Carers have a wealth of information and experience in providing support to the cared for, and this information can be lost or missed if not involved in decisions or support planning. Within Midlothian, there is a Hospital In-reach Carer Support Worker working with staff and carers to ensure this link is made and maintained. The significance of carers being involved in hospital discharged is highlighted by its inclusion in the Carers (Scotland) Act (2016).

#### Plans for 2017 – 19

- Ensure that services are coordinated to have regard to Carers Legislation guidance and requirements
- Reflect on learning from Scottish Government Hospital Discharge pilot and support training to NHS and Social Care staff regarding carer involvement. Explore processes and perceived barriers around information sharing and confidentiality
- Promote uptake of Power of Attorney so carer involvement and decision can be made to ensure quick delivery of support and best outcomes achieved
- Promote carer involvement in hospital discharge as per carers legislation
- NHS Lothian anticipating recruitment of worker to support S28 work
- Ensuring carer involvement is included in local primary care policy

#### **Outcomes (Measures)**

- Number of sessions delivered around carer awareness
- Report on carer involvement from NHS systems

# 5. Improved Financial Wellbeing

# a. Establishing and sustaining positive links with the DWP

#### Progress in 2016 -17

Carers are at risk of financial poverty. Some carers can find that they require to rely on welfare benefits for financial income. This can be for a variety of reasons including: having to give up work or reduce hours; not being entitled to full state pension due to reduced National Insurance contributions due to caring restricting ability to work; inability to take up work or training after school due to caring; and, one or both parents unable to work due to ill health and impact of low income on household including a young carer. Local carer services have established links with the Department of Work and Pensions (DWP); Midlothian Council Welfare Rights Team; and access support from advice organisations to provide surgeries to maximise income both within and out of employment. These links have helped raised awareness amongst DWP staff to carer issues and of the support schemes and initiatives to support people back into and within work (relevant to carers). Support for carers to maintain employment can also come from within the organisations they work for. The Carer Positive initiative is operated by Carers Scotland on behalf of the Scottish Government and has the aim of 'making life better for carers' who are in employment. Support services for young carers recognise the impact of reduced income on households with children, and have a positive working relationship with Midlothian Council Welfare Rights Team.

# Plans for 2017 – 19

- Support to systematically identify carers via local Job Centres and increase referrals for support within the DWP and to carers support services via this route
- Maintaining links with DWP and services seeking to maximise the income of carers
- Developing options which support carers to gain entry or return to employment

#### **Outcomes (Measures)**

- End of year report to Midlothian Carers Strategic Planning Group to capture progress in areas covered in plans

# b. Tackling poverty through access to specialist income maximisation support

#### Progress in 2016 -17

The financial and economic wellbeing of carers can be significantly impaired by undertaking a caring role. Carers can find that their income is reduce through changes in the amount they are able to work, but also that their outgoings are increased through issues such as: being at home more to support someone who is ill and cannot go out, and additional costs of travelling to GP/hospital appointments, or extra journeys to pick up prescriptions etc. Carer support services within Midlothian have sought out new funding and opportunities to provide specialist support to maximise income but also run surgeries and workshops to support carers to get the best value and economic benefit from the money they have coming in. The Carer Centre successfully hosted a pilot project focussed on Advocacy Support for Personal Independence Payments and Universal Credit, which highlighted the need and subsequent establishment of a Money Matters Carers Support Worker post. Carer Information strategy funding from the Scottish Government supports weekly Citizens Advice Bureau surgeries at Midlothian Carer Centre, enabling carers to access professional advice and guidance in a familiar and carer-focussed environment. A Carer Support Worker represents carer interests at Midlothian Financial Inclusion Network; this representation enables information gathering about local and national developments in the areas of financial inclusions and poverty, and an opportunity to feed in a carer perspective to any local initiatives. Services in Midlothian supporting young carers within families signpost on to income maximisation and financial advice services. This organisation also campaigns on behalf of families and feeds back information to DWP, Scottish Government etc regarding the welfare of children and the impact of poverty.

#### Plans for 2017 – 19

- Carers issues will continue to be represented through MFIN; enabling a multiagency approach to the sharing and dissemination of information relevant to carers (e.g. pensions)
- Increase access and delivery of support in targeted areas (areas of multiple deprivation)
- Strengthening fundraising for breaks from caring and other items related to caring.
- Increase access to benefits and financial support related to employment

#### **Outcomes (Measures)**

- Number of carers from areas of multiple deprivation supported (link to outcomes for individuals)
- Feedback from CAB and Money Matters work
- Number of carers supported with benefits/financial advice who are working (VOCAL)

# 6. Carer Awareness in Employment and Education

# a. Promoting carer friendly workplaces

### Progress in 2016 -17

The personal and financial costs to an individual and organisation when a carer decides they need to leave work can be considerable. An article in HR Review in 2014 suggested that from the perspective of an employer "The costs of replacing staff that leave an organisation are estimated to be approximately £30,000\*. Given that carers are likely to represent an experienced staff group, it makes economic sense to retain carers in the workforce. In addition, there would be losses to the wider economy because of lost tax revenue and potentially increased costs. (\*There are two main factors that make up this cost: The cost of lost output while a replacement employee gets up to speed; the logistical cost of recruiting and absorbing a new worker".) NHS Lothian has worked to progress the organisation as 'Carer Positive' and have recently been awarded Carer Established (the middle of 3 award levels). This has been achieved through ongoing initiatives, e.g. staff road shows; NHS Lothian e-learning for staff who are carers; and work with managers re the benefits of employing carers and offering flexible work opportunities where possible.

Other organisations support different schemes to support carers and the DWP offer a carer passport scheme (Dalkeith Job Centre).

#### Plans for 2017 - 19

- As resources and capacity allows, promotion of carer awareness training and advice for employers to identify and support employees who are carers (e.g. links with other Midlothian employers, opportunities to share learning)
- Encourage and promote the Carer Positive Scheme throughout employers in Midlothian

#### **Outcomes (Measures)**

- The number of awareness raising sessions with large employers within Midlothian
- The number of large employers in Midlothian gaining Carer Positive recognition
- The number of Midlothian employees supported re Carer Positive

# b. Advice and support for employees who are unpaid carers

#### Progress in 2016 -17

There are many recognised benefits to being in employment where possible, thought this can be a struggle for some carers. Some carers may require assistance with calculations (Better Off Assessments) to gain further information to enable them to make informed decisions about reducing hours or leaving employment for a period. One opportunity for support for working carers is via the Carers @ Work Facebook group set up for carers across Lothians (VOCAL/Marie Curie). The Midlothian Carer Centre has seen an increase in the number of carers who are working seeking support from the carers service.

#### Plans for 2017 – 19

- More opportunities to access carer support at weekends and evenings (to offer flexibility in accessing support out with "office hours")
- Opportunities to access support in the workplace (e.g. carer surgeries/training delivered in conjunction with the employer)

#### Outcomes (Measures)

- Number of opportunities available at weekends and evenings (VOCAL)
- Number of carer support activities delivered in Midlothian Council

#### c. <u>Promoting support for carers seeking to gain entry/return to employment</u> <u>and/or education</u>

#### Progress in 2016 -17

Caring responsibilities and personal circumstances shape and inform the decisions carers make about employment and education. Young carers may need to consider their options about whether they can manage study and caring, or if they need to bring additional income in to the home. Older carers may find that they have to return to work after a long absence and a change in their caring circumstance. Local connections have resulted in the sharing of training between the local DWP and carers support service, increasing awareness of the barriers that carers face in re-entering work. The DWP have progressed an initiative to raise awareness amongst their staff through up-skilling staff events, talks etc. These initiatives aim to improve the experience of customers seeking employment and more successfully enter sustainable employment.

Newly established links with Midlothian Council's Lifelong Learning and Employability Service (LLE) suggest the potential for positive partnership working with the DWP and carer support services. Some people may experience barriers or difficulties in participating in educational or employment related activities or training, however the LLE service are actively pursuing more partnership work, and are seeking to further expand their accessibility to mainstream opportunities which can be enjoyed by any member of the public. LLE are also interested in developing opportunities specifically to address identified carer needs and issues where necessary.

#### Plans for 2017 – 19

- Develop a range of options in partnership with DWP, LLE, VOCAL and other providers to support carers into work/education
- Improved and routine identification and referral of carers through local job centres / education providers
- Developing options that support carers to gain entry or return to education, e.g. LLE/DWP.

#### Outcomes (Measures)

- Number of partnerships/initiatives
- Number of carers referred from Job Centre, local colleges, higher education providers (VOCAL)

Item 8.18

# Report of the Chief Social Work Officer 2016-17

# Report by Alison White, Chief Social Work Officer

# 1 Purpose of Report

To provide Council with the annual report of the Chief Social Work Officer (CSWO) on the statutory work undertaken on the Council's behalf. The report also provides Council with an overview of regulation and inspection, workforce issues and significant social policy themes current over the past year.

# 2 Background

2.1 The requirement that every local authority should have a professionally qualified Chief Social Work Officer is contained within Section 45 of the Local Government (Scotland) Act 1994. The particular qualifications are set down in regulations. This is one of a number of officers, roles or duties with which local authorities have to comply. The role replaced the requirement in Section 3 of the Social Work (Scotland) Act 1968 for each Local Authority to appoint a Director of Social Work.

National guidance on the role of the Chief Social Work Officer was issued in January 2009.

The attached report provides information on activity and performance within the key areas of responsibility of the Chief Social Work Officer.

# 3 Report Implications

#### 3.1 Resource

There are no resource implications arising from this report.

#### 3.2 Risk

Following the disaggregation of the Social Work Division arrangements were put in place to ensure that robust mechanisms to enable the CSWO to retain an overview of all social work services undertaken including those outwith the Division in which the postholder is located. This includes membership of the GIRFEC Board, receiving regular performance management reports relating to the delivery of key outcome measures and the provision of advice and professional support to Children's Services Management Team. Discussions are already underway nationally to ensure that the planned integration of health and social care takes cognisance of the role of the CSWO and that mechanisms are in place to support the discharge of its functions in any new integrated service arrangements.

#### 3.3 Policy

#### Strategy

This report focuses on the delivery of statutory functions rather than strategic development of social work services. There are, however, clear links to business transformation and partnership arrangements in so much as the integrity of the CSWO has been safeguarded and designed into organisational change.

### Consultation

No consultation has been undertaken in the production of this report.

#### Equalities

This report focuses on performance against statutory functions in 2015/16. As this is reflecting on work already completed which was subject to EQIA at the time of agreeing the work no additional impact assessment is required at this time.

#### Sustainability

The central issue of sustainability relates to the need to maintain a coherent process of governance by the CSWO.

#### 3.4 IT Issues

There are no specific IT issues arising from this report.

#### 4 Summary

This report explains the background to the accompanying Annual Report by the Chief Social Work Officer.

#### 5 Recommendations

Council is asked to :-

- 1 agree the Chief Social Work Officer's Annual Report for 2016-17; and
- 2 agree that the Chief Social Work Officer should place a copy of the annual report on the Council website.

#### **19 November 2017**

### Report Contact: Alison White Tel No 0131 271 3605 e-mail <u>alison.white@midlthian.gov.uk</u> Background Papers: Appendix 1: Chief Social Work Officer Annual Report 2015-16



# **Chief Social Work Officer Report 2016-17**

# Contents

Summary Reflections - Key Challenges and Developments during the past year.

Partnership Structures/Governance Arrangements

Social Service Delivery Landscape

Finance

Service Quality and Performance

**Delivery of Statutory Functions** 

User and Carer Empowerment

Workforce Planning/Development

Improvement Approaches and examples/case studies of improvement activities

# **Midlothian Council**

Midlothian is a small local authority area adjoining Edinburgh's southern boundary, framed by the Pentland Hills in the West and the Moorfoot Hills of the Scottish Borders in the South. Most of Midlothian's population of 84,700 resides in or around the main towns of Penicuik; Bonnyrigg; Loanhead; Dalkeith; Newtongrange and Gorebridge. The southern half of the authority is predominantly rural, with a small population spread among a number of villages and farm settlements.

Some parts of Midlothian have seen increasing levels of economic deprivation with the associated social and health issues. This has become worse as a result of the economic downturn that began in 2009. Deprivation is most acute in the communities of Gorebridge, Mayfield & Easthouses and Dalkeith & Woodburn. The community planning partnership has determined to target these three areas to more effectively address inequalities. There are also smaller pockets of deprivation within many of Midlothian's communities, specifically Loanhead, and in all communities there are households on low incomes, often combined with other issues such as disability; age; mental health; substance misuse; lone parenting or caring responsibilities.

Midlothian's population is growing. The most recent population projection predicts a population of 91,000 by 2035 (previously predicted as 76,000 by 2030). The 60+ age groups are growing in comparison with the rest of the population. Midlothian now has more pensioners than children. This is likely to have major implications for public services and for the local labour market.

Midlothian's current population is characterised by large young and retired segments, with the latter growing rapidly and becoming predominantly female as it ages. The impact of new-build family housing will tend to increase the younger and working age population. Taken together, this may mean radical change in the nature and volume of service demand.

# Partnership Structures/Governance Arrangements

This past year was a challenging and yet also a very exciting period for Midlothian Social Care Services. Midlothian Integration Joint Board, took up its new responsibilities in June 2015 and management arrangements changes mean that Heads of Service manage across health and social work services; further management changes are expected later in 2017. Alongside this major organisational change, the service also further embedded the delivery of selfdirected support, a major cultural shift taking place across Scotland in the delivery of care and support with the emphasis on service users designing and controlling their care arrangements, planning for the implementation of the Children and Young People's Act and the Carers Act.

The role of CSWO is held by Alison White, Head of Adult Service. In her role as CSWO she is a member of the Integration Joint Board, Getting it Right for Every Child Board, the Critical Services Oversight Group and the Public Protection Committee. The post holder currently has direct line management responsibility for all Adult Health and Social Work services and Criminal Justice Social Work. The CSWO meets regularly with the Head of Children's Service to discuss any issues or

<sup>3</sup> 

areas of service development. A Changing Lives Overview Group involving managers from across adult, children and criminal justice social work service area meets quarterly with a focus on cross-cutting social work issues including learning and development.

Public sector partners have agreed to use the Single Midlothian Plan as the strategic context for their service planning in the area and a Chief Finance Officers' Group has been established, to align budgets with priorities and support the planning cycle. Within the community planning structure, the 'Getting it Right for Every Midlothian Child' Board has responsibility for the overview of integrated children's services plan. Criminal Justice and Public Protection issues are monitored through the 'Safer Communities Board' and all other Adult Social Care issues are progressed and monitored through the Strategic Planning Group for Health and Care

The Joint Senior Health and Social Care management team is now co-located within Fairfield House in Dalkeith and regular Joint Management Team meetings ensure closer alignment of working practices. Work is underway to more closely align management responsibilities to ensure truly integrated teams. Close consideration is being given to ensure appropriate professional support and supervision is maintained through this period.

There has been significant progress in developing user and carer involvement with public sector partners working closely together.

#### Social Service Delivery Landscape

Despite the recession there have been significant house building developments in most of Midlothian's communities. The new railway will make the area even more attractive to commuters to Edinburgh. Midlothian is one of the fastest growing Local Authorities in Scotland.

As stated earlier the population is ageing with the proportion of older people likely to increase significantly over the next twenty years. By 2035 the number of people over 75 years will double whilst there will be almost 3 times as many people over 85 years-approximately 4,300, the vast majority of whom will remain living in their own homes.

While employment rates are above the Scottish average, 12.5% of the Midlothian population have a lower income than the national average. And poorer health is consistently associated with poverty. The economic downturn has had a particularly adverse effect on areas already suffering deprivation including parts of Gorebridge, Woodburn, Dalkeith and Loanhead.

Health inequalities are experienced in pockets in all parts of Midlothian often associated with age, disability, poor mental health and caring responsibilities. As is the case throughout Scotland death rates have been falling for many years. However, there is scope for us to do much more in Midlothian.

The increasing numbers of very old people in our communities is an indication of improving health; people are living longer. However, it is important they are helped to stay in good health. With increasing age comes the likelihood of suffering long-term conditions and requiring more frequent support from the health service and from

<sup>4</sup> 

social care services. If we do not place more effective emphasis on supporting people to stay well physically and mentally, and to recover from ill-health then demands for services will be unsustainable; without changing our approach we will, for instance, have to provide 300 more care home places over the next 20 years in Midlothian at an annual cost of £6m. Similar growth would be required in hospitals at a time when public finances continue to shrink.

While the creation of the new Health and Social Care Partnership focuses upon better joined-up working between health and social care, we know from many previous consultations with older people and people with disabilities and children and young people, that other services are vital to their wellbeing. These include access to financial advice, support to find employment, access to good information through libraries and access to leisure and recreation.

Alongside this multiagency approach, the increasing emphasis which is being placed on stronger communities and on prevention and early intervention requires a stronger partnership with voluntary organisations and we are working with Midlothian Voluntary Action and the Volunteer Centre to find ways of working more effectively together.

There is a need to retain strong links between Adult and Children's Services. There are many areas of common interest. Children cared for by people with learning disabilities, mental health needs or substance misuse may need additional support. We are particularly concerned to strengthen support for young carers. And it is very important that we continue to develop more effective transition arrangements for children moving into adult care services.

The issue of substance misuse can be an emotive one-there is a tendency in the public mind to consider the problem as one which is self-inflicted and not fully appreciate the difficulties people have in dealing with their dependency. The impact of substance misuse is also not just on the individual but on their family and wider society. For instance, 1500 children are estimated to live in households in Midlothian where one or both parents have some level of problematic alcohol abuse. The problem affects the quality of life and, eventually, the physical wellbeing of the individual; results in family breakdown; affects the sense of community and public safety; leads to crime etc. There are also approximately 920 people known to have problem drug use in Midlothian- the impact on the user and their families can be equally devastating to the effects of alcohol misuse.

The challenges described can only be met by a fully-equipped and motivated workforce. We will also need to develop a greater sense of all staff across the different sectors working together as part of a whole, joined-up system. This will involve training and support as we move towards new models of care. It will also require effective recruitment and retention policies; in areas such as district nursing and home care we have an ageing staff group whilst in social care services generally there is a need to improve our retention of staff as high turnover is both wasteful of resources and disruptive to service users.

The increasing emphasis on self-management and self-directed support will require a cultural shift by us all towards a greater sense of working in partnership with patients/service users. The increased priority to be given to recovery will entail staff developing stronger motivational skills to work with people who may not have a lot of optimism about their future with the conditions they are trying to deal with, be they drug dependence, mental illness or cancer.

# Finance

Locally the Council has, and continues to face severe reductions in its overall budget but has sought to protect social care budgets from the level of cuts required in other services. There is no doubt over the next few years that health and social care services will need to manage with reduced budgets, despite the ageing population and increased public expectations about service quality and accessibility.

The Children's Services budget has decreased from £15,338,758 to £14,542,843, a decrease of £795,915. This reflects savings targets for residential placements, use of agency foster care placements and a review of family support. The Adult Social Care budget has increased from £36,719,122 to £37,509,783, an increase of £790,661. This includes provision for demographic pressures, *Investing in our Workforce* and other budget pressures. The budget has been set on the basis of achieving savings of £1,746,000 which are being addressed through a range of redesign mechanisms but firmly based on a 'Realistic Care; Realistic Expectations' model. From 1 April 2016 the Adult Social Care budget was delegated to the Midlothian Integrated Joint Board

Integration funding is being used both to fund demographic and pay pressures such as the requirement to pay the Living Wage to care workers, and also, where the funding allows, for service developments aimed at ensuring future sustainability of services.

Many changes in the delivery of community care services have been implemented which, as well as improving quality of life, will undoubtedly have resulted in savings albeit these have been difficult to quantify because they have been implemented as part of a whole system redesign. Since 2007 a total of £5m plus has been saved through a combination of service redesign and re-commissioning. One example of such a change has been the increasing use of technology to monitor and ensure an early response to incidents of older people falling or wandering. This programme of transformation has been undertaken in an evolutionary manner which has entailed developing a culture of internal challenge to seek to deliver better quality services at lower cost. Transformation has included commissioning, service redesign, externalisation and internal reorganisation.

This transformation programme is a continuous one rather than a structured timelimited project. Critical to success has been a culture which encourages constant exploration and evaluation of costs and benefits throughout the service with an unrelenting focus on the delivery of outcomes. (This approach does not always sit easily with the necessity for robust financial planning, to provide, from the outset, firm commitments to specific savings targets to ensure the Council has a very clear plan for financial sustainability over the coming years.)

The service transformation programme in Community Care and Children's Services continues. There is a particular focus on learning disability services including, developing more efficient approaches to the delivery of care and, in the longer term, creating a local and more cost-effective service for people with complex care needs, with the objective of saving £500,000 per annum.

6

The integration agenda with the health service may also create new opportunities for more efficient and effective working although realistically this is more likely to enable the sustainability of health and care services in the face of dramatically increasing demographic pressures.

Finally, the application of the principles of prevention, local access to services and coproduction along with greater priority on addressing health inequalities, will in time, reduce reliance on public services. However, this can only be managed on the basis of a commitment to this vision of public service delivery and realistically cannot be relied upon in the short-term as a solution to the shortfall in public service funding.

# Service Quality and Performance

Service performance is reported quarterly via quarterly performance reports. Performance information is also included in the Midlothian News (e.g. annual performance supplement in the autumn). Quarterly performance reports can be found online at: <u>http://www.midlothian.gov.uk/performance</u> Copies of Midlothian News can also be found on the Council website / intranet. In Adult Care the Joint Management Team consider a performance report at its monthly meetings.

#### Adult Services

#### Older People

Older people's services continue to have a range of developments in service provision and face many challenges going forward. The developments have included recruiting NHS nurses to Newbyres care home (a local authority provision) which enabled the introduction of two dementia wings for 24 people. There are provisional plans to re-provision Highbank Intermediate care facility to build a purpose built facility over the next few years. Highbank has maintained its Care Inspectorate grades of 5's which is a tribute to the staff team managing the range of admissions and many complex situations. In partnership with the other Intermediate Care services including Hospital at Home, Midlothian Enhanced Rapid Response Intervention Team (Merrit) and the Hospital In Reach team the service was selected as a finalist in the 2017 Scottish Social Services Awards which was very rewarding to the dedicated staff in the service Merrit have increased Physiotherapy resource with a band 7 to complement the Edinburgh Respiratory service to support people with COPD and reduce avoidable hospital admissions. The Ageing Well project continues to provide a broad range of health promoting activities through having a committed and diverse volunteer pool who are active within the community.

The publication of Scotland's third Dementia Strategy and publication of the Scottish Governments findings from the independent evaluation from testing the 8 pillars model of community support for people with dementia has resulted in the establishing of a Dementia Steering group to provide strategic oversight and direction to the delivery of dementia care within Midlothian. The shift in the balance of care towards providing more care at home has experienced success and failures over the past year. This has included increased pressure with delayed hospital

<sup>7</sup> 

discharges and a real lack of capacity of carers in Midlothian to meet the increasing demand. Projects which aim to improve the coordination of care across primary and social care are set up and a whole systems review of care at home is under way. Quality Assurance plays a key role in ensuring quality of care is monitored and followed up with providers of care at home services.

There are plans to increase the amount of extra care housing in Midlothian following the success of Cowan Court in Penicuik. Although this is at the early stages there is a dedicated commitment and support from all disciplines to implement this. Improving the quality of care in care homes continues to be supported by a Care Home Nurse advisor and the introduction of video conferencing to support training across care home staff that has already provided training to over 300 staff.

With the Intermediate Care Fund now recurring funding, this has enabled specific projects to continue and specifically the Red Cross who continue to provide the Local Area Coordination service for older people with over 200 groups operating on a monthly basis in Midlothian. Woodburn Day care club closed however the staff team developed a new drop in community hub for older people in Woodburn that provides advice, support, information and companionship reducing social isolation for older people and their families. Ongoing challenges include increased demand with tighter financial constraints ensuring those who need services and support meet the eligibility criteria and ensuring equity of access to service provision enabling older people to stay as safe and well as possible in their own homes for longer.

# Physical Disability

A new Action Plan for the period 2016-19 was formally approved. A primary focus of the plan is to improve access to information and effective communication. A successful event was held on the 7<sup>th</sup> February to launch the new Disabled Directory, a further update of which is due at the end of July 2017. This provides an invaluable, comprehensive list of supports and services for disabled people, their families and carers living in Midlothian. Continued focus on Transport, Employment, Housing and Welfare Benefit issues remain high in priority.

# Sensory Impairment

A local See Hear Implementation Plan was formally approved during 2016-17. Sensory Impairment awareness raising is a priority at both national and local levels. A series of training sessions has taken place in the last year, focussing on front line care staff from both residential and community settings. Third Sector partners, GP Practice staff and Fire Service staff have also received training. Recruitment and training of volunteers is underway to provide Hearing Aid maintenance and repair clinics in Libraries, while an Adult Audiology Clinic is due to start in July in the Community Hospital in Bonnyrigg. More generally there is a move to providing services such as specialist social work and rehabilitation at a local level.

8

### Learning Disability

The key theme has been developing capacity for people to live in their own home and benefit from local person centred support. This involves two important aspects namely, suitable environments, and expertise in supporting people with a Learning Disability to achieve the outcomes that are important to them.

Teviot Court in Penicuik is complete and will provide specialised housing tenancies for 10 people with Complex Care Needs in addition to a Learning Disability. These flats provide specialist environments based on current best practice and research complemented by the recruitment of a specialist staff team and expertise in Positive Behavioural Support. A Safe House model has been agreed at Teviot Court to avoid hospital admissions other than for assessment and/or treatment.

The development of further cluster type arrangements for people with less complex needs will constitute part of the Phase 3 Housing Programme. This includes both new build and allocation of properties in close proximity to each other within communities and an agreed criteria for response times, whilst remaining alert to the dangers of stigmatising people through congregating people on the basis of need.

Work is underway to link housing and care models with appropriate technological solutions and, alongside agreed risk assessment thresholds, used to inform decisions about the use of technology for individual or clustered packages of care.

A respite/short break service at Woodburn has been established. One flat at Teviot Court has been allocated to provide continuation of respite services to people with a Profound and Multiple Learning Disability until an alternative building in Loanhead is secured.

A review of day services was undertaken to analyse the equity in service provision across all service users and to evaluate the extent to which the current configuration of services is coherent, effective and provides best value. A strategy is now being developed to outline the service types and models that Midlothian will commission and develop.

Further progress has been made in the alignment of Learning Disability Health and Social Care services.

# Mental Health

During the year we ensured that the physical health of people with mental health issues was being addressed by clinics at the Joint Mental Health Team offices and in the community through the Community Health Inequalities Team as well as by projects such as Midlothian Active Choices.

9

The new Midlothian Access Points and the Wellbeing projects in a number of locations assisted over 400 people to quickly access self-help resources and psychological services.

A Triage project with Police was introduced to ensure that people in crisis get quick access to the right type of support, including a place of safety, with a joint approach agreed with local Police.

More broadly mental health is a major feature of our strategic direction and service delivery in Midlothian. As a consequence, planning service redesign is now managed by the local Partnership whilst working with other IJBs to design and implement new approaches to specialist pan-Lothian services including the Royal Edinburgh Hospital. Midlothian is not participating in the development of a pan-Lothian Mental Health Strategy.

# People affected by drug and alcohol misuse

Substance Misuse and Mental Health staff members have continued to meet during 2016/17 to discuss ways to improve our response to individuals with a dual diagnosis. Health professionals from mental health and substance misuse services now attend each other's allocation meetings in an effort to reduce the risk of people falling between services and working relationships have improved. Plans are now being drawn up for mental health, substance misuse and criminal justice staff to be co-located in a new recovery hub.

# Children & Families

Over the course of 2016, Midlothian Children's Services management team has been engaged in a Service Review. The purpose was to review the existing organisational structure with a view to a more effective and efficient service design. Central to this revised design is "early engagement" and ensuring that service users get the right support at the right time. We have to balance this approach with meeting the demand for urgent and high level support.

# Early Intervention and Prevention

Early engagement, underpinned by GIRFEC, can ensure that fewer children need to become looked after over the longer term. Supporting families to ensure that children have the best start in life and ensuring that families get the right support at the right time can prevent difficulties arising or escalating.

Three Early Intervention and Prevention (EI&P) Teams have been formed as part of the new structure. Each of these teams is made up of one Team Leader, Four Social Workers and five Children and Families Practitioners.

As well as providing an ongoing duty and assessment service, the Early Intervention and Prevention teams will undertake short-term intervention work where it is identified that short term involvement is most appropriate. We will shift the frontline workforce from a focus on procedures and compliance towards evidence based support and help. We will continue to ensure that intervention with vulnerable and chaotic families is thoughtful, measured and outcome focused.

# Early Intervention and Prevention Development Officers

Within our new structure we have created two new Early Intervention and Prevention Development Officer Posts (EI&PDO). One with a responsibility for 0-12 age range and the other for 12 plus age range. These officers will support the creation and implementation of the Midlothian Early Intervention and Prevention Strategy. The strategy will provide an overarching framework that draws together the early intervention and prevention initiatives in operation across Midlothian, and others that may be developed in the future, to enable us to share good practice and ensure a coherent and consistent approach to EIP across Midlothian that is based on evidence of what works.

Team around the child meetings have been established. This is a multi- agency meeting structure that considers all wellbeing referrals with a view to signposting families to the most appropriate agency and in turn prevent all referrals being routed through Children Services. Work is also underway in relation to the wellbeing meetings held within all secondary schools. It is envisaged that a more consistent approach with agreed referral criteria will again reduce the number of young people being referred into our service and will signpost young people and their families to the most appropriate resource at an earlier stage of professional intervention.

# Outcome Focussed Approach

The outcomes focussed approach ensures that children have a voice in what matters in their lives and that this voice is central to everything we do. The outcome focussed approach lends itself to relationship based practice, which identifies that in order to effect and sustain change we must get to the bottom of what matters to the child. It is an approach that takes us back to the grass roots of social work practice and has supported workers to reclaim social work.

Over the past year, Midlothian Children Services has developed an outcome focussed approach with supporting assessment tools which has allowed workers to make better use of their time which has promoted better partnership working with families and their wider communities.

The outcomes focused approach has supported staff to move away from standard response to assessment, risk assessment and intervention and allowed staff to think creatively with families about what they need to support change.

In order to minimise duplication of work and increase time spent with children and their families we have streamlined our assessment documentation. By embedding parts of the National Risk Assessment Framework within the body of our assessment we have created more cohesive, robust assessment and meaningful analysis.

Practitioners, service users, partners and decision makers have all provided positive feedback that the outcomes approach provides a better understanding of children and their families, a clear voice for children's views and supports people to do the 'real work'.

The success of this approach has now led us to develop a new permanence assessment tool which complements and aligns itself to our outcomes approach and meets all the legal requirements previously set out in a Form E. This assessment tool and approach is currently being piloted within Midlothian and we have already had positive feedback from our permanence panel members, staff and legal representatives.

#### Corporate Parenting

Midlothian has now agreed the 3 year Corporate Parent Strategy and Plan is to be governed via the GIRFEMC Board. The plan demonstrates the commitment of the partnership to promote the well-being of looked after children and care leavers so that we achieve the best possible outcomes for our most vulnerable children and young people in Midlothian.

The success of the Life Changes Trust funding application does mean that Midlothian can develop both our adult and young champions to directly influence and inform the future of children's services; young people were involved in the children's services review.

#### Throughcare and Aftercare

We have now incorporated the notion of Continuing Care and After Care into our 12+ services in keeping with Parts 10 and 11 of the Children and Young People (Scotland) Act 2014. This means that the support offered to young people will remain consistent throughout their care experience and young people will not be subjected to a change of worker or team purely because of age. The team continue to liaise with professionals from other agencies; health, housing, to continue the joined up approach to working with young people.

We currently have 30 care leavers and 8 young people in Continuing Care.

The service continues to provide support to a wider range of care leavers and, in line with the introduction of Parts 10 and 11 of the 2014 Act has extended the age range that are offered support from 21 to 26 – thus allowing a young person to request an assessment of eligible needs up to their 26<sup>th</sup> birthday.

#### Adoption and Permanence

The impact of our local 'Framework for Permanence' and the Service Review continues to reduce the 'drift' experienced by children awaiting permanence. We agreed to delay our joint working with the Permanence and Care Excellence (PACE)

until after our Service Review. The Quality Improvement Programme will commence in autumn 2017.

#### <u>Kinship</u>

Our kinship care strategy continues to include a framework for support and learning and development. We agreed that kinship cares should also receive birthday and Christmas allowances. We have 116 Kinship Carers in Midlothian.

#### Fostering

We continue to prioritise the recruitment of local foster care and to review and evaluate how we recruit and train our foster carers. We have also developed key measurements and milestones in relation to timescales for preparation work; initial responses; home study; and approval. Our communications team are heavily involved in the recruitment campaigns.

The Care Inspectorate visited the Fostering & Adoption Teams in November 2015 where we received good reports in both service areas.

#### Children affected by Disability and Transition

There has been a concerted effort to develop policy and practice in this area. A working group chaired by our Chief Social Work Officer meets on a regular basis and the group has developed a comprehensive Transitions Policy. We recently supported the Scottish Government study looking at better transitions and our Head of Service was asked to speak at a recent event in Edinburgh.

#### Hawthorn Children's Centre

The centre is part of the Early Years work stream and worked hard to refocus efforts on early learning and developing a family centre approach. The Centre continues to works in partnership with a number of agencies health, education, 3<sup>rd</sup> sector as well as children and families. In line with our prevention and early intervention approach and our local early years approach the Centre continues to support children and families with complex and enduring needs. The Centre also offers nursery education t to a wider number of children. The Centre is due to develop a more outward focussed approach to meeting community need. The Care Inspectorate made an unannounced inspection visit in March 2017 where grades of excellent were given for the quality of care and support offered to our service users, and very good for the quality of staffing.

#### Midlothian Residential Services

Midlothian Residential Services continue to ensure the service meets the needs of local young people through its provision of 3 houses. In addition to working with local young people the service also works as part of the care team to support two unaccompanied asylum seekers who have settled in Midlothian.

The Residential Inspection feedback from their inspection visit in October/November 2015 received four Very Goods for Quality of Care, Quality of Environment, Quality of Staffing and Quality of Management & Leadership.

# Positive Destinations

Partnership work continues to improve post school destinations for all school leavers, with specific consideration being given to vulnerable young people, including looked after children. The approach is focusing on developing key employability skills and improving employability pathways.

# Mental Health in Children & Young People

This continues to be an area of increasing referrals and therefore a working group has been devised where young people shall be offered the opportunity to input their views around what this service should look like prior to a referral to CAMHS.

# Self-Directed Support

The focus of work related to Self-Directed Support in Midlothian continues to be embedding the requirements of this legislation into business as usual activities. Individuals are increasingly choosing different ways of receiving their support and using direct payments and option 2 to increase the control they have over their support.

Personal outcomes is an approach that has been embedded in assessment and practice both in adult social care and in statutory children and families social work. Work is also ongoing to enhance practice in relation to support planning to ensure there are strong links between the outcomes identified in assessment and the support someone receives. SDS has also brought about greater level flexibility in support that is being provided. This does have an impact on 'back office' process such as invoicing. Enhancements to these 'back office' process are being made to ensure that there is a whole system approach to supporting flexibility in support.

Currently there are a number of initiatives across both adult and children's services to review how services are organised and delivered. Staff progressing these initiatives are actively working to ensure that values and principles of Self Directed Work are embedded in redesigned services.

The Self-Directed approach is being rolled out across the whole of children's services and we are currently 'testing' this approach with child protection and permanence work to ensure our outcome focused assessment if suitable and robust enough for challenges that we endure at children's hearing and within the court process.

# **Delivery of Statutory Functions**

# Public Protection

In recognition of the significant overlaps between different areas of Public Protection, the East and Midlothian Public Protection Office was created, East Lothian and Midlothian Public Protection Team was established in March 2014. This team includes officers from adult support and protection, child protection, and the domestic abuse service. This team is co-located with the local Police Scotland Public Protection Unit and Midlothian and East Lothian Drug and Alcohol Partnership. The primary aim of the team is to work in a more integrated way to strengthen practice across the whole public protection arena.

Committee structures were also streamlined, and East Lothian and Midlothian Public Protection Committee (EMPPC) was established in July 2014 incorporating the duties and functions of the Adult Protection Committee, Child Protection Committee, Offender Management Committee and Violence against Women Partnership and to ensure robust links with Midlothian and East Lothian Drug and Alcohol Partnership (MELDAP). This was the first such committee in Scotland to be established in this way. In terms of governance, East Lothian and Midlothian Public Protection Committee reports directly to East Lothian and Midlothian Critical Services Oversight Group, comprising of Chief Officers of all constituent agencies.

The East and Midlothian Public Protection Committee is the key strategic group dealing with public protection matters across East Lothian and Midlothian and includes representatives from key partners (Social Work, Police Scotland, NHS Lothian, Education, Housing, 3rd sector etc). The committee reports to senior officers through the East Lothian and Midlothian Critical Services Oversight Group.

All Public Protection activity takes place within two axes

Preventative	$\iff$	Reactive	
Individual	$\Leftrightarrow$	Community engagement	

Our activities include Community and Agency staff awareness raising, education and risk management initiatives, specific initiatives to address identified harm to groups – e.g. financial harm, sexual exploitation and investigation and protection planning

The Public Protection Office is well placed at the hub in the centre of the spectrum of activity having an overview and offering support and guidance towards a more holistic approach.

We have identified some of the main benefits and impacts as:

- Taking a "Lifespan" approach to protection issues
- Putting the person at the centre of the process and looking at the situation with a wider lens

- Shared staff capacity resulting in a broader more flexible base
- Less duplication of effort
- More effective and efficient processes
- Reduction in overall costs

Some of the lessons we have learned in the process include recognising the shared aims of all key partner agencies which are; to keep people safe; and the importance of shared learning across all disciplines. Controversies around information sharing and confidentiality have lessened as relationships have developed and trust has grown, and we believe collaborative leadership has enabled Public Protection to become more holistic, both for the service user and at an organisational level.

People do not neatly fit into one category and issues like Domestic Abuse and Alcohol and Drug misuse are common themes with many of the service users with whom we work. Bringing together the individual partnerships into one Public Protection Committee across two local authorities has streamlined processes considerably and the group now demonstrates a significant level of trust and integrity.

EMPPC demonstrates more robust scrutiny via the Public Protection Performance framework. Also, a significant level of trust and integrity is also evident, for example, senior officers chairing initial case reviews and significant case reviews for the other local authority. Findings from Initial and significant Case reviews are reflected in our Learning and Development Plan and relevant Improvement plans which report to CSOG via EMPPC.

In the past year a significant piece of work led by EMPPC has been the full systems review of Violence against Women and Girls Services across East Lothian and Midlothian which has highlighted some gaps specifically around the need for more stable funding in this area. Other gaps will be addressed in the development of new key areas of work around perpetrators, prevention, and the impact of trauma.

# Child Protection:

The number of children subject to child protection plans in Midlothian has remained fairly static with little variances each month as children's names come off and new ones go on the register. However the numbers have been slightly above the national average over the past year. A new Child Protection Lead officer has been recruited and there are plans to re- establish the quality improvement working group who will keep an overview of the Midlothian Child Protection Improvement plan. Evaluation work is being planned over the coming months in relation to SMART plans and multi-agency integrated chronologies.

# Secure Accommodation and Emergency Transfers

The service's use of secure accommodation remains relatively low with only 3 young people being placed in secure accommodation over the past year. Over the past year we have used the movement restriction order on several of our high offending young people as a preventative measure to secure accommodation. This has been relatively successful however further work and analysis of this 'preventative' measure needs to be undertaken.

# Scottish Child Abuse Inquiry

We have a dedicated team working on collating the relevant information being requested from the Inquiry team. In addition we have set up a working group to consider how we devise protocols and guidance should the Local Authority have any claims made against it in the future.

# Criminal Justice

# New Structure for Community Justice

As a result of the Criminal Justice (Scotland) Bill, passed on 11<sup>th</sup> February 2016, Community Justice Authorities have been disestablished. The Midlothian Community Safety and Justice Partnership Board is therefore now out of the initial shadow year and fully established.

The Community Justice Working Group meets quarterly and partners work together to improve our response to the issues known to be linked to offending and reoffending, such as poor mental and physical health, substance misuse, lack of stable accommodation and limited employability skills.

Each local authority area has now produced a Community Justice Outcome Improvement Plan. The Midlothian plan was completed in March and has been sent to Community Justice Scotland, the new national body. The plan has also been made available to the general public on the Council website.

The Partnership has to report on its progress in line with the national performance framework. At present in Midlothian we have employed a Planning Officer and a data analyst for Community Justice, using the transition funding made available by the Scottish Government. However the transition funding was for three years and is due to end on March 2018. This would cause significant challenges in relation to performance reporting and taking forward the Community Justice agenda.

The challenge over the coming year is to keep the Community Justice agenda alive and continue to work with partners to consider how their service can contribute to reducing offending and reoffending.

The Chief Executive of Community Justice Scotland attended the Board meeting in March 2017. It was very helpful for partners to have a question and answer session with her and hear her vision for Community Justice in Scotland. Advisors from

Community Justice Scotland will be visiting Midlothian on 7<sup>th</sup> August to provide feedback on the Outcomes Improvement Plan.

#### <u>MAPPA</u>

There have been Level 3 discussions on two individuals in 2016/17, one under the MAPPA extension to violent offenders that began in March 2016. Both of these individuals remain in custody and the meetings related to the planning and monitoring of Home Leave arrangements.

Numbers of registered sex offenders managed at Levels 1 and 2 have remained similar to previous years. Like many local authorities there are issues about social workers using the Visor system due to the Non-Police Personnel vetting requirements. This issue is likely to remain a topic of discussion over the coming year.

#### <u>Spring</u>

Spring is a service for women with complex needs who are involved in, or at risk of becoming involved in, offending behaviour. We now have a full-time social worker for Spring and this has allowed one to one work to be carried out with service users both prior to their involvement in the group and during their involvement if additional support is required. Over the past year we have had an Occupational Therapist involved in Spring for the first time, who co-facilitated the *Reaching In, Reaching Out* sessions where women are encouraged to take up positive activities in their local areas. This was very successful and although the member of staff has moved on we are hoping to maintain the links with Occupational Therapy.

We also involved a one woman theatre group in Spring to lead some drama sessions with the women. She also delivered performances about issues relevant to the lives of the women who attend the service.

Funding for Spring has so far come from a number of sources, most of it short-term. The intention in the coming months is to use an uplift in Section 27 funding to make the service more sustainable.

#### Unpaid Work Review

The Criminal Justice Team Leader with responsibility for Unpaid Work has led a review of job descriptions to modernise the service. The proposals have now been given the green light by senior management and a consultation process will take place with affected staff members.

The vision for the new Unpaid Work service is that when individuals receive a Community Payback Order with a condition of unpaid work they will embark on a learning and development pathway that enables them to develop new skills, achieve qualifications, make reparation to their communities and improve their community integration. Through our own staff delivering and assessing training we will be in a position to help service users improve their employability and lifestyles leading to a

service more focused on reducing re-offending and less on simply supporting the individual to successfully complete their hours.

# Adult Services

The Dual Diagnosis meetings between mental health and substance misuse workers have continued to develop over the past year. Plans are underway to create a Recovery Hub in Midlothian where substance misuse and mental health staff, from the Council, NHS Lothian and the voluntary sector, would be co-located.

# User and Carer Empowerment

The Health and Care Partnership has adopted a Communications and Engagement Strategy which commits the Partnership to strengthening its approach to the involvement of users and carers to the design and delivery of local services. A number of examples of this are referred throughout the report.

We are approaching completion of a new Midlothian Carers Strategy, which will persist in pursuing both nationally and locally identified aims and pursue the vision of ensuring that carers are valued as equal partners, feel supported to effectively manage their caring role and are able to have a life outside of caring. The Strategy will strive to support key Outcome themes identified during the consultation process and in listening to the issues faced by adult and young carers, and recognising and responding to the impact caring is having on their lives. The Strategy will begin to address duties and responsibilities established within the Carers (Scotland) Act (2016) (implementation in April 2018), but will be reviewed in response to emerging guidance and regulation. In addition to this, feedback from carers' reference groups such as Midlothian Carers Strategic Planning Group and Carers Action Midlothian will assist in understanding and responding to local need through service planning and delivery.

Local carers are established and assume significant roles as Carer Members on Midlothian Integration Joint Board and Midlothian Strategic Planning Group; contributing to the shaping of strategic planning and delivery of services. Midlothian carer services continue to be innovative and aspirational; hosting both national and local pilot projects to improve access to services and the lives of carers, e.g. development of new Money Matters post within VOCAL in response to involvement in successful pilot projects; Midlothian Council Small grant award given to 2 Midlothian Voluntary sector organisations to deliver Power of Attorney promotional campaign during November 2016; local projects providing/supporting surgeries hosted within other projects; Midlothian H&SC Partnership working in partnership with VOCAL to participate in Scottish Government pilot work testing provisions of the new carers legislation, focussing on Adult Carer Support Plans and Emergency Planning. The Criminal Justice Social Work team has also worked hard to consult with service users and beneficiaries about the services provided. All service users are interviewed at the end of every order or licence and asked a series of questions about their experience of the service and the outcomes in relation to their lifestyle, behaviour and attitudes In addition to this a feedback form is provided to all beneficiaries of Unpaid Work to gather information about their experience of the work being carried out and their satisfaction with the end result. An interactive facility has also been created on the Council's website to enable members of the public to suggest ideas for Unpaid Work projects, provide feedback on existing projects and request information about how offenders are supervised in the community.

Within adult services the role of quality assurance officer was created to monitor and review both in- house and commissioned services. This is in addition to the input of the lead officers for contracts and individual service reviews which continue to be led by social work staff. The QAO's works closely alongside the Care Inspectorate, sharing information to ensure people's outcomes are being met effectively. The creation of the Care Home Liaison Nurse role has enhanced capacity to both monitor and support appropriate care in all of the care homes locally. A Commissioning and Contracts group evaluates and monitors all contracts and oversees the commissioning of social care services across both adult and children's services.

There were also significant shifts in emphasis regarding the key principles underpinning the delivery of social care services. There has been an increasing emphasis on preventing ill-health and contributing to the reduction of health inequalities in Midlothian. There is also a greater expectation that people should be supported to maximise their independence and their recovery be it from substance misuse, physical or mental ill-health, disability or involvement in the criminal justice system.

The annual service user and carer survey allows us to track how well our services are meeting the needs of the people of Midlothian and where we need to focus in the coming years. All of the strategies within Midlothian have had active involvement of service users and carers to ensure that all services are developed to meet local need.

# **Complaints**

Whilst complaints remain low they are a useful tool to monitor performance and look for cross-cutting issues and themes. A common theme of complaints throughout the year centred on the delivery of service provision from externally contracted providers. Significant changes in contracting arrangements and the use of Large Scale Investigations to monitor concerns was utilised

# Workforce Planning/Development

# Collaborative approaches to workforce development

January 2017 SQA Approval for internal SVQ Assessment Centre working across Adult Services, Children Services and Education to provide SVQs for all SSSC registered staff. This includes ASN Learning Assistants and Senior Childcare Development Workers. Cross-Council work with Lifelong Learning and Employability to develop Health & Social Care Modern Apprenticeships. Recent work with NHS Lothian to develop Modern Apprenticeships for Healthcare staff who require a SVQ as a condition of the MA career development scheme

Development of contract with NHS Lothian and appointment of Moving & Handling Trainer/Advisor to deliver training and competence assessment of staff practice. This reflects our new approach to blended learning (e-learning, plus face-to-face training, plus competence

Development of e-learning & face-to-face training in administration of medication with Community Pharmacy

# Overview of workforce development actions

The restructuring of services and turnover of staff has required the continual provision of our SVQs and PDAs to ensure that the registration of the workforce is a matter of priority.

- 1 Children & Families Centre 90% (not including Education staff)
- 2 Residential Services (Young People) 95%
- 3 Learning Disability Services 85%
- 4 Community Access Team (LD) 95%
- 5 Care At Home 95%
- 6 Rapid Response Team 95%
- 7 Care Home (1) 95%
- 8 Care home (2) 95%
- 9 Extra Care Housing 85%

<u>Newly Qualified Social Workers (NQSWs</u>) – our NQSWs across Adult Services, Children's Services and Criminal Justice Services are support through a 6-weekly reflective practice group in order to discuss the challenges of practice in their first year of professional practice. The Heads of Service continue to support NQSWs through the provision of a day per month for reflective writing for their PRTL. However, there are considerable time pressures for NQSW staff in Children's Services in order to take time for completion of their PRTL. Our achievement is that all NQSWs in Midlothian Council achieved their PRTL on their first submission.

Practice development and support for Social Care workers and Social Workers

- Outcomes-focused assessment and SDS, in both Adult Services and Children's Services, has developed significantly with risk assessment addressed within all areas
- Effective Practice course (7-day) for Children & Families with Child Care Consultant Sally Wassell run in partnership with Scottish Borders Council
- Annual Court Witness Skills skills based workshops co-delivered with our internal Legal Services colleagues
- Dementia Skilled Level (PEF) implementation of training for Care At Home and Care Home staff
- Occupational Risk Assessment training for OTs
- "Building Your Resilience" pilot workshop for Team Leaders following a series of "Hearing from your Direct Practice" focus groups
- Practice sessions for working with situations of potential violence and aggression (Team Teach Adults and Children's)
- Continuation of Social Work traineeships for Social Care staff who have completed the 1<sup>st</sup> 2 Stages of the Open University BA (Hons) Social Work (Scotland)
- Continuation of Social Work placements being offered to Universities and opportunities for Link Workers and Practice Teachers
- Postgraduate opportunities for staff were taken up in the following way: PG Certificate in Child Welfare & Protection (2), PG Certificate in Adult Services, Support & Protection (1), PG Certificate in Social Work Practice Education (1), and PG Certificate in Management & Leadership in Social Services (2 Team Leaders, Adults, and 2 Team Leaders, Children's),

# Use of technology and other innovative approaches to support learning

A blended approach to learning – with an e-learning module addressing theory followed by practical face-to-face training & then competence assessment – has been implemented, with mandatory training being a priority. The challenges are to ensure are to ensure accessibility for staff with no office base, no work email address and limited access to computers. This has been met to some degree with increased computer capacity. The levels of confidence and access to computer technology are

extremely variable within the Health & Social Care staff group and this has required some small group instruction/support.

It was anticipated that there would be the challenge of some resistance to the competence assessment in practice; however, this aspect has, so far, been welcomed by line managers and staff members. This has been assisted by the positive & supportive approach taken by the NHS staff member. The achievement is the start of a new approach to learning which emphasizes the implementation of learning into direct practice.

# Key Challenges for Year Ahead

The fundamental aim of the Service is to commission and provide the best quality services for citizens of Midlothian. To achieve this aim there are a number of key service objectives described below which will help the move towards meeting more effectively the social, economic, health and care needs of the community

1. Achieving service and business improvements identified through external inspection reports, internal audits, self-assessment analyses, 'Best Value Reviews' and feedback from users and carers.

2. Responding to recent legislation including full implementation of changes in relation to Integration of Health and Social Care; Self-Directed Care and the UK Welfare Reform, alongside forthcoming legislation in relation to Carers; a new duty of Candour and the creation of an offence of wilful neglect. The Service must respond to national strategies including *See Hear* (sensory impairment), *Keys to Life* (learning disability), and the *Scottish Strategy for Autism.* 

3. In collaboration with partners, ensuring effective protection of adults at risk including those in transition from school to adult life. The creation of new Public Protection arrangements supports a whole lifespan approach. It also provides the opportunity to embed 'trauma' informed practice.

4. Ensuring that services for older people are sustainable and able to respond to the rapidly ageing population and growing numbers of people with dementia.

5. Ensuring services are managed within agreed, increasingly tight budgets to meet growing demand and complexity of need through increased targeting to those in greatest need; maximum efficiency through service reviews; and developing partnership working with neighbouring LAs and other agencies.

6. Working closely with the statutory partners, the voluntary and private sector to deliver community planning outcomes in tackling inequalities, applying the three key approaches of prevention, coproduction and local access.

7. Ensuring services improve and change through clear strategic planning and direction and are supported by robust performance management frameworks and a positive performance improvement organisational culture.

8. Managing the programme of delivery, service redesign and retendering.

9. Ensuring leadership capabilities and workforce capacity continue to develop in a coherent planned way to meet changing needs of our citizens. This will involve workforce planning across all sectors and the delivery of the learning and development strategy

10. Strengthening the joint delivery of health and care services. In particular examining opportunities to integrate services in both substance misuse and mental health including the possible development of recovery hubs.

11. Ensuring that early discussions take place about the move to local authority Community Planning Partnerships assuming responsibility for community justice in a way which is coherent with health and social care integration but also retains a firm focus upon reducing reoffending.

12. In collaboration with partners, ensuring effective protection of people at risk including those in transition from school to independent adult life

13. Ensuring that we can meet the needs of children and young people locally.

These objectives will be pursued within the new context of integration with an increasing emphasis on promoting prevention and recovery, on addressing health inequalities and working more effectively at a local level with users, carers, the third sector and private providers.

Looking ahead to 2017-18 sees a range of major changes. The Children and Young People (Scotland) Act 2014 is a significant shift in supporting children and young people up to the age of 21 especially alongside the embedding of outcomes focussed work led by the development work of Self Directed Support. New legislation to strengthen the rights of informal carers will ensure that there is no let-up locally to improve the support systems for carers. Finally, further embedding the Health and Social Care Partnership with the implementation of the Strategic Commissioning Plan.

# **Planning for Change**

Two of the principles endorsed by the public in the council engagement process as appropriate ways for local public services to develop were-

# Preventative Intervention

The term prevention as used here refers to the ways in which public services, including the voluntary sector (and citizens), can act now to prevent increased need for public services in future by helping people to retain their independence in the face

of age, ill health, disability or other challenges; or to achieve self-supporting life circumstances requiring no or minimal public support when faced with difficulties such as poverty, unemployment, crime, domestic violence, child abuse or addiction. Current examples include the shift from providing residential care of older people to maintaining people's independence living in their own homes using new technology (telecare); supporting parents in their children's early years through the work of Sure Start Midlothian active schools and Ageing Well programmes to increase physical activity and reduce the health problems associated with inactive lifestyles; a healthy reading scheme to support patients' self help (reducing repeat visits to GPs).

Building communities capacity to manage their own affairs and co-production of public services with service users and communities

There are examples across all service areas of co-assessing, co-designing, cocommissioning and co-delivery of service provision. e.g.-designing with service users and their families and carers the services for adults with learning disabilities who attended a Resource Centre to support their wish to be included in the wider community and to choose activities they want to take part in.

# Outcome-Focussed Services

Significant strides have been made over the last few years to provide more outcomefocussed services and reconfigure services in a number of areas, including the whole system transformation of services for older people and the work as a national Dementia Demonstrator Site. Improvements in the use of 'Talking Points' across both health and social care, and the implementation of 'self-directed care', will enhance outcomes focused approaches by enabling people across all client groups to take greater control and responsibility for their own care arrangements.

Over the next 3-5 years we will work towards delivering the following outcomes

- Enhance support system for carers
- Promote independence for people with disabilities
- Ensuring fewer people are affected by drug and alcohol misuse
- Enhance services to promote mental health and wellbeing
- Enhance quality and capacity of services to support people in their own homes
- Enhance social inclusive and personalised service
- Enhance financial inclusion of people with community care need

The achievement of these outcomes are addressed at a strategic level by developed development of joint plans by client group specific planning groups which report to the Strategic Planning Group in adult care and the GIRFEC Board for children's services. These documents have been developed in conjunction with the various agencies operating in Midlothian, users and carers and informed by national and

local priorities It should be noted that a number of the Adult Health and Care priorities have direct links with priorities of other community planning thematic groups. These interdependencies have been highlighted in the Single Plan action plan. The drive to transform public services through enhanced partnership working, expanding community and voluntary sector capacity and enhancing the provision of preventative services and early intervention across all services continues to be of significant importance to this thematic area. Strengthening the working arrangements across the community planning thematic groups will be key to achieving the outcomes above and addressing cross cutting areas such as hate crime, employment and adult support and protection.

# Integration

The development of the local Integration Scheme included the need to state clearly the vision which the Partnership has for the delivery of health and care services in Midlothian. In developing has been important to take account of and ensure coherence with existing plans for the delivery of public services in Midlothian. These included the NHS Strategy, *Our Health, Our Care Our Future,* and the Midlothian Single Plan. Our local vision also reflects the underlying principles of the national policy driving integration of health and social care. We have distilled what we believe are the key themes in these documents. Not surprisingly there are many areas of commonality.

# **Objectives of Partnership**

Enable people to live longer, healthier and better quality lives

Help people manage their conditions and improve anticipatory care planning

Support people to live at home for longer and to receive their health care at home rather than in hospital

Reduce social exclusion and inequalities, including health inequalities

Protects and improves the safety of users

#### Approaches to Deliver Objectives

Provide seamless, joined-up services which work smoothly for service users

Provide care of the highest quality consistently

Prevent illness through promoting health lifestyles

Provided services in a manner which recognises the individuality of users

Work in partnership with local communities thereby building capacity

Improve local access to services

Ensure all resources-staff, money and buildings- are used to best effect

26

# Values underpinning the Partnership

Work in partnership with users ensuring their full involvement in decisions affecting them

Respect the rights of service users

Takes full account of the dignity of users

Work in partnership with informal carers

The Partnership's plans are outlined in its Strategic Plan 2016-19 and its one year Delivery Plan for 2017-18. The Change Fund and more recently the Integrated Care Fund (ICF) helped us to establish a range of community based services with a particular emphasis on prevention, addressing health inequalities and preventing social isolation. The ICF has enabled service developments for younger people with long term health conditions such as the Wellbeing Service based in Primary Care settings.

#### **Technology**

Telecare offers a wide range of devices to support people stay safely in their own homes. As well as a basic service to summon assistance used by some 1900 people in Midlothian, a range of devices are used to monitor when someone with dementia may have wandered from their home at night, when someone who is frail has not got out of bed in the morning indicating a possible health problem or a falls monitor to summon support in walking for someone who is unsteady on their feet. A Telehealthcare Strategy Manager has been appointed to help develop the use of technology to help manage health conditions such as diabetes and dementia and support the move to greater community based care. He is also assessing with specialist companies, the possible use of smart technology (phones/tablets) to help family members share information with one another, and as appropriate, with health and care staff, about the person for whom they are caring for which may enable us to pick up some possible deterioration at an earlier stage.



# Community Payback Order Annual Report 2016/17

# Report by Allister Short Joint Director Health and Social Care

#### 1 Purpose of Report

The purpose of this report is to provide a context for the Community Payback Order (CPO) Annual Report 2016/17 which is attached below.

# 2 Background

Section 227ZM of the Criminal (Procedure) Scotland Act 1995 imposes a duty on local authorities to submit an annual report on the operation of the Community Payback Orders (CPOs) to Scottish Ministers. Circular LJ/02/2013, which was issued to local authorities on 23 September 2013, explained that local authorities would be expected to fulfil this requirement in two ways:

- By continuing to submit statistics for each financial year to the Scottish Government on the operation of community sentences in their areas; and
- In addition to these statistics, by providing a narrative account of the implementation and operation of the CPO in the financial year to which the statistics refer.

This is the fifth CPO Annual Report provided for Scottish Ministers since CPOs were introduced in February 2011. The Scottish Government provided a template for the report prior to the compilation of the 2012/13 report and confirmed that the same template was to be used for subsequent reports. The template focuses on Unpaid Work to a greater extent than other aspects of CPOs.

#### 3 Report Implications

The report includes extensive feedback from service users (individuals subject to CPOs) and from the beneficiaries of Unpaid Work projects. The Criminal Justice team, now in conjunction with Community Justice staff members, are very keen to consult with communities as fully as possible about Unpaid Work and other aspects of Community Justice. In 2014/15 Midlothian Criminal Justice Team set up an interactive facility on the Council website where members of the public can suggest ideas for Unpaid Work projects, comment on completed or ongoing projects and ask any questions about how service users are supervised on CPOs. Suggestions have been forthcoming for Unpaid Work projects that the team take on where possible and appropriate. Briefing sessions to other community groups and elected members have also generated referrals.

In addition the Citizen's Panel questionnaire has included a question about Unpaid Work for the last few years. In the 2016/17 survey the largest group, 75% of respondents, wanted to see the Unpaid Work team improve community facilities. 74% wanted to see the team landscaping parks and playgrounds and 64% wanted to see the team improve the lives of communities and individuals affected by crime. The Unpaid Work team has been involved in all of these types of projects during 2016/17.

As can be seen from the report, feedback from service users and beneficiaries is generally positive. The Unpaid Work team offered a number of individual placements over the past year as well as small group projects. Obviously risk assessments are undertaken before individual placements are agreed. Team members have also focused on increasing the number of projects and placements where service users have face to face contact with the beneficiaries of the work they have carried out. The work done by individuals on Unpaid Work on large projects, such as in the country parks, is very much appreciated by the forest rangers. However staff members are keen to maximise the number of projects and placements where the person on the order can directly appreciate the positive impact of the work they carry out. This is more meaningful for clients and beneficiaries and therefore more likely to change attitudes.

The Criminal Justice team continues to look at ways to communicate to the public the challenging work that clients undertake when on a CPO with a supervision requirement. This would previously have been known as a Probation Order. There is often an impression that if an individual does not receive a custodial sentence they do not have to face up to the consequences of their behaviour. In fact Criminal Justice social workers spend much of their working lives assessing and managing risk and delivering offence-focused interventions to their clients. The impact of offending behaviour on victims and encouraging individuals to confront the issues that have led to them becoming involved in offending in the first place are key components of supervision. Individuals subject to CPOs who have committed sexual or domestic abuse offences are usually required to undertake lengthy and challenging programmes that combine group and individual components.

The new structure for Community Justice in Scotland is now in place, with CJAs being disestablished in March 2017. The Community Justice (Scotland) Act 2016 includes a statutory duty to consult with local communities as well as partner agencies. The first community consultation on Community Justice in Midlothian took place in the autumn of 2016 and a second consultation has recently closed and the results are being analysed.

In relation to the autumn 2016 survey, there were 122 responses. 72% of respondents had not previously been aware of Community Justice. Respondents were asked to rate in order of importance the needs and issues known to relate to offending and reoffending and the results were as follows:

	No. Answered	% High	% Med	% Low
Education	112	68.6	29.5	5.4
Alcohol	116	68.1	30.3	4.3
Drugs	114	80.7	15.8	7
Attitudes	116	74.1	26.7	2.6
Youth ASB	114	84.2	16.7	2.6
Housing	109	47.8	45.9	10.1
Employment	114	72.8	27.2	3.5
Parenting/Family				
Life	111	76.6	22.5	4.5
Finances	110	50	46.4	7.3
Victims of abuse	110	88.2	12.7	2.7
Mental health	113	88.5	12.4	2.7

Midlothian Community Safety and Justice Partnership took the results into account when creating the three-year Community Justice Outcomes Improvement Plan which was submitted to the new national body, Community Justice Scotland, at the end of March 2017.

In August 2017 representatives of Community Justice Scotland attended the Community Justice Working Group and then met with key staff to provide feedback about the Community Justice Outcomes Improvement Plan. This was generally very positive and the recommendations for improvement, which mainly involved making some of the indicators more specific, will be included in the plan when it is refreshed prior to the end of March 2018.

The Community Safety and Justice partnership hopes that the new structure, and the requirements for community consultation inherent in it, will reinvigorate conversations about offending behaviour and the responses to it in Midlothian. In the past year a number of briefings about Community Justice have taken place with community councils, tenants' associations and other community groups, with a presentation also made to the Integration Joint Board. The chair of Community Justice Scotland, Karyn McCluskey, attended the Community Safety and Justice Board meeting in March 2017.

#### Resource

There are no resource implications from this report. Criminal Justice Social Work continues to be paid for by ring-fenced Section 27 funding that comes from the Scottish Government. A new funding formula was introduced when the new structure was established in April 2017. This resulted in an uplift in Section 27 funding for Midlothian.

Over the past three years every local authority has received an extra £50,000 per annum to help with the transition to the new structure. This is due to end on 30<sup>th</sup> March 2018 although there are indications that is may continue in some form. The Section 27 uplift can be used to support Community Justice planning if required.

#### Risk

There is no risk implication deriving from this report.

#### Single Midlothian Plan and Business Transformation

Themes addressed in this report:

- ✓ □ Community safety
- ✓ ☐ Adult health, care and housing
- ✓ ☐ Getting it right for every Midlothian child
- ✓ ☐ Improving opportunities in Midlothian

#### Key Priorities within the Single Midlothian Plan

This report is relevant to the following priorities:

- Reduce anti-social behaviour
- Reduce re-offending
- Reduce violent crime
- Violence Against Women
- Crimes of Dishonesty
- Protecting Midlothian's Children
- Protecting Adults at Risk
- Community Involvement in Setting and Delivering Community Safety
   Outcomes

#### Impact on Performance and Outcomes

The Criminal Justice team in Midlothian performs well in relation to National Outcomes and Standards for Criminal Justice Social Work and significantly contributes to safer communities in Midlothian. The team works closely with partners such as police, particularly in managing individuals assessed as at risk of causing significant harm and Midlothian Criminal Justice social workers are perceived by other agencies as being strongly committed to partnership working.

#### Adopting a Preventative Approach

The Criminal Justice team works to prevent re-offending but only becomes involved once an individual has offended. One exception to this is the "Spring" service for women with multiple and complex needs, where women at risk of offending are eligible as well as women already involved in the Criminal Justice system.

The Community Justice partnership provides opportunities for prevention and early intervention through the inclusion of agencies such as education and children's services.

#### **Involving Communities and Other Stakeholders**

The CPO Annual Report is to a large extent based on feedback from communities and other stakeholders, particularly in relation to Unpaid Work. However the wide-ranging consultation exercises now forming part of the Community Justice agenda will enhance our ability to take the community's views into account when planning and delivering services.

# **Ensuring Equalities**

The Criminal Justice team set up the Spring service in 2014 as a result of recommendations in the Commission for Women Offenders report (April 2012) that women in the Criminal Justice system cannot be expected to engage successfully with services set up originally for male offenders including community disposals such as CPOs.

The Spring service has gone from strength to strength and we now have a full-time Spring social workers as well as a part-time Team Leader.

#### Supporting Sustainable Development

No implications.

#### IT Issues

No implications.

#### 5 Recommendations

It is recommended that Council notes the contents of the Community Payback Order Annual Report 2016/17.

# Date: 28<sup>th</sup> November 2017

#### Report Contact: Margaret Brewer Statutory Service Manager 271 3833

# COMMUNITY PAYBACK ORDER ANNUAL REPORT

FINANCIAL YEAR: 2016/17

LOCAL AUTHORITY: Midlothian



Page 461 of 558

Types of unpaid work projects and activities which have been carried out; the total number of unpaid work hours <u>completed</u> during the year; and information and examples that help to demonstrate how communities benefit from unpaid work.

During the 2016/17 financial year we had 293 individuals complete 15903 hours of unpaid work.

Types of Unpaid Work projects carried out by Midlothian Unpaid Work team in the year include;

- Landscaping
- Removing fly tipping and undertaking a waste amnesty
- Litter picking
- Improvements to school/ nursery playgrounds and to community facilities
- Painting and Decorating
- Gardening
- Constructing garden furniture in our workshop
- Personal placements in local charities
- Recycling projects producing outdoor and garden materials and furnishing
- Helping increase the safety of victims of domestic violence and stalking

# Landscaping

Landscaping was carried out by the Unpaid Work team in various locations and for numerous organisations including:

- Public parks and walkways in Midlothian. This involved partnership working between the Countryside Rangers and the Unpaid Work team. Tasks completed included the maintenance of walkways in Vogrie Park, Gore Glen, Burghlee Park, Nine Mile Burn and Roslin Glen. We have also assisted with the construction and maintenance of a roundabout to help the flow of traffic within the country park. Within these country parks we have also been involved in fence repairs, reinstatement of subsided land, pruning and general tidying up of public parks and walkways.
- We continue to work in partnership with Newbattle Abbey College who provide a rural skills taster course for clients on CPOs every quarter. CPO service users have done a significant amount of gardening and landscaping work in the grounds of the college, including the maintenance of a community garden that is used by local schools and other community groups.
- We have been able to assist a local community clear an area of fly tipping and landscape the area into a pleasant green space where local children are now able to play in a safe environment.
- With the introduction of the Borders Railway we have worked with local community groups who have taken over responsibility for maintaining the railway stations, helping them to landscape and maintain the green space around the station. This included constructing hanging baskets as well and planting flower beds, working alongside the volunteers.
- A local community cafe for older people approached us to help improve the look of their building. We landscaped the garden area at the rear of the property, creating a low maintenance flower bed and we painted the exterior

metalwork on the building and the fences around it. We are in the process of completing raised beds to go around the trees outside the cafe to provide a more welcoming environment for the older people who use this service.

• We have worked with community councils to assist them in renovating and installing community notice boards in several communities around Midlothian.

# Fly Tipping/ Waste Amnesty

This was the second year that we helped co-ordinate and run a waste amnesty to reduce the risks of unplanned fires and unsanctioned bonfires in the week running up to Guy Fawkes Night. We received positive feedback from the fire service who said that 2016 was their quietest bonfire period for many years.

Fly tipping continues to be an ongoing problem in the rural areas of Midlothian as well as occasionally on common ground in local housing estates. We receive referrals from community councils and other council departments and have developed close relationships with community partners to identify and respond quickly to new incidents.

# Litter Picking

Midlothian Unpaid Work team carries out regular litter picking projects in Midlothian working alongside various Community Councils and voluntary groups. Rather than simply clearing the area as a standalone project we work alongside members of the community, enabling local people to maintain and improve their environment with our assistance.

### Improvements to School Playgrounds and Community Facilities

The Unpaid Work team have been involved with various secondary and primary schools as well as nurseries, sure start centres and adult day care centres undertaking a range of work including:

- The construction of raised flower beds, bird boxes and playground furniture.
- Removal and disposal of waste.
- The construction of seated areas.
- Improving access to community facilities for disabled people.
- Regular grass cutting and maintenance at local playgroups and nurseries.
- Creating eco friendly sensory gardens for children to play in.
- Cutting back overgrown trees.
- Painting the interior and exterior of schools and buildings used by community groups.
- Creating bright and engaging garden furniture to stimulate the senses of service users in an adult day care centre.

# Painting and Decorating

Painting projects have been carried out for community organisations including a local charity, nursery, and community centre. We have worked alongside colleagues in the Community Mental Health Team to renovate and decorate clients' homes to support the individual's rehabilitation and also ensure that they meet the requirements of occupancy agreements. We have also started an initiative to support social work clients who may be at risk of eviction by helping renovate their homes to meet

expected standards. This has facilitated the provision of social care support to help people maintain their tenancies.

# <u>Gardening</u>

We continue to undertake gardening projects for vulnerable people in the community including the elderly and those affected by disability. This has helped beneficiaries access and make full use of their gardens as well as maintain their tenancy when due to their health problems they have been unable to manage this themselves to an acceptable standard. We have also developed gardens for local nurseries and schools to enable children to play in a safe environment and learn new skills through growing their own fruit and vegetables in the raised beds that we have developed.

# **Constructing Garden Furniture**

Midlothian Unpaid Work team have constructed gardening furniture that is requested by community organisations. The furniture is built to a high standard and costs to the beneficiary are kept to a minimum with beneficiaries paying for the cost of the materials. We have produced furniture for schools, community groups, sports facilities and public parks.

Garden Furniture which is built by the unpaid work team includes:

- Garden benches
- Memorial benches
- Picnic tables [large and small]
- Love seats
- Bird tables
- Wishing wells.
- Sand pits
- Bird boxes

# Personal Placements with Local Charities

We continue to develop opportunities for service users to give their time and skills on placements with local charities and community groups. This provides an opportunity for individual clients to carry out work that benefits the charity as well as the wider community. It assists service users to make connections with their local communities and learn new skills. Often clients remain involved in a voluntary capacity with the charity once their CPO has ended. Our placements include local charity shops, a furniture recycling project, a charity supporting ex-service personnel, a community food growing project, a food bank, sport organisations and a lunch club for older people. We have been working with a local charity to allow clients on placement to access the training and development opportunities available to their volunteers so that clients can improve their employability skills while completing their hours.

# Recycling projects producing outdoor and garden materials and furnishing

The team is continuing to develop relationships with local firms where we can recycle items from the business like pallets, left over materials, tyres and other materials that would otherwise have been disposed of. We have been able to use materials like tyres to build fun planters that look like cartoon characters including Olaf (from the film Frozen) and Minions. We have used wood that would have been thrown away to construct garden furniture for a local nursery. Wood donated by a tree surgeon was

used to create chairs and tables for a school. We have improved several nursery and school playgrounds where recycled tyres have been used to create a cycle course or a raised bed for planting flowers. We are also in the early stages of developing a working agreement with a local charity to renovate furniture on their behalf that they can then sell in their charity shop.

# Helping increase the safety of victims of domestic violence and stalking

We have continued to develop links with local MARAC partners who support survivors of domestic abuse. We have worked with these agencies to complete projects that assist in increasing the safety of the women concerned. Examples of this work include cutting back a garden to reduce places where a stalker could hide, erecting fencing round a garden to provide a safe and secure area for the family, helping a victim's family move to new accommodation and renovating a property damaged in the course of the abusive behaviour to allow the woman to be granted a management transfer to a new property and live at an address unknown to her abusive ex-partner.

# Quotes from people on CPOs and beneficiaries about the impact of the unpaid work on them and/or the community.

# Feedback from Service Users

- 91.5% of clients felt they had made "payback" to the community through their CPO. .
- 72% felt that they had gained new skills during their Order.
- 85% of client's felt that their attitude towards offending had improved during the course of their Order.
- 98% of clients felt they were treated with respect.

#### Quotes from service users in relation to impact on likelihood of offending

- I have really enjoyed my placement and felt that from the start I was treated with respect. I enjoyed being involved in planning what work we would do and then produce stuff for the nursery. I feel proud that the kids will enjoy our work and this helped me think about trying to find work so that I can be there for my own family.
- The opportunities given to me have helped me gain confidence and Start College. I would never have done this without your help. I can't see me making the same mistakes as in the past as I now have something to lose.
- I am in a better place now and have my own house. There is no way I will risk this again. I am getting too old for this.
- As much as I have enjoyed it I dinnae want to be back.
- It's given me something to get up for and meet new people who like me want to leave the old ways behind.

#### <u>Quotes from service users about the benefits of their Unpaid Work</u> requirement

 I was able to help some of the younger lads and teach them some joinery skills. I felt good doing this and I feel that I maybe have something that I can give back.

- It was magic seeing the old dears enjoy their new garden furniture.
- Supervisors gave me the confidence to try something new and to get involved with a group.
- I have learned new skills and am going to make some garden furniture at home.
- It got me out of bed.
- I didn't think I would have much to do at the start and that it would be easy. We were worked hard and you could see the difference our work made to people.
- I would like to thank you for getting me through this order and I have learned new skills.
- Gets me out the house and doing things for the day.
- It's given me confidence. I have a job interview next week.

# Quotes from service users about what they see as the benefits to the community of their Unpaid Work

- No one else would do what we do. There's no money to help old folks these days.
- We are all from different backgrounds and bring different skills which mean we can blast a project and help do work that no one else would do.
- Charities will be able to make money from my work and will be able to help people more.
- The kids will be beaming when they see what we have done.

# Feedback from beneficiaries of Unpaid Work

- Elderly couple who received help with garden maintenance, '*The guys are amazing. Thanks for helping us look after our garden. Without your help it would be a jungle out there.*"
- Local Environmental group given landscaping and land clearance assistance, "My experience working with the Justice Team has been very positive. I would have no hesitation in approaching the Justice Team again in the future, we are a small team of volunteers so having the boys involved was immensely helpful."
- Community Council given help with a community litter pick, '*This is the third* occasion that the team has joined us. Yesterday at the pick up and twice at another location. We can't thank you enough for all your help. We really appreciate your help in achieving our goals. Big thumbs up to the team.
- Individual beneficiary with two children with severe learning difficulties, "The clearance of the garden and creating a safe play space has been invaluable as my two children with LD need a secured safe space. Thanks."
- Charity shop house clearance and drop off at charity shop "We have made over £3000 for our charity from the pick ups. This is an outstanding service. Thanks you very much."
- Adult Day Care Centre "The team have been wonderful. They were respectful to our elderly clients and enjoyed a cup of tea and a blether. The bright garden furniture and freshly painted fence has created an engaging and dynamic outdoor space for our service users to use. I had thought that community service clients just sat in their vans. I had no idea they did such good and hard work. Thanks so much for everything."

# Types of "other activity" carried out as part of the unpaid work or other activity requirement.

The take up of the other activity in Midlothian remained low during the 2016/17 financial year although was up on the previous years with 31 individuals undertaking the other activity. Current activities on offer are:

- A Rural Skills taster course that was developed in partnership with Newbattle Abbey College. The course is delivered quarterly over a 5 day period and lasts for 30 hours. This partnership has been running for six years now and has allowed numerous clients to access further education.
- The Spring service works with women who are involved or at risk of becoming involved in offending behaviour. The opportunity to attend is made available to all women on CPOs. The service provides a holistic service to women and focuses on mental health, experiences of victimisation, self-esteem and substance misuse as well as on reducing the likelihood of offending.
- Venture Trust have continued to offer their "Wild Living Chance for Change" personal development course to clients subject to Unpaid Work. We have had several young people attend this project as part of the "other activity".
- We are keen to help clients make contacts with local services so that support can be maintained when their orders have ended. Referrals to services dealing with substance misuse has allowed clients to initially use their "other activity" allowance of hours towards establishing contact with agencies including MELD, the Substance Misuse Service, ELCA (Edinburgh and the Lothians Council on Alcohol) and Transitions. These services then continue to support clients after their orders have been completed.
- Also available to offenders are literacy and numeracy courses which are delivered on a regular basis by MALANI, Midlothian Council's adult literacy and numeracy project.
- Service users have also been able to attend training courses to assist them to gain employment, dependent on eligibility for funding through their ILA (Individual Learning Account). This has allowed individuals to complete training on Health and Safety related issues and obtain the Health and Safety certificates needed for work on building sites. Clients have also been able to gain their forklift truck driving licence. We have been working with colleagues from Lifelong Learning and Development to develop opportunities for Unpaid Work clients to engage in adult education. LLD have agreed to provide additional support to help clients overcome some of the barriers they face when returning to education.
- In partnership with the British Heart Foundation we continue to deliver emergency first aid courses. Service users are trained to recognise the signs and symptoms of heart attacks and strokes and learn how to deliver basic first aid in emergency situations. There was recent positive feedback from a service user and the Scottish Ambulance Service. The service user was in temporary accommodation at the time and was able to use the first aid skills he had learned to help a fellow resident who attempted suicide and he continued to assist until the ambulance arrived. The ambulance crew were surprised that the client learned the skills as part of his Court Order and praised him for his efforts.

We are undertaking a review of Unpaid Work. The vision for the new Unpaid Work service is that a training and development pathway is developed for service users. As far as possible, individuals on Unpaid Work orders will undergo in house training delivered by our supervisors and when appropriate referrals can be made to outside agencies. We want people on Unpaid Work orders to complete their hours prepared and motivated to engage with external agencies, in terms of either education or employment. We will use the 'other activity' option to support this.

Activities carried out to consult prescribed persons and organisations, pursuant to section 227ZL of the 1995 Act, and wider communities on the nature of unpaid work and other activities and how the consultation results helped determine which projects were undertaken.

We have undertaken a number of consultation activities since April 2016:

- Having set up an interactive facility on the Midlothian Council website during 2014 we have been receiving referrals directly from members of the public. This portal has been reviewed by our communications department who are creating a live feed within the website to publicise the day to day work of the team.
- We have visited Community Councils and met with local councillors and this has resulted in several referrals for projects being made to our team.
- We have been an active member of the Community Safety Partnership which has helped us work with partner organisations to the benefit of the community. An example of this work is the waste amnesty that took place before bonfire night.
- We attended the Midfest Family Fun Day for the third year running to publicise our service and to engage with the public about projects they would like our Unpaid Work team to take on.
- As part of the developments within Community Justice we have been able to work with partners to highlight the top three areas in Midlothian affected by anti-social and offending. Through this we have created strong links with community groups and have been prioritising work in these areas to ensure that those most affected by crime receive a clear benefit in their community from the work of the Unpaid Work Team.

In the past year we have worked hard to engage with other teams within social work and throughout the council so that we expand the range of people who can access our service. This has allowed us to develop work that has supported people with mental health problems to remain in their homes, assisted families avoid eviction, and helped some of the most vulnerable families improve their home environment. Many of the service users we have completed projects for had not heard of our service until advised by their social worker.

Use by the courts of CPO requirements other than unpaid work, for example what, and in what way, different requirements are being used for those whose offending is driven by drug, alcohol and mental health issues; or how requirements such as programme or conduct are being used to address

#### offending behaviour.

The Courts imposed a total of 226 Community Payback Orders during 2016-2017; 206 were imposed on men and 20 on women. This is a 3% increase in the total number of CPOs imposed in 2015/16 (n= 219). The use of requirements during 2016-2017 year is as follows (figures also shown for previous year):

	2016/17	2015/16
Alcohol	0	2
Compensation	11	2
Conduct	10	6
Programme	12	6
Restriction	0	0
Unpaid work	116	179
Supervision	55	40
Unpaid work a supervision	nd 55	37

As in previous years Unpaid Work remains the most commonly used requirement however for the first time there has been a decrease in its use as the sole requirement but an increase in the number of orders imposed with both Unpaid Work and Supervision. There has also been a significant increase (37.5%) in the number of orders imposed with a supervision requirement. We have now started to record offence type for each Order and this will enable us to consider the imposition of CPOs by offence type and evaluate the impact of interventions in the longer term. We are being assisted in this by the Community Justice Partnership Analyst.

As we have noted in previous reports the Courts continue to use the compensation requirement and this year there has been an 82% increase in its use when compared with the previous year. However as in previous years this requirement has been most frequently used in instances where supervision was not recommended due to an assessed low level of risk and need, however supervision has to be included in all cases where the Court has imposed a compensation requirement.

There are two main programme requirements that are delivered by Midlothian Criminal Justice Team and these are Moving Forward Making Changes (MF: MC) and the Caledonian System. There are other programme requirements available but these are delivered by third sector providers such as Venture Trust. In the reporting year the Courts used the programme requirement in nine orders for Caledonian and in two for MF: MC.

The Court imposed one 'incompetent' programme requirement during this reporting year. The wording of the requirement is as follows: 'requires the offender to participate in alcohol counselling to be held as and when directed for 2 years; and to comply with any instructions given by, or on behalf of, the person in charge of the programme'. This is not an appropriate use of this type of requirement and following discussion with the Sheriff Clerk's office we are managing this condition as a conduct requirement. We will continue to discuss the use of or wording of CPO requirements as necessary with the sentencing Court.

The following is a quote from a service user who had completed a programme requirement:

"For the first time in my life I came across an excellent type of professional and I managed to benefit from them greatly. They understand the actual problem I was facing since my childhood. Thanks to all of them. Special thanks to: [worker A's name], my suspension officer who helped me throughout. [Worker B's name], very caring, always showed me the right path. [Groupworker's name], extremely hardworking professional in the group work programme, who knew how to put things right for us. Now I just wish to lead a good crime free life with my family and I have a lot of things to do in future I will be very careful dealing with other people. I feel happy to tell you that my offending chance is ZERO, that is how I feel and I am happy about that."

There has continued to be a year on year increase in the use of conduct requirements. A conduct requirement tends to be used as a means to prohibit an individual from a course of action or as a means of requiring them to do something, for example attend or engage with substance misuse services.

#### Domestic Abuse offences

The Caledonian System provides a combined response to men's abuse of their partners and ex-partners, comprising of a programme of work for men convicted of domestic abuse related offences and a support service for women, children and families affected by these offences. The system includes inter-agency protocols for joint working. However not every man convicted of a domestic abuse offence is assessed as suitable for the Caledonian programme, or is able to successfully complete the requirement when imposed. To ensure the safety of women and children it is critical that there is effective information sharing to identify risk and to put measures in place to manage or reduce this. A significant proportion of social workers in Midlothian Criminal Justice Team are accredited assessors and case managers for the Caledonian System. This ensures that those working with men convicted of domestic abuse offences are supervised by workers who are aware of the risks and can undertake offence focused work, on a 1:1 basis, to challenge Both Team Leaders are Delivery Managers for the attitudes and behaviour. Caledonian System in Midlothian and are representatives on the following multiagency information and decision making forums:

- MAPPA
- MARAC
- MATAC
- Midlothian Anti-social and Violent Behaviour Monitoring Group.

#### Sexual Offending

The Community Intervention Service for Sex offenders (CISSO) provides support and consultation in our work with those convicted of a sexual offence. They deliver the groupwork element of the accredited programme for sexual offenders, Moving Forward Making Changes (MFMC). If a client is assessed as suitable for inclusion in Moving Forward Making Changes they will complete the pre-group work on a 1:1 or 2:1 basis with the local Criminal Justice team before undertaking the groupwork programme in Edinburgh. However there are a number of short (6 – 12 month) CPOs imposed on individuals who were assessed as posing a low risk of harm.

These orders are mainly imposed on those convicted of non-contact or internet related offences. During the course of such an order we will liaise with colleagues in the local police Offender Management Unit (OMU), and sometimes also with staff at CISSO and Stop It Now to ensure that the individual is aware of triggers to their behaviour and has a relapse prevention plan. For those convicted of internet related offences it is important to encourage moving from an external locus of control (for example court imposed restriction on internet use) to an internal locus of control. This is undertaken in conjunction with OMU officers and the individual to develop an Internet Safety Contract and then an internet Safety Plan. The former is an agreement which includes expectations and restrictions on online behaviour. Monitoring is a key part of this through the checking and inspections of internet enabled devices. Police Scotland most often take the lead in monitoring but it is important that Criminal Justice social workers are also able to do this to the best of their ability; it is accepted that staff can be supervising individuals who are more technically able and that internet enabled devices themselves can differ. The aim is for the individual to ultimately develop an Internet Safety Plan, enabling them to move from higher levels of external supervision to reliance on self-monitoring.

Any issues affecting access to services which are provided by other partners (e.g. drug and alcohol services) and, where such issues have been identified, what work is underway to resolve them.

There has been a reduction in funding for drug and alcohol partnerships and consequently some local services have seen their capacity reduced. However the service manager responsible for Criminal Justice social work has been part of a strategic group led by MELDAP to minimise the impact on access to services. The substance misuse gateway clinics continue to operate and provide quick and easy access to substance misuse services for Midlothian residents. Peer support is growing in this area and partners are soon to recruit a peer support development worker who will be based in the third sector but who will work across substance misuse, mental health and criminal justice services.

Access to psychological services has been an issue but access clinics have been set up that work in the same way as the gateway clinics. These clinics can refer people with mental health issues to a range of services, many of which are much quicker to access than psychological services, although obviously there will always be some individuals who require this kind of intervention.

It has been recognised for some time that there is a significant overlap in people engaged with criminal justice, mental health and substance misuse services. An exciting development is the creation of a Recovery Hub in Midlothian where substance misuse, mental health and criminal justice teams will share a building. In relation to substance misuse and mental health this will include health as well as social work staff. This will provide an excellent foundation for better partnership working and there is a commitment to creating a trauma-informed service and environment.

it is hoped that the Recovery Hub will reduce the time that individuals wait to access the service that best meets their needs.

Any other relevant information. This might include details of work which is carried out with people on CPOs to address their offending behaviour but which does not fall into the category of a specific requirement.

#### General Offending

The primary focus of supervision is to reduce the risk of re-offending and of harm through providing the individual with opportunities to engage in a process of change, with the aim of increasing their ability to desist from offending in the future. At the pre-sentence stage, if recommending supervision as part of a CPO, criminal justice social workers outline provisional action plans for promoting positive change and increasing desistance. LS/CMI provides a more detailed framework of assessment leading to an individualised case management plan which targets the identified risks and needs; as noted in the previous section certain offence types require the use of specialised risk assessment tools in conjunction with LSCMI.

When working with service users social workers use a range of interventions and theories to support the process of change. These include:

- Cognitive Behavioural Therapy (CBT)
- Motivational Interviewing
- Mentalisation Based Therapy (MBT)
- Desistance Theory
- Good Lives model
- Stages of Change
- Alcohol Brief Interventions
- Strengths Based Approaches
- Internet Safety Planning.

The work is generally completed on a 1:1 basis using both written and verbal exercises. The overall goal of the work is to enable the service user to consider the triggers to their offending behaviour and also their strengths. He or she is encouraged to build on existing skills and develop effective ways to reduce their risk of re-offending and causing harm.

Clearly there are a number of factors that can influence the risk of reoffending, such as substance misuse, employability, health and accommodation issues and to help individuals address these issues Criminal Justice social workers rely on partnership working.

#### Partnership Working

To enable us to work effectively with service users it is important that we work holistically and see people in the context of the challenges they are facing on a day to day basis. To do this we are committed to working with a wide range of services that are involved with that person or who may be able to positively impact on presenting risk and needs. These agencies/partners include:

- Adults and Community Care
- Police Scotland
- Community Safety Team (Midlothian Council)
- Housing and Homelessness teams
- Substance Misuse services including: NHS Lothian Substance Misuse Service; Mid and East Lothian Drugs (MELD, which also works with individuals who have alcohol issues); Edinburgh and Lothians Council on Alcohol (ELCA), MELDAP

- Children and Families social work
- NHS Lothian
- Mental Health Services including: Serious Offender Liaison Service (SOLS); Joint Mental Health Team; Orchard Centre
- Lifelong Learning and Development (Midlothian Council)
- Shine Mentoring Service
- Change, Grow, Live
- Veterans First
- SACRO
- Women's Aid
- Willow Centre
- Scottish Prison Service
- Stop It Now
- The Venture Trust
- Midlothian Young People's Advice Service (MYPAS, for sexual health and substance misuse issues)
- Spring Service
- Fairbridge/Prince's Trust
- Midlothian Adult Literacy and Numeracy (MALANI)
- Places for People (for tenancy support)
- Recovery College (Transitions)

#### Women offenders

The needs of women offenders remain a key consideration at the assessment stage. Where possible, in terms of the individual's availability and presenting needs, women placed on a CPO are referred to the Spring Service. Spring is a service enabling women with complex needs to access physical and mental health assessments, support for emotional issues, offence-focused work and substance misuse interventions. The service is modelled on the programme delivered at the Willow service in Edinburgh and runs one day each week. Women referred to Spring are either involved in the Criminal Justice system or at risk of becoming involved.

We have now employed a full-time social worker for the Spring service having already appointed a part-time Team Leader. This has allowed us to develop one to one support for the women involved with Spring. The service is delivered in partnership with Women's Aid, MELD (local substance misuse service), NHS Lothian, CHIT and Adults and Community Care social work. We had an OT involved with the service for several months and this was very helpful in helping the women to link in with positive activities in their local area. Another OT is about to be appointed.

Willow in Edinburgh is accessible to Midlothian women who are experiencing very high levels of psychological difficulties. There are also Survive and Thrive groups running in Midlothian that women can be referred to.

#### Service User Feedback

The following are comments provided by clients who have been on supervision as part of a CPO:

Attitude to offending:

"I feel I am now more assertive instead of aggressive. I now think before I act"

"I know what I did was wrong but have realised I've grown into a better person for doing something so stupid... learned to think about consequences before reacting in the wrong way"

*"I feel I am able to deal with the triggers that cause me to offend a lot easier as I have a better understanding of them"* 

Family and relationships:

"They were disappointed with me about offence but supported me to change how I act and behave"

Being on an order:

*"Before I stopped drinking the order kept me on the straight and narrow"* 

"I am amazed and happy I got through my order. I feel that I am a different person"

*"I enjoyed this because I learnt new calming methods to be used all the time in normal life"* 

"Thanks to [worker's name] and everyone else who took the time to help me with offending and normal day stuff."

*"I felt like I was treated like a human being rather than a criminal"* 

#### Attending Spring:

"You're better able to deal with things – like your actions and behaviours – you learn how to talk about stuff rather than keeping things to yourself and blowing them all out of proportion. You ken right "this is what I do, work it out in my head, talk it through" instead of doing something daft or stupid – work around it. There will be people to help you out as well."

#### Future Plans

Domestic abuse is a significant problem in Midlothian, with the local authority ranking sixth highest for reported incidents out of thirty-two. The Criminal Justice team has recently appointed an extra social worker to provide capacity within the team to work with non-Court mandated domestic abusers. We would also provide support as part of this new venture for partners and ex-partners. This is to complement the new system of child protection work with families where domestic abuse is an issue, Safe and Together, which is due to be introduced in Midlothian early in 2018.

COMPLETED BY: Alison White, Head of Adult Services

DATE: 25/10/2017

CONTACT FOR QUERIES ABOUT THE REPORT

Name: Margaret Brewer

E-mail: Margaret.brewer@midlothian.gov.uk

Telephone: 0131 271 3833



#### MAPPA Annual Report 2016/17

#### Report by Allister Short, Joint Director Health and Social Care

#### 1 Purpose of Report

1.1 This is a cover report for the MAPPA Annual Report for 2016/17 which was published on 27<sup>th</sup> October 2017.

#### 2 Background

- 2.1 MAPPA was established in Scotland in 2007 to co-ordinate the response of a range of agencies in the management of registered sex offenders and restricted patients. In March 2016 MAPPA was extended to include violent offenders assessed as posing a risk of serious harm. A Joint Thematic Review took place in 2015 and was carried out jointly by the Care Inspectorate and HMICS. The Joint Thematic Review found that MAPPA is well established across Scotland and that robust arrangements are in place to manage registered sex offenders with good information sharing and partnership working.
- 2.2 The MAPPA Annual Report for 2016/17 showed no significant changes from the previous year. 859 registered sex offenders were managed in Lothian and Borders over this period with 92.08% being managed at MAPPA level 1, 7.56% at level 2 and 0.34% at Level 3.
- 2.3 For the ninth year in a row, no Level 3 offender in Lothian and Borders was convicted of a further Group 1 (violence) or Group 2 (indecency) offence.
- 2.4 In the previous reporting year of 2015/16, 11 RSOs were convicted of a further Group 1 or Group 2 crime. This reporting year, 18 offenders have been reconvicted. In terms of a percentage increase 11 to 18 represents 64%. However, in real terms partners managed 859 RSOs in Lothian and Borders during this reporting year, with 18 being reconvicted which provides an overall reconviction percentage of 2%.
- 2.5 Of the 18 RSOs who were reconvicted, 4 were convicted of a Group 1 crime of violence and 14 were convicted of a Group 2 sexual crime. 6 of these offences related to possession of indecent images of children and the crime had been identified by proactive management (checking internet enabled devices) by Police Scotland.
- 2.6 In Midlothian three RSOs in 2016/17 committed a further sexual offence, one committed an offence relating to registration requirements and two committed non-sexual offences.
- 2.7 In the most recently published reconviction statistics published by the Scottish Government, which relate to 2014/15, sexual offences are the crime type associated with the lowest rate of reconviction of all crimes.

- 2.8 The MAPPA process was extended to violent offenders assessed as posing a significant risk of harm in April 2016. To date, one individual has been managed in the community under the extension in Midlothian and this person was subsequently recalled to custody. There is a small number of offenders still in prison who will be managed under the extension on release.
- 2.9 The MAPA Co-ordinator and the Statutory Service Manager delivered briefings on the purpose of MAPPA to elected members and to the federation of community councils in September 2016.

#### 3 Report Implications

#### 3.1 Resource

There are no resource implications in this report.

#### 3.2 **Risk**

The MAPPA process makes a significant contribution to the management of risk and the protection of the public in Midlothian.

#### 3.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

Community safety

Adult health, care and housing

Getting it right for every Midlothian child

#### 3.4 Impact on Performance and Outcomes

The East and Midlothian Offender Management Group is working to a plan that identifies improvement actions for the management of high risk offenders in East and Midlothian. In turn this group reports to the Public Protection Committee and the Critical Services Oversight Group.

However while this is a challenging area of work there is no evidence of any concerning performance in Midlothian. Criminal Justice social workers are highly skilled and extensively trained in risk assessment and management of sexual offenders and high risk violent offenders and in delivering accredited interventions to support behaviour change. We continue to analyse and learn from Serious Case Reviews from around the country when they are published.

#### 3.5 Adopting a Preventative Approach

Not applicable.

#### 3.6 Involving Communities and Other Stakeholders

The MAPPA Annual Report is accessible to the general public. A range of community engagement activities have taken place in Midlothian over the past few years about the MAPPA process and this engagement programme will continue.

#### 3.7 Ensuring Equalities

Not applicable.

#### 3.8 **Supporting Sustainable Development**

Not applicable.

#### 3.9 IT Issues

None

#### 4 **Recommendations**

Council are asked to note the content of the report.

#### Date: 28<sup>th</sup> November 2017

Report Contact: Margaret Brewer Tel No: 271 3833 Margaret.brewer@midlothian.gov.uk

Background Papers: (Please see Appendix 2)

Page 480 of 558

Item 8.20

# **Edinburgh, the Lothians and Scottish**

Borders Multi-Agency Public Protection Arrangements

> ANNUAL REPORT 2016-2017

Page 481 of 558

# **Edinburgh, the Lothians and Scottish**

Borders Multi-Agency Public Protection Arrangements



### Contents

1.	Foreword	2
2.	Multi-Agency Public Protection Arrangements in Edinburgh, Lothian and Scottish Borders	4
3.	Roles and Responsibilities	6
4.	Achievements in Developing Practice	10
5.	Strategic Overview Arrangements	12
6.	Statistical Information	14 - 17

# 1 Foreword





Multi Agency Public Protection Arrangements (MAPPA) are a mechanism through which agencies can discharge their statutory responsibilities more effectively and protect the public in a co-ordinated way. The purpose of MAPPA is to help reduce the re-offending behaviour of sexual and violent offenders to protect the public from serious harm.

Agencies across Edinburgh, the Lothians and Scottish Borders work in partnership to manage those individuals who present the highest risk of harm to our communities. The strength of the partnership between prison, police, health and local authority has continued to grow over the ten years since the introduction of MAPPA. Since 31 March 2016, the management of highrisk violent offenders has been integrated into MAPPA. Violent offenders present a greater risk of re-offending, which poses a significant challenge to agencies in working with this group to reduce the serious risk of harm they may present.

Re-offending by people managed under MAPPA remains low and this reflects the work we do together. Our utmost priority is to keep the public safe, particularly the most vulnerable members of our communities.

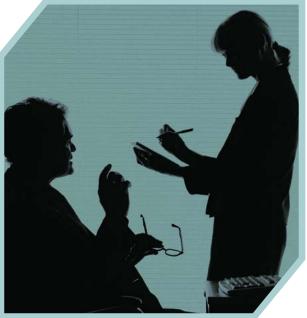
Michelle Miller Chair Edinburgh, the Lothians and Scottish Borders Strategic Oversight Group

# 2 What is MAPPA?

Multi-Agency Public Protection Arrangements in Edinburgh, Lothian and the Scottish Borders

**Multi-Agency Public Protection Arrangements (MAPPA)** provide a framework to manage the risk posed by registered sex offenders and restricted patients (mainly violent offenders, with a small number of sex offenders). On 31 March 2016, the Scottish Government published new MAPPA Guidance. This guidance reflects the new risk of serious harm category, for offenders who by reason of their conviction are subject to supervision in the community, and are assessed by the responsible authorities as posing a high or very high risk of serious harm to the public, which requires active multi-agency management at MAPPA Level 2 or 3.







MAPPA bring together professionals from the police, social work, housing, health and the Scottish Prison Service in Edinburgh, the Lothians and Scottish Borders. These agencies are known as the 'responsible authorities'. While the arrangements are co-ordinated by a central unit based in Edinburgh, the practical management of offenders remains the responsibility of these agencies at local level.

Community Justice Authorities ceased to exist on 31 March 2017, however, MAPPA continue to operate under the Management of Offenders etc (Scotland) Act 2005 and the boundaries previously covered by the Edinburgh, Lothian and Scottish Borders Community Justice Authority will remain. The area covered by our arrangements incorporates the local authority areas of the City of Edinburgh, East Lothian, Midlothian, West Lothian and the Scottish Borders, representing a mixture of urban and rural areas.

The responsible authorities represented are:

- » The City of Edinburgh Council
- » East Lothian Council
- » Midlothian Council
- » West Lothian Council
- » Scottish Borders Council
- » Police Scotland
- » Scottish Prison Service
- » NHS Lothian
- » NHS Borders

There are three MAPPA management levels to ensure that resources are focused where they are needed most to reduce the risk of harm. Over the course of this annual reporting year, we managed 859 registered sex offenders under MAPPA; 92.08% (791) at Level 1; 7.56% (65) at Level 2; and 0.34% (3) at Level 3. Those offenders who present the highest complexity are managed at Level 3. This year, for the ninth year in a row, there were no cases of a Level 3 offender being convicted of further Group 1 (violence) or Group 2 (indecency) crime.

Over the past year, there have been 68 MAPPA Level 2 and Level 3 meetings across Edinburgh, the Lothians and Scottish Borders. Each Level 2 meeting considers a number of offenders, whereas Level 3 meetings are unique to that offender.

The 2016/17 MAPPA National Annual Report provides a picture of the main national developments in relation to MAPPA and can be viewed on the Scottish Government website under recent publications.

# 3 Roles and Responsibilities



The responsible authorities for each area are required to involve other key agencies in the management of offenders. This is an important part of MAPPA, involving the exchange of information and drawing on the collective knowledge and expertise of numerous agencies. The roles and responsibilities in relation to MAPPA in our local area are outlined below.



Police Scotland is responsible for the enforcement of the notification and compliance requirements of the Sexual Offences Act 2003 (sex offender registration), and for policing activities, including risk assessment, preventative/monitoring strategies, coupled with investigation and prosecution of any registered sex offender who re-offends. Responsibilities include: maintaining an accurate record of those offenders resident in each local authority area subject to the notification requirements; the creation of risk management plans to mitigate or reduce risk; making enquiries where such persons fail to comply with the requirements placed on them; managing sex offenders whose current behaviour is of concern. Police Scotland is the lead responsible authority for those community-based registered sex offenders who are not subject to any other form of statutory supervision. These duties are carried out in partnership with all responsible authorities and 'duty-to-cooperate' agencies.

The local authority is the responsible authority for registered sex offenders who are subject to statutory supervision. The Council's criminal justice social work service is responsible for the supervision of such offenders, but housing, adult social care and children and families services also play a key role in the management of sex offenders in the community.

Criminal justice social work makes a significant contribution to public protection by supervising and managing registered sex offenders in accordance with the requirements of MAPPA and other public protection-related legislation. Social workers supervise offenders on community payback orders and prisoners who have been released subject to formal supervision. Social workers are required to use accredited risk assessment tools, and in collaboration with other agencies, develop plans for the risk management and supervision of offenders. Social workers can request that additional requirements or conditions be placed on orders and licences by the courts and the Parole Board. These requirements and conditions can range from restrictions relating to accommodation and employment, to instructions to avoid certain locations or victims, or to attend counselling or treatment programmes. These requirements and conditions allow social workers to monitor and influence aspects of offenders' behaviour, as breaches of requirements or conditions can lead to the court or Parole Board returning the offender to custody.

Each local authority in Edinburgh, the Lothians and Scottish Borders has a Sex Offender Liaison Officer (SOLO) or Lead Officer, in the criminal justice social work service, who acts as a single point of contact for information relating to registered sex offenders. They are responsible for chairing risk management case conferences and liaising with other agencies as appropriate.

Local authority housing SOLOs are responsible for offenders' access to housing, which includes accessing temporary accommodation and identification of suitable permanent housing.

Registered social landlords, as 'duty to cooperate' agencies, work with the local authority housing SOLO to identify positive housing solutions, which contribute to public protection.





The role of the housing service is to contribute to the responsible authorities' management of risk through:

- » providing suitable accommodation
- contributing to environmental risk assessments to ensure accommodation is appropriate
- liaising with the responsible authorities regarding the ongoing management and monitoring of the risk of the offender as a tenant, including any tenancy moves or evictions
- having regard to community safety and having in place contingency plans for when a property is no longer suitable and/or the offender's safety is at risk.

The local authority is responsible for ensuring the development of a strategic response to the housing of sex offenders. However, in any local authority area there is likely to be a multiplicity of housing providers, and local authorities must involve and consult registered social landlords in their area when developing their strategic response.

It is the responsibility of the local authority to provide an initial single point of contact for accommodation requests from other responsible authorities. This single point of contact is the housing SOLO, whose role involves:

- identifying the most appropriate housing provider, following risk assessment
- ensuring that when an appropriate housing provider has been identified, they are included by the responsible authorities in liaison arrangements relevant to the identification of appropriate housing and the management of risk
- liaising pro-actively with responsible authorities and housing providers regarding ongoing risk management and community safety issues.

NHS Lothian continues to play an important role in MAPPA locally, as the responsible authority for mentally disordered, restricted patients, and in fulfilling its wider duty to cooperate in the management of registered sex offenders. NHS Lothian and NHS Borders have a public protection structure (including child protection, adult protection and MAPPA), which is the responsibility of the Nurse Director at Health Board Level. In addition, NHS Lothian now has a Director of Public Protection, designated consultants for MAPPA (consultant forensic mental health clinicians) and a MAPPA health liaison officer. This is to ensure appropriate information sharing and joint working between NHS Lothian and other MAPPA agencies. The aim of the structure is to provide governance for NHS Lothian's contribution to MAPPA and to ensure health issues that arise in relation to MAPPA cases (including mental health, physical health, staff and patient safety, and information sharing) are dealt with appropriately. The Director of Public Protection attends all Level 3 Multi-Agency Public Protection Panel (MAPPP) meetings, as does a consultant. A consultant and the health liaison officer attend all Level 2 MAPPA meetings in the NHS Lothian area.

Additional funding from NHS Lothian has allowed the Serious Offender Liaison Service (SOLS) to continue to provide specialist clinical consultation, training, assessment and clinical supervision to support the management of serious violent and sexual offenders being managed in the community. Examples of recent engagements include a presentation to the Scottish Parliament Justice Committee on Domestic Violence, a presentation to the National Strategic Oversight Group on internet offenders and presenting on domestic violence at the NHS Lothian public protection conference. The service has also been involved in delivering a number of training events, which focused on internet offenders, assessment of sexual offending and assessing risk of domestic violence. Attendance at MAPPA meetings remains one of the core duties of this service.



NHS Borders also makes an important contribution to MAPPA. A consultant clinical psychologist from the learning disability service and a nurse consultant from the vulnerable children and young people service attend all Level 2 meetings, and the associate director of nursing attends all Level 3 MAPPP meetings.

#### Community Intervention Services for Sex Offenders (CISSO)

This service continues to support the risk management of partner agencies through the delivery of community-based group treatment programmes and individual interventions, addressing the behaviour and attitudes associated with sexual offending. In addition, staff provide assessments and offer advice and consultation to criminal justice social workers in Edinburgh, the Lothians and Scottish Borders. CISSO is moving into its fourth year of delivering the accredited group work programme Moving Forwards: Making Changes (MFMC). The team provides five weekly MFMC groups, four during the day and one in the evening. CISSO has continued its collaboration with the forensic learning disability service and one of the groups is open to offenders with a learning disability. Over the past year, 50 men were involved in MFMC group work. This experience will help inform an evaluation of the MFMC programme, which is scheduled for the coming year. The project has also been actively involved in national meetings that support the implementation and on-going development of the MFMC programme. Since the introduction of MFMC, CISSO has experienced an increase in demand for individual work with men to support the work they do in the group. The service is currently evaluating how it should focus its resources to bring best value in promoting effective interventions. This has included consulting with partner services around how the service supports the provision of

Court assessments and case manager sessions. CISSO has continued to receive a high number of referrals for internet offenders. Over the past year, the project has been involved in conversations, both locally and nationally, with a view to developing a clearer framework for assessment and intervention with this client group. It continues to run a programme specifically for internet offenders. This is a closed group and the programme is 18 sessions long. This group is run on a bi-annual basis and gives places to 16 men per year. The project offers training courses for local criminal justice staff on working with sexual offenders, including introductory days; a 3-day case management course for MFMC; and skills based training to consolidate learning on the case management and risk assessment courses. Delivery of national training in the use of RM2000 and Stable/Acute07 risk assessment tools is also part of the service provided.

#### **Keeping Children Safe**

The Community Disclosure Scheme provides that parents, carers and guardians of children under 18 can ask for information about a named person who may have contact with their child if they are concerned that he or she might have convictions for sexual offences against children (e.g. if a parent wants to find out more about a new partner). Police officers discuss the concerns of the applicant in a face-toface meeting and offer advice and support.

In this reporting year, police in Edinburgh, Lothian and Scottish Borders received 22 applications under this scheme.

Further information can be found at: <u>http://www.scotland.police.uk/keep-</u> <u>safe/safety-advice-jj/children-and-</u> <u>young-people/child-protection-</u> <u>keeping-children-safe/</u>

## 4 Achievements in Developing Practice







#### **Training and Promoting MAPPA**

During this reporting year, we have held a number of multi-agency training events.

In June 2016, Scottish Borders Council hosted a multi-agency awareness training day, aimed at staff who may only have limited contact with sex offenders. This event promoted information sharing and understanding in relation to the management of registered sex offenders under MAPPA.

Also in June, the MAPPA Coordinator delivered a training event for staff new to the role of chairing MAPPA meetings. In August 2016, the MAPPA Coordinator delivered a presentation on MAPPA to the City of Edinburgh's Violence Against Women Partnership. The aim was to increase awareness of the new serious risk of harm category, which will manage offenders presenting a high risk of serious harm in a domestic violence setting. In September 2016, Midlothian Council hosted a multi-agency MAPPA presentation to local councillors, to ensure elected representatives were fully briefed on developments in practice and local performance.

Also in September, the MAPPA Co-ordinator and Service Manager for Criminal Justice Social Work in Midlothian Council delivered a presentation on MAPPA to the Midlothian Federation of Community Councils.

In March 2017, West Lothian Council hosted a multi-agency MAPPA awareness-training day to promote information sharing and understanding of the management of registered sex offenders for staff who do not work routinely with sex offenders.

Also in March, Scottish Borders Council delivered a training session with input from a member of the Community Intervention Services for Sex Offenders (CISSO). The topic was 'Internet Offending – The Scale of the Challenge' and staff from all disciplines of social work attended. Also in March, the Edinburgh, Lothian and Scottish Borders Strategic Oversight Group hosted a multi-agency half day workshop, aimed at staff and managers who will be directly involved in the management of people who have been convicted of offences relating to the possession of indecent images of children. The aim of the workshop was to provide an overview of developments in research findings and to consider what the differences are between the various subtypes of internet offender.

#### Developing the use of Sexual Offences Prevention Orders (SOPO)

The SOPO is an order granted by the Court. It places conditions on an offender's behaviour, provides a power of arrest if breached and enhances the police role in managing such offenders. SOPOs could initially only contain prohibitive measures, however, a change in legislation in November 2011 allows for these orders to contain positive obligations as well as prohibitions.

For some offenders, the existence of a SOPO is enough to provide structure to their daily life, through which they may avoid further offending. On 31 March 2017, there were 76 SOPOs in place in our area.

## 5 Strategic Overview Arrangements







### Edinburgh, Lothian and Scottish Borders – Strategic Oversight Group

This group is responsible for the overview and co-ordination of the Multi-Agency Public Protection Arrangements, ensuring the sharing of best practice and learning from significant case reviews. The group also provides a strategic lead for developing local multi-agency policy and strategy in relation to shared priorities regarding the management of offenders.

### Edinburgh, Lothian and Scottish Borders – MAPPA Operational Group

This multi-agency operational group supports the work of the Strategic Oversight Group. Its remit is to share learning, develop best practice and ensure consistency of practice.

#### Offender Management/Reducing Reoffending Committees

These committees monitor the performance and quality of local service delivery; they provide strategic direction to local member agencies; and develop local policy and practice. These committees include representatives from all key agencies, a number of whom are also members of the local child and adult protection committees, ensuring effective communication across public protection.

#### NHS Lothian Public Protection Action Group

The main aim of this group is to ensure NHS Lothian discharges its responsibilities for MAPPA, and for child and adult protection. This group provides a general forum to discuss important practice issues, in addition to developing good practice in relation to the management of high-risk offenders in the health care setting.



# 6 Statistical Information

Unless stated, the statistics recorded are for the reporting period 1 April 2016 to 31 March 2017.





Page 496 of 558



#### Table 1: General

REGISTERED SEX OFFENDERS (RSOs)		No.
<b>a)</b> Number of:	I. per 100,000 population on 31 March	69.66
	II. at liberty and living in the area on 31 March	684
<b>b)</b> The number of RSOs having a notification requirement who were reported for breaches of the requirements to notify		49
<b>c)</b> The number of "wanted" RSOs on 31 March		0
d) The number of "missing" RSOs on 31 March		0

### Table 2: Civil Orders applied and granted in relation to registered sex offenders

THE NUMBER OF	No.
<b>a)</b> Sexual Offences Prevention Orders (SOPOs) in force on 31st March	76
<b>b)</b> SOPOs imposed by courts between 1st April and 31 March	39
<b>c)</b> Risk of Sexual Harm Orders (RoSHO) in force on 31 march	15
d) Sex offenders convicted of breaching SOPO conditions between 1 April and 31 March	11
<b>e)</b> Number of people convicted of a breach of RSHO between 1 April and 31 March	0
f) Foreign Travel Orders imposed by the courts between 1 April and 31 March	0
<b>g)</b> Notification Orders imposed by the courts between 1 April and 31 March	5

#### Table 3: By MAPPA Level between 1 April and 31 March

REGISTER	ED SEX OFFENDERS (RSOs)	No.
a) By MAPPA	I. Level 1 – Routine Risk Management	791
Level between 1 April and	II. Level 2 – Multi-agency Risk Management	65
31 March;	III. Level 3 – MAPPP	3
<b>b)</b> Convicted	I. MAPPA Level 1	18
of a further Group 1 or	II. MAPPA Level 2	0
2 crime;	III. MAPPP Level 3	0
<b>c)</b> Returned to custody for a breach of statutory conditions (including those returned to custody because of a conviction of Group 1 or 2 crime)		
d) Indefinite registrations reviewed under the terms of the Sexual Offences Act 2003 (Remedial) (Scotland) Order 2011 between 1 April and 31 March		26
e) Notification continuation orders issued under the terms of the Sexual Offences Act 2003 (Remedial) (Scotland) Order 2011 between 1 April and 31 March		20
<ul> <li>f) Notifications made to Jobcentre Plus under the terms of the Management of Offenders etc. (Scotland) Act, 2005 (Disclosure of Information) Order 2010 between 1 April and 31 March</li> </ul>		
<b>g)</b> Number of RSOs subject to formal disclosure		0



#### Table 4: Restricted patients

RESTRICTED PATIENTS (RPs):		No.
a) Number of RPs;	I. Living in the area on 31 March	35
a) Number of RPS,	II. During the reporting year	41
	I. CORO	32
<b>b)</b> Number of RPs per order	II. HD	1
	III. TTD	8
	I. State Hospital	9
<b>c)</b> Number within hospital/ community;	II. Other hospital no suspension of detention (SUS)	21
	III. Other hospital with unescorted SUS	6
	IV. Community (Conditional Discharge)	8
<b>d)</b> Number managed by	Level 1 – Routine agency risk management	33
category on 31 March (does not include patients from Lothian in the State Hospital)	Level 2 – multi-agency risk	2
	Level 3 – MAPPP	0
	I. MAPPA Level 1	0
e) Number of RPs convicted of a further crime of Group 1 or 2 crime	II. MAPPA Level 2	0
	III. MAPPP Level 3	0

RESTRICTED PA	TIENTS (RPs):	No.
	I. who did not abscond or offend	21
	II. who absconded	1
f) Number on suspension of detention;	III. who absconded and then offended	0
	<b>IV.</b> where absconding resulted in withdrawal of suspension of detention	1
<b>g)</b> Number on conditional discharge;	I. who did not breach conditions, not recalled or did not offend	7
	II. who breached conditions (resulting in letter from the Scottish Government)	1
	III. recalled by Scottish Ministers due to breaching conditions	0
	IV. recalled by Scottish Ministers for other reasons	1



### Table 5: Statistical Information – other serious risk of harm offenders

SERIOUS RISK OF HARM OFFENDERS:		No.
<b>a)</b> Number managed between 1 April and 31 March	1. MAPPA Level 2	4
	2. MAPPA Level 3	0
<b>b)</b> Number of offenders	<b>1.</b> MAPPA Level 2	0
convicted of a further Group 1 or 2 crime	2. MAPPA Level 3	0
<b>c)</b> Number of offenders returned to custody for a breach of statutory conditions (including those returned to custody because of a conviction of Group 1 or 2 crime)		0
<b>d)</b> Number of notifications made to DWP under the terms of the Management of Offenders etc (Scotland) act, 2005 (Disclosure of Information) Order 2010 between 1 April and 31 March		0



Table 6: Registered sex offenders managed in the community under statutory conditions and/or notification requirements on 31 March 2017

CONDITIONS	Number	Percentage
On statutory supervision	228	33.33
Subject to notification requirements only	456	66.67



Page 500 of 558



### East Lothian and Midlothian Public Protection Committee Annual Report 2016/17

#### Report by Alison White Head of Adult Social Care

#### 1 Purpose of Report

This report is to introduce the East Lothian and Midlothian Public Protection Committee annual report 2016/17 thereby informing Midlothian Council of its progress in that time.

#### 2 Background

- 2.1 The East Lothian and Midlothian Public Protection Committee (EMPPC) is the key strategic group dealing with public protection matters across East Lothian and Midlothian and includes representatives from key partners (e.g. Social Work, Police Scotland, NHS Lothian, Education, Housing, 3<sup>rd</sup> Sector etc). The committee reports to senior officers through the East Lothian and Midlothian Critical Services Oversight Group. It remains committed to an outcome focused approach to supporting and protecting adults and children who may be at risk of harm, based on an understanding of need gained from evaluation activity.
- **2.2** There are four sub-groups which support EMPPC with this approach.
  - East Lothian and Midlothian Performance and Quality Improvement sub group which scrutinises performance on behalf of EMPPC;
  - East Lothian and Midlothian Learning and Practice Development sub-group, oversees the development and delivery of the EMPPC Learning and Development Strategy;
  - East Lothian and Midlothian Violence Against Women and Girls Delivery Group which supports EMPPC in delivering the services and preventative activities to address Violence Against women and Girls across East Lothian and Midlothian;
  - East Lothian and Midlothian Offender Management Group is the multi-agency group established to support EMPPC in ensuring that the statutory responsibilities placed on local partner agencies for the assessment and management of risk posed by dangerous offenders are discharged effectively
- 2.3 The East Lothian and Midlothian Public Protection Team support the work of the EMPPC and is based in the East Lothian and Midlothian Public Protection Office (EMPPO) in the Brunton Hall, Musselburgh. It includes officers from adult support and protection, child protection and the domestic abuse service and is co-located with some staff from the local Police Scotland Public Protection Unit and Midlothian and East Lothian Drug and Alcohol Partnership. The primary aim of the team is to work in a more integrated way to strengthen practice across the whole public protection are 15.501 of 558

#### 3 Report Implications

#### 3.1 Resource

The key driver for the service continues to be ensuring sustainable services and streamlining future provision by sharing staff capacity and knowledge wherever possible. All posts in the team are joint posts across both council areas.

#### 3.2 Risk

The Public Protection service overall, contributes to addressing corporate risk that the councils and their partners would be unable to maintain or improve the quality and standard of public protection work due to increased complexities and depleting resources thus leaving service users in Midlothian at risk of harm.

#### 3.3 Single Midlothian Plan and Business Transformation

Themes addressed in this report:

x Community safety

x Adult health, care and housing

x Getting it right for every Midlothian child

Improving opportunities in Midlothian

Sustainable growth

x Business transformation and Best Value

None of the above

#### 3.4 Impact on Performance and Outcomes

The EMPPC developed a Performance Framework which was reviewed in January 2016, and an amended version implemented for 2016/17. During this time, Lead Officers worked closely with operational teams to ensure the performance framework and improvement plans are embedded within practice.

#### 3.5 Adopting a Preventative Approach

It is increasingly clear that the reality for most of our service users is that their needs usually span more than one category of Public Protection i.e. many children on the child protection register have substance misusing parents or domestic abuse as a "cause for concern". This evidence-led model links to the prevention aspect of single outcome agreements.

#### 3.6 Involving Communities and Other Stakeholders

East Lothian and Midlothian Public Protection Committee remains committed to involving communities and other stakeholders wherever possible, although this can prove a challenge in this area of work.

#### 3.7 Ensuring Equalities

An Equalities Impact Assessment is not currently required as no policy or people changes have been identified. This will be undertaken in line with streamlining operational practice.

#### 3.8 Supporting Sustainable Development

Multi-agency staff are based in a co-located hub and opportunities are sought to streamline services with less meetings and consequently less travel between bases.

#### 3.9 IT Issues

This report does not highlight any IT issues.

#### 4 Summary

- **4.1** This is the third annual report of the East Lothian and Midlothian Public Protection Committee (EMPPC) and it provides an opportunity to reflect and take stock of our activities and our achievements within this complex area of service.
- **4.2** People do not neatly fit into one category and issues like domestic abuse and substance misuse are common themes with many of the service users with whom we work. Bringing together the individual partnerships into one Public Protection Committee across two local authorities has streamlined processes considerably and now demonstrates a significant level of trust and integrity for example, senior officers chairing case reviews for the other local authority.

#### 5 Recommendations

Midlothian Council is asked to:

• Note the report and the progress made by East and Midlothian Public Protection Committee during 2016/17.

#### 16 November 2017

Report Contact:Name Anne ThompsonTel No: 0131 653 5151

anne.thompson@midlothian.gcsx.gov.uk

#### Background Papers:

East Lothian and Midlothian Public Protection Committee Annual Report 2016/17



## East Lothian and Midlothian Public Protection Committee

# Annual Report 2016/17

Signed off by EMPPC on 12/09/17 and CSOG on 19/10/17 Page 505 of 558

## Contents

1) Introduction	Page 3
2) Adult Support and Protection	<u>Page 6</u>
3) Child Protection	<u>Page 13</u>
4) Violence Against Women and Girls	<u>Page 18</u>
5) Offender Management	<u>Page 24</u>
6) Training	<u>Page 28</u>
Appendix 1	
East Lothian and Midlothian Public Protection Committee membership	<u>Page 31</u>
Appendix 2	
Financial Year End Budget Report 2016/17	<u>Page 33</u>
Appendix 3	
Public Protection Training	Page 34
Appendix 4	
East Lothian and Midlothian Public Protection Team contact details	<u>Page 37</u>

## 1) Introduction

#### Foreword by Anne Neilson (Chair of the East Lothian and Midlothian Public Protection Committee)

The East Lothian and Midlothian Public Protection Committee (EMPPC), has now been in existence for three years. The committee incorporates the Adult Protection Committee, Child Protection Committee, Offender Management Group and Violence Against Women Partnership, and I am pleased to present the Committee's third annual report. This report presents the achievements made during 2016-17 and sets out our priorities for 2017-18.

Public Protection includes the most high profile 'critical' services for which the key agencies of council, NHS Lothian and police have statutory responsibility. In East Lothian and Midlothian, the drive for collaborative working within Public Protection was a practical one; people do not neatly fit into one category and issues like domestic abuse and substance misuse are common themes with many of the service users with whom we work. Recognising these significant overlaps, we promote an integrated "lifespan" approach to Public Protection covering all ages and stages of life. Collaborative leadership from East Lothian and Midlothian Critical Services Oversight Group (CSOG), which incorporates the chief executives and chief officers from all partnership agencies, has undoubtedly enabled our public protection services to develop and become more holistic, both strategically, and organisationally. I sit on this group, both in my capacity as chair of EMPPC, and as the Director for Public Protection NHS Lothian.

The EMPPC brings together all agencies involved in supporting and protection adults and children who may be at risk of harm. It meets quarterly to fulfil its scrutiny role in overseeing the Public Protection Performance framework and the four improvement plans – Adult Support and Protection, Child Protection, Offender Management and Violence Against Women and Girls. EMPPC remains committed to continuous improvement, taking an outcome focused approach to supporting and protecting adults and children who may be at risk of harm, based on an understanding of need gained from our evaluation activity. In this year, a number of Initial Case Reviews and Significant Case reviews have been undertaken, and on completion, the learning from these has been integrated into our improvement plans.

We recognise that working in partnership is at the heart of all we do in Public Protection and I would like to thank all members of EMPPC and its sub groups, as well as operational staff across both statutory and voluntary services, for their continued commitment and energy in working together to keep people who may be at risk of harm in East Lothian and Midlothian safer, and promoting the importance of shared learning across all disciplines.

anne Nelson.

Anne Neilson (EMPPC Chair)

#### Introduction

East Lothian and Midlothian Public Protection Office (EMPPO) in the Brunton Hall Musselburgh is the base for the Public Protection Team with officers from adult support and protection, child protection and the domestic abuse service. EMPPO is co-located with Police Scotland Public Protection Unit staff and Midlothian and East Lothian Drug and Alcohol Partnership (MELDAP). This year in EMPPO, we have seen some staff changes with Veronica Campanile joining us as the Violence Against Women Strategy Coordinator and Leigh Taylor as the Lead Officer for Child Protection. We have also welcomed Lisa Dowie, as part time Domestic Abuse Adviser to the Domestic Abuse Service.

The aim of the Public Protection Team is to support the delivery of the strategic and operational objectives of the EMPPC, and to work towards improved outcomes and safety for both service users and professional teams. A growing area of work this year has been to support Initial Case Reviews, Significant Case Reviews and Large Scale Investigations and this has both enabled the development of skills and expertise in this field, and promoted confidence in the appropriate sharing of information between partners. A significant level of trust and integrity across partnerships is evident in the pool of senior officers from all key partnerships who are nominated to chair reviews as appropriate, across either council area.

The ongoing positive relationships within the NHS Lothian Public Protection Team and the EMPPO offer many opportunities to promote and raise awareness of the NHS Lothian Public Protection team. The already established role and function of the Child Protection Advisors have also been enhanced. These key roles in NHS Lothian make a significant contribution to operational working, facilitating effective communication and liaison across the core agencies and supporting timely information sharing.

The establishment of separate Health and Social Care Partnerships in both councils has changed the operational picture significantly, and we have recognised the challenges in developing a joint approach with sufficient flexibility to satisfy the different structures as they have evolved. A number of successful initiatives towards achieving the operational presence which was originally envisaged for EMPPO were initiated, but it was not possible to sustain any of these long term, due to resource issues across all key agencies. To address this, further work is required with EMPPO Lead Officers and operational teams and partnerships to improve links between EMPPO and operational practice. This will include clarifying the role of the Lead Officers and the role of EMPPC. We are also keen to strengthen relationships between EMPPO and the third sector as this remains an area of improvement identified in EMPPC business plan.

EMPPC's financial year end 2016/17 budget report is presented at Appendix 2.

There are four sub-groups which support EMPPC:

- East Lothian and Midlothian Performance and Quality Improvement sub group chaired by Joan Tranent, (Head of Children's Services, Midlothian council) since April 2016. This sub-group meets quarterly, and scrutinises performance on behalf of the EMPPC using the revised EMPPC Performance Framework which was implemented for 2016/17. Lead Officers continue to work closely with operational teams to ensure the performance framework and improvement plans are well understood and embedded within practice;
- East Lothian and Midlothian Learning and Practice Development sub-group, chaired by Alison White (Head of Adults, Midlothian Health and Social Care Partnership) meets at least six monthly to oversee the development and delivery of the EMPPC Learning and Development Strategy. Our new strengthened Learning and Development Strategy and training plan aims to address crosscutting themes wherever possible, to avoid staff having to attend training more often than necessary; for example level 1 Adult Support and Protection Training, which now includes financial harm and prevent awareness raising, which previously were standalone courses. NHS Lothian learning and development leads actively participate in the development and delivery of a broad range of training opportunities to promote best practice and encourage learning across all agencies;
- East Lothian and Midlothian Violence Against Women Delivery Group chaired by Detective Chief Inspector John Peaston (vice chair of EMPPC) meets quarterly to support EMPPC in delivering the services and preventative activities to address Violence Against Women and Girls across East Lothian and Midlothian. The Delivery Group works according to the nationally agreed definition of gender based violence and is guided by priorities as identified in the national strategy "Equally Safe: Scotland's strategy for preventing and eradicating violence against women and girls";
- East Lothian and Midlothian Offender Management Group, chaired by Alison White (Head of Adults, Midlothian Health and Social Care Partnership), meets quarterly and is the multi-agency group established to ensure that the statutory responsibilities placed on local partner agencies for the assessment and management of risk posed by dangerous offenders are discharged effectively. The group is responsible for monitoring the implementation of risk assessment and risk management procedures and for promoting the highest standards of inter-agency practice in responding to the presentation of risk and in preventing harm.

This report presents the achievements and challenges within each area of Public Protection for the year 2016-17.

## 2) Adult Support and Protection

#### What is Adult Support and Protection?

The Adult Support and Protection (Scotland) Act 2007 was implemented in October 2008 to protect adults known or believed to be at risk of harm. This is defined in the Act as:

- Persons aged 16 years and over who are Unable to safeguard their own well-being, property, rights or other interests;
- Are at risk of harm (physical, sexual, psychological, financial, neglect & self-neglect); and
- Because they are affected by disability, mental disorder, illness or physical or mental infirmity, are more vulnerable to being harmed than adults who are not so affected.

#### An adult is at risk of harm if

- Another person's conduct is causing (or is likely to cause) the adult to be harmed; or
- The adult is engaging (or is likely to engage) in conduct which causes (or is likely to cause) self-harm.

Where the Council knows or believes that an adult maybe at risk of harm they must make inquiries to determine if the adult is an adult at risk of harm as described, as well as consider the need to intervene to support and protect the adult from harm. Whilst Councils have the lead role in Adult Support and Protection (ASP) other agencies also have a duty to cooperate with the Councils inquiries and are required to share information, these agencies are: Police, Health including GP's, Care Inspectorate, other local authorities, Mental Welfare Commission, Office of the Public Guardian and the Scottish Fire & Rescue Service.

Furthermore, after making inquiries and where the Council considers that it may need to intervene in order to support and protect the adult at risk they can enter any place when investigating the risk of harm, this can include the following:

- Visiting the adult at home to obtain their views;
- Contact the adults bank to formally request information of the adults account;
- Requesting a medical examination to determine the cause of any injury;
- Visit care homes as part of a Large Scale investigation where the Council knows or believes that one or more adults may be at risk of harm;
- Councils can also make an application to a Sheriff Court for a protection order where they know or believe that there is a risk of serious harm to the adult these are:
  - Warrants for entry;
  - Banning Orders with a Power of Arrest;
  - Removal Orders;
  - Assessment Orders.

It is an offence to obstruct the Council when exercising their duties.

Similar to child protection we have a shared responsibility to report concerns, share information and act proportionately where it is known or believed that an adult is at risk of harm or is likely to be harmed.

#### <u>Key data</u>

The data reported is based on the Scottish Governments National Data set.

#### <u>Referrals</u>

East Lothian Health and Social Care Partnership and Midlothian Health and Social Care Partnership (HSCP) are both reporting an increase in the number of ASP referrals received in 2016/2017. East Lothian HSCP received 530 ASP referrals at the end of the reporting period in comparison to 493 in 2015/2016, an increase of 8%. Midlothian HSCP received 681 ASP referrals at the end of the reporting period in comparison to 501 in 2015/2016, an increase of 36%. Police Scotland continue to be the main referrer to both partnerships submitting 41% of the overall referrals to Midlothian and 38% to East Lothian.

There is a notable increase of 179% (44) in the number of ASP referrals submitted to Midlothian HSCP by GPs in comparison to the previous year (14). The increase of referrals is thought to be linked to training sessions delivered as part of GP Protected Learning Time delivered by NHS Lothian Public Protection Team on the Mental Welfare Commissions report of Mr JL. Similar sessions are scheduled for East Lothian.

East Lothian HSCP has also experienced a significant increase in the number of ASP referrals submitted within the category of "other". It is thought that this category will include referrals from financial institutions.

#### **Investigations**

East Lothian HSCP has experienced an increase of 114% (148) in the number of investigations undertaken in comparison to the previous year (69). This increase is linked to a recording error in the previous year, therefore this suggests that this issue is now resolved.

The main type of principal harm investigated is physical harm 37 / 148 (25%), of these 4 (11%) progressed to an Adult Support and Protection Case Conference where the Council is required to intervene to support and protect the adult from further harm. In two of these cases there were clear links with domestic abuse. These cases had also been discussed as part of a Multi-Agency Risk Assessment Conference (MARAC). Physical harm is closely followed by financial harm 34 / 148 (23%). 7 of these cases progressed to case conference.

Despite the increase in ASP referrals to Midlothian HSCP the number of Investigations have reduced by 36% (from 129 to 82).

Midlothian HSCP have undertaken 82 investigations into adults at risk of harm and are reporting financial harm as being the main type of principal harm investigated in the reporting year 26 / 82 (32%). Of these 7 have progressed to Adult Support and Protection Case Conferences.

Both HSCPs are reporting that the main place in which the harm occurred was in the adults own home.

There were a total of 6 Large Scale investigations (LSI) that had commenced between both HSCPs in 2016 / 2017. The LSIs concerned a combination of Care Homes that provide 24 hour nursing care to older people and contracted service providers, providing support and care to adults living in their own homes within the community.

#### East Lothian:

Measure	2014/15	2015/16	2016/17
Referrals	427	493	530
Investigations	125	69	148
Initial ASP Case Conferences	24	15	21
Protection orders	6	3	2
Number of Large Scale Investigations	3	2	2

#### Midlothian:

Measure	2014/15	2015/16	2016/17
Referrals	452	501	681
Investigations	94	129	82
Initial ASP Case Conferences	30	24	36
Protection orders	1	2	0
Number of Large Scale Investigations	2	2	4

#### Performance Framework

Both East Lothian and Midlothian have exceeded the current target of 75% of the number of inquiries undertaken within the procedural timescale of 5 days from receipt of referral. The purpose of the timescale is to ensure that adults believed to be at risk of harm are identified quickly and that consideration is given to any intervention that may be necessary therefore, ensuring the safety of adults. Where there is a significant concern / risk, immediate action will be taken and this may also involve discussion with other agencies. This performance framework indicator has since been reviewed and the target will increase to 90% for the next financial year.

#### **Current Themes**

#### Physical Harm

East Lothian HSCP are reporting that physical harm is the main type of principal harm that has been investigated in the reporting period with a number progressing to Adult Support and Protection Case Conference. The Adult Support and Protection (Scotland) Act 2007 is underpinned by a set of principles that inform and guide practice which must be applied when considering any intervention. These are:

- is the intervention to the benefit of the adult?
- is the intervention the least restrictive option (can support be provided to reduce the risk of harm before considering protective measures)?
- does the intervention take account of the adults views and wishes.?

In all cases of physical harm information is shared with Police colleagues to determine any criminality, assess the level of risk and plan a co-ordinated approach as to how to proceed and identify who has the lead role. Health colleagues are also consulted to obtain information in respect of any associated health issues of the adult and how this may make them more vulnerable to being harmed than those who do not experience such vulnerabilities. This process of information sharing between core agencies is known as an Inter-agency Referral Discussion (IRD).

Further scrutiny of the cases that had progressed to case conference revealed that frequently there were complex issues of deteriorating mental illness and domestic abuse.

The Lead Officer and Violence Against Women and Girls Co-ordinator are working together to raise awareness within staff groups of the crosscutting issues between domestic abuse and adult support and protection.

"The process has been conducted with sensitivity, compassion and common sense. We are very grateful to all involved" Quote from service user

#### Financial Harm

Similar to the previous year financial harm features as the main type of principal harm discussed at Adult Support and Protection Case Conference in both partnership areas. Financial harm is a complex and challenging area and can range from doorstep crime such as bogus workmen, to theft / exploitation where adults feel pressurised to hand over money, possessions, or property. Incidents of financial harm reported to the Police mainly relate to incidents of cold calling, bogus callers and theft of monies (during bogus workmen incidents or by family members). The investigations that progressed to case conference reflect the disparate range of financial harm, including where legal appointments were in place (Power of Attorney or Financial Guardian) and in such circumstances information was shared with the Office of the Public Guardian who are responsible for supervising those individuals who have been appointed to manage the financial or property affairs of adults who lack capacity.

The Office of the Public Guardian also has a duty to investigate any concerns or reports of Financial Harm against an adult who lacks capacity and depending on the circumstances, they can put in place various safeguards, including revoking/terminating powers or appointments.

East Lothian HSCP and Midlothian HSCP also have strong links with colleagues in Trading Standards, sharing information where there is concern that an adult may be at risk of harm through scams or bogus tradesmen. It is commonly thought that the majority of victims of financial harm are elderly, however from the data available, financial harm is more widespread and all age groups are targeted.

East Lothian and Midlothian Public Protection Committee (EMPPC) have raised awareness of financial harm through specific training sessions which are delivered in conjunction with Police and Trading Standards. This training has now been incorporated into EMPPC Level 1 Adult Support and Protection training, and a new Learn Pro module has been developed making this training and information readily accessible to a wider group of staff.

#### Large Scale Investigations

A Large Scale Investigation (LSI) occurs where it is known or believed that one or more adults may be at risk of harm or that the quality of care being delivered is not of an acceptable standard.

Historically, LSIs have been mainly associated with Care Homes, however, in the past two years there has been an increase in the number of LSIs into the care provided to adults who are being supported at home. The nature of such investigations is largely due to missed or late visits where the adult has not received the care that the agency has been contracted to provide.

An LSI involves the Care Inspectorate, HSCP staff, Police, and other local authorities who have contracted care with the relevant Care Home or Care at Home Service Provider, coming together to share information, assess risk and provide an operational and strategic response in the management of concerns.

EMPPC continue to support Care Homes and Service Providers through the provision of a Train the Trainers programme for managers.

#### Learning from Case Reviews

Throughout the last year a number of single agency case file audits have been undertaken and as well as areas of good practice, they have identified areas for improvement. These are subsequently included in the Adult Support and Protection improvement plan and progress is monitored by the Performance and Quality Improvement sub group on behalf of EMPPC. Improvement actions include; Chronologies, Multi-Agency Risk Assessments and Service User feedback.

#### **Challenges and priorities**

#### Chronologies and Multi-agency Risk Assessment

The completion of single agency chronologies and multi-agency risk assessments for adults at risk of harm continues to be a priority. This is supported with the delivery of training to Council Officers and the development of guidance documents to assist working practice. Together with operational managers, an annual quality assurance audit of single agency chronologies and multi-agency risk assessments is undertaken to measure effectiveness in the assessment and management of risk, decision making and actions taken to reduce the risk of harm. These evaluations also identify areas of practice development and training needs. EMPPC are progressing towards integrated chronologies for all adults discussed at Adult Support and Protection Case Conferences.

#### Service User Evaluation

East Lothian report that 54% (27 / 50) of adults attended their case conference and that 59% (29 / 50) were represented by a significant other. Midlothian report that 48% (32 / 67) attended their case conference and 25% (17 / 67) were represented by a significant other.

Whilst we would hope to improve this percentage, and acknowledge that where possible, adults should be invited to attend their case conference, it is understandable that a number of factors can impact on this, such as impaired cognitive abilities, levels of distress, or the adult may simply not wish to attend. In such circumstances they can nominate someone to attend on their behalf, such as a family member or carer, or, in cases where their decision making is impaired, their guardian or power of attorney. The adult should also be offered the option of advocacy services to present their views of their situation.

EMPPC has reviewed the process of obtaining feedback from service users. Currently, this involves the service user or their carer completing an evaluation form asking the adult to report "if they feel safer" as a result of the intervention, after the initial case conference. Responses to the questionnaires are low and disproportionate to the number handed out. Having reviewed this process it was agreed that where the adult consents, the council officer will pro-actively seek the information within two weeks of the case conference and support the adult to complete the questionnaire. In addition, Adult Support and Protection

cases that have concluded will be reported to the Lead Officer who will contact the adult to undertake an evaluation of the adult's experience of the process.



The information obtained assists HSCPs improve their responses to adults at risk of harm and can identify areas of improvement.

## 3) Child Protection

#### <u>Key data</u>

#### Inter-agency Referral Discussions (IRDs)

Authority Area	2013/14	2014/15	2015/16	2016/17
East Lothian	406	280	218	273
Midlothian	606	418	367	510

For 2016/17 the number of IRDs has increased in contrast to last year but when comparing data from the past few years an extremely spiky profile emerges and that in itself is the most consistent message identified. The number of IRDs varies often without an obvious or identifiable explanation, perhaps because of the very nature of IRDs. IRDs are only ever initiated when a child is identified at risk. Children at risk are closely linked with times of crisis. Unfortunately human behaviour and in particular crisis points can be very difficult to predict. It is arguable that periods of crisis are even more likely across the general population that encounter Child Protection Services. There are occasionally regional issues that may explain increases in the number of IRDs, however there is no evidence of this for East Lothian and Midlothian.

It is perhaps some of the associated Performance Indicators, which are most helpful in identifying children at significant risk. For example, each local authority reports on the number of children subject to more than one IRD over a 12-month period. Thankfully the numbers year on year for repeat IRDs within this timeframe are low, however when a child has been subject to three IRDs, this triggers an exploration of the circumstances to ensure everything possible has been done to ensure the safety of the identified child.

A multi-agency group (Social Work, Health, Police and Child Protection Lead Officer) reviews all IRDs on a fortnightly basis. The review group considers relevance, procedural correctness and most importantly ensuring Interim Safety Plans (ISP) meet the standards required for each child deemed at risk and progressing to Child Protection Case Conference (CPCC). Members of the IRD Overview Group recognise that Interim Safety Plans need to be Multi Agency in nature and we are continually working to improve safety plans across East Lothian and Midlothian in conjunction with frontline staff.

Authority Area	2013/14	2014/15	2015/16	2016/17
East Lothian	59	31	30	40
Midlothian	79	21	40	54

#### Child Protection Registration

In East Lothian and Midlothian, the number of children on the Child Protection Register for 2016/17 remains very consistent with national averages and very consistent for the past year within each authority.

It is evident from the numbers of children on the register year on year that there are consistent thresholds applied to consideration of risk factors and whether a child meets the at risk threshold for registration. Arguably, this ensures standards remain consistent and families are presented with clear thresholds around risk to children.

#### **Current Themes**

#### National Child Protection Improvement Plan

The Scottish Government review around policy, practice, services and structures within child protection is ongoing. The review has been focusing on Child Protection Committees, Initial / Significant Case Reviews and the Child Protection Register as well as greater scrutiny through a revised inspection programme. Addressing the impact of neglect on children is to be promoted through strengthening leadership and the impact of changes to legislation and practice within the Children's Hearing System are being explored.

The chair of the EMPPC and Lead Officer for Child Protection will continue to keep Chief Officers and members appraised of any developments and will seek to ensure practitioners are aware of the process and kept updated with relevant information. We will also ensure opportunities to be involved in the review are taken wherever possible.

#### Trafficking and Exploitation Strategy 2017

This year the Scottish Government announced their strategy for Trafficking and Exploitation outlining their aim to eliminate human trafficking and exploitation. It is recognised that this this is ambitious, however the Scottish Government are clear that no level of trafficking and exploitation is acceptable. EMPPC fully support this vision and will work towards the key action areas identified below:

- Identify victims and support them to safety and recovery;
- Identify perpetrators and disrupt their activity;
- > Address the conditions, locally, that foster trafficking and exploitation.

#### Children (Equal Protection from Assault Bill) (Scotland) Bill

This bill was proposed by John Finnie MSP to the Scottish Government in May 2017. The Bill proposes to give children equal protection from assault by prohibiting the physical punishment of children by parents and carers in charge of children. The EMPPC supports the bill in principle on the basis that it ends any dubiety around what constitutes justifiable punishment, each child will be afforded the same protection. This is extremely important given that each child is an individual and the effects of physical punishment can vary greatly from child to child. Children should not fear physical punishment from parents; it is the

wrong message to give children and contradicts societal messages that violence is not acceptable.

As part of the consultation the EMPPC raised some concerns such as the potential of criminalising some parents at the end of their tether. Raising children can be extremely challenging, these families require support, and we recognise that charging them is not a long-term solution. There is likely to be a surge in child protection referrals but social work and partner agencies such as police and health struggle to meet demand at present. Finally, the increased demand for parenting support was noted in a climate of austerity and declining support services. We are awaiting the outcome of this bill from the Scottish Government.

The EMPPC recognise the importance of keeping our frontline practitioners informed of national discussions and actions, and will continue to communicate via our regular newsletters and through Lead Officer attendance at Team and Management meetings and Operational Briefing Sessions.

#### Performance and Quality Indicators

EMPPC strive to support good practice and to ensure, high standards apply to all areas of child protection practice across East Lothian and Midlothian and are in line with national standards and relevant guidance. As part of self-evaluation and ongoing improvement, we have recently reviewed our Performance Indicators across Child Protection in order to ensure we capture relevant data that tells us about the safety of our children. We have revised and are proposing a new set of measures that are more meaningful and specifically linked to improved outcomes, particularly safety for children and their families. These indicators are to be considered by EMPPC and, if approved, implemented within the next year. In the meantime, we continue to analyse data on a quarterly basis and run a programme of evaluation and audit to identify areas of good practice and any areas for ongoing development.

#### Learning from Case Reviews

The recent SCR publication from Fife Child Protection Committee in respect of Child 'C' highlights a number of key learnings that many Local Authorities from across Scotland will undoubtedly reflect upon and implement. These are:

- Integrated Multi-agency Chronologies focussing on significant events would have identified emerging patterns of risk / harm;
- Professionals should maintain a focus on the needs of the child and not be distracted by demands / needs of the adults;
- Being alert to disguised / false compliance. Repeated cancellations or re-scheduling of appointments should be treated with the same degree of concern as repeated nonattendance;

Over-reliance on social work involvement or child protection registration as indicators of serious concerns.

EMPPC has considered these findings and has incorporated learning into our existing training such as Level 1 and Level 2 Child Protection.

EMPPC are committed to undertaking Initial and Significant Case Reviews (ICR/SCR). The aim of all reviews is to promote learning across the multi-agency workforce and to ensure all learning is implemented into practice to prevent similar incidents occurring in the future. All key learning from local ICRs / SCRs is incorporated into the East Lothian and Midlothian Child Protection Improvement plans were they are progressed and implemented. The Performance and Quality Improvement sub-group and EMPPC monitor progress of all identified action points from our local reviews.

#### Improvement Plan

The Child Protection Improvement Plans for East Lothian and Midlothian focus on key areas of improvement that have been identified from Children's Services Inspections, local audit and evaluation and Initial / Significant Case Reviews. The plans are overseen by the Performance and Quality Improvement sub-group to ensure that actions progress and are implemented.

The improvement plans share some outcomes and others are individual to the respective Local Authority. For example, EMPPC is supporting the roll out of e-IRD (Electronic IRD) to improve multi-agency working and more effective and timely sharing of information. This is progressing and is currently at trial stage with leads identified from all key agencies.

Similarly, both East Lothian and Midlothian have outcomes aimed at improving SMART planning for children. There is a planned programme of evaluation commencing in September 2017 to identify areas of good practice and areas for further development. However SMART and effective safety planning is recognised below as an ongoing challenge within the area of child protection work.

#### **Challenges and priorities**

Neglect and domestic violence remains high on the agenda of the EMPPC as recognised areas that permeate across all sections of Public Protection and as areas that are extremely prevalent child protection issues across both East Lothian and Midlothian. The Learning and Development Strategy for 2018-2021 outlines plans for ongoing development and staff training in tackling neglect and domestic violence.

EMPPC recognise the importance of effective and SMART safety planning for children and this remains a priority for ongoing evaluation and improvement. Getting safety planning right is a challenge. There have been significant improvements made to Interim Safety Planning due to the ongoing work of the IRD Overview Group and most importantly the continual efforts of operational staff. Level 2 Child Protection Training has been revised and encourages the multi-agency work force to think about what is effective and SMART safety planning and how each agency can contribute.

"This course has consolidated my Child Protection knowledge. I feel confident contributing to a plan to help keep children safe!" Quote from attendee at child protection training course

There is a strong recognition across both Local Authorities and our Multi Agency Partners that we need to work alongside families to encourage them to be full participants in plans and decisions that affect them. East Lothian adopted Signs of Safety in 2014 as an approach to support partnership working with families and with an emphasis on safety for children. Development of this approach continues with a focus this year on self-evaluation of implementation progress and staff training, including partner agencies. Midlothian have undergone a complete re-structuring within Children's Services this past year and have been developing an Outcome focussed assessment, again aimed at improving child and family partnership. To support the service transformation all staff are undertaking training in Motivational Interviewing to upskill the workforce and improve service user engagement with Children's Services.

The Fife Child Protection Committee SCR report in respect of Child 'C' highlights the ongoing challenge of producing Integrated Multi-agency Chronologies in child protection cases that focuses on significant events. The Child Protection Lead Officer is undertaking joint evaluations of integrated chronologies within East Lothian and Midlothian using measures identified as good practice by the Care Inspectorate and we have incorporated an additional measure looking to identify if:

The chronology / any-emerging patterns are analysed in the summary of the risk assessment report.

The above challenges and priorities are reported on via Quarterly reporting to the Performance and Quality Improvement sub-group and EMPPC who monitor progress and ensure improvements are achieved through clear structures and multi-agency working.

## 4) Violence Against Women and Girls

EMPPC has adopted the national definition of Violence Against Women and Girls (VAWG) from "Equally Safe: Scotland's strategy for preventing and eradicating violence against women and girls", which is:

"Gender Based Violence is a function of gender inequality, and abuse of male power and privilege. It takes the forms of actions that result in physical, sexual and psychological harm or suffering to women and children, or affront to their human dignity, including threats of such acts, coercion or arbitrary deprivation of liberty, whether occurring in public or private life. It is men who predominantly or exclusively carry out such violence, and women who are predominantly the victims of such violence"

VAWG encompasses but is not limited to the following:

- Physical, sexual and psychological violence occurring in the family (including children and young people);
- Sexual harassment, bullying and intimidation in any public or private space, including work;
- Commercial sexual exploitation, including prostitution, pornography and trafficking;
- Child sexual abuse, including familial sexual abuse, child sexual exploitation and online abuse;
- So called 'honour based' violence, including dowry related violence, female genital mutilation, forced and child marriages, 'honour' crimes.

Measure		2014/ 15	2015/ 16	2016/ 17
Number of incidents of Domestic	East	1,000	903	932
Abuse recorded by the Police	Mid	1,103	1,116	1,031
Number of victims referred to	East	-	69	106
Domestic Abuse Service Pathway	Mid	-	127	113
Number of victime referred to MADAC	East	170	202	85
Number of victims referred to MARAC	Mid	173	202	111
Number of actions to increase safety	East	F 2 0	702	343
offered at MARAC	Mid	539	793	324

#### <u>Key data</u>

#### **Current Themes**

#### Performance Framework

The Violence Against Women National Network is developing a national Performance Framework covering all aspects of VAWG as set out in Equally Safe, which will be completed in the autumn. Our VAWG Delivery Group participated in the second stage pilot, which has helped to contribute to the national discussion and also to build knowledge of new performance requirements, as a result we have already changed the way we evaluate the impact of training to include attitudinal change as well as knowledge and skills. This will be the basis for reviewing our local Performance Framework.

Taking forward the National Guidelines for VAWG Partnerships, we carried out a selfevaluation whose findings have informed the review of the VAWG Delivery Group Terms of Reference and the Membership and the updating of the Improvement Plan.

#### VAWG Services Review

The VAWG Services Review has been a major project for our partnership and engaged a significant amount of resource. It was initiated in April 2016 in recognition of the expansion of VAWG obligations over the last three years which included development of the MARAC function, the Domestic Abuse Referral Pathway and Domestic Abuse Advocacy Service (DAS). Whilst external funding is in place for the majority of DAS, these arrangements are time limited and require 'in kind' contributions.

In response to the lack of sustainability around funding, and the resulting impact on services, a decision was taken by CSOG to initiate a whole systems review of the Violence Against Women and Girls service provision with a view to establishing both co-ordinator roles into the total funding in future.

Of particular value in the review was the wide variety of focus groups from across all agencies, and particularly from service user groups.

A number of improvements were made including the establishment of both the VAWG coordinator post and the MARAC coordinator posts, and a streamlined contract for housing and support services for women and children affected by domestic abuse was awarded to Women's Aid, East and Midlothian, following a successful tender process. This new contract commenced on 1<sup>st</sup> July 2017. Gaps which were not addressed in the review were identified around prevention work, taking forward a trauma informed approach to services, the significantly increased demand for services, and working with perpetrators.

The outcome of this review was timely in terms of national developments, and puts both East Lothian council and Midlothian council in a strong position to deliver their responsibilities under the Scottish Government strategy, Equally Safe (COSLA 2016), the Violence Against Women and Girls Partnership Guidance, and any future statutory requirements.

Taking forward the recommendations:

- Recruitment is underway for the VAWG and the MARAC Coordinator posts;
- We have begun to address the gaps identified through additional actions in the VAWG and the Learning and Development Improvement Plans, which are mapped to actions in the Community Justice Local Outcome Improvement Plans in both areas.

#### Gender Based Violence in the Workplace Policy

A major new project had been the development of a Gender Based Violence in the Workplace Policy for Midlothian Council and East Lothian Council by a team of staff from both Councils and led by EMPPO. The policy is about to go through the Integrated Impact Assessment prior to consultation.

#### VAWG Prevention – first steps

We are developing an overall approach to the prevention of VAWG. In the short term we have worked with East Lothian Council Education Service in the development of the Relationships strand of the Health and Wellbeing Curriculum for Primary schools launched in August 2017; there is a commitment for work to begin on this in Midlothian. We have also integrated questions in the Citizen's Panels in both areas to establish a baseline of knowledge of and attitudes to VAWG.

#### Working with Perpetrators to change behaviour

We have identified a key gap in working with perpetrators of VAWG as currently the only service is the Caledonian Programme which is court mandated. Partner service providers within the VAWG Delivery Group and the VAWG Services Review have identified the pressing need to work with Perpetrators in order to sustainably improve the safety of women and girls and will also offer men and young men the opportunity to change their behaviour. As a first step we have completed the groundwork and secured funding to introduce the "Safe and Together – with the non-offending parent – Model" across children's services and involving relevant agencies, which we hope to launch early 2018.

"I just like to thank you and the whole team ...You have been diamonds. Domestic Abuse Service should never be stopped. There are guys out there who need help too and you are the people who can do it." Service user, Domestic Abuse Service

#### Domestic Abuse Service Pathway following a Police Incident / MARAC

In relation to partnership working to improve the safety of victims of Domestic Abuse we have consolidated the *"Domestic Abuse Service Pathway following a Police Incident"* (now in

its third year) which includes the Multi-Agency Risk Assessment Conference (MARAC) for very high risk victims.

Referrals to the Pathway are increasing as are the numbers of women being supported for Substance Misuse which is often co-occurring with domestic violence and the numbers of women moving on to Routes to Independence (personal development, life skills and employability skills, training, volunteering and employment).

The Pathway's specialist services: domestic abuse advisors, substance misuse and routes to independence are funded mainly through the five-year Big Lottery SMILE Project (Support for Maintain Independent Living Effectively) and the Scottish Government Equally Safe Fund.

"I am armed with more knowledge now as agencies were involved – Police, EDDACS and DAS. This lessened feelings of isolation and allowed me to recognise that his behaviour was not my fault.... Realised avenues to deal with this which I didn't know before." Service user, Domestic Abuse Service

Safe Lives observed both MARACs in spring 2017; the report was generally very positive and highlights areas of good practice, for example:

- Meetings were busy which is a positive reflection of the commitment of the agencies to address domestic abuse and increase victim/survivor safety through multi-agency working;
- Representative demonstrated a very good understanding of the dynamics of domestic abuse and there is clearly a strong working relationship between the IDAA and specialist services and other agencies outwith the MARAC;
- There is a national issue with health professionals non-attendance so it was good to see health professionals at East Lothian MARAC.

The report highlights a number of areas for improvement, which are consistent with the national trend. The improvement points will inform the work of the MARAC Steering Group.

#### Supporting survivors of Rape and Sexual Assault

Edinburgh Rape Crisis Centre operates two small-scale outreach support services for women and members of the transgender community who have experienced any form of sexual violence, whether recent or historic, including rape, sexual assault, childhood sexual abuse and commercial sexual violence (East Lothian 25 hrs/week and Midlothian 15 hrs/week). Support is provided across a network of locations across East Lothian and Midlothian in collaboration with WAEML, Police Scotland and Mayfield and Easthouses Development Trust. The services supported 52 survivors in East Lothian and 33 survivors in Midlothian and both have a 16 week waiting list. Funding is provided by NHS Lothian and both Councils, the Women's Fund for Scotland and ERCC donations.

> "I appreciate all the support you have given me... I feel like I've turned a page, I am moving on and I feel much better about myself." "S" service user, East Lothian & Midlothian Sexual Abuse Services

ERCC provides separate services for young people aged 12-18 affected by sexual abuse and exploitation through the STAR Project and also a specialist criminal justice advocacy project to support survivors who report to the police or engage with the justice process.

#### Improvement Plan

The Violence Against Women and Girls Improvement Plan 2015-18 is based on the priorities within the national Equally Safe Strategy and local action identified. The Improvement Plan has recently been updated significantly to take account of completed actions as well as new actions arising from national and local developments, for example:

- The developmental aspect of all the training actions has been completed so these have been transferred to the Learning and Development Action Plan; the active involvement of service users in service development and evaluation has been established;
- New actions were introduced to deliver the national guidelines for VAWG Partnerships e.g. development of the evidence base, introduction of self-assessment, performance framework development;
- New actions were introduced arising from the conclusions of the VAWG Services Review and the self-assessment.

#### **Challenges and priorities**

- 1) Action the learning and recommendations from the VAWG Services Review;
- 2) Establish the Safe and Together with the non-offending parent Model within children's and criminal justice services;
- 3) Set out the evidence base and demand for local essential services which support survivors of VAWG (and their children) from a trauma informed model, including Domestic Abuse and Rape and Sexual Assault and achieve sustainable resourcing;
- Increase referral rates to the Domestic Abuse Referral Pathway / MARAC following a Police Incident through awareness raising and training;
- **5)** Develop and deliver the VAWG Prevention Plan working in partnership with universal public services and third sector services;
- 6) Develop and deliver a local approach for working with Perpetrators of VAWG;
- **7)** Develop and deliver a local approach to Commercial Sexual Exploitation focussed on prevention and supporting survivors;
- 8) Develop and deliver a local approach to delivering the Edinburgh and Lothian interagency procedures to protect women and girls from Female Genital Mutilation and to preventing Forced Marriage.

## 5) Offender Management

#### <u>Key data</u>

As at 31<sup>st</sup> March 2017 there were 54 registered sex offenders (RSO) being managed under MAPPA in East Lothian and 52 in Midlothian – numbers are not changing significantly year on year. Of these 16 were subject to statutory supervision in East Lothian and 11 in Midlothian – again this is a snapshot from 31<sup>st</sup> March. In Midlothian there was one person charged with a further offence in each quarter in 2016/17 with the exception of quarter 3. These three charges resulted in the three Initial Case Review's mentioned below (please refer to *Learning from Case Reviews*). One individual was charged with a registration offence in quarter 3 in Midlothian and 2 people over the year were charged with other non-sexual offences.

#### **Current Themes**

#### Multi-agency Public Protection Arrangements (MAPPA) Extension

The MAPPA process was extended to violent offenders in March 2016. Within East Lothian, there have been no violent offenders managed under MAPPA in the community during 2016/17. However, in Midlothian there were several level 3 meetings in late 2016 and early 2017 about an individual who will be managed under the MAPPA extension in the event of release.

#### Women's Group Work Service – Midlothian Spring Service

The Spring service is relevant to Public Protection due to the number of women attending the service who have experience of childhood abuse and domestic violence. Many of these women are themselves seen as problematic by the Police and other services due to their challenging and sometimes intractable behaviour, often as a result of personality disorder.

The Spring service continues to develop in Midlothian. The Spring Social Worker is full time and over the past year women referred to Spring have had the benefit of a one to one with the worker if required. This often takes place before the woman comes along to Spring but can continue during her attendance.

The Spring service has worked with a one woman theatre company, Breeze Productions, in 2016/17 and Naomi Breeze carried out a number of drama sessions with the Spring women, aimed at building confidence and encouraging self-expression.

In order to support the stability of the service, the Spring Team Leader and Social Worker are shortly to move on to two year contracts.

#### Women's Group Work Service – East Lothian Connect Service

The Connect Group is based in Prestonpans. Referrals come from a variety of sources including Criminal Justice, Adult Services, Children's Services, Substance Misuse Services,

Midlothian and East Lothian Drugs (MELD), STRiVE and Venture Trust. Workers use the Steeping Stones group work which is cognitive behavioural therapy based, and looks at topics such as understanding our emotions, the impact of offending, solving problems, assertiveness and communication. Afternoon sessions have developed during this year with successful links being made with a variety of community resources. I Initially, the majority of referrals came from Criminal Justice workers. However, this has now been surpassed by referrals from other agencies. Consequently, addressing vulnerabilities and improving selfconfidence are now major goals within the group.

With regard to the closure of Cornton Vale Prison and subsequent redesign of the custodial estate for female prisoners, the Scottish Government has announced that none of the planned small custodial units will be located in East Lothian or Midlothian.

#### Learning from Case Reviews

#### MAPPA Operational Group (MOG)

The MOG meets quarterly and considers all Initial and Significant Case Reviews across the Lothian and Borders area. The Lothian and Borders Strategic Oversight Group then have the final sign off for recommendations resulting from these reviews. There has been an increase in the number of Initial Case Reviews (ICR) as the 2016 MAPPA Guidance changed the parameters for ICRs to include convictions for any sexual offence, whereas previously offences had to be of a certain level of seriousness.

#### Improvement Plan

#### Joint Thematic Review

The Improvement Plan for Offender Management was reviewed in 2016/17. The measures in the plan are also being reported to the Public Protection Performance and Quality Improvement sub-group. The MAPPA Co-ordination Unit developed an action plan relating to the areas for development identified in the Joint Thematic Review. This action plan has also now been reviewed and signed off by the Lothian and Borders Strategic Officers Group.

One action in the plan is to ensure that all relevant Criminal Justice Social Workers attend the RMA Risk Practice course. This has been a challenge as there have been long gaps between courses in this national training. However, four members of staff have been booked into upcoming training and this will result in all relevant staff being training in Midlothian. Within East Lothian, there are 2 relatively new qualified workers who have yet to be put forward for this training. It is expected that they will be able to access training either later this year or early 2018.

#### <u>ViSOR</u>

Access to ViSOR for Criminal Justice Social Work remains an ongoing issue. There have been numerous meetings about this, locally and nationally. In Midlothian all Criminal Justice

Social Workers and team leaders previously trained to use ViSOR are still using it, although at some point they will be 'locked out' as they have not undergone the vetting. There is no date for this happening yet. There is consideration being given to employing a business support worker across East Lothian and Midlothian to input ViSOR data. In Midlothian new adverts for Criminal Justice Social Workers include the requirement for vetting. Meetings have taken place with Human Resources and the Unions but affected workers remain unhappy about the perceived intrusiveness of the vetting process.

The picture in East Lothian is mixed. Half of the team are able to access Visor due to being previously trained in its use. However, the newer members of the team have not been able to access any training. East Lothian CJS have met with HR and the Unions and we have agreed not to proceed with any requirement to be vetted at the enhanced level at this time.

#### **Challenges and priorities**

#### New Structure for Community Justice in Scotland

The new structure for Community Justice came out of the shadow year and was fully established in April 2017. Each local authority was required to submit its first Community Justice Outcomes Improvement Plan to Community Justice Scotland by the end of March 2017. The plans were also made public at this time.

The Chief Executive of Community Justice Scotland attended the Midlothian Community Safety and Justice partnership meeting in March 2017 and an interesting discussion took place about the future of Community Justice in Scotland and the close ties between Community Justice and social justice issues. Karyn McCluskey, Chief Executive visited East Lothian in July 2017 where there was a mix of EL staff and statutory partners round the table. This meeting allowed Karyn to update us on Community Justice Scotland and the vision/challenges we will face as we go forward with the Community Justice agenda. One challenge is to maintain the focus on Community Justice, particularly within services that have not traditionally seen themselves as having a role in this arena. The issue of how to communicate with the public about Community Justice and include local communities in decisions about the priorities for reducing offending and reoffending in their areas is also important. The Communications Plans in both East Lothian and Midlothian are being revised to reflect this better and various options are being progressed, such as meetings with tenants' groups.

#### MAPPA Operations

The MAPPA Operational Group continues to meet quarterly at Fettes Police Station. This group reviews all ICRs as does the Offender Management Group. There were three MAPPA ICRs in Midlothian in 2016/17. One related to an RSO on a Community Payback Order charged with a further sexual offence, which did not lead to a conviction. The other two were Police only cases and did lead to conviction. One individual was sentenced to three years imprisonment and the other was made the subject of a Community Payback Order. It

was not felt that any of the three cases needed to progress to a Significant Case Review (SCR). This decision was ratified by the Lothian and Borders Strategic Oversight Group.

There have been no ICRs in East Lothian during this time.

A file audit of East Lothian and Midlothian MAPPA cases was carried out on 19<sup>th</sup> January 2017. The findings from the audit were then discussed at the Offender Management Group.

At the time of writing the first individual to be managed under the MAPPA extension has just been released from prison.

6)	Learning	and I	Devel	opment
Υ <b>J</b>	2001			pmone

	Measure	Q1 2016/ 17	Q2 2016/ 17	Q3 2016/ 17	Q4 2016/ 17
Adult	Number of courses held	7	6	9	7
Support and Protection	Number of attendees	205	169	147	68
Child	Number of courses held	6	3	4	5
Protection	Number of attendees	102	100	76	58
Violence	Number of courses held	-	1	1	5
Against Women and Girls	Number of attendees	-	24	20	76
Public	Number of courses held	-	-	-	1
Protection	Number of attendees	-	-	-	117

For the year 2016/17 the East Lothian and Midlothian Public Protection Office (EMPPO) has organised / co-delivered a total of 62 training events (please refer to <u>appendix 3</u>) across child protection, violence against women and girls and adult support and protection to ensure the aims of the learning and development strategy are implemented. This is a 43% increase in the number of training courses delivered from last year (2015/16).

The strategy aims to promote:

- A range and variety of approaches: recognising the need to be inclusive and to recognise different systems, styles and staffing requirements;
- A pragmatic approach where the required knowledge is accessed via learning that is relevant, meaningful and accessible, and the content is proportionate to the requirements of the workforce;
- > Empowerment: participants will be provided with information,
- > guidance and support to meet their own identified learning and development needs;
- To encourage sharing good practice and establishing a common language;
- Quality assurance processes to identify the impact of learning and development and the overall effectiveness of the learning on outcomes for children, adults and their families.

#### Update from previous annual report (2015/16)

The EMPPC hosted a one-day multiagency conference to share and explore local learning from Initial and Significant Case Reviews across child protection and adult support and protection. Over 95 professionals from a variety of agencies attended. Shakti was commissioned to deliver 4 cohorts

"A very well structured and paced course. Highlighted key areas for consideration. Support material relevant and useful" Course participant (May 2017)

of harmful practices which included female genital mutilation (FGM), forced marriage and honour based violence. A pilot of the sexual exploitation risk assessment framework (SERAF) tool which equips frontline practitioners with the skills and knowledge required has been delivered.

There has been training on the interaction of the three acts (adult support and protection act, adults with incapacity act and the mental health care and treatment act) and training on assessing the risk of harm and management of risk for adult support and protection. From May 2016 the Public Protection Office has asked training attendees to indicate their knowledge before and after training events via evaluation sheets.

#### **Current Themes**

- Training for all public protection sectors will continue to be delivered widely across agencies and revised as necessary giving due consideration to participant feedback and national developments;
- As of 2017 the EMPPO has asked training attendees to indicate the impact from attending training events via evaluation sheets. From 2017/18 the annual report will include data on the level of knowledge prior to attending training and after along with the impact from attending the training;
- A policy paper is in development to explore how the EMPPC can deliver public protection awareness raising for all Council employees across the two local authority areas. There are numerous delivery methods to consider including staff induction, elearning modules or training for trainers to allow individual departments to coordinate and deliver the material. EMPPC will collate the details of those who have completed the training to ensure it is being accessed widely, to seek relevant feedback and to identify any gaps in provision.

#### National and Local Initiatives

 The Public Protection Learning and Development Co-ordinator and Violence Against Women and Girls Co-ordinator have been supporting "Enjoyed the input. Good narration and use of examples to illustrate the learning points" Course participant (December 2016) the development of the health and wellbeing curriculum for pupils (primary 4 to senior 4);

- Child sexual exploitation awareness sessions have been conducted across East Lothian and Midlothian schools for Head Teachers and Chairs of parent councils;
- The development of the EMPPO Learning and Development Strategy 2018-2021 is underway with the 'golden thread' of trauma informed practice running throughout the training we offer. Our strategy will have one overall strategic goal and six sub goals.

#### **Challenges and priorities**

- Streamlining of the training courses we offer due to increased workloads for operational staff;
- Refresher training at various levels for identified staff groups;
- Agreement and dissemination of the EMPPO Learning and Development Strategy 2018-2021, including the overall strategic goal and six sub goals and outcomes;
- Public protection awareness raising for all employees across the two local authority areas;
- Re-establish the online safety working group across both local authorities and include adults at risk of harm as well as children and young people.

## **Appendix 1**

# East Lothian and Midlothian Public Protection Committee membership

- > Anne Neilson (Chair) Director of Public Protection, NHS Lothian;
- > John Peaston (vice-chair) Detective Chief Inspector, 'J' Division, Police Scotland;
- Alison Macdonald Head of Older People and Access, East Lothian Health and Social Care Partnership;
- Alison White Head of Adults, Midlothian Health and Social Care Partnership / Midlothian Chief Social Work Officer;
- Allister Short Head of Primary Care and Older People's Services, Midlothian Health and Social Care Partnership;
- > Andrew Sheridan Schools Group Manager (ASN), Education, Midlothian Council;
- Charlotte Kirk Consultant Paediatrician, NHS Lothian;
- > Douglas Proudfoot Head of Service (Development), East Lothian Council;
- Fiona Duncan Group Service Manager (Statutory Services Adults), ELHSCP / East Lothian Chief Social Work Officer;
- Fiona Robertson Head of Education, East Lothian Council;
- > Joan Tranent Head of Children's Services, Midlothian Council;
- Julie Watson Operations Manager, Women's Aid East and Midlothian;
- Kevin Anderson Head of Customer and Housing Services, Midlothian Council;
- Lesley Siewert Locality Reporter Manager (Midlothian), Scottish Children's Reporter Administration;
- Lindsay Logie Consultant and Lead Paediatrician for Child Protection, NHS Lothian;
- Paul Mulvanny Locality Reporter Manager (East Lothian), Scottish Children's Reporter Administration;

- Sharon Saunders Head of Children and Adult Services, East Lothian Health and Social Care Partnership;
- Steve Gourlay Group Manager, Scottish Fire and Rescue Service;
- Trish Leddy Group Service Manager (Rehabilitation and Access), Adult Services, East Lothian Health and Social Care Partnership;
- > Anne Thompson Team Manager, East Lothian and Midlothian Public Protection Office;
- Denice Lilley Adult Support and Protection Lead Officer, East Lothian and Midlothian Public Protection Office (ex-officio);
- Leigh Taylor Child Protection Lead Officer, East Lothian and Midlothian Public Protection Office (ex-officio);
- Veronica Campanile Violence Against Women and Girls Co-ordinator, East Lothian and Midlothian Public Protection Office (ex-officio).

## Appendix 2

## **Financial Year End Budget Report 2016/2017**

	Projected	Actual	Projected	Projected
Staff costs	2016/17	2016/17	2017/18	2018/19
Public Protection Team Manager	£61,320.00	£64,016.98	£63,832.00	£66,338.00
Child Protection Lead Officer	£59,187.00	£43,982.20	£61,008.00	£61,593.00
Adult Support and Protection Lead Officer	£57,794.00	£59,066.64	£58,365.00	£58,941.00
Training Officer	£46,089.00	£45,050.14	£47,916.00	£49,932.00
Senior Business Support Administrator	£31,705.00	£31,154.63	£32,668.00	£32,794.00
Business Support Administrator	£30,636.00	£31,092.26	£30,943.00	£31,252.00
SWITCH Admin Cover	-	£5,732.45	-	-
Violence Against Women and Girls Co-ordinator	-	-	£47,262.00	£49,329.00
MARAC Co-ordinator	-	-	£21,944.33	£22,757.00
Shortfall in funding for MARAC Co-ordinator	-	-	£3,872.67	£4,279.00
Shortfall in funding for Domestic Abuse Advisor	-	_	£1,947.00	£2,527.00
Total	£286,731.00	£280,095.30	£369,758.00	£379,742.00

#### **Training**

Public Protection events & training	£10,000.00	£7,135.36	£6,480.00	£5,744.00
Catering	£250.00	£127.83	£250.00	£250.00
Total	£10,250.00	£7,263.19	£6,730.00	£5,994.00

#### Office running costs

Stationery (including printing costs)	£1,500.00	£455.49	£700.00	£700.00
Public Protection website	£250.00	£0.00	£250.00	£0.00
Communications (Blackberries)	£1,000.00	£1,148.13	£1,000.00	£1,000.00
Shred-It (Confidential waste)	£400.00	£425.94	£400.00	£400.00
IT equipment and running costs	£2,000.00	£1,021.61	£1,000.00	£1,000.00
Publications (journals, leaflets etc)	£1,000.00	£134.79	£500.00	£500.00
Central support	£3,000.00	-	_	-
Total	£9,150.00	£3,185.96	£3,850.00	£3,600.00

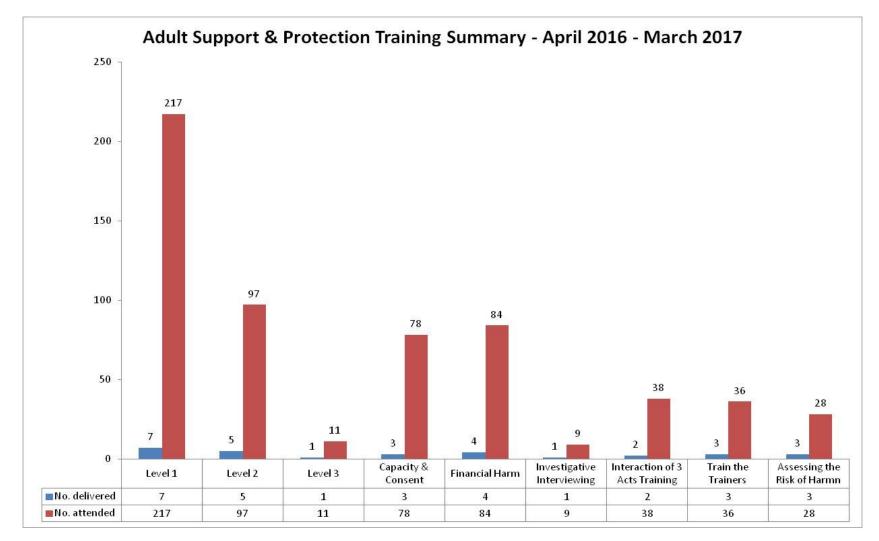
#### Accommodation and central support

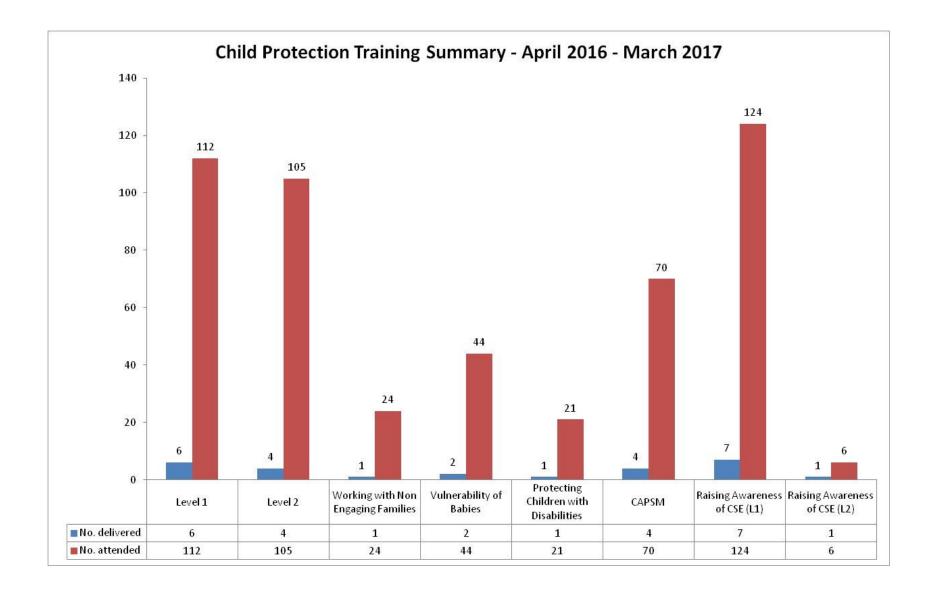
Shared accommodation costs	-	£28,744.00	£17,110.00	£17,110.00
Total	£0.00	£28,744.00	£17,110.00	£17,110.00

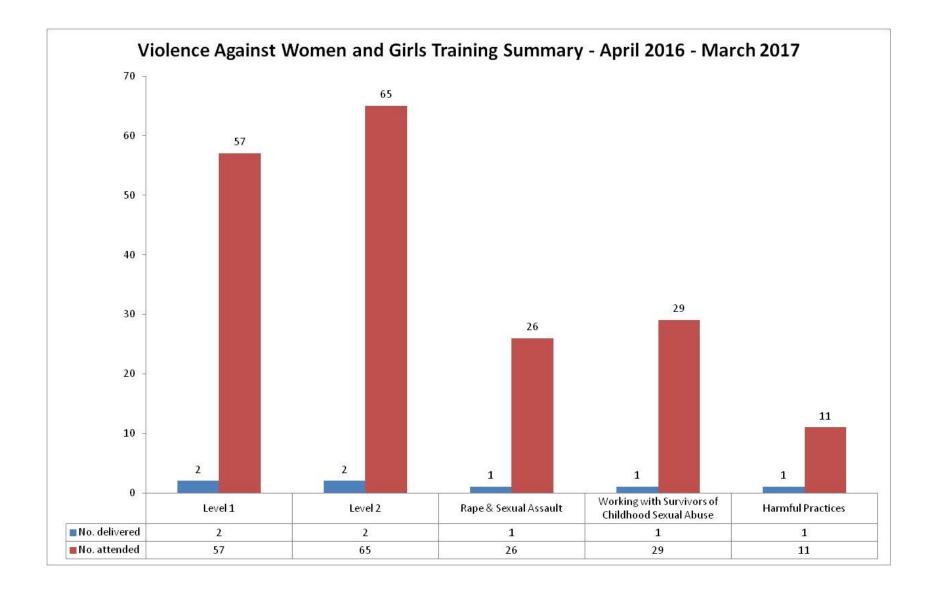
Grand Total £306,131.00 £319,288.45 £397,448.00 £406,446.00

## Appendix 3

## **Public Protection Training**







### Appendix 4 East Lothian and Midlothian Public Protection Team Contact Details

- Anne Thompson Team Manager <u>athompson2@eastlothian.gcsx.gov.uk</u> / 0131 653 5151;
- Leigh Taylor Child Protection Lead Officer <u>ltaylor@eastlothian.gcsx.gov.uk</u> / 0131 653 5155;
- Denice Lilley Adult Support and Protection Lead Officer <u>dlilley@eastlothian.gcsx.gov.uk</u> / 0131 653 5158;
- Veronica Campanile Violence Against Women and Girls Co-ordinator vcampanile@eastlothian.gcsx.gov.uk / 01620 827 475;
- Alison Porter Domestic Abuse Advisor <u>aporter@eastlothian.gcsx.gov.uk</u> / 0131 653 5153;
- Caroline Hall Domestic Abuse Advisor <u>chall3@eastlothian.gcsx.gov.uk</u> / 0131 653 5159;
- Lisa Dowie Domestic Abuse Adviser <u>ldowie@eastlothian.gcsx.gov.uk</u> / 0131 653 5164
- Mandy Rudden MARAC Coordinator <u>arudden@eastlothian.gcsx.gov.uk</u> / 0131 653 5156
- Neil Whettam Public Protection Learning and Development Co-ordinator <u>nwhettam1@eastlothian.gcsx.gov.uk</u> / 0131 653 5154;
- Andrew Main Senior Business Support Administrator <u>amain@eastlothian.gcsx.gov.uk</u> / 01875 824 093;
- Bernadette Stein Business Support Administrator <u>bstein@eastlothian.gcsx.gov.uk</u> / 0131 653 5152;

East Lothian and Midlothian Public Protection Office F28 Brunton Hall Ladywell Way Musselburgh EH21 6AF Tel: 0131 653 5150 E-mail: <u>emppo@eastlothian.gov.uk</u> Website: <u>www.emppc.org.uk</u>



### **UNISON's Ethical Care Charter**

Report by Allister Short, Joint Director Health and Social Care

### 1 Purpose of Report

To propose Midlothian sign-up to UNISON's Ethical Care Charter and work with UNISON to modernise the charter to reflect developments in the integration and coordination of services since 2012 and support strategic workforce planning.

### 2 Background

- 2.1 Following from a 2012 UNISON survey of care workers UNISON called for all councils to commit to becoming an Ethical Care Council by commissioning homecare services by adhering to a three stage approach described in UNISON's Ethical Care Charter (Appendix One). (*The writer understands Midlothian is the final local authority in Scotland to sign up to the charter.*)
- 2.2 The commissioning of homecare services in Midlothian has fully met the ethical care standards UNISON called for from councils and so there is no consequence from signing the existing charter.
- 2.3 The meeting and exceeding of the ethical care charter standards in Midlothian has not resulted in sufficient recruitment and retention of carers to meet the current or predicted demand for homecare services.
- 2.4 The movement towards outcomes focused commissioning of homecare services is captured within Midlothian's contracts with homecare providers. However, service providers in Midlothian are primarily focused on a time and task model of service delivery due to demand exceeding capacity whilst having a fairly static workforce pool.
- 2.5 The strategic model for homecare is integrated across Health, Social Care, third sector and communities. This means that a range of sectors and roles are part of providing homecare services beyond that captured in the existing charter.
- 2.6 The guidance for councils on adopting the charter suggests the convening of a review group with representation from providers, NHS and UNISON union representatives and commissioners as a mechanism to implement the charter.

### 3.0 Conclusion

The recommendation is for Midlothian to sign up to UNISON's existing ethical charter and propose a review group is established by UNISON to consider the update of the charter to reflect the current context and strategic plan for commissioning integrated homecare nationally and in Midlothian.

### 4 Report Implications

### 4.1 Resource

4.1.1 No additional resource is required as a result of signing the charter. If a review group is established by UNISON then resource from procurement and planning officer would be required within the remit of their function.

### 4.2 Risk

The risk of not signing the charter could portray Midlothian as not participating in ethical commissioning and this is absolutely not the case.

There has been significant disruption within commissioned care at home services this last year and the council could be challenged on the impact of being the only local authority in Scotland not to have signed the charter.

The recent Care Inspectorate inspection of the in-house service graded leadership and management of the service as 'weak'. Again, this could be viewed as the council not valuing the homecare workforce at a time when the council is planning and making considerable change to improve equality and quality in delivering homecare services.

### 4.3 Policy

### Strategy

The commissioning of homecare services is changing and a strategic remodelling of homecare services to include third sector, health and social care in partnership with unpaid carers and cared for, is underway.

### Consultation

No consultation is required in order to sign the charter. However, a homecare workforce consultation is being scheduled to follow the Consultation would commence should UNISON establish a national or local charter review group.

### Equalities

An Equalities Impact Assessment has been circulated to Members.

### Sustainability

The proposal supports the strategic planning and commissioning of sustainable services.

### 5 IT Issues

There are no IT issues arising from this report.

### 6 Recommendations

Council is asked to support the recommendation that Midlothian signs up to UNISON's Ethical care charter for the commissioning of homecare services.

Council is further asked to recommend to UNISON that UNISON consider establishing a group to review the existing charter.

The review group consisting of national representatives from NHS, UNISON, third sector representation, home care providers, carers, cared for and councils as commissioners of homecare services.

### 6th December 2017

Report Contact: Brian Paris brian.paris@midlothian.gov.uk

Tel No 0131 271 3752

### **Appendix One**

UNISON's Ethical care charter for commissioning of homecare services

Accessible via hyperlink:

https://www.unison.org.uk/content/uploads/2013/11/On-line-Catalogue220142.pdf



# UNISON's ethical care charter



Page 547 of 558

## Contents

Introduction 1	
Key findings 2	
Ethical care councils4	
Ethical care charter for the commissioning of homecare services 5	
Guidance for councils and other providers on adopting the charter	

UNISON's ethical care charter

## Introduction

A number of reports from client organisations, consumer groups, and homecare providers have recently been produced which have been highly critical of the state of homecare services in the UK. Little consideration however has been given to the views of homecare workers themselves as to why there are so many problems in this sector.

UNISON, the largest public service union, conducted a survey of homecare workers entitled "Time to Care" to help address this imbalance and to illustrate the reality of homecare work. The online survey which was open to homecare workers who were either UNISON members or non-members attracted 431 responses between June and July of 2012.

The responses showed a committed but poorly paid and treated workforce which is doing its best to maintain good levels of quality care in a system that is in crisis. The report highlights how poor terms and conditions for workers can help contribute towards lower standards of care for people in receipt of homecare services.

## **Key findings**

- 79.1% of respondents reported that their work schedule is arranged in such a way that they either have to rush their work or leave a client early to get to their next visit on time. This practice of 'call cramming', where homecare workers are routinely given too many visits too close together, means clients can find themselves not getting the service they are entitled to. Homecare workers are often forced to rush their work or leave early. Those workers who refuse to leave early and stay to provide the level of care they believe is necessary, also lose out as it means they end up working for free in their own time.
- 56% of respondents received between the national minimum wage of £6.08 an hour at the time of the survey and £8 an hour. The majority of respondents did not receive set wages making it hard to plan and budget. Very low pay means a high level of staff turnover as workers cannot afford to stay in the sector. Clients therefore have to suffer a succession of new care staff.
- 57.8% of respondents were not paid for their travelling time between visits.
   As well as being potentially a breach of the minimum wage law, this practice eats away at homecare workers' already low pay.
- Over half the respondents reported that their terms and conditions had worsened over the last year, providing further evidence of the race to the bottom mentality in the provision of homecare services.

56.1% – had their pay made worse59.7% – had their hours adversely changed52.1% – had been given more duties

- 36.7% of respondents reported that they were often allocated different clients affecting care continuity and the ability of clients to form relationships with their care workers. This is crucial, especially for people with such conditions as dementia.
- Whilst the vast majority of respondents had a clearly defined way of reporting concerns about their clients' wellbeing, 52.3% reported that these concerns were only sometimes acted on, highlighting a major potential safeguarding problem.
- Only 43.7% of respondents see fellow homecare workers on a daily basis at work. This isolation is not good for morale and impacts on the ability to learn and develop in the role.
- 41.1% are not given specialist training to deal with their clients specific medical needs, such as dementia and stroke related conditions.

The written responses to our survey paint a disturbing picture of a system in which the ability to provide some companionship and conversation to often lonely and isolated clients is being stripped away. Some recounted the shame of providing rushed and insufficient levels of care because of the terms and conditions of their job, whilst many detailed insufficient levels of training that they had been given to carry out the role. Others made the point that rushed visits are a false economy leading to a greater likelihood of falls, medication errors and deterioration through loneliness.

However the survey also showed the selflessness and bravery of homecare workers who, to their own personal cost, refused to accept the imposition of outrageously short visits and worked in their own time to ensure that their clients received good levels of care. Some homecare workers were doing tasks and errands for their clients in their spare time, despite the seemingly best efforts of the current care model to strip away any sense of personal warmth or humanity.

Homecare workers are personally propping up a deteriorating system of adult social care, but they are being pushed to breaking point. That they are still willing to deliver good levels of care in spite of the system is nothing short of heroic. For the system to work it needs to be underpinned by adequate funding and a workforce whose terms and conditions reflect the respect and value they deserve. Crucially they must be given the time to care. <sup>44</sup> I never seem to have enough time for the human contact and care that these people deserve. <sup>33</sup>

<sup>66</sup> A lot of the people I care for, are old and lonely, they are not only in need of physical support, but they are also in need of company and someone to talk to. The times given to these people are the bare minimum to get the job done, no time for a chat, just in and out. <sup>99</sup>

<sup>66</sup> People are being failed by a system which does not recognise importance of person centred care. <sup>99</sup>

<sup>66</sup> We are poorly paid and undervalued except by the people we care for! <sup>99</sup>

**1** have worked as homecare worker for 15 years. Things have to change but not at the expensive of clients. It's appalling the care they receive now. **3** 

# **Ethical care councils**

In light of UNISON's findings, we are calling for councils to commit to becoming Ethical Care Councils by commissioning homecare services which adhere our Ethical Care Charter.

The over-riding objective behind the Charter is to establish a minimum baseline for the safety, quality and dignity of care by ensuring employment conditions which a) do not routinely shortchange clients and b) ensure the recruitment and retention of a more stable workforce through more sustainable pay, conditions and training levels. Rather than councils seeking to achieve savings by driving down the pay and conditions that have been the norm for council – employed staff, they should be using these as a benchmark against which to level up.

Councils will be asked to sign up to the Charter and UNISON will regularly publish the names of councils who do.

# Ethical care charter for the commissioning of homecare services

### Stage 1

- The starting point for commissioning of visits will be client need and not minutes or tasks. Workers will have the freedom to provide appropriate care and will be given time to talk to their clients
- The time allocated to visits will match the needs of the clients. In general, 15-minute visits will not be used as they undermine the dignity of the clients
- Homecare workers will be paid for their travel time, their travel costs and other necessary expenses such as mobile phones
- Visits will be scheduled so that homecare workers are not forced to rush their time with clients or leave their clients early to get to the next one on time
- Those homecare workers who are eligible must be paid statutory sick pay

### Stage 2

- Clients will be allocated the same homecare worker(s) wherever possible
- Zero hour contracts will not be used in place of permanent contracts
- Providers will have a clear and accountable procedure for following up staff concerns about their clients' wellbeing

- All homecare workers will be regularly trained to the necessary standard to provide a good service (at no cost to themselves and in work time)
- Homecare workers will be given the opportunity to regularly meet co-workers to share best practice and limit their isolation

### Stage 3

- All homecare workers will be paid at least the Living Wage (as of November 2013 it is currently £7.65 an hour for the whole of the UK apart from London. For London it is £8.80 an hour. The Living Wage will be calculated again in November 2014 and in each subsequent November). If Council employed homecare workers paid above this rate are outsourced it should be on the basis that the provider is required, and is funded, to maintain these pay levels throughout the contract
- All homecare workers will be covered by an occupational sick pay scheme to ensure that staff do not feel pressurised to work when they are ill in order to protect the welfare of their vulnerable clients.

# Guidance for councils and other providers on adopting the charter

# Seeking agreements with existing providers

- Convene a review group with representation from providers, local NHS and UNISON reps to work on a plan for adopting the charter – with an immediate commitment to stage 1 and a plan for adopting stages 2 & 3
- Start by securing agreement for a review of all visits which are under 30 minutes. The review will include getting views of the homecare workers and client (and/or their family) on how long the client actually needs for a visit and what their care package should be

#### Looking for savings

- 3. Are providers' rostering efficiently for example are there cases of workers travelling long distances to clients when there are more local workers who could take over these calls?
- 4. How much is staff turnover costing providers in recruitment and training costs?
- 5. How much are falls and hospital admissions amongst homecare clients costing the NHS and could some of these be prevented by longer calls and higher quality care?

- 6. Are there opportunities for economies of scale by providers collaborating around the delivery of training and networking/mentoring for workers?
- 7. Are there opportunities for collaboration between providers to achieve savings on procurement of mobile phones, uniforms and equipment for workers?

### The commissioning process

- UNISON's evidence, along with that of other bodies such as the UKHCA, shows that working conditions are intrinsically bound up with the quality of care.
- When councils are conducting service reviews and drawing up service improvement plans, the Charter will provide a helpful benchmark for ensuring service quality – whether for an improved in-house service or in relation to externally commissioned services.
- 3. Where a decision has been taken to commission homecare externally, identify how the elements of the charter will be included as service delivery processes, contract conditions or corporate objectives in the invitation to tender documents. It must explain how these are material to the quality of the service and achieving best value.

### Service monitoring

- Work with providers and trade unions to agree how service quality will be monitored and compliance with the Charter assured
- 2. Build regular surveys of homecare workers into this process to gain their views and consider establishing a homecare workers panel from across local providers who can provide feedback and ideas on care delivery

The provisions of this charter constitute minimum and not maximum standards. This charter should not be used to prevent providers of homecare services from exceeding these standards. UNISON has more than a million members delivering essential services to the public. Services that protect, enrich and change lives.

We want to see changes that put people before profit and public interest before private greed. Join our campaign to create a fairer society.

To find out more go to unison.org.uk/million

Join UNISON online today at unison.org.uk/join or call 0845 355 0845



Published and printed by UNISON, The UNISON Centre, 130 Euston Road London NW1 2AY unison.org.uk CU/NOV2013/22014/stock no: 3179

### Page 558 of 558