Notice of Meeting and Agenda

Midlothian Council

Venue: **Virtual Meeting,**

Date: **Tuesday, 28 June 2022**

Time: **11:00**

Executive Director : Place

Contact:
Clerk Name: Democratic Services
Clerk Telephone:
Clerk Email: democratic.services@midlothian.gov.uk

Further Information:

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

Privacy notice: Please note that this meeting may be recorded. The recording may be publicly available following the meeting. If you would like to know how Midlothian Council collects, uses and shares your personal information, please visit our website: www.Midlothian.gov.uk

9   Private Reports

9.1   Hopefield Economic Development Project report by Executive Director Place

- 6. Information relating to the financial or business affairs of any particular person (other than the authority).
- 8. The amount of any expenditure proposed to be incurred by the authority under any particular contract for the acquisition of property or the supply of goods or services.
- 9. Any terms proposed or to be proposed by or to the authority in the course of negotiations for a contract for the acquisition or disposal of property or the supply of goods or services.

9.2   Proposed Heads of Terms: Site of Beeslack Community High School Replacement at Easter Bush report by Head of Development

- 6. Information relating to the financial or business affairs of any particular person (other than the authority).
- 9. Any terms proposed or to be proposed by or to the authority in the course of negotiations for a contract for the acquisition or disposal of property or the supply of goods or services.

9.3   Cyber Security report by Chief Officer Corporate Solutions

10 Date of Next Meeting

The next meeting will be held on 23 August 2022

Midlothian Council Minute Volume

**Presented to the Meeting
of Midlothian Council
on Tuesday, 28 June 2022**

Action Log

Midlothian

No	Subject	Date	Action	Action Owner	Expected completion date	Comments
1	Minute action - prospective crematorium development.	16/11/2021	Scope potential suitable sites for prospective crematorium development.	Chief Officer Place	October 2022	Report to follow to Council in October.
2	Motion Amendment – Loanhead Football Club	16/11/2021	Update the Sports Needs Assessment from 2016 and report to future council meeting	Head of Adult Social Care/ Sport & Leisure Manager	TBC	Procurement completed and the contracted company are finalising the scoping element and have been working with the Scottish FA for team and club data, as well as priming key clubs for consultation. They have been organising specific site visits and/or face to face consultations.
3	Motion - Infrastructure	14/12/2021	Report to Council Strategic Investment Framework	Executive Director Place	TBC	Strategic Infrastructure Investment Framework has been commissioned and 1st Stage report completed and received. 2nd stage review has commenced and full

No	Subject	Date	Action	Action Owner	Expected completion date	Comments
						report shall be presented to Council when available.
4	Minute Action – Future Hybrid Meetings	14/12/2021	Updated Hybrid Meetings Report – Spring 2022	Chief Officer Corporate Solutions	June 2022	Council meeting on 24 May 2022 referred to a Short Life Working Group, with the scheduled to meet on 21 July, 2022.
5	Minute Action - CCTV	14/12/2021	To Provide a Report outlining an expansion of sites for CCTV	Chief Officer Place	March 2022	Work progressing with Police and report will be provided to October Council.
6	Minute Action – Improving Energy efficiency by tackling Dampness, Condensation and improving ventilation	15/02/2022	Provide a Report to Council

Additional Report –
Update on Current Housing Stock that will not meet Energy Efficiency Targets | Chief Officer Place | June 2022 | Work progressing. Report will be provided to August Council. |
| 7 | To make a contribution of £20,000 to the Disaster Emergencies Committee (DEC) | 29 March 2022 | Disaster Emergencies Committee (DEC) | Chief Officer Corporate Solutions | TBC | Contribution made to relevant charities after engagement with Group Leaders. |
| 8 | | | | | | |

Labour Group

<u>Notice of Motion</u>

The Council recognises the contribution that former Councillor (now deceased) ADAM MONTGOMERY made to both Lothian Region and Midlothian Council over many years of public service and seeks to commemorate his long standing record to Midlothian in general and to Penicuik in particular by renaming Penicuik Park to become known as MONTGOMERY PARK, and request that officers carry out the necessary actions to have the Park renamed.

Proposed By:
Councillor Willie McEwan

Seconded By:
Councillor Russell Imrie

Motion: Council to recognise Pride Month annually in June with the Progress Pride flag

The Council is asked to recognise Pride Month as a period of importance for many of the residents of Midlothian, and to symbolise the Council's commitment to the LGBTQI+ community, not only during the designated month of June, but in support throughout the whole year.

The Progress Pride flag, is a pride rainbow flag with an additional chevron design that reflects the colours of the Transgender Flag, while the brown and black stripes represent marginalized people of colour. The black stripe has a dual meaning, it also gives recognition to those lost to HIV/AIDS and those still living with the disease.

As a Council we have a duty to uphold the equality of these marginalised groups and a simple gesture, such as flying this flag, during the month of June will help solidify this pledge to all of our constituents that are part of the LGBTQI+ community.

The national flag mandates for national holidays will still be observed throughout June, but the default flag around these events in June would become the Progress Pride flag.

Proposer

Cllr Connor McManus

Ward 1 – Penicuik

Seconder

Cllr Kelly Drummond

Ward 6 – Midlothian South

Cost of Living Crisis Task Force

Report by Dr Grace Vickers Chief Executive

Report for Decision

Recommendations

Midlothian Council is recommended to:

(i) Note the report, Appendix 1, which was submitted to the Midlothian Community Planning Partnership Board on 26 May 2022.

(ii) To establish a Cost of Living Task Force as outlined in Appendix 2

Purpose of Report/Executive Summary

The purpose of this report is to outline the Cost of Living Crisis facing our communities and the urgent requirement to form a Task Force.

Date: 9th June 2022
Report Contact: Rebekah Sullivan Community Planning Development Officer
Email: Rebekah.sullivan@midlothian.gov.uk

APPENDIX A – Additional Report Implications

A.1   Key Priorities within the Single Midlothian Plan
The proposed changes support the priorities of the SMP to reduce inequalities

A.2   Key Drivers for Change
Key drivers addressed in this report:

☒ Holistic Working
☒ Hub and Spoke
☒ Modern
☒ Sustainable
☐ Transformational
☒ Preventative
☐ Asset-based
☒ Continuous Improvement
☐ One size fits one
☐ None of the above

A.3   Key Delivery Streams
Key delivery streams addressed in this report:

☒ One Council Working with you, for you
☒ Preventative and Sustainable
☒ Efficient and Modern
☒ Innovative and Ambitious

A.4   Delivering Best Value
The Cost of Living task Force will assist in focusing targeted intervention which makes a difference to our communities most in need

A.5   Involving Communities and Other Stakeholders
The report has been endorsed by the Community Planning Partnership Board.

A.6   Impact on Performance and Outcomes
The Cost of Living task Force will assist in focusing targeted intervention which makes a difference to our communities most in need

A.7   Adopting a Preventative Approach

The proposal will help prevent more families falling into poverty.

A.8   Supporting Sustainable Development

The proposed approach may have the potential to prevent more families falling into poverty.

Cost of Living Crisis Task Force

Date: 26th May 2022
Report Contact: Community Planning Partnership Board
Email: community.planning@midlothian.gov.uk

For Noting

Midlothian Council will consider the need to create a Cost of Living Crisis Task Force as a matter of urgency.

Background

The UK is currently facing an unprecedented storm of increasing prices, bills and tax.

Since late 2021 there has been a fall in UK household's disposable incomes due to a rise in prices which has led to a 'cost of living crisis'. The 40 year high inflation rate of 9% is the main driver of the cost of living crisis which has outstripped wage and benefit increases (Wilkes, 2022).
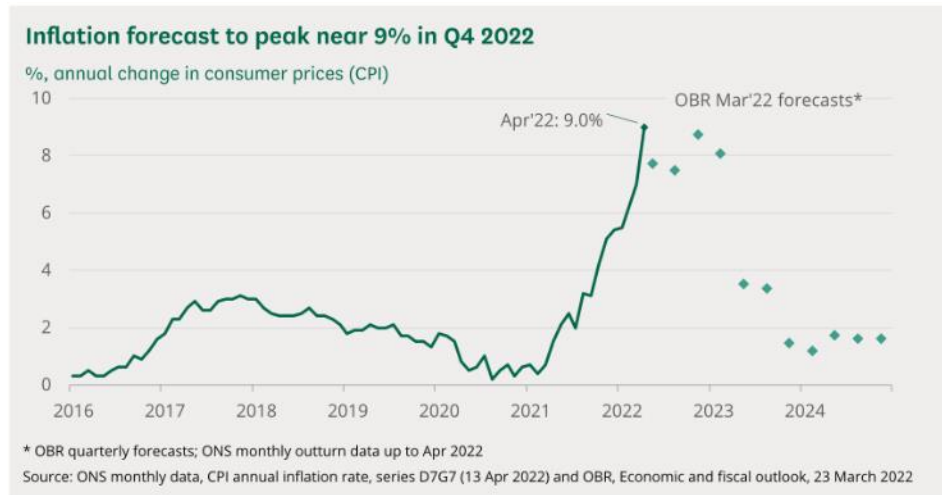
One key aspect of the 'cost of living crisis' is the rapid rise in energy costs. In the year to April 2022, domestic gas prices increased by 95% and electricity prices by 54%. Furthermore, on 1 April 2022 the new price cap came into force, leading to default tariffs increasing from £1,277 to up to £1,971 per year. Prepayment customers have seen an increase of £708 from £1,309 to up to £2,017. In May that the price cap is due to rise even further in October to £2,800 – pushing up the average bill by £800 (Wilson and Westwater 2022). This will mean that more households will be pushed into fuel poverty and those already experiencing fuel poverty will be pushed further.

There has been a recent announcement to provide financial support of £400 rebate on energy bills this October as part of a package of new measures to tackle soaring prices. This is to replace the £200 original energy bill discount scheme. The lowest income households will also get a payment of £650 to help with the cost of living. The chancellor also announced top-ups for those with additional support needs and those in receipt of a pension worth £150 and £300 respectively (BBC News, 2022).

Increases in food and drink prices are also exacerbating the 'cost of living crisis'. Food and non-alcoholic drink prices were 6.7% higher in the year to April 2022, which is up from 5.9% in March and the highest rate of increase since June 2011.

Food and drink price inflation rising since mid-2021
%, annual change in food & drink prices component of CPI

Source: ONS, Food and non-alcoholic drink component of CPI, series D7G8 [18 May 2022 update]

Several factors have led to food and drink price rises including supply chain challenges, rising wholesale costs and labour shortages. The Russian invasion of Ukraine has also affected food prices on international markets as both countries are important producer's agricultural products, for example wheat (Francis-Devine et al 2022).

The impact on households is already being noted with 87% of adults in the UK reported an increase in their cost of living in April 2022 (Office for National Statistics; Francis-Devine et al, 2022). The price rises will impact low-income households the hardest as a larger proportion of their bills are on energy and food. The Resolution Foundation estimates an extra 1.3 million people will fall into absolute poverty in 2023, including 500,000 children.

Role of a potential Task Force

The role of the Cost of Living Crisis Midlothian Task Force (CLCMTF) would be to

(i) conduct primary research into the impact Midlothian households are experiencing now and potential future impact from forecasted price rises.

(ii) identify and co-design interventions to mitigate the impacts of the crisis for Midlothian's households. The Task Force will work closely with local organisations to identify resources that can help those affected by rising living costs with practical assistance. They will also look at ways

to support households to maximise their incomes and reduce outgoings. This crisis is unprecedented and escalating at a significant rate and therefore needs a joined up immediate response to help those in need in our communities.

There will be a number of local people and families who for the first time find themselves in this position. We have a range of organisations both local and Midlothian wide, including food banks and energy advice, but the pressure on them will increase dramatically thus an exploration on support we can provide them is vital.

Therefore Midlothian Council will consider the need to establish a Cost of Living Crisis Task Force as a matter of urgency.

Sources

1. Giles Wilkes, 2022, Cost of living crisis | The Institute for Government
2. Wilson and Westwater 2022 Cost of living crisis: 5 ways prices have increased - and where to find help - The Big Issue
3. Francis-Devine et al. 2022 Rising cost of living in the UK - House of Commons Library (parliament.uk)
4. BBC News, 2022 Every household to get energy bill discounts of £400 this autumn - BBC News

Cost of Living Task Force – Membership and Terms of Reference

Membership

It is proposed that membership would comprise 5 Elected Members of the

Council with representation as follows: two from SNP, two from Labour and one from the Scottish Conservatives.

Terms of Reference

The Group will have a Chair from its composition determined by the membership of the Group. The Group will also include the members of the Council's Corporate Management Team and presentations can be called by relevant officers when required.

The Task force is responsible for:

• Seeking and Scrutinising local data relating to the Cost of Living Crisis

• Providing Officers with a political steer on the shaping of priorities to tackle the cost of living crisis.

• Reviewing, challenging and approving options for tackling the cost of living crisis for onward approval by Council.

• Providing advice and guidance to the Council regarding the cost of living crisis

The Cost of Living task force will normally meet on a monthly basis (subject to breaks for the summer recess, Christmas/New Year holidays and school holidays). The Council will decide on the schedule of meetings for the Cost of Living Task Force, usually on a rolling annual basis which will be published.

A special meeting can be called, at any time, by the chair giving detailed reasons for such a meeting.

The quorum for meetings of the Cost of Living Crisis Task Force will be 3 Councillors.

The Minutes of the Group will be recorded by the Officer clerking the meeting and submitted to the next ordinary meeting of the Task Force for approval.

Midlothian Council

The Single Midlothian Plan 2022/23 and Single Midlothian Plan H2 Performance Report (Half year October 2021 to March 2022)

Report by Dr G. Vickers, Chief Executive

Report for Noting

1 Recommendations

The Community Planning Partnership Board would like Council to note the excellent partnership working which has produced the Single Midlothian Plan 2022/23, with a key focus to work with communities to secure improved outcomes and reduce poverty. In addition the community planning partnership would like you to note the H2 Performance Report 21/22 (October 2021 to March 2022), which highlights progress on indicators and actions in H2.

2 Purpose of Report/Executive Summary

The purpose of this report is to draw to elected members attention to the Single Midlothian Plan 2022/23 and the H2 performance report of Midlothian Community Planning Partnership. It is a statutory duty for the partnership to publish Local Outcome Improvement Plan and associated performance reports.

Date: 7th June 2022
Report Contact: Annette Lang, Group Service Manager (CPP & CLLE)
Email: annette.lang@midlothian.gov.uk

3   Background

3.1   Part 2 of the Community Empowerment Act 2015 sets out clear expectations for what the purpose of community planning is, and how it is to operate.

3.2   Statutory Guidance flowing from the 2015 Act makes clear that community planning is about "how public bodies work together and with the local community to plan for, resource and provide or secure the provision of services which improve local outcomes in a local authority area, with a view to reducing inequalities".

3.3   **The 2015 Act specifically requires CPPs to:**

• prepare and publish a local outcomes improvement plan (LOIP) which sets out the local outcomes which the CPP will prioritise for improvement

• identify smaller areas within the local authority area which experience
the poorest outcomes, and prepare and publish locality plans to improve outcomes on agreed priorities for these communities (the outcomes prioritised for improvement in a locality plan may differ from those in the local outcomes improvement plan). In Midlothian these areas have been defined by the CPP as the areas of Mayfield/Easthouses, Gorebridge and Dalkeith Central/Woodburn communities. We are currently reviewing how we will work with communities going forward to address reduce inequalities and increase financial wellbeing.
• review and report publicly on progress towards their LOIP and locality plans, and keep the continued suitability of these plans under review.

3.4   The CPP Board has an established annual planning and performance cycle which culminates in approval of its annual performance reports.

3.5   The Council agreed in 2013 to adopt the partnership's shared plan as the strategic plan for the Council. This reduced the number of strategic planning documents in place at that time from 3 to 1 and committed the Council as a core partner to the shared goals of the CPP Board, chaired by the Council leader. All Council service plans are now expected to show connections to this strategic plan, known as the "Single Midlothian Plan", which meets the statutory requirement for a local outcomes improvement plan for Midlothian.

3.6   The Community Empowerment Act's statutory guidance requires CPP's to set 3 year outcomes and to show one year measurable actions towards these. The top priorities of the Single Midlothian Plan (SMP) for the period 2022-23 are:

•   Individuals and communities have improved health and learning outcomes
•   No child or household living in poverty
•   Progress is made towards net zero carbon emissions

3.7   The SMP encompasses 5 themes of work, identified through public engagement as main areas in which the public expected partners to make improvements. These are summarised as Adult Health and Care,Community Safety, Sustainable Growth, Improving Opportunities and Getting it Right for every Child. Performance against the outcomes in each of these areas is set out in the attached H2 Performance Report (Half year October 2021 to March 2022) which has been approved by the Community Planning Partnership Board at its meeting on 9th June 2022 for H2 (October 2021 to March 2022).

1

4. Next Steps

The Community Planning Partnership in Midlothian in 2022 is looking at moving towards a 5 year plan (1+4 year plan) to co-inside with Midlothian Council and other stakeholder's strategies and plans.

The Community Planning Partnership through its thematic leads will be consulting on how the 5 year plan would be shaped and what our shared top priorities would be and associated actions. These will be the focus of the Community Planning Collaboration Day on 8th November 2022.

5 Report Implications (Resource, Digital and Risk)

5.1 Resource

The planning cycle of the SMP provides information for resource planning processes, with priority actions being agreed in November each year with the explicit intention of influencing the budget setting of partners, including the Council, over the period of the Single Midlothian Plan.

5.2 Digital

We have recently established an interactive scorecard for community planning to support performance reporting. In addition a film has been produced on the impact of community planning in Midlothian in association with the thematic leads. The film can be viewed at:

https://youtu.be/H9CpFtqiFsU

5.3 Risk

Failure to publicly produce or report progress against the SMP is a breach of law.
The Council is a core partner in the community planning partnership and, failure to produce a Local Outcome Improvement Plan (Single Midlothian Plan) and associated reporting of progress would therefore also impact negatively on the Council's performance management and responsibility to communities.

5.4 Ensuring Equalities (if required a separate IIA must be completed)

The SMP is subject to an equality impact assessment process. Key
Priorities established by the partnership focus on reducing inequalities.

5.5 Additional Report Implications

APPENDIX A - Report Implications
APPENDIX B - Single Midlothian Plan 2022/23
APPENDIX C - Single Midlothian Plan Performance Reporting Scorecard
APPENDIX C - Single Midlothian Plan Performance Reporting Scorecard
APPENDIX D – Single Midlothian Plan Integrated Impact Assessment

2

APPENDIX A – Report Implications

A.1   Key Priorities within the Single Midlothian Plan

All Single Midlothian Plan Priorities

A.2   Key Drivers for Change

Key drivers addressed in this report:

☒ Holistic Working
☒ Hub and Spoke
☒ Modern
☒ Sustainable
☒ Transformational
☒ Preventative
☒ Asset-based
☒ Continuous Improvement
☒ One size fits one
☐ None of the above

A.3   Key Delivery Streams

Key delivery streams addressed in this report:

☒ One Council Working with you, for you
☒ Preventative and Sustainable
☒ Efficient and Modern
☒ Innovative and Ambitious
☐ None of the above

A.4   Involving Communities and Other Stakeholders

The core of community planning is partnership working, both between agencies in the public, private and voluntary sector and with the communities of place and interest that make up Midlothian. The publication of the Single Midlothian Plan and performance reports is an essential part of engaging citizens, as well as demonstrating collective accountability amongst the partners.

The Midlothian Community Planning Partnership Conference, took place in November 2021, with a focus on People, Place, Planet and Wellbeing. The conference also considered the updated Midlothian Profile, Strategic Analysis and Citizen Panel survey results which will inform the Single Midlothian Plan for 22/23. The partnership will be actively engaging with communities in 22/23 to consider if and how we can develop Community Wealth Plans in Midlothian and the future 5 year plan (1+4).

We will also be working with the Improvement Service, local communities and partners in 2022 to appraise the work and arrangements for community planning and areas for focussed attention going forward.

3

A.5   Impact on Performance and Outcomes

Performance is tracked using the "Pentana" performance management software system. This system is used by over 50% of Scottish Local Councils. A scorecard has recently been developed for the Single Midlothian Plan and the indicator and actions are reflected in the scorecard approach for H2 (21/22) and are noted in appendix C.

A.6   Adopting a Preventative Approach

The CPP is committed to adopting a 'Preventive approach'. Preventive work takes place at a variety of levels including universal and targeted. Partnership work throughout 2022 has focused on key preventative areas for work for example young people's mental health, community resilience and more recently in terms of climate change. The main focus going forward overall will be reducing poverty and supporting those most affected by the cost of living crisis.

A.7   Supporting Sustainable Development

The theme of sustainable growth commits the CPP to achieving a balance between economic growth, environmental sustainability and meeting housing demand whilst protecting the planet. This connects physical development planning and community planning ambitions. Given the scale of physical development taking place and planned , this theme presents a significant challenge to all partner agencies to ensure new and established communities connect, services, facilities and employment opportunities keep pace with population growth and the natural environment is protected and enhanced .

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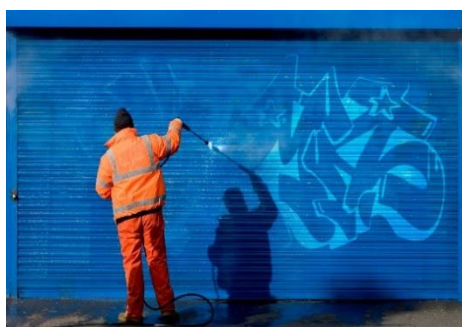
Single Midlothian Plan 2022-23

Community Planning Partnership

5

Contents

6

Our Vision

By working together as a Community Planning Partnership, individuals and communities will be able to lead healthier, safer, greener and successful lives by 2030. No child or household need live in poverty. Midlothian will be a Great Green Place to Grow by achieving our net zero carbon ambitions.

Who we are

Community Planning is a way of working together to best use all of the available resources to improve people's lives. Key organisations, both statutory and third sector, work together, with communities to plan services that will deliver better outcomes for people.

In Midlothian our Community Planning Partnership makes sure people are involved in the decisions made on public services that affect them. Organisations work together to provide better public services.

Our Community Planning Partnership is led by the Community Planning Board. A number of organisations sit on the Board including:

- Police Scotland
- Edinburgh College
- East and Mid Lothian Chamber of Commerce
- NHS Lothian
- Newbattle Abbey College
- Midlothian Federation of Community Councils
- Ministry of Defence
- Federation of Small Businesses
- Department Working Pensions
- Skills Development Scotland
- Sestran (South East Scotland Transport Partnership)
- Scotent (Scottish Enterprise)
- Third Sector Strategic Interface/Midlothian Voluntary Action
- Scottish Fire and Rescue Service
- Representatives of Community Planning Working Group, Chief Officers' Group, Research, and Information Group and Faith Communities Partnership.

7

How we work together:

Armed Forces Community Covenant

Faith Communities Partnership

Poverty Prevention

Research & Information

Neighbourhood Planning

Priority Areas

Community Planning Working Group
Reports to Community Planning Partnership Board

Health & Social Care

Community Safety & Justice

Getting it Right for Every Child

Improving Opportunities

Sustainable Growth

Health and Social Care	Community Safety & Justice	Getting it Right for Every Child	Improving Opportunities	Sustainable Growth
Groups:	**Groups:**	**Groups:**	**Groups:**	**Groups**:
MELDAP (Midlothian and East Lothian Drug and Alcohol Partnership)	Community Safety Delivery	Additional Support Needs	Child Poverty	Economy
Older People	Community Justice	Early Years & Childcare	Employability & Learning	Biodiversity
Mental Health	Tactical & Coordination	Vulnerable Children & Young People	Midlothian Financial Inclusion Network	Tourism
Learning Disability	Anti Social Behaviour and Offending	Mental Health & Wellbeing	Developing Midlothian's Young Workforce	Penicuik TSI
Physical Disability	MIDSAFE	Public Protection Committee	Youth Partners	Access Forum
Carers	Road Safety	Parenting & Family Support Group	Health Improvement Partnership	Housing Strategy & Homeless Review
Palliative Care	Youth Justice	Voluntary Sector Youth & Children	Voluntary Sector	Housing Associations
	MELDAP		Social Enterprise Action	Fair Trade
	Violence against women		Midlothian Federation of Community Councils	Green Network
	Public Protection Committee			Small and Large businesses
	Offender Management			Edinburgh Science Zone
				Easter Bush
				Borders Railway
				Edinburgh and South East City Region Deal
				National Planning Framework No. 4
				Midlothian Community Planning Climate Emergency Group

9

Our Local Outcomes Improvement Plan

This plan is our shared plan of how we will meet the needs of our local communities and brings together all the priorities for Midlothian into one place. It shows how the Public, Private and Voluntary sectors and local communities will work together to make improvements in people's lives, by improving outcomes with individuals and communities, promoting preventative approaches that reduce demand for public services, and working with communities to increase their influence in decision making.

Our outcomes for the next 5 years are:

- **Individuals and communities have improved health and learning outcomes**
- **No child or household living in poverty**
- **Significant progress is made towards net zero carbon emissions by 2030**

We use a range of qualitative and quantitative data and consult with people who use and provide our services to plan and deliver services. We meet throughout the year to work together in a shared planning cycle:

- Revision of the data in the Midlothian Profile: April - June
- Public engagement (Citizens Panel, youth engagement, stakeholder events, and CPP planning day): July – November
- Achieving formal approval of plans and resources: January – March

Supporting all our communities

There is a gap in outcomes for people in different parts of the County. Some areas have poorer levels of employment; lower wage rates; lower average life expectancy, greater concentrations of people who are elderly or disabled; poorer access to physical amenities such as shops, health care, public spaces and play facilities; lower than average qualifications and higher levels of crime.

In Midlothian there are 3 communities in the top 20% of most deprived areas in Scotland. These are Central Dalkeith/Woodburn; Mayfield/Easthouses and Gorebridge.

The [Community Empowerment (Scotland) Act 2015](#) states that each of these areas must have a "Locality Outcome Improvement Plan" that local residents have been actively engaged in creating.

We are committed to ensuring our legislative requirements to equalities are met. We monitor the impact of any changes in service through Integrated Impact Assessments.

We want to develop a new approach to working with communities to develop locality outcome improvement plans. In the past we have had a dedicated group for priority areas and we also had neighbourhood plans which were very ambitious and covered all aspects of improvements in a community. In 2022 we would like to take a more focused approach to reducing poverty and working with communities to increase community wealth, reflecting the wellbeing and circular economy principles. We will work with the Midlothian Financial Inclusion Network and a new strategic poverty prevention group made up of elected members from across the different parties, public health and representatives from partners and communities. Our intention is to create supports around reducing poverty and increasing community wealth that all communities would benefit from. We will work with specific communities to have tailored plans for community wealth building.

We will support the production of the next Midlothian Local Development Plan and help encourage public engagement and consultation on the document. The Climate Emergency will need to be at the heart of the Local Development Plan. The draft fourth National Planning Framework was published in late autumn 2021. The final version of this document will set out the development requirements and policy direction for the second Midlothian Local Development Plan. Work on production of the next Midlothian Local Development Plan will occur in 2022.

Many of Midlothian's 16 current Neighbourhood Plans are reaching their end date and there is an opportunity to review and celebrate the local achievements these plans have stimulated in our communities.

Moving forward, communities will be supported by Midlothian Council to produce a new type of plan, a Local Place Plan, under the new National Planning Framework. Local Place Plans are community led plans that set out desires for future land use in a local area. A starter pack to assist local communities is in preparation and will be circulated later this year.

Climate Challenge

The Climate Change (Emissions Reduction Targets) (Scotland) Act 2019, which amends the Climate Change (Scotland) Act 2009, sets targets to reduce Scotland's emissions of all greenhouse gases to net zero by 2045 at the latest, with interim targets for reductions of at least 75% by 2030, 90% by 2040. The elected members of Scottish Parliament and of Midlothian Council have declared that a "Climate

Emergency" exists and that this must be addressed by collective action to reduce carbon and other greenhouse gas emissions.

Child Poverty

Midlothian's Child Poverty report 2020 sets out Midlothian's commitment to achieving the Scottish Government's vision of eradicating child poverty by 2030. The three drivers for achieving this are:
- reduce the cost of living
- increase income from employment
- increase income from social security and benefits in kind.

This group will work closely with the new Strategic Poverty Group which will focus on reducing poverty and by working together build community wealth.

Getting Involved with Community Planning

Getting involved with Community Planning gives people of all ages an opportunity to have a say on issues that matter to their neighbourhood and bring about real change to help improve the quality of life and wellbeing. Being involved in Community Planning with the partnership can be very rewarding.

There are also additional opportunities for young people to get involved in Community Planning through Midlothian Youth Platform (Midlothian Youth Platform (MYP) | Midlothian Council).

To find out more on how to get involved email Community.Planning@midlothian.gov.uk or keep a watch on our webpage and social media channels for workshops, conferences, and other events. www.midlothian.gov.uk/info/200284/your_community/214/community_planning_in_Midlothian

12

Adult Health
& Social Care

Who we are

Midlothian Integration Joint Board plans and directs health and social care services that are delivered by Midlothian Health and Social Care Partnership and by certain hospital-based services. The Partnership brings together parts of Midlothian Council and NHS Lothian to help everyone in Midlothian live well and get the right support when they need it. Further details on the [Midlothian Health and Social Care Partnership Website](#).

We have recently published our Strategic Plan for 2022-2025 which lays out how we plan to deliver all our health and social care service offers and supports over the next three years. We recognise there is work to be done to transform health and social care and that it won't all happen at once. While we will continue to work towards all of our aims and ambitions, in 2022-2023 we will put an additional focus on 5 'spotlight' areas to help accelerate change and see meaningful improvement in the following areas:

- workforce
- frailty
- Midlothian Community Hospital
- primary care
- learning disabilities

For this plan, we have focused on where we can work together to make improvements in people's lives. We will work alongside communities to improve the outcomes that matter most to people, and promote preventative approaches to help people remain well and avoid needing services in the future.

Strategic Analysis

Independent Review of Adult Social Care - this looked at outcomes for people who use services, their carers and families and the experience of those working in the sector. There are likely to be significant changes to care services as a result.

COVID-19 – this has impacted every aspect of people's lives and how we deliver services. The pandemic increased inequalities across our communities and this has often meant that those already experiencing health inequalities have been the most affected. The pandemic has made us change the way we think about and deliver services and influenced our workforce with large scale programmes such as mass vaccination. This will continue next year and increase pressure on already stretched resources.

Workforce and Financial Pressures - There is reduced availability of staff with appropriate qualifications or skills, including General Practitioners, Social Care Workers and Staff Nurses. This impacts on service delivery and development. We need to do things differently: the traditional approach to delivering health and care services is no longer financially sustainable. However, shifting resources from hospital and care home provision to community based services, and placing more emphasis on prevention, can be challenging especially with current financial constraints.

Digital - We live in a digital world that is changing the way we all live and work. Scottish Government have made digital transformation a key area of focus, but we also know good health and social care relies on strong human relationships. Digital technology cannot replace those but can enhance them by transforming how we connect and keep in touch with services or monitor our own health. It can help us capture and bring together information about people who use our services to help us plan and deliver them more effectively. We will make best use of digital technology and consider issues such as privacy, inclusion, choice, access, control and the environment.

14

What the Data tells us

We use local and national data to help assess and forecast the health and social care needs of the adult population of Midlothian and to plan services. This data is available at http://www.midlothian.gov.uk/mid-hscp/info/4/data-1 and shaped the actions we have chosen to focus on.

For example, the Midlothian Learning Disability Data and national intelligence told us that the numbers of people with a learning disability or autism have grown and that ensuring good housing remains a consistent priority area of focus. We also know that physical inactivity is one of the leading causes of premature death in Scotland. Increasing the opportunities available to older people to take part in physical activities not only supports health and wellness but can also reduce social isolation.

What the consultation told us

We gathered the views of people who use our services, partners and staff throughout 2021. Planning leads for each area of our plan used a range of methods including surveys, focus groups, interviews, Question and Answer sessions and findings from existing consultations. **Over 3,000 people's views were included,** and these informed the first draft of our plan. A copy of this draft plan was made available in every library and uploaded to our website. It was shared with key stakeholders including neighbouring IJBs, NHS Directors, the Integration Joint Board and third sector partners. We invited people to comment on it by raising awareness on social media and posting information to every household in Midlothian. **Over 80 people gave their comments**.

There were a few common themes throughout the consultation including:
- **flexible support**. People spoke of how services could be improved to offer more flexible and joined up support.
- **feeling heard and valued.** People spoke of the need to feel safe, welcome, and heard. This included not having to repeat your story, and not feeling processed, judged, or rushed.
- **supported Self-Management**. People told us we can help them keep safe and well through better information on what is available and being able to access services directly

What will be achieved and how will Midlothian's future look different?

We want to see the best possible outcomes for the people and communities of Midlothian. Our aim is to support people to recognise and realise their human rights, and participate in community life free from fear, harassment, and abuse. We want people to stay well and live the healthiest lives possible, but also have confidence that flexible and adaptable service offers and supports are there when they need them.

Some of our actions are designed to raise awareness and help support people and communities to better understand and manage their own health, wellness, and wellbeing. Others address specific needs. For example, our commitment to increase awareness and understanding of trauma aims to see Midlothian become a more trauma informed community.

15

We also know that we need to reach out to people who may not know when or where support is available. An example of this would be our action to identify more people who are carers so they can access the support, information, and advice they need. By helping people continue to provide care for as long as they are able and wish to, we hope that carers are recognised as experts in their role and know they are valued as equal partners in care.

Some of our actions, like those relating to type 2 diabetes, work towards national goals. Others are to help strengthen health, wellbeing, and wellness. Our plans to provide local physical activity sessions are designed for people to enjoy the health benefits of regular exercise, make new friendships, and learn new skills.

We know that being able to access services supports recovery for people who use drugs and/or alcohol. We want to extent our outreach and create more SMART recovery groups to assist people in their own individual recovery. By improving treatment and support to people at all stages of their treatment and recovery, we also hope to make recovery more visible in our communities.

We want people to live at the heart of their community, support people with moderate to complex needs to live locally and reduce the risk of living in accommodation that is unsuitable. Our plans to improve housing options are best practice in housing design and aim to increase independence within a safe, comfortable, and homely environment.

We hope this plan will help people access the right services at the right time, in a way that is meaningful, and enables people do more of the things that matter to them most.

16

Our Priorities

Action	Due Date	Performance Indicator & Target	Ownership
Increase awareness of the caring role e.g.: • Identifying as a carer/identification of carers • The positive contribution of unpaid carers in supporting our services and communities. • Carer rights • Support available.	March 2023	No of referrals to VOCAL **Target:** 400	Midlothian HSCP Midlothian Council Communications Team HSCP Training & Development Team Third sector Partners
Increase the opportunities for older people to be physically active by • Continuing the Ageing Well programme	March 2023	Return to pre-Covid levels of activity provision for Ageing Well, volunteering and participation by April 2023.	Sport and Leisure, Midlothian HSCP
Develop a greater range of Housing Options for people with Learning Disability and Autism.	(i) June 2023 (ii) Dec 2022 (iii) Dec 2022	(i) Completion of 8 units in Bonnyrigg (ii) Completion of 4 units in Loanhead, for people with Profound and Multiple Learning Disability. (iii) Completion of 2 respite units in Loanhead.	Midlothian HSCP Midlothian Council – Housing NHS Lothian.
Increase number of people who report feeling connected to others by: • Continuing to provide 1:1 befriending support • Volunteer 1:1 support for physical activity • Supporting day services to offer creative ways to connect with clients who lack confidence • Working with community-led groups to reach out to people	March 2023	% of people aged 65+ who report feeling connected to others all or most of the time during the past 12 months Baseline (Citizen's Panel): Age 65-74: 90% Age 75 and over: 82% Target: Age 75 and over 85%	Community Lifelong Learning Community Councils Community Development Trusts Ageing Well Volunteer Midlothian British Red Cross Day Services Housing Associations

17

Action	Due Date	Performance Indicator & Target	Ownership
Increase the number of staff who are trauma informed • Work with learning and development to support the delivery of training and the co-ordination of trauma informed practice within the Midway.	March 2023	Numbers trained Level 1 trauma trained - 400 Level 2 trauma training - 40	Midlothian HSCP Midlothian Council Third Sector
Increase the number of people participating in Get Moving with Counterweight and Let's Prevent (Pre-diabetes programme)	March 2023	Get Moving with Counterweight: Number of participants- 40 per quarter Let's Prevent: Number of participants- 7 per month	NHS Lothian Dietetics Midlothian Council Primary Care, Third Sector Organisations
Increase opportunities for people to volunteer at Midlothian Community Hospital	March 2023	A minimum of 6 volunteer posts filled	NHS Lothian Volunteer Service Midlothian Volunteer Centre Senior Charge Nurses, MCH
Increasing uptake of 0 to 5yrs vaccinations: • Delivering core vaccination programme for under 5s utilising Child Health Information to provide timely and accessible services, • Deliver flu and seasonal vaccination programmes • Proactively support families who do not bring children for immunisation	March 2023	Meet targets/ improve performance Delivery of seasonal flu vaccination programmes with improved update (>57%)	Midlothian HSCP HV data quality group Midlothian Education Services Third Sector
Improve geographical access to substance use recovery support • Increase the number of SMART recovery groups in 2022-23 to improve outreach across Midlothian's communities	March 2023	Increase the number of SMART recovery groups from 1 to 3 by March 2023	MELDAP Midlothian HSCP MELD Health in Mind

18

Action	Due Date	Performance Indicator & Target	Ownership
Increase the number of staff in the Physical Disability Team supported to develop their skills in having *Good Conversations* with Disabled People	March 2023	Hold 4 peer support sessions for staff in 2022-23 Over 55 of the cases audited through the case file audit system will have personal outcomes clearly identified	MVA and Third Sector Forward Midlothian Enable VOCAL

Community Safety & Justice

Who we are

Community Safety and Justice Partnership: A multi-agency partnership that works together to reduce re-offending & proactively works to promote community safety

Community Justice is about reducing offending and supporting people to stop re-offending. Agencies work in partnership with local communities to make a positive change for people with an offending history, their families and victims of crime.

Community Safety is how safe people feel and how safe they are from becoming a victim of crime. It includes a range of issues including antisocial behaviour, violent crime, violence against women, protection of children and adults, misuse of alcohol and drugs, theft, road safety, home safety and fire safety.

Strategic Analysis

The Scottish Government has recently consulted with a range of partnership groups to review legislation on 'Bail & Release'. The consultation highlights the ineffectiveness of short term custodial sentences and has encouraged the justice system to look at alternative interventions that promote desistence and public safety. Consideration has also been given to victims of crime and how bail and release impacts on their recovery and trauma. The Community Safety and Justice Partnership has been involved with the consultation and some of the key themes they have recommended are:

- promote a victim led justice system
- highlight the importance of third sector organisations
- promote a trauma-informed approach for all aspects of justice
- establish professional relationships with individuals in custody prior to release

What the data tells us

Violent and sexual crime is less than 5% of crime recorded in Midlothian. Violence against woman and girls (VAWG) continues to rise which places a growing demand on statutory and third sector services. Midlothian recorded 572 (2021-2022) domestic abuse cases reported to Police demonstrating a similar theme to the national figures. This continues to be a core priority of the partnership from supporting victims and support organisations but also in providing interventions with men to desist from VAWG.

What the consultation told us

The community planning citizen's panel survey carried out in late 2021 identified key themes that people identified as priorities:

- **Making Communities Safer**
    - 84% of participants felt that 'reducing violent crime' should be a priority in making communities safer.
    - 80% of participants felt that 'reducing violence against woman and girls' should be a priority in making communities safer.
- **Ways to Reduce Re-Offending**
    - 67% of participants felt that 'supporting individuals to attend school and gain qualifications' would be most effective in reducing re-offending.

What will be achieved and how will Midlothian's future look different?

The outcomes included in this report are three examples of the Community Justice Vision and actions that we hold central to community justice within Midlothian. Our intention is that these will impact communities in the following ways:

- demystify misconceptions and stigmatisation of justice services
- ensure access to employment, education, housing and services are available to improve outcomes for individuals involved in the justice system (see CJOIP for actions)
- promote community awareness of community justice including alternatives to custody and their benefits to communities and impact on re-offending
- increase community awareness of services available to individuals that have or are likely to offend and survivors of crime
- promote a survivor led justice system
- promote early intervention for individuals affected by substance use

Our Priorities

Action	Due Date	Performance Indicator & Target	Ownership
Improve awareness with communities and businesses by: • Stories about Community Payback Orders(CPOs) & Unpaid Work on social media • Advertising campaign on the link between education/training, employment, health inequalities, substance misuse, housing, positive attitudes, relationships and (re)offending • Second Chancers spin off with press – voices of unpaid work telling their story (film) • Rebrand CJ logo with Midlothian secondary school • Launch ALISS database of services for Midlothian • Publish Community Justice Directory.	2022 – 2023	Increase the number of combined followers on Community Safety & Justice Partnership social media platforms (Facebook and Twitter) by 5% Positive feedback received from pupils ALISS publicised to all Community Councils in Midlothian Number of Midlothian searches carried out on ALISS (target tbc)	• Justice Social Work • Community Safety & Justice • Third Sector Partners • Education and further education
Improve support for people after a Community Payback Order by: • Develop a volunteering pathway • Develop an after care service	2022 – 2023	25% justice social work clients involved in volunteering, training or employment at the point of completion of order. New process initiated for recording of telephone calls 6 weeks post completion - Attempt made to contact 100% of clients 6 weeks post CPO	• Justice Social Work • Community Safety & Justice • Community Lifelong Learning • Third Sector Partners
Improve access to Mental Health and Substance misuse services for people on a CPO by: • Automating the referral process to third sector support agencies with a focus on males aged 18-26	2022 – 2023	Referral process designed 80% of relevant individuals on CPOs referred to Number 11 Practitioners Forum	• Community Safety & Justice • Third Sector Partners • Health • Justice Social Work

23

Getting It Right for Every Child (GIRFEC)

Who we are

The Midlothian GIRFEC Board oversees effective delivery of the Integrated Children's Services Plan (also known as the GIRFEC 3-Year Plan) and the actions outlined below.

Our vision is for children and young people in Midlothian to have the best possible start in life and live safe, healthy, active, happy and independent lives. All of our work is supported by the Midlothian Third Sector Children's Services Network.

We are fully committed to realising a children's rights approach to all of our work and ensuring that we embed the principles of the United Nations Conventions on the Rights of the Child (UNCRC).

Strategic Analysis

Getting It Right for Every Child and the GIRFEC wellbeing indicators underpin our approach. We strive to improve how we support children, young people and families based on their needs and adapting our services to their needs. We aim to work better and in a more joined-up way across services, re-allocating budgets to better support the creative and innovative approaches that came about in response to the additional needs created by COVID-19.

Our work is also influenced by the principles summarised in **The Promise**. It shifts the focus from protecting against harm to protecting all safe, loving and respectful relationships. Behind The Promise is an ambitious 10 year plan to effect change to culture and legislation.

The Children and Young People's (Scotland) Act 2014 continues to provide the statutory framework for the delivery of children and young people's services.

Our focus on reducing inequalities has been strengthened by **Midlothian's Child Poverty Action Report**, which sets out Midlothian's commitment to achieving the Scottish Government's vision of eradicating child poverty by 2030.

What the data tells us

Between 2018 and 2028, the number of households in Midlothian is projected to increase at a faster rate than the rest of Scotland. Children and young people aged 21 years and under account for **25.5%** of the population of Midlothian.

Educational attainment varies across Midlothian secondary schools, with some schools achieving above the Virtual Comparator (a virtual school whose characteristics reflect the socioeconomic make up of Midlothian), and others below. This generally reflects levels of deprivation and social exclusion in each area. The percentage of children registered for free school meals is slightly lower than the national average. Free school meals are available to children whose families are on low incomes or who receive benefits themselves. From August 2022 free school meals will be available to all P1-P7 pupils. The rate of temporary exclusions from Midlothian schools has continued to reduce.

National and local research and evidence tells us that we need to work towards ensuring more children and young people receive timely and effective mental health support when they need it. The data tells us that we need to continue increasing our preventative approaches and early interventions that support children and young people's mental health and wellbeing.

25

What the consultation told us

A small consultative group of children and young people has told us what matters to them and this has strongly influenced the actions in our plan. This includes:

- Joined up service provision across mental health services, with greater information sharing and clear referral pathways.

- Accessible early intervention and prevention options for young people to prevent escalation of issues.

- Services that are well resourced enough that waiting lists are short and fast moving, with support and information available whilst young people are on waiting lists.

- Positive physical environments for young people, for indoor recreation and informal learning (such as youth clubs) and safe and pleasant outdoor spaces to promote wellbeing.

This brings together what is already known about current mental health needs and supports, with new insights and concrete opportunities for change.

What will be achieved and how will Midlothian's future look different?

These actions are designed to increase the numbers of children and young people who feel safe, healthy and resilient in Midlothian. In future, children's human rights will be embedded in all aspects of our work. More children and young people will have the tools to address their own alcohol and drug use and/or to minimise the impact of others' alcohol and drug use on their lives. Fewer families will be living in poverty. More adults will have the skills and knowledge to help more children and young people feel safe. Young people will have access to more positive physical environments. Families will receive support when they need it and for as long as they need it, through the Whole Family Wellbeing Service in Midlothian.

These actions are designed to ensure that more children and young people receive timely and effective mental health support when they need it. In future, children and young people will be able to access all levels of support for mental health and wellbeing when they need it. There will be more capacity within early intervention and prevention mental health supports and services to meet local need. More children and young people who are "looked after" will receive timely and appropriate supports for their mental health and wellbeing.

These actions are designed to reduce the inequalities in learning for children and young people.
In future, family members will be able to learn together, and more parents will feel confident in supporting their children's learning and development. Educational equality and equity will be closer, through inclusion and more effective use of local resources.

26

Our Priorities

Action	Due Date	Performance Indicator & Target	Ownership
More children and young people are safe, healthy and resilient • Continue to support children and young people affected by domestic abuse, parental alcohol or drug misuse - by supporting children and young people to address their own alcohol and drug use and/or to minimise the impact of others' alcohol and drug use on their lives (via MELDAP-commissioned services).	March 2023	• Number of children and young people reporting improved family relationships (target 27). • Number of children and young people provided with support (target 55).	• Midlothian Council • Third Sector Partners • NHS Lothian
• Deliver responsive and accessible income maximisation support to reduce the number of families that are living in poverty. We will do this by mapping existing services, using lived experience to influence service delivery and redesign the delivery of income maximisation services in Midlothian to meet the needs of the residents.	March 2023	• Existing Income maximisation services are mapped and evaluation of impact is completed. • Delivery of income maximisation services are re-designed in Midlothian to meet the needs of the residents. • Increased income received through benefits claimed	
• Increase the proportion of children and young people who feel safe. We will do this by evaluating the work undertaken during 21/22 and developing the next stage of work, to commission and embed our *Positive Approaches* framework.	March 2023	• Evaluation report completed. • Work plan has been developed. • Partners are commissioned and delivered commissioned work • Monitor through school wellbeing surveys	
• The Partnership will further embed the children's rights approach to all of our work, including rights relating to health and education, leisure and play, fair and equal treatment, protection from exploitation and the right to be heard.	March 2023	• Actions identified and undertaken • Evidence gathered on our progress made in incorporating children's rights into our work.	

27

Action	Due Date	Performance Indicator & Target	Ownership
• Identify positive physical environments for young people, including indoor recreation and informal learning (such as youth clubs) and safe and pleasant outdoor spaces to promote wellbeing.	March 2023	• Working with the Midlothian Learning Estates Team, positive physical environments for young people identified. • Plans co-designed with young people, on use of the positive spaces identified. • Actions taken to future-proof these positive physical environments for young people.	
• Establish a Whole Family Wellbeing Service in Midlothian, that provides preventative, needs-based support for families when they need it, and for as long as they need it.	March 2023	• Develop a multi-agency and multi-disciplinary approach that draws in support across the partnership.	
More children and young people receive timely and effective mental health support when they need it • Deliver quick and easy access to all levels of support for mental health and wellbeing - by establishing a Single Point of Access to mental health and wellbeing supports and services**.**	April - March 2023	• Blueprint for a Single Point of Access approved by GIRFEC Board. • Work commenced on establishing a Single Point of Access.	• Midlothian Council • Third Sector Partners • NHS Lothian
• Build capacity within early intervention and prevention mental health supports and services to meet local need. We will do this by further investing in community-based activities that support mental health and emotional wellbeing in children and young people.	March 2023	• The number of children and young people who receive support from additional early MH support provision as a result of Community Framework and MEAP early action funding (target 300).	

28

Action	Due Date	Performance Indicator & Target	Ownership
• Increase the percentage of children and young people who receive a comprehensive assessment of their health needs within 4 weeks of becoming "looked after", to increase chances of timely and appropriate supports being put in place. We will do this by introducing a comprehensive and timely assessment process that is responsive to the needs of each young person.	March 2023	• New process is implemented. • Percentage of children and young people who receive a comprehensive assessment of their health needs within four weeks of becoming "looked after" (target 95%).	
Inequalities in learning are reduced • Develop a Midlothian Family Learning Strategy and plan that encourages family members to learn together, with a focus on intergenerational learning, and enables parents to learn how to support their children's learning/development.	March 2023	• Midlothian Family Learning Strategy and plan is in place.	• Midlothian Council • Third Sector Partners • NHS Lothian
• Develop an Equity and Inclusion Strategy and plan, which focuses on actions to reduce educational inequalities through local and inclusive actions and resources.	March 2023	• The Equity and Inclusion Strategy and plan is in place and implemented.	
• Develop a system of sharing information from the Child Health Reviews, which ensures that the partnership is able to identify and articulate how the educational experiences and health and wellbeing of children has been impacted by the pandemic and introduce local strategies to make progress for children in their early years.	Dec 2022	• System in place to share information on the health visiting pathway	• Midlothian Council • NHS Lothian • Third Sector Partners

29

Action	Due Date	Performance Indicator & Target	Ownership
• Improve children's early language and communication skills through embedding the Circle Up, Up and Away approach in early learning and childcare provision and other early years support services.	March 2023	• The number of Early Learning and Childcare establishments using the Up, Up and Away approach (Baseline and target will be established) • The number of children that make over 30% progress on the early literacy assessment (target 50%)	• Midlothian Council • NHS Lothian • Third Sector Partners

30

Improving Opportunities

Who we are

We build resilient and empowered communities, grow and support investment in the third sector and reduce poverty and inequalities. Our vision is to eradicate child poverty by 2030. Through collaboration, co-production and innovation, we will work on the priorities of reducing the gap in learning, health and economic circumstances to deliver better outcomes for communities.

We lead and report on Midlothian's Child Poverty Action Report, the Local Employability Partnership (LEP), the Community Learning and Development (CLD) Plan and the Midlothian Financial Inclusion Network (MFIN).

Strategic Analysis

IOM members have been at the forefront of volunteering led community resilience during the Pandemic. Covid restrictions have changed the way partners deliver services with a move to more digital and online opportunities. The digital infrastructure in Midlothian and the lack of access to free Wi-Fi severely impacts on our most vulnerable residents. The pandemic has highlighted the need for an increased focus on the physical and mental health and wellbeing of the population.

Poverty, including child poverty, has continued to increase due mainly to a rise in the cost of living, in-work poverty and the withdrawal of the Universal Credit uplift. Rapidly rising energy costs and the significant increase in the price cap will have a detrimental impact on households.

Some occupational sectors and the travel to work area are experiencing challenges in recruiting suitably qualified and experienced staff. This increasing skills gap presents a challenge for Midlothian residents wishing to secure employment or secure a better paid job, fair work or career.

Financial challenges and increase in demand will mean that we will have to continue to grow and invest in the third sector to deliver better outcomes with communities.

What the data tells us

In Midlothian 24% of children are living in poverty, many living in working households. The areas of Central Dalkeith/Woodburn, Gorebridge and Mayfield/Easthouses are in the 20% most deprived datazones (SIMD) with parts of Loanhead, Penicuik and Rosewell in the 20-30% most deprived datazones. Child poverty levels vary across Midlothian according to the 2018-19 data available. Dalkeith has the highest rate at 35% and Bonnyrigg has the lowest rates at 11%.

During the Pandemic 4,340 referrals were made to Foodbanks with the majority coming from single people, families and single parents and today referrals remain high.

Positive destinations of young people leaving school have remained steady at 93.9% with the majority of young people moving into further education and employment, although numbers entering higher education are increasing. In January 2022, participation levels were above the Scottish average. Adults of working age have lower levels of qualifications at degree/HNC/HND levels and a lower proportion achieve qualifications at Scottish Vocational Qualifications (SVQ) 3 and 4 levels compared to the Scottish average. Midlothian residents earn less on average than the Scotland average, with women having a bigger gap in

32

earnings compared to men.

There are 3,095 people claiming out of work benefits, the highest level of claimants since the 1990's. In November 2020, a total of 7,155 households in Midlothian were on Universal Credit.

There was a significant increase in the number of adults volunteering in Midlothian's communities throughout the Pandemic, linked to grassroots and neighbourhood resilience initiatives. Conversely, the number of volunteering opportunities available in Midlothian has dropped by around 50% due to Covid restrictions.

What the consultation told us

The top 3 priorities identified by the Citizens Panel are:
- reduce the number of households in poverty - particularly those with children;
- increase the number of young people over the age of 16 engaged in training, employment, volunteering or education;
- reduce health inequalities.

The Community Planning Conference also highlighted the need for digital inclusion (access to free Wi-Fi and devices for all); supporting people to develop skills and employability options including volunteering; involving young people and those with lived experience in shaping services and provision; and a focus on food and fuel poverty.

What will be achieved and how will Midlothian's future look different?

The actions of the IOM are designed to reduce the gap in learning, economic circumstances and health outcomes for all Midlothian residents.

As a partnership, we are working together to ensure that young people, adults and families are supported to move out of poverty through providing employability support, digital skills and devices, access to qualifications and opportunities to ensure good mental health and wellbeing. This will lead to people being able to secure employment and better paid jobs or increase their income from benefits and other sources of support. We will also work together to ensure that everyone has easy access to affordable, nutritious food and opportunities to live well in their local community.

Through our shared endeavour, we will work with communities to build strong, cohesive places where people feel a sense of belonging and pride and can build networks to support each other.

We want individuals of all ages and communities to shape the future direction of services in Midlothian through giving them a voice and influence to ensure that all services meet their needs and aspirations.

33

Our Priorities

Action	Due Date	Performance Indicator & Target	Ownership
Priority 1: **Deliver the actions in the Child Poverty Action Plan** • Deliver responsive and accessible income maximisation support to reduce the number of households that are living in poverty. • Reduce food insecurity and fuel poverty through co-ordinating services and working in partnership	March 2023	• Existing income maximisation services are mapped, baseline of income achieved is recorded and evaluation of impact is completed • Delivery of income maximisation services are re-designed to meet the needs of the residents • Those with lived experience of poverty are consulted • Mapping of existing provision to establish a baseline • Implement new projects from Food and Health Alliance food insecurity recommendations	• CPWG • MFIN
• Improve qualification levels for adults at National Vocational Qualifications (NVQ) levels 3 and 4	March 23	• Track number of qualifications for adults through NOMIS • Increase accredited adult learning opportunities. Target: 500	• CLLE
• Support adults into employment through partnership working	March 23	• Number of Midlothian residents gaining positive outcome through accessing Regional Skills Centres (Target 20) • Number securing employment through participation in employability programmes (Target: NOLB - ; PES - ; YPG - ; LTU – 20 places; IFS - 6) • Reduce the number of adults aged 16 to 64 economically inactive in Midlothian (tracking only)	• Regional Skills Centres / K Hall • CLLE

34

Action	Due Date	Performance Indicator & Target	Ownership
Priority 2: **Participation measures for young people over 16 increased** • Ensure that transitional support is offered to young people in S4, 5, 6 who are at risk of leaving school without a destination	March 23	• 'Unknown's' on list average below 100 • Sustain Participation Measure at 1% above national average • Care experienced / young carers % positive destinations is monitored and increased above national average (Tracking only)	• CLLE/SDS
Priority 3: **Improve qualification levels for adults at levels Scottish Vocational Qualifications (SVQ) 3 and 4**	March 23	• Track NOMIS data and measure against Scottish average (Target: above Scottish average)	• CLLE
Priority 4: **CLD Partnership Plan aims to increase skills for learning life and work.**	March 23	• CLD Strategic Plan Actions are on target which will contribute to: a) Covid-19 recovery and engagement b) Improving social interaction, health, wellbeing and poverty c) Pathways to learning, personal development and employment d) Digital and resilient communities of the future e) Contribute to Midlothian being carbon neutral by 2030 f) Enhancing our workforce and volunteer skills	• Annette Lang
Priority 5: **Increase opportunities for Midlothian residents to be digitally included**	March 23	• Map provision and produce Midlothian Digital Pathway with routes into support networks • Number of digital opportunities	• Digital Partnership Group

35

Action	Due Date	Performance Indicator & Target	Ownership
		offered (new target: establish baseline) increased	
Priority 6: **Third Sector organisations and volunteers have improved skills, resources, and knowledge to achieve positive change**	March 23	• Deliver an annual TSI training programme (target 10 training events) • Deliver one to one business support, information and training to around 300 third sector organisations and individuals per year (target 300) • Deliver the 1 year actions in the revised Midlothian Third Sector Compact (target: co-produce Council and third sector grants schemes)	• TSi / Midlothian Council
Priority 7: **Health inequalities for people in Midlothian are reduced**	March 23	• Review draft IOM plan of action for whole system approach to Type 2 Diabetes and agree priorities (Target: October 2022) • Support Midlothian organisations to develop a prevention confident staff by providing learning sessions to statutory and third sector partners. • (Target: 80 staff from the HSPC, Council and Third Sector trained in Good Conversations by March 2023) • Increase awareness and action on health inequalities. (Target: 12 bitesize workshops delivered by	• Midlothian Public Health Team

36

Action	Due Date	Performance Indicator & Target	Ownership
		April 2023).	
Priority 8: **Reduce the cost of the school day for families**	March 23	• Support the implementation of COSD measures in Penicuik, Dalkeith and Gorebridge Area School Groups. • Involve families in the development of local measures. • Deliver poverty awareness-raising sessions across participating schools.	• Child Poverty Working Group

Sustainable Growth

Climate Emergency, Economic Development and Housing

Climate Emergency

Who we are

The Climate Emergency Group's vision is to make sure significant progress is made towards net zero carbon emissions by 2030. Our values are to get to net zero equitably, taking into account different people and communities capacities and abilities to get there.

Strategic Analysis

Scotland's national target is to be Net Zero by 2045: the CPP Board in January 2020 agreed to make meeting the Climate Emergency target of '*Reducing Midlothian Carbon emissions to net zero by 2030*' a priority in its shared partnership work. The Board has set up a Climate Emergency partnership, built from and replacing the existing sustainable environment partnership grouping, to focus collective effort on meeting this commitment.

The draft fourth National Planning Framework was published in autumn 2021. The document gives a very strong indication of the development requirements for Midlothian and policy direction for informing production of Midlothian Local Development Plan number two. Work on this will occur in 2022 and the Council will actively seek to engage a wide range of partners, including community planning partners, in its consultation and production.

What the data tells us

While industry and commerce account for 21.2% of carbon emissions in Midlothian, the biggest sources of carbon emissions are still domestic heating (36.9%) and transport (36.6%). Therefore, we will concentrate in reducing carbon emissions in the areas of domestic heating and transport to get to Net Zero. The 2019 Midlothian annual carbon emissions from domestic heating were 137.73 kilotons and from transport 136.70 kilotons.

What the consultation told us

The concerns of communities raised through the 2021 annual community planning day included:
- the need for rapid parallel investment in infrastructure, retail, health, education and community facilities to match new development in Midlothian;
- value and enhancement of green spaces and natural environment and supporting their use;
- improve the layout of the built environment to encourage more engagement, integration and active travel;
- improve Midlothian town centres, including provision of local produce and presence of locally owned businesses, and incorporate the drive to net zero;
- improve local sustainable transport links across Midlothian to employment, learning, leisure and health facilities;
- integrate new and old communities;
- need to work to reduce food and fuel poverty and promotion of schemes to assist with this and sourcing and distribution of food.

39

What will be achieved and how will Midlothian's future look different?

Our actions focus on the key Climate Emergency issues of energy, food and travel. They are designed to increase awareness plus promote reflection and action in these specific areas as well as the Climate Emergency in general. They will lead to a better understanding of carbon emissions plus greater knowledge of electricity supply and energy matters, which in turn will help focus investment and policy support for these things in Midlothian. They will help inform and give people the opportunity to get involved in actions that can make a difference. Midlothian's future will be different through having more people aware and engaged in Climate Emergency issues, both consciously and subconsciously. This will make Midlothian more resilient to the effects of Climate Change and in addition help contribute more widely to Climate Change resilience.

40

Our Priorities

Action	Due Date	Performance Indicator & Target	Ownership
Agree and implement a standard methodology and tool(s) for measuring and accounting for carbon emissions in Midlothian: • Review the range of extant carbon calculation methodologies and tools in use in government, academia and the private sector	31/3/23	• Review undertaken	• Midlothian Climate Emergency Group
20 minute neighbourhoods in Midlothian: • Promote the principles of the '20 minute neighbourhood' concept within all partner organisations, including layout and make up of new development for local services • Work with local shop owners and service providers to identify opportunities for new local premises and outlets to serve currently unmet need - work to producing a directory highlighting Midlothian produce and how/where it can be obtained	31/3/23	• Promotional work and awareness raising undertaken with relevant partners • Engagement has taken place with local shop owners and service providers and directory is in production	• Midlothian Climate Emergency Group

41

Action	Due Date	Performance Indicator & Target	Ownership
Climate Emergency Awareness Raising and Community Engagement: • Promotion of Climate Emergency issues through a programme of engagement activities, including a sustained social media presence and investigation of setting up Climate Emergency Hubs • Development of locally-owned Climate Emergency projects • Learn from other Climate Emergency related projects and Community Planning Partnerships on Best Practice on Net Zero and Housing to prompt action and involvement • Work with Midlothian Council education services, and youth platforms, to engage young people in Climate Emergency matters	31/3/23	• Promotion group established and is operational • Work progressed to take forward development of locally-owned Climate Emergency projects • Relevant projects identified and understood • Climate Emergency group partners liaise with Midlothian Council Education service	• Midlothian Climate Emergency Group
Development of Renewable Energy: • Explore developing a plan for decarbonising the electricity and hot water output from the Millerhill Energy from Waste Plant • Review electricity grid capacity across Midlothian and assess its ability to handle predicted growth in electric vehicles, electric heating etc. Identify bottlenecks and engage with relevant bodies to invest in upgrades • Identify potential sites on Council and other partners land for renewable energy generation Inc. solar and exploration of potential for community-owned schemes and joint ventures	31/3/23	• Work undertaken with Midlothian Energy to take forward the action • Assess electricity grid capacity in Midlothian • Consideration given by partners to potential sites for renewable energy	• Midlothian Climate Emergency Group

42

Action	Due Date	Performance Indicator & Target	Ownership
Support and Promotion of Biodiversity: • Work with schools on biodiversity projects in their local areas, including on establishment of B-line projects	31/3/23	• Climate Emergency group partners liaise with Midlothian Council Education service and other relevant bodies	• Midlothian Climate Emergency Group
• Take forward community driven citizen science projects and investigate potential locations and interested parties in taking forward a community woodland including "Tiny Forest" proposals, or managed open space		• Promotion group established and is operational • Work progressed to take forward development of locally-owned Climate Emergency projects	
• Promote wildlife corridors that connect urban and rural areas and across local authority areas		• Climate Emergency group partners work with Midlothian Council, adjacent local authorities and relevant bodies	
• Promote local food growing		• Climate Emergency group partners help take forward the Midlothian allotment and food growing strategy	
Place the Climate Emergency as the Central Theme of the Midlothian Local Development Plan no. 2: • Investigate possibilities for peer review of the climate emergency credentials of the next Midlothian Local Development Plan	31/3/23	• Climate Emergency Group members to work with Midlothian Council (Planning) to take forward	• Midlothian Climate Emergency Group

43

Action	Due Date	Performance Indicator & Target	Ownership
Transport: • Work with car dealers, approved EV charger installers, Energy Saving Trust etc. to establish a 'one stop shop' for EV buyers in Midlothian to improve uptake, make the process of buying an EV and establishing the charging infrastructure seamless and smooth	31/3/23	• Work undertaken with car dealers to investigate how purchase of electric vehicles can be simplified	• Midlothian Climate Emergency Group

Economic Development

Who we are

Sustainable Growth is comprised of three parts: Housing, Economy and Climate Emergency. We work with, and seek to bring together, public sector key agencies and partners, community groups, third sector groups/agencies, umbrella organisations and individuals.

Strategic Analysis

As Scotland's fastest growing and 4th most resilient local authority in Scotland, in part due to its diverse business base, Midlothian continues to face challenges following Brexit and the Coronavirus pandemic.

The Strategy for Growth 2020-25 seeks to harness opportunities in partnership with the CPP, national business support partners and the local business base to ensure we build back inclusively and sustainably.

The Scottish Government published its 10-year National Strategy for Economic Transformation in March 2022. This sets out the steps we need to take to deliver a green economic recovery and push forward on existing programmes and strategies including Covid-19 Recovery, EU Exit, Transition to Net Zero/Sustainability, Fair Work and Technological changes. The vision is 'To build an economy that will maximise Scotland's economic, social and environmental wellbeing in the face of opportunities and challenges that Scotland faces now and in the future'.

The £1.3bn Edinburgh and South East Scotland City Region Deal published the Regional Prosperity Framework in September 2021 to be used as a basis to guide and integrate public, private and third sector decisions, actions, collaborations, strategies, policies and investments across areas including sustainability, climate change, energy, transport, planning, housing, infrastructure, education, digital, services, equalities, well-being, economic development, procurement and delivery. It states that rebuilding the economy must support:

- People – to access fair work, to learn and develop new skills and to live happy and healthy lives
- Places – that are sustainable, and attractive to live and work in and where enterprise thrives
- Planet – meeting our needs in a way that will allow future generations to meet theirs, with a focus on reduction of greenhouse gas emissions (sustainability).

Midlothian Council will produce a new Economic Strategy in the summer of 2022. The strategy will reflect the national and regional priorities and expand the scope of our current work on community wealth building activities, the transition to net zero, fair work first and green skills development.

The Economic Development priorities for the 2022/23 Single Midlothian Plan align to the social, environmental and economic aspirations of the wellbeing economy with people focussed outcomes that will also deliver economic benefits.

What the data tells us

The Midlothian business base comprises a mix of sole traders, micro enterprises and Small Medium Enterprises with Midlothian Council the largest employer in the County.

In 2020 the Business Index register listed 2,720 enterprises in Midlothian, this data is drawn from VAT & PAYE records so does not include sole traders that do not employ or trade above the VAT threshold. Midlothian had **4300 self-employed** people registered between October 2020 and September 2021 which is lower than the national average.

Small businesses accounted for **89.9%** (lower than the Scottish average of 99%) of the enterprises and employed **44%%** of the workforce in 2020.

Those who are economically active **increased by 2.3%** from 46,900 in September 2020 to 48,000 in September 2021. Proportionally, Midlothian has a slightly higher rate than Scotland and Great Britain.

Midlothian's unemployment rate (model based) between October 2020 to September 2021 stands at **3.4%** and it is below the Scottish (4.2%) and Great Britain (4.8%) rates.

In September 2021 there were 900 more people in employment than in September 2020.

What the consultation told us

- need to improve Midlothian town centres, including provision of local produce and presence of locally owned businesses, and incorporate the drive to net zero;
- need to work on reducing food and fuel poverty and promotion of schemes to assist with this and sourcing and distribution of food;
- the need for rapid parallel investment in retail, health, education and community facilities to match new development in Midlothian.

What will be achieved and how will Midlothian's future look different?

Social Enterprise Development sessions – these events will bring community organisations and residents together to discuss challenges and opportunities in their localities with the aim of developing new social enterprises with long term support from Business Gateway.

Employer Engagement Surgeries – these sessions will be promoted to Business Gateway clients and are an opportunity for them to learn about the different employability support mechanisms that are available to them and meet the teams that provide the support. This will also be an opportunity for businesses to raise other employee related challenges, for examples skills or labour shortages, and will enable us to work with colleagues and partners to identify solutions.

MTF Roundtable sessions – These sessions bring together a mix of businesses to discuss specific challenges in the tourism sector which can often lead to opportunistic solutions. We hope to see new ideas for events and activities that will further promote Midlothian to visitors as well as develop collaborations with the businesses in attendance to realise increased trade.

46

Our Priorities

Action	Due Date	Performance Indicator & Target	Ownership
Social Enterprise Development: • Work with communities to identify service gaps or community ideas suited to the social enterprise model. • Support the development of new models via Business Gateway and MVA	6 Month Review: November 2022 End date: March 2023	No of community events held **Target:** 6	• Midlothian Council Economic Development team. • Midlothian Voluntary Action • Third sector Partners
Employer Engagement Surgeries: • Access to employability initiatives • Access to training opportunities for staff • Business Gateway support	6 Month Review: November 2022 End date: March 2023	No of sessions held **Target:** 6	• Midlothian Council Economic Development team. • Midlothian Council CLLE team. • DWP • Skills Development Scotland • Capital City Partnership • Access to Work
Tourism Roundtable Events: • MTF membership offer for businesses to share collectively, or individually, challenges and opportunities to access support at early stage.	6 Month Review: November 2022 End date: March 2023	No of sessions held **Target:** 6	• Midlothian Council Economic Development/Business Gateway team. • Midlothian Tourism Forum

47

Housing

Who we are

Our vision is that individuals and families will be able to access housing that is affordable and of good quality in sustainable communities.

We provide housing and homeless services working to support people in the community to alleviate homelessness, increase access to housing across a mix of tenures, support independent living and promote tenancy sustainment to support the wellbeing of our customers and sustainment of our communities.

There continues to be a substantial demand for affordable housing across Midlothian despite the success achieved at significantly increasing the new supply of affordable housing. To address this the supply of new affordable housing across all tenures needs to increase.

We continue to work on supporting our most vulnerable households who are affected by homelessness through our Rapid Rehousing Transition Plan (RRTP). Our vision for the Rapid Rehousing Transition Plan is that by 2024: "An increased number of homeless households will obtain permanent accommodation, no homeless household will be accommodated in bed and breakfast accommodation, and the average time taken for the Council to complete its homeless duty will have halved from 105 to 52 weeks."

What the data tells us

There continues to be high demand for affordable housing.

- the level of housing need has increased with 4,363 households on the Housing List (01/02/2022) including 706 homeless households.
- to address this rapid increase in housing need the supply of new affordable housing across all tenures needs to increase.
- Midlothian's Strategic Housing Investment Plan (SHIP) 2021- 26 identifies the main strategic investment priorities for affordable housing. The SHIP details potential sites for 2,446 new affordable homes to be built during 2022-27 and the approach to promoting affordable housing investment and meeting housing supply targets identified in the Strategic Development Plan for Edinburgh and South East Scotland.

What the consultation told us

The feedback from the Community Planning Partnership Conference 2021, indicated that there was a strong consistent focus on ensuring fewer households live in, or at risk of, fuel poverty and that the supply of new affordable housing increases across all tenures in Midlothian. These continue to be key priorities for Midlothian residents which has been the case for some years. These two themes are closely aligned to the Council's Local Housing Strategy, 2021-26 aims and actions.

Feedback from the conference also highlighted that communities want to feel connected to the services being provided by the Council. Housing Service will continue to work with local people, through our Tenant Participation activities and our Tenants' Satisfaction Survey to ensure we are providing opportunity for local communities to provide feedback on services and contribute to the shaping of future services.

48

What will be achieved and how will Midlothian's future look different?

The actions set out in the plan contribute to Midlothian's Local Housing Strategy's strategic vision that:

"All households in Midlothian will be able to access housing that is affordable and of good quality in sustainable communities."

Housing plays a crucial role in the everyday lives of many people in Midlothian. This includes addressing homelessness, maximising access and availability of housing advice services, tackling poverty, and improving health and wellbeing.

Through the outcomes of the plan we want to work to ensure that everyone can access services through the delivery of high quality housing, support and advice services.

By aiming to increase the number of single people and families who access our advice services, at an early stage, we hope to support and prevent homelessness where possible. This not only helps promote individual wellbeing but also supports us in achieving sustainability within our communities.

The level of housing across all tenures in Midlothian is increasing and working with partners we are able to provide higher numbers of affordable, warm and accessible housing that meets individual needs over the course of their lives. We continue to work to ensure our housing stock is responsive and flexible enough to respond to the changing needs of our communities and the people who live in them.

49

Our Priorities

Action	Due Date	Performance Indicator & Target	Ownership
1. Ensure households, including the private sector, are supported to access a wide range of housing advice	31/3/23	Number of advice and assistance cases Current baseline: 821 (A&A cases between 1st Mar 21 and 28th Feb 22) Target: 1000	• MC Housing
2. Increasing the number of housing advice cases where homelessness was prevented	6 month review: Nov 2022 End date: 31/3/23	% of prevented cases Baseline: 44% (1st Mar 21 and 28th Feb 22) Target: 55%	• MC Housing
3. Provide more social housing - taking account of local demand, including specialist housing - in partnership between the Council, Registered Social Landlords and private developers.	31/3/23	Number of new homes completed, including specialist housing **Target:** 300	• MC Housing • RSL's • Developers
4. Increase the number of households accessing energy saving or fuel poverty advice and assistance schemes.	31/3/23	Number of households accessing advice. **Target:** 150	• MC Housing • Changeworks

50

COMMUNICATING CLEARLY

We are happy to translate on request and provide information and publications in other formats, including Braille, tape or large print.

如有需要我們樂意提供翻譯本，和其他版本的資訊與刊物，包括盲人點字、錄音帶或大字體。

Zapewnimy tłumaczenie na żądanie oraz dostarczymy informacje i publikacje w innych formatach, w tym Braillem, na kasecie magnetofonowej lub dużym drukiem.

ਅਸੀਂ ਮੰਗ ਕਰਨ ਤੇ ਖੁਸ਼ੀ ਨਾਲ ਅਨੁਵਾਦ ਅਤੇ ਜਾਣਕਾਰੀ ਤੇ ਹੋਰ ਰੂਪਾ ਵਿੱਚ ਪ੍ਰਕਾਸ਼ਨ ਪ੍ਰਦਾਨ ਕਰਾਂਗੇ, ਜਿਨ੍ਹਾਂ ਵਿੱਚ ਬਰੇਲ, ਟੇਪ ਜਾਂ ਵੱਡੀ ਛਪਾਈ ਸ਼ਾਮਲ ਹਨ।

Körler icin kabartma yazilar, kaset ve büyük nüshalar da dahil olmak üzere, istenilen bilgileri saglamak ve tercüme etmekten memnuniyet duyariz.

اگر آپ چاہیں تو ہم خوشی سے آپ کو ترجمہ فراہم کر سکتے ہیں اور معلومات اور دستاویزات دیگر شکلوں میں مثلاً بریل (نابینا افراد کے لیے اُبھرے ہوئے حروف کی لکھائی) میں، ٹیپ پر یا بڑے حروف کی لکھائی میں فراہم کر سکتے ہیں۔

Contact 0131 270 7500 or email: enquiries@midlothian.gov.uk

APPENDIX B – Single Midlothian Plan Performance Reporting Scorecard October 2021 to March 2022 (H2)

SMP Reducing the gap in Learning Outcomes▾

5	1	0	0
Indicators that are On Target	Indicators that are Off Target	Indicators that are Data Only	Indicators that have No Data Available

SMP Reducing the gap in learning outcomes off target

...	Code & Title	Gauge	Value	Target	Last Update	History
●	E.P.4.1b Percentage of Midlothian Care Experienced school leavers progressing to p...		80.95%	89.23%	2021/22	

← 1 of 1 →

SMP Reducing the gap in Economic Circumstances▾

4	1	0	0
Indicators that are On Target	Indicators that are Off Target	Indicators that are Data Only	Indicators that have No Data Available

SMP Reducing the gap in economic circumstances off target

...	Code & Title	Gauge	Value	Target	Last Update	History
●	P.IOM.CE.1.4a Relative to Scotland, Midlothian can demonstrate a 1% reduction in c...		23.9%	21.5%	2021/22	

← 1 of 1 →

52

SMP Reducing the gap in Health Inequalities▾

6	5	0	1
Indicators that are On Target	Indicators that are Off Target	Indicators that are Data Only	Indicators that have No Data Available

SMP Reducing the gap in health inequalities off target

...	Code & Title	Gauge	Value	Target	Last Update	History
●	**P.G.CSPC.3.5a** Children & Young People's Wellbeing and Mental Health Strategy ap...		No	Yes	H1 2021/22	
●	**P.AHSC.2.3a** Number of people attending activity groups hosted by Midlothian Active...		3,966	10,000	H2 2021/22	
●	**P.AHSC.5.2a** Number of people on Unpaid Work Programme attending at least one ...		4	10	H2 2021/22	
●	**P.G.CSPC.3.3a** Annual percentage seen within 18 weeks for first treatment		56.8%	90%	2021/22	
●	**P.AHSC.2.2a** Total number of people attending activity groups hosted by Ageing Well...		18,394	20,000	2021/22	

← 1 of 1 →

SMP Adult Health and Social Care▾

16	7	0	0
Indicators that are On Target	Indicators that are Off Target	Indicators that are Data Only	Indicators that have No Data Available

17	1
Actions that are On Target	Actions that are Off Target

SMP Adult Health and Social Care INDICATORS Off Target

...	Code & Title	Gauge	Value	Target	Last Update	History
●	**P.AHSC.2.3a** Number of people attending activity groups hosted by Midlothian Active...		3,966	10,000	H2 2021/22	
●	**P.AHSC.5.2a** Number of people on Unpaid Work Programme attending at least one ...		4	10	H2 2021/22	
●	**P.AHSC.3.1a** The number of people who participated in level 1 awareness training		90	200	H2 2021/22	
●	**P.AHSC.2.3b** Number of people attending one to one sessions with Midlothian Active...		568	950	H2 2021/22	
●	**P.AHSC.6.1a** Number of people who engage with the Bibliotherapy Programme 'Bra...		86	100	H2 2021/22	
●	**P.AHSC.2.2a** Total number of people attending activity groups hosted by Ageing Well...		18,394	20,000	2021/22	
●	**P.AHSC.7.1a** Number of staff trained.		75	80	H2 2021/22	

← 1 of 1 →

SMP Adult Health and Social Care ACTIONS Off Target

...	Code & Title	Progress		Status	Due Date	...	Type
⊕ 🔴	**P.AHSC.7.2** Voluntary sector and Primary Care collaborations to support people iden...	▰▰▰▱	50%	Overdue	31 Mar 2022	⚙	Action

← 1 of 1 →

SMP Community Safety and Justice ▾

3 Indicators that are On Target	**2** Indicators that are Off Target	**29** Indicators that are Data Only	**4** Indicators that have No Data Available

28 Actions that are On Target	**5** Actions that are Off Target

SMP Community Safety and Justice INDICATORS Off Target

...	Code & Title	Gauge	Value	Target	Last Update	History
⊕ 🔴	**P.CSJ.2.2a** Increase the average weekly attendance at Horizons Cafe	▰▰▰▱	0	80	H1 2021/22	___
⊕ 🔴	**P.CSJ.6.1a** All statutory partners engage in the self-evaluation process by attending ...	▰▰▰▱	0%	70%	2020/21	

← 1 of 1 →

SMP Community Safety and Justice ACTIONS Off Target

...	Code & Title	Progress		Status	Due Date	...	Type
⊕ 🔴	**P.CSJ.4.1** Educate people regarding speeding, drink driving and responsibly parking	▱▱▱▱	0%	Overdue	31 Mar 2022	⚙	Action
⊕ 🔴	**P.CSJ.5.1** Ongoing engagement with local communities and business through social ...	▰▰▱▱	50%	Overdue	31 Mar 2022	⚙	Action
⊕ 🔴	**P.CSJ.5.2** Plan and deliver a seven day period of community justice advertising cam...	▰▰▰▱	80%	Overdue	31 Mar 2022	⚙	Action
⊕ 🔴	**P.CSJ.6.1** Commitment from CJ partners to participate in self-evaluation using the C...	▰▱▱▱	20%	Overdue	31 Dec 2021	⚙	Action
⊕ 🔴	**P.CSJ.6.5** Encourage Midlothian Community Justice partners to support the Y2K 180...	▰▰▱▱	50%	Overdue	31 Mar 2022	⚙	Action

← 1 of 1 →

54

SMP Getting It Right For Every Child-

8	6	7	0
Indicators that are On Target	Indicators that are Off Target	Indicators that are Data Only	Indicators that have No Data Available

9	4
Actions that are On Target	Actions that are Off Target

SMP GIRFEMC INDICATORS Off Target

...	Code & Title	Gauge	Value	Target	Last Update	History
●	**P.GIRFEMC.3.1a** Appropriate support is being provided, based on data in place that i...		No	Yes	H2 2021/22	
●	**P.GIRFEMC.3.2a** Accurate data-set is consistently used in all schools to monitor, trac...		No	Yes	H2 2021/22	
●	**P.GIRFEMC.3.3a** Strategic plan approved by GIRFEMC Board		No	Yes	H2 2021/22	
●	**P.GIRFEMC.3.4a** Data sharing agreement in place		No	Yes	H2 2021/22	
●	**P.GIRFEMC.3.5a** Strategy in place with identified actions		No	Yes	H2 2021/22	
●	**P.GIRFEMC.1.1c** Child/young person is at a reduced risk of harm as a result of pare...		48	55	H2 2021/22	

← 1 of 1 →

SMP GIRFEMC ACTIONS Off Target

	...	Code & Title	Progress		Status	Due Date	...	Type
⟲	●	**P.GIRFEMC.3.3** Launch five-year Equity and Inclusion Strategy		50%	Overdue	31 Mar 2022	⚙	Action
⟲	●	**P.GIRFEMC.3.4** Improve information sharing to support children that are identified as...		40%	Overdue	31 Mar 2022	⚙	Action
⟲	●	**P.GIRFEMC.3.5** Create a Midlothian Family Learning strategy that encourages famil...		50%	Overdue	31 Mar 2022	⚙	Action
⟲	●	**P.GIRFEMC.3.6** Collaboratively implement the Circle Up, Up and Away approach as ...		75%	Overdue	31 Mar 2022	⚙	Action

← 1 of 1 →

55

SMP Improving Opportunities for People In Midlothian˅

38 Indicators that are On Target	**8** Indicators that are Off Target	**4** Indicators that are Data Only	**4** Indicators that have No Data Available

18 Actions that are On Target	**3** Actions that are Off Target

SMP IOM INDICATORS Off Target

	Code & Title	Gauge	Value	Target	Last Update	History
🔴	P.IOFPIM.2.3b Take up of 150 place alternative curriculum offer to leavers intending …		0	100	H2 2021/22	
🔴	P.IOFPIM.3.2a Numbers of individual supported / % successful outcomes from joint …		0	14	H2 2021/22	
🔴	P.IOFPIM.7.3a Number of volunteers co-ordinated by the Health and Social Care Par…		0	3	H2 2021/22	
🔴	P.IOFPIM.1.3a The Child Poverty Act sets out four statutory, income-based targets (a…		23.9%	10%	H2 2021/22	
🔴	P.IOFPIM.2.2a Number of places taken across 500 course options by Midlothian resi…		2,088	3,000	H2 2021/22	
🔴	P.IOFPIM.1.1i Number of parents achieving increase in income through PESF		26	29	H2 2021/22	
🔴	P.IOFPIM.2.3o Number of young people who volunteer with Transform Project		39	40	H2 2021/22	
🔴	P.IOFPIM.2.3l Anticipated leave date (100%)		99.6%	100%	H2 2021/22	

SMP IOM ACTIONS Off Target

	Code & Title	Progress		Status	Due Date		Type
🔴	P.IOFPIM.3.2 City Region Deal IRES programme offered in Midlothian	0%		Overdue	31 Mar 2022	⚙	Action
🔴	P.IOFPIM.7.1 Deliver actions to contribute to the whole system approach to type 2 di…	0%		Overdue	31 Mar 2022	⚙	Action
🔴	P.IOFPIM.7.3 Number of direct opportunities for volunteering in the Health and Socia…	0%		Overdue	31 Mar 2022	⚙	Action

← 1 of 1 →

SMP Sustainable Growth˅

35 Indicators that are On Target	**17** Indicators that are Off Target	**6** Indicators that are Data Only	**1** Indicators that have No Data Available

22 Actions that are On Target	**30** Actions that are Off Target

SMP Sustainable Growth INDICATORS Off Target

...	Code & Title	Gauge	Value	Target	Last Update	History
🔴	**P.SG.1.1a** Prospectus published		No	Yes	H2 2021/22	
🔴	**P.SG.1.2a** Digital Marketing Campaign		No	Yes	H2 2021/22	
🔴	**P.SG.12.4a** Relevant partners work together to consider the action (to note this indic…		No	Yes	H2 2021/22	
🔴	**P.SG.12.6a** Relevant partners work together (to note this indicator forms part of a thr…		No	Yes	H2 2021/22	
🔴	**P.SG.2.3a** Sessions with 1-2-1 / group follow up support if requested in partnership w…		0	6	H2 2021/22	
🔴	**P.SG.3.1a** Pilot project commenced		No	Yes	H2 2021/22	
🔴	**P.SG.4.3a** Develop a new strategy for Midlothian		No	Yes	H2 2021/22	
🔴	**P.SG.6.1a** Review undertaken (to note this indicator forms part of a three year plan)		No	Yes	H2 2021/22	
🔴	**P.SG.6.3a** Methodologies publicised (to note this indicator forms part of a three year …		No	Yes	H2 2021/22	
🔴	**P.SG.7.4a** Engagement has taken place with local employers (to note this indicator f…		No	Yes	H2 2021/22	
🔴	**P.SG.8.3a** Work progressed to take forward development of locally-owned Climate E…		No	Yes	H2 2021/22	
🔴	**P.SG.9.1a** Work undertaken with Midlothian Energy to take forward the action (to not…		No	Yes	H2 2021/22	
🔴	**P.SG.9.2a** Work undertaken with Midlothian Energy to take forward the action (to not…		No	Yes	H2 2021/22	
🔴	**P.SG.9.4a** Work undertaken with Midlothian Energy to take forward the action (to not…		No	Yes	H2 2021/22	
🔴	**P.SG.4.3b** Business Gateway membership referrals to MTF		40	120	H2 2021/22	

1 of 2

57

Adult, Health and Social Care

Midlothian

Summary of successes

21/22:

Midlothian Integration Joint Board plans and directs the services that are delivered by Midlothian Health and Social Care Partnership (HSCP). The HSCP is a partnership between NHS Lothian and Midlothian Council and is responsible for services that help Midlothian residents to live well and get support when they need it. This includes all community health and social care services for adults in Midlothian and some hospital-based services such as Accident and Emergency. Third and independent sector organisations are key partners.

Work on the IJB Strategic Plan 2022-25 continued in H2 and this our plan will be published in April 2022 summary of the consultation and engagement across the development of the plan can be found in the **Midlothian Integration Joint Board Strategic Plan 2022-2025 Consultation Report**. The HSCP is responsible for overseeing the delivery of this plan and is a thematic group of Midlothian Community Planning Partnership.

A sample of developments during H2 are noted below.

HSCP Covid-19 Response

The COVID-19 pandemic brought many challenges and much disruption to the Health and Social Care Partnership, its partners and the communities it serves. There was increased anxiety and pressure on many service users, unpaid carers and staff. While the challenges we face may have changed since 2020, the need to adapt and flexibly respond to both new and evolving challenges in health and social care has continued throughout 2021, and into 2022. The Omicron variant resulted and changes to restrictions have further added to the pressures already felt across the whole system.

The Partnership continues to hold the safety of clients, carers, communities, and staff as its top priority. Services have been able to continue to adapt and find new and innovative ways to deliver service offers effectively and safely. Some services adapted how they operate with, for example, increased use of video consultations. Some services again had to adapt in how they operated with changes to service delivery and reduced face to face contact where feasible. Many services have increased the number of video consultations, adopted new digital approaches and taken a proactive outreach approach.

Despite the challenges faced by all our services, staff and partners, the opportunity to work together in new ways has helped develop our existing and build new community connections. Volunteering programmes continued and were further supported by the Partnership. Even in the most challenging of circumstances, teams have continued to work flexibly, collaboratively, and innovatively to manage this demand. By working together, services taken steps to reduce inappropriate admissions, reduce length of stay, facilitate earlier appropriate discharge and reduce unnecessary delay wherever possible.

The Health and Social Care Partnership also leads the ongoing COVID vaccination programme which includes Evergreen (1st and 2nd COVID doses), 12-15 years old, 3rd dose for people who are immunosuppressed and the Booster programme.

The Midlothian vaccination programme commenced the covid spring booster programme for those aged 75+, care home residents and those 12+ years who are severely immunosuppressed. The vaccination team have begun a programme of work to reach housebound people over the age of 75. The 5–11-year-old vaccination clinics commenced in March with an uptake of around 25% to date. By end of March 2022, 59,099 adults in Midlothian had received a booster, including 94.1% of adults over 70 years or age

Gorebridge vaccination centre closed, and the building is once again operating as a Leisure Centre. All vaccinations are now being delivered from Midlothian Community Hospital (MCH) until the new permanent vaccination centre is open.

As part of the Vaccination Transformation Programme, and in collaboration with the Community Treatment and Assessment (CTAC) team, work progressed across Q4 to ensure the delivery of all vaccinations will transfer from GPs to the HSCP from the 1st April 2022. This is with the temporary exception of unscheduled vaccinations which will continue to be delivered by GPs until the end of April 2022.

The team have developed and progressed work on the future vaccination model, planning for winter 2022/23, and our inclusivity plans for covid vaccinations across Midlothian.

Unpaid (Family) Carers

Midlothian IJB and Health and Social Care Partnership acknowledge that the health and care system is very dependent upon the contribution of unpaid carers. The shift towards self-management and care at home will depend upon the ability of carers to continue in their role and they must be supported to do so. It is vital that carers are identified; that there is recognition of what carers do and the physical, emotional and financial impact that their caring role can have on them whilst providing support, information and advice, aiming to make caring roles sustainable.

In early 2021 services were re-commissioned in line with changes in Carer's Act legislation and the carer support service review and consultation undertaken in 2020. The new contracts were implemented 1st July 2021 with VOCAL Midlothian and British Red Cross as key agencies. The key themes of the contacts are: (I) Carer Identification, Information and Advice Services (including financial advice) and (ii) Carer Health and Wellbeing (including breaks from caring).

A series of workshops held in the summer of 2021 supported collaborative discussions on how best to utilise the Scottish Governments announcement of additional funding for carers. Feedback and consideration of how proposals met strategic aims or supported existing work was fed back to SMT and the Performance and Finance group. Progress is now being made towards payment of carer additional resource allocations to community partners; target would be for this to be in place for payment during Q1.

The 3 year Carers Strategic Plan and associated action plan developed this year sets out the activity being undertaken in the partnership to reduce barriers and inequalities, such as: access to information and advice services (income maximisation); accessing health and wellbeing supports (counselling services; access to Community Health Inequalities Team nurses); and supporting breaks from caring.

In recent weeks the newly developed residential respite resource within Cowan Court has started to accommodate people to enable carer respite on a limited basis (Monday to Friday stays). Lack of residential respite for older people remains a particular challenge, and demand for access and carer stress remains evident. Short Breaks funding that is provided by the HSCP and distributed by VOCAL remains in significant demand.

Multidisciplinary Approach to Mental Health, Substance Use and Community Justice Services

Staff from across mental health, substance misuse, Justice and Third Sector are co-located in 'No.11' in Dalkeith. The service is part of the Scottish Government's Trauma Informed Workforce Pilot and by working together are creating new and collaborative ways to work with and support individuals, particularly those with multiple and complex needs.

Mental Health

Community services in Midlothian continued to shift the balance of care to the community and reduce admissions. Midlothian became a member of the new associate programme for Distress Brief Intervention (DBI), and recovery practitioners are actively working alongside the Midlothian Intensive Home Treatment Team (IHTT) to support individuals experiencing distress, emotional pain and crisis. Dialectical Behavioural Therapy (DBT) has continued to provide essential support for those who are at most risk of serious self-harm to remain in the community through 1:1 and group intervention.

59

As part of our work to ensure people can access the right care at the right time, the Mental Health service has established a working group to support people who have difficulty with emotional regulation. This pathway aims to help improve how people can access the right services offers and supports.

With funding secured through redesign of urgent care, the Mental Health and Resilience Service (MHARS) is in the final stages of implementation. Progress also continued within the OT service to develop new group pathways for Autism and ADHD. Continuing to work within the limitations of covid-19, more groups have now restarted including the 'Drop In' service. All other groups that have been paused are being reviewed with the intention to restart as soon as possible.

Substance Use

Substance Use Services continued to operate an assertive outreach model to those most at risk. Drug Related Deaths remained a concern, as did Alcohol Related Deaths.

A proposal submitted by the Midlothian and East Lothian Drug and Alcohol Partnership was successful in securing funding to support the implementation of the Medication Assisted Treatment (MAT) Standards. The funding allocation will not fully meet local requirement but MELDAP, the Near Fatal Overdose Pathway and Assertive Outreach services are working in new and collaborative together to deliver the required service offers and supports.

As key areas for intervention and prevention in relation to near fatal and fatal overdose, this work will provide rapid access to services at our No.11 Hub and outreach into the communities in Midlothian that are most effected by deprivation.

Community Justice

The Midlothian Community Justice Outcome Improvement Plan 2020-2023 set out 40 actions that Midlothian Community Justice Partnership would take forward over the three years to deliver better outcomes for those affected by the justice system. One action contained within the plan was to 'Develop a trauma informed service that focuses on tailored, structured intervention and access to wraparound services for men on Community Payback Order (CPO) supervision'.

The 'Stride' service has been established to meet this identified need and been operational for the past year. All men on CPOs or on statutory supervision are considered for the Stride programme which aims to build emotional capacity, focus on positive outcomes and life choices, and promote desistance utilising 'The Decider' framework. To date, Stride has supported 9 men in a group setting, 4 men in 1:1 intervention, and facilitated 4 groups. Stride is provided by social workers (in Justice and Substance Use Service) and a justice practitioner. The Stride team have a range of skills and incorporate lived experience to promote engagement. Future planning for the group will explore additional programmes based on qualitative evaluation from group feedback which will identify future programme delivery based on need.

Work to develop Peer Support across all No 11 services continued to be developed and progressed including the recent appointment of a Peer Support Coordinator.

Improving Services for Older People

Extra Care Housing is a model of accommodation and care that supports people to live in their own tenancy. Work has progressed on 3 sites (Dalkeith, Bonnyrigg and Gorebridge) to provide 106 ECH bungalows or flats. Timescales were impacted by Covid 19 with completion dates now estimated at 2023. As with many other areas, Midlothian faces many challenges in addressing the housing and care needs of an ageing population with increasingly complex requirements.

Care Homes in Midlothian consist of 10 older people's care homes, 2 of which are HSCP run with one being an intermediate care facility. The remaining 8 are privately run either by private companies, charitable organisations or independent care homes. Health Boards and local Health and Social Care Partnerships continue to carry responsibilities for the clinical and professional oversight of the care provided to people resident in care homes in line with the Scottish Government guidelines (May 2020).

The Care Home Support Team have continued to provide assurance and support to care homes for older people. This has included the provision of direct support to meet staffing challenges, input to support people with the most

complex care needs, vaccinations, testing of staff and residents, and providing practical and emotional support to staff affected by the ongoing impacts of the pandemic.

Care at Home continues to be a key element in the HSCP vision for people to receive the right care in the right place; delivering care as close as possible to home. The team support efforts to avoid unnecessary admissions as well as reduce the length of time someone is in hospital when is has been necessary to received care this way. This service is currently provided by the HSCP and external providers.

In line with the challenges experienced across Scotland in recruiting care staff, Care at Home continue to manage significant peaks of pressure with ongoing open recruitment. Despite this, Care at Home have successfully work closely with our other services to ensure people receive the care they need at home as part of our Home First approach.

Work with Aging Well to support older people included 58 volunteers working alongside people to support them to return to group activities with almost 4000 hours of volunteering.

Learning Disability, Autism and Complex Needs Housing

Work continues to ensure Midlothian compliance with the national timescale for the reduction of inappropriate hospital admissions, delayed discharge, and out of area placements for people with complex care needs. Midlothian remains in a relatively good position in this respect as a result of the housing programme, the work overseen by the Positive Behavioural Support Steering Group, partnerships with third sector organisations specialising in support for people with Complex Care needs in local communities, and the development of local intelligence about people at high risk of family or placement breakdown.

The tenancies at Teviot Court were cited as an example of good practice in 'Coming Home Implementation: report from the Working Group on Complex Care and Delayed Discharge' (Scottish Government- Feb 2022). The flats at Bonnyrigg High Street are scheduled for completion mid 2023. Designs for Primrose Lodge in Loanhead are complete and the property is now vacant. The Midlothian Learning Disability Planning Group is supported by 'Expert Panels' that draw together experts, including people with lived experience, to develop solutions in implementing specific areas of our Strategic Plan. As part of Equal Midlothian Week the Human Rights Panel, led by People First Midlothian, held the first of a series of Human Rights sessions focussing on Supported Decision Making and how we can support people to feel fully engaged in decisions about their lives.

The Day Service review and redesign work has been somewhat held up by the limitations imposed by COVID 19 guidance, but we now expect services to be at or near capacity over the coming two months.

Primary Care

GP Practices continue to experience extremely high demand. Practices are seeing people either in person, by video (Near Me), or by telephone. Work has continued to implement the Primary Care Improvement Plan. This work has included both the successful transfer of flu and covid-19 vaccinations from GP practices to the HSCP and the increase in pharmacotherapy within primary care.

Community Treatment and Care (CTAC) service has expanded and now work alongside all of our 12 GP practices. The CTAC team are providing care in a range of areas including chronic disease data monitoring, wound care, phlebotomy, ear irrigation, and vaccinations.

Midlothian Community Respiratory Team (CRT) has completed preparations to launch the Dynamic Scotland project. This is a digital service offer targeting patients who frequently attend our unscheduled care services, and those who are admitted to hospital due to COPD but not currently known to the CRT team. This project takes a proactive outreach approach aiming to reduced hospital attendances and avoid admissions or reduce length of stay by supporting people to be able to better self-manage COPD in the community.

Hospital at Home capacity has also increased, and the team have worked closely with our GP colleagues to provide care at home and prevent admissions. Providing increased levels of care closer to home has seen better outcomes particularly for people with heart failure and cellulitis. Hospital at Home is now working alongside Healthcare Improvement Scotland (HIS) and the Scottish Government to further increase capacity by March 2023 and augment the current model.

The Thistle Foundation (Wellbeing Service) and VOCAL, third sector organisations, continued to work alongside Primary Care Teams in GP Practices to offer supported self-management and carer support.

Public Health

Midlothian HSCP remains committed to tackling inequalities and investing in preventative work as a priority. The Health Inclusion Team (HIT) nurses continued to work with people most vulnerable to poor health and health inequalities. This included people living in temporary accommodations, challenges related to mental health, substance use and community justice, and individuals who frequently attend A&E. The HIT nurses also supported people to improve and manage their health and access local services, such as drug treatment or welfare rights. Between October 2021 and March 2022, the Welfare Rights Team supported a further 570 people and generated £1,991,027 additional income for these Midlothian HSCP clients. For the full year April to March the team supported a total of 1022 people and an additional 89 phone enquiries where advice was provided. The benefit income generated for the full year for our Midlothian HSCP clients totals £4,320, 270.

Of the 570 people supported in the second half of the year 95 people with cancer received direct support from the Macmillan Welfare Rights Officer taking the total number of clients in Midlothian with cancer who have been supported to 270 in 2021/2022. Work is continuing to progress on the Whole Systems Approach to Type 2 Diabetes in Mayfield and Easthouses. The focus is on increasing the money in people's pockets, access to healthy food and keeping physically active. Community engagement is planned with participatory budgeting to agree a bid of up to £50,000 to invest in the community through proposals that will help prevent and mitigate risk factors associated with Type 2 Diabetes.

The Green Prescribing project is firmly back up and running with an event planned on the 21st April aiming to connect, promote learning and sharing and to experience an activity. 55 people are signed up so far.

Work has started to check on the status of existing breastfeeding friendly locations in Midlothian post-pandemic, and also enrol new venues including any NHS or council locations that do not already have this status.

The Public Health Team has also delivered training on Good Conversations, health inequalities and money worries.

Cancer

Midlothian HSCP commenced work on Improving the Cancer Journey (ICJ) during 2021-22. ICJ is a partnership between Macmillan and the four Lothian Health and Social Care Partnerships. Midlothian Council hosts the Programme on behalf of the four HSCPs. The ICJ Programme aims to meet the non-clinical needs of people living with cancer and promotes self-management and person-centred solutions. The service in Midlothian has been operational for one year and has strong links with the Wellbeing Service in GP practices and the MacMillan Welfare Rights Advisor in the Welfare Rights Team.

The target for year one was to reach 30% of people who had received a new diagnosis of cancer. Within Midlothian a total of 119 referrals were received and 91 people have used the service. This is representative of the service reaching 75% of the target population for year one, and an overall uptake rate for services of 76%. The uptake rate in the last quarter has increased to over 90%.

Although the service did not meet the target reach in 2021-22, referrals have increased gradually. People most often require support with money, anxiety & managing symptoms. Fatigue and physical difficulties such as mobility, weight loss and breathing problems were the most commonly reported symptoms.

Referrals in Q3 were mostly commonly from CNS colleagues as well as third sector services. Self-referrals have been the fastest growing referral type with 47% of the totally referral by this mean in the last quarter. 42% of people living in Midlothian being represented in SIMD deciles 1 & 2. This this context, data suggests that the service has achieved good reach with over 50% of referral from these two groups.

The focus in year two is to increase referrals, continue to evaluate the impact of the service offers and supports, and seek opportunities for further integration with the wider Wellbeing Service.

Services for People Under 18 Years

Midlothian Health Visiting teams have been working to ensure the Universal Pathway can be delivered in full from 31st May 2022. A working group has been set up with Early Years Services colleagues to focus improvement work around the early identification of children with Additional Support Needs and subsequent delivery of appropriate interventions.

Midlothian is a pilot site for the development of interventions from the newly established Perinatal and Infant Mental Health Service. This includes staff training in the Solihull Approach, 'Working with the parent-infant relationship' and a separate 'Newborn Behavioural Observations' training as a 'Test of Change' with 2 staff, to assess effectiveness in practice.

Workforce

The Midlothian Interim Workforce and Development Plan 2021/22 to ensure that the right people, are in the right roles, with the right skills at the right time approved by the IJB in June 2021 and the first draft of the HSCP workforce development plan 2022 – 2025 is now well underway. This is currently being developed to ensure it more closely aligns with the MIJB Strategic Commissioning Plan for 2022 – 2025.

Covid -19 continues to present significant challenges for the workforce in terms of both absence and changes to practice. A lack of available workforce continues to limit recruitment options, and this is a challenge felt in health and social across Scotland.

Wellbeing Lead recruited in September 2021 to support the ongoing challenges to wellness and wellbeing experienced by our workforce. Key strategic priorities in terms of staff wellbeing were identified from a staff survey and this has resulted in a number of new initiatives to support the things that staff told us matter to them most an initiative to provide free leisure passes to staff with salaries below grade/band 4.

Wellbeing focus groups in areas where staff sickness remains high have continued. The workforce teams that are impacted the greatest are care at home, care homes and nursing. To support those teams working in the community, a review of public buildings is underway to develop Rest, Refresh and Refuel wellbeing hubs in partnership with local communities and businesses. These safe wellbeing hubs will be easily identifiable and digitally mapped to ensure staff can access information using their phone to locate where the nearest hub is and know exactly what is available. With the Period Products (Free Provision) (Scotland) Act 2021 coming into being in January 2022 these wellbeing hubs and other public buildings will also have free accessible period products.

Certain HSCP training opportunities continued to be made available across the Community Planning Partnership, for example training on Good Conversations, health inequalities, health literacy, suicide prevention, and weight stigma. Midlothian continued to implement the Trauma Awareness Framework.

Summary of major challenges and actions to address them

21/22:

COVID-19

The Health and Social Care Partnership, its partners and the communities it serves continued to be impacted by the COVID 19 pandemic. Covid continued to influence how the HSCP delivered core services, it impacted on staff absence and deployment, and it required additional resource, for example to deliver vaccination clinics, coordinate staff testing for HSCP and other staff, and manage PPE provision locally.

Many of the challenges in achieving our ambitions have been related to the restrictions placed on services during the pandemic and the reduced opportunity for active participation in the way services have traditionally been offered. As a result, services have adapted to find new and innovative ways of delivering meaningful solutions where this has been possible, but one to one and group activities have been limited in capacity and frequency. As restrictions are lifted, more activities will resume and activity in these are will increase.

A growing and ageing population

Midlothian is the second smallest Local Authority in mainland Scotland but the fastest growing. This will continue to pose challenges for health and social care services whilst also changing some local communities. As people live for

longer many more people will be living at home with frailty and/or dementia and/or multiple health conditions. An increasing number of people live on their own, and for some this will bring a risk of isolation. Proactive identification and support for people with mild frailty was constrained due to the Covid-19 pandemic but it has been recognised there are opportunities to better support people escalating between mild, moderate, and severe frailty, and provide tailored support. Work is underway to review and redesign the frailty programme recognising the need to consider the impact of the pandemic, including deconditioning/falls risks, robust anticipatory care planning and alternative methods for identifying people with frailty

Higher rates of long-term conditions

Managing long-term conditions is one of the biggest challenges facing health care services worldwide, with 60% of all deaths attributable to them. Older people are more susceptible to developing long-term conditions; most over 65s have two or more conditions and most over 75s have three or more conditions. People living in areas of multiple deprivation are at particular risk with, for example, a much greater likelihood of early death from heart failure. They are also likely to develop 2 or more conditions 10-15 years earlier than people living in affluent areas.

Higher rates of mental health needs

Many mental health problems are preventable, and almost all are treatable, so people can either fully recover or manage their conditions successfully and live fulfilling healthy lives as far as possible. The incidence of mental health issues in Midlothian, while similar to the rest of Scotland, is a concern. Living in poverty increases the likelihood of mental health problems but also mental health problems can lead to greater social exclusion and higher levels of poverty. People who have life-long mental illness are likely to die 15-20 years prematurely because of physical ill-health.

Our services are under pressure

People place a high value on being able to access effective health services when they need them. People expect to receive high quality care services when these are needed whether as a result of age, disability, sex, gender or long term health conditions. Yet there are a number of pressures on our services.

Financial pressures

Financial pressures on public services are well documented. There is no doubt that we need to do things differently: the traditional approach to delivering health and care services is no longer financially sustainable.

Workforce pressures

The Covid-19 pandemic has and will continue to influence the demand for, and deployment of, the health and care workforce for the foreseeable future. Mass vaccination programmes and other large scale recruitment programmes related to COVID 19 have increased pressure on already stretched resource.
There is reduced availability of staff with appropriate qualifications or skills, including General Practitioners, Social Care Workers and Staff Nurses. This impacts on service delivery and development.

Review of Adult Social Care

The Independent Review of Adult Social Care (published in February 2021) was set up to recommend improvements to adult social care in Scotland. It looked at these in terms of the outcomes for people who use services, their carers and families and the experience of those working in the sector. There are likely to be significant changes to care services as a result of this review.

Unpaid carers

Unpaid carers fulfil significant, valuable and wide-ranging roles within Midlothian communities, helping to keep people with care and support needs within our communities. During the pandemic many people became carers for the first time, or saw changes to their caring role, resulting in them providing significantly more care for their elderly, sick or disabled family, friends and neighbours. Through this period services supporting carers continued to offer a range of support, including digitally, and by telephone, though services supporting the person they provide support to may have been reduced, e.g. respite and day services, impacting on carers. Further work is required to reduce the

significant pressure and impact of caring that carers reported, by continuing to explore innovative options to enable support to be given to both carers and the cared-for, and for there to be opportunities for breaks from caring.

Acute hospitals

Acute hospitals are under huge pressure due to unsustainable demand and financial restrictions. Investing in community based services and work with carers is required to minimise avoidable and inappropriate admissions and facilitate earlier discharge. By treating people closer to home, or in their own home the HSCP can support admission avoidance and improve people's outcomes.

Adult, Health and Social Care Actions and PIs 21/22

01. Isolation - Develop approaches to prevent or address isolation and reduce the detrimental impact on physical and mental health

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.AHSC.1.1	Strengthen both formal and informal approaches to addressing isolation. This will involve working with voluntary organisations; local communities; and improving information about community resources	**21/22:** On Target Services continue to provide support to minimise isolation, in a variety of creative ways including: bespoke radio shows, online, distanced or outdoor groups. A new outdoor befriending group has been initiated by the Connect Project. Some online groups continue to be provided, offering diversity. The British Red Cross produce a community calendar which lists all groups and activities for older people. This shows an ongoing increase in the number and range of activities on offer as groups restart following the pandemic. The community mental health and wellbeing fund, administered by MVA, was able to provide funding to a range of local organisations some of whom have a focus on older people and reducing isolation. This included awarding micro grants for some small community groups to overcome barriers they had identified. A campaign to promote volunteering opportunities was carried out in January 2022. An online session held in partnership with CLL for community groups to discuss any issues or concerns about reopening.	100%	The number of older people using local services, facilities and activities through participation in 1:1 or group sessions	739	830	✅	1,166	**21/22:** On Target

02. Physical Activity - Contribute to the implementation of a local strategy by working with older people, people with disabilities and those at greatest risk of inequalities

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.AHSC.2.1	Deliver Weight Management Programmes to help address and prevent obesity and type 2 diabetes	**21/22:** On Target Hybrid model up and running for delivery of face to face and digital for all programmes. WMS have secured digital devices for people referred so they are able to decide what options best suits their needs	100%	Number of people referred to Weight Management Triage. (Tier 2 and Tier 3)		200	✅	508	**H2 21/22:** On Target
P.AHSC.2.2	Work with Ageing Well to support older people	**21/22:** On Target The Ageing Well programme of activities is nearly back to pre-covid levels in terms of the range of activities on offer. Participation and volunteering levels have been good but there has been an inevitable turnover of participants who cannot or who do not yet wish to return and the case is the same for volunteers, however the resumption of a much fuller programme has also seen a good number of new participants and volunteers access the project.	100%	Total number of people attending activity groups hosted by Ageing Well each year		20,000	🛑	18,394	**21/22:** Off Target The project currently delivers 45 activities per week supported by up to 58 active volunteers who contributed 1059 hours of volunteering during the quarter. Uptake of activities has increased in Q4 from a steady level in Q2 & Q3.
P.AHSC.2.3	Work with Midlothian Council Active Choices to support people with longer term health needs including Mental Health	**21/22:** On Target MAC is delivering a weekly activity programme from Newtongrange Leisure Centre, Danderhall Community Hub, The Penicuik Centre and Loanhead Leisure Centre. Ongoing Covid restrictions in place in schools has not allowed	100%	Number of people attending activity groups hosted by Midlothian Active Choices (MAC)		10,000	🛑	3,966	**H2 21/22:** Off Target Impact of ongoing Covid restrictions has not allowed the return of activities at the largest sites of Newbattle Community Campus and Lasswade Centre. Increased access to these sites is expected from mid-April 2022.

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
		the return of activities at the largest sites of Newbattle Community Campus and Lasswade Centre. Increased access to these sites is expected from mid-April 2022.		Number of people attending one to one sessions with Midlothian Active Choices (MAC)		950	🔴	568	**H2 21/22:** Off Target

03. Workforce - Support teams to work in an integrated way and address the workforce challenges including recruitment and retention of health and social care staff

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.AHSC.3.1	Deliver bespoke training plan for the cross sector Scottish Government trauma training programme	**21/22: On Target** The Midlothian Trauma Training pilot finished at the end of June 2021. Due to the Covid restriction the training had been delivered remotely via MS Teams.	100%	The number of people who participated in level 1 awareness training		200	🔴	90	**H2 21/22:** Off Target The Midlothian Trauma Training pilot finished at the end of June 2021. Due to the Covid restriction the training had been delivered remotely via MS Teams. Total number trained during pilot 359.
P.AHSC.3.2	Increase skills and knowledge of the CPP workforce in Midlothian in relation to suicide prevention	**H2 21/22:** On Target Suicide prevention training being delivered online due to continue Covid restrictions.	100%	Number of people attending suicide prevention training (Safe Talk or ASIST)		120	✅	162	**H2 21/22:** On Target
				Number of organisations with representative(s) attending suicide prevention training		10	✅	22	**H2 21/22:** On Target

04. Financial Inclusion - Work with MFIN to maximise income of people who are vulnerable or at particular risk of inequalities

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.AHSC.4.1	Deliver Welfare Rights service to people with health	**21/22:** On Target Service continues for people receiving a Health and Social	100%	Number of people supported with Cancer - Welfare Rights Service (cumulative)		250	✅	270	**21/22:** On Target

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
	and social care needs	care service. Referrals remain steady. Positive outcomes continue.		Number of people supported with Mental Health needs		250	✅	415	**H2 21/22:** On Target
				Amount of household income gained by the Welfare Rights Team	New for 16/17	£3,000,000	✅	£4,320,090	**H2 21/22:** On Target
P.AHSC.4.2	Work with Red Cross to support people who are frail to access financial support available to them.	**21/22:** On Target This is part of the Midlothian *e-frailty* programme and data is collected bi-annually. E Frailty work continues and people are benefiting for additional financial help though accessing Attendance Allowance.	100%	Additional benefit income to Midlothian residents identified as frail		£150,000	✅	£216,112	**H2 21/22:** On Target

05. Health Inequalities - Develop a programme of work across agencies to reduce health inequalities in Midlothian

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.AHSC.5.1	Work in partnership with Community Pharmacies to increase the 12 week quit rate through their services.	**21/22:** On Target Midlothian 12 week rate for 21/22 is 16%. Increased from 13% and slightly more that target (Lothian average of 15%). We are still to identify the QI resource within Board Pharmacy - QYW specialist has agreed to realign staff - await recent recruited vacancies to start to enable release of Quit Your Way staff for QI.	100%	Increase the 12 week quit rate in Midlothian Community Pharmacies		13%	✅	16%	**Q4 21/22:** On Target
P.AHSC.5.2	Deliver a holistic health assessment to people	**21/22:** On Target Due to Covid the Unpaid work team did not operate face to face during April to June and	100%	Number of people on Unpaid Work Programme attending at least one appointment with a		10	🛑	4	**H2 21/22:** Off Target Due to Covid the Unpaid work team did not operate face to face during April to June and

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
	undertaking Unpaid Work Programme	started group activity in September.		nurse from the Health Inequalities Team (HIT)					started group activity in September.
P.AHSC.5.3	Contribute to Housing First for people with multiple and complex needs. This includes people who have a range of experiences including childhood and early years trauma, mental ill health, addictions as well as time spent in local authority care or prison.	**21/22:** On Target 22 people have been supported out of a total of 23 people who moved in to a tenancy.	100%	Number of people supported through Housing First, receiving a service from adult health and social care		10	✅	22	**H2 21/22:** On Target
P.AHSC.5.4	Deliver specialist employment project for people with mental health issues	**21/22:** On Target Support delivered through a blended model of phone, NHS near me and some face to face. The service provides assessment and support to individuals who are seeking employment and/or Further Education.	100%	Number of people in employment or education following intensive intervention		6	✅	7	**H2 21/22:** On Target

06. Engaging Communities

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.AHSC.6.1	Work closely with local libraries on the Midlothian Libraries Bibliotherapy Programme 'Braw Blether'	**21/22:** On Target Braw Blether and Words for Wellbeing initiatives continued to be delivered remotely using Zoom and Teams from April – July, moving gradually to in person groups from August to November. In person groups ceased again during the Omicron scare in December and	100%	Number of people who engage with the Bibliotherapy Programme 'Braw Blether' service		100	🛑	86	**H2 21/22:** Off Target Impact on initiatives due to Covid restrictions.

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
		recommended in February. There has been a gradual increase in attendance at these library groups since February. A weekly zoom group 'Words on Wednesdays' remains an option for some. Two online sessions 'Picture this', using art for conversation were planned, delivered and co facilitated with partnership with a colleague from Day Care services. 6 Walking groups 'A Way with Words' were planned and delivered in partnership with The Ranger Service and 8 of these are planned from spring and summer 2022. A session with Midlothian Equalities group was planned, delivered and co facilitated with the Equalities Officer. Two events were delivered in libraries during Book Week Scotland in November and were well attended. Outreach groups are now being allowed in some locations – Grassy Riggs will begin in April. A successful funding bid has allowed for a two new strands of Bibliotherapy to be planned in 2022 – Writing with people living with long term health conditions, and a read aloud group for people living with Dementia and their carers. The funding also allows for a part time assistant.							
P.AHSC.6.2	Effective and engaged dialogue with community	**21/22:** On Target Programme of planned engagement in place. Includes	100%	Number of consultation engagement events across the service areas e.g. older people,		5	✅	5	**21/22:** On Target Wide and varied public engagement undertaken for

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
	members around local services and approaches that support health and wellbeing	the following: mental health, frailty, carers, ageing well, learning disabilities, and older people. Future activity also includes human rights, palliative care, and extra care housing.		carers, learning disability etc (Accumulative)					the development of the new HSCP Strategic Plan taking in the views of over 3000 people. This included a public awareness campaign to invite people to share their views consisted of links with third sector providers, social media posts, copies in local libraries and 43,000 postcards delivered - one to every household in Midlothian.
P.AHSC.6.3	Work with Community Planning Partners, in particular community & third sector partners to identify opportunities for integrated working that supports people to stay healthy and independent	**21/22:** On Target Two Third Sector summits across 2021/2022. The next one taking place in the summer of 2022.	100%	Number of Voluntary Sector Forums		2	✅	2	**H2 21/22:** On Target

07. Support people to live at home

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.AHSC.7.1	Train frontline staff on Housing Solutions to encourage earlier conversations about housing - focusing on staff who are often the first point of contact such as podiatrists practice nurses, and district nurses.	**21/22:** On Target Activity will progress in 2022. Review scheduled for April 22 to review training package and timetabling / number of training sessions, and identification of additional trainers. February review postponed due to staff availability to meet.	100%	Number of staff trained.		80	🛑	75	**H2 21/22:** Off Target Activity will progress in 2022. Review scheduled for April 22 to review training package and timetabling / number of training sessions, and identification of additional trainers. February review postponed due to staff availability to meet.
P.AHSC.7.2	Voluntary sector and Primary Care collaborations to support people identified with mild frailty in order that they are able to stay well at home for longer	**21/22:** Off Target Proactive identification (e-frailty) and support for people with mild frailty was constrained during 2021 owing to the Covid-19 pandemic. 277 people identified with frailty were supported by the British Red Cross to stay well at home during 2021-22. It is recognised there are opportunities to better support people escalating between mild, moderate, and severe frailty, and provide tailored support. Work is underway to review and redesign the frailty programme recognising the need to consider the impact of the pandemic, including deconditioning/falls risks, robust anticipatory care planning and alternative methods for identifying people with frailty. This action is now complete.	50%	Number of assessments for home adaptations by Red Cross Link Workers, as part of frailty assessment.		40	✅	122	H2 21/22: On Target
P.AHSC.7.3	Deliver support for carers that is personalised and builds on people's strengths and what matters to them	**21/22:** On Target Adult Carer Support Plans (ACSP) continue to be delivered by the HSCP and VOCAL. Reporting schedule and monitoring & evaluation framework has been completed and is in use. The HSCP has met with VOCAL and Red Cross to discuss the offer of ACSPs and recording of carer census – referral pathways from Red Cross in to VOCAL to enable this work to be	100%	Number of Carers receiving 1:1 support by newly commissioned carer support services (Starting July 2021)		500	✅	2,685	**H2 21/22:** On Target
				Number of Adult Carer Support Plans completed by newly commissioned carer support services (starting July 2021)		500	✅	1,930	**H2 21/22:** On Target

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
		done and information captured is in hand.							

Community Safety and Justice

Midlothian

Summary of successes

H1 21/22:

On 1 April 2020 the Midlothian Community Justice Outcomes Improvement Plan 2020-2023 (CJOIP) was published. This sets out an ambitious programme for the next three years with the aim of making Midlothian communities safer and helping to prevent and reduce offending. The plan brought together statutory partners, third sectors partners, service users with lived experience of the justice system, elected members and Board members. Rich data was collected that formed the basis for joint actions, resulting in a service user and partner led CJOIP that is fit for the purpose of serving those involved in or affected by the justice system in Midlothian.

Our Communication and Engagement Strategy, for 2020-23 was developed in Spring 2020 which outlines the partnerships approach towards National Outcome 1 (Communities improve their understanding and participation in community justice) along with an ambitious performance framework of seventeen consultation and engagement actions that will be taken forward over the next three years.

One action contained within the plan is to 'Develop a trauma informed service that focuses on tailored, structured intervention and access to wraparound services for men on Community Payback Order (CPO) supervision'. The first step in designing the new holistic service was to consult with those individuals who would be most impacted by the service. One part of this was an online questionnaire devised to capture feedback from clients currently in the Justice system. The survey found that 44% of all clients who responded reported 'feeling anxious', and 39% of clients reported 'feeling low and depressed', making up the largest proportion of issues felt by clients. Over a quarter of clients who responded reported 'feeling bored', and were struggling to cope with issues from childhood. Taking into account the results of the survey, a screening tool was developed which indicates areas of therapeutic intervention. This tool will also be used as a referral process to the Men's Group. Structured interventions that will initially be offered via the Men's Group are separated into three phrases:

Phase 1 is 4 sessions based on MBT skills and Decider Skills; phase 2 will be the Emotional Resources Group, which is a 6-session course developed by the NHS with evidence that it has positive effects on emotional regulation, wellbeing and self-efficacy. Phase 3 will be a 10-week, psycho-educational intervention course 'Survive and Thrive'. This course is designed for people who have experienced trauma, focusing on their safety and supporting efforts to create stability. The general purpose of the group is to help participants develop a better understanding of trauma and common reactions to trauma as well as to learn and practice coping strategies for dealing with some of the impacts of traumatic experiences.

The Men's Group will be facilitated by social workers (from Justice and the Substance Misuse Service) and peer support workers with lived experience. The expectation is that all men placed on a CPO will be considered for the Men's Service. It is hopeful that as the group develops, other external services that aim to promote better outcomes for men will become involved. The Men's Group is set to start in mid-June 2021.

The Spring service has continued to develop as an example of a trauma informed and gendered specific service, supporting women who are affected by histories of complex trauma and have issues with substance use, mental health and/or offending behaviour. Spring is a collaborative service, involving staff from Women's Aid East and Midlothian (women's support worker), Access to Industry (Shine worker), Health in Mind (Peer support worker), NHS (Spring Occupational Therapist and Health Inequalities Team nurse) and Justice Social Work (Spring Social Worker, Caledonian Women's Worker and Justice Social Worker). Research indicates that there are significant benefits to creating a 'one stop shop', where women can access support for all of their needs under one roof.

This holistic approach continues with the No 11 Allocations Service. This visionary forum brings together Health, Substance Misuse, Social Work, Housing, and third sector agencies to develop bespoke packages of care/support/treatment to individuals who use No 11 recovery hub. This innovative forum further evolved to include

voluntary through care provision for those returning to Midlothian having served a custodial sentence. With a signed information sharing agreement with the Scottish Prison Service, Midlothian is now aware of individuals returning to our communities. The forum has some excellent examples of holistic support being offered to services users. In-reach work in the prisons and then transitioning support to the community is now coordinated, person-centred and solution focused; involving Midlothian specific services, resources and agencies. The forum has also been invaluable on planning for early release prisoners coming out of custody during the Covid-19 crisis.

Summary of major challenges and actions to address them

H1 21/22:

Challenges

The **Covid-19** crisis has challenged all services including Justice Social Work and Community Justice. Adapting service delivery will be a demanding and ever changing task in the months that come. The limited face to face contact has impacted on both service users and staff. Use of technology has been at the forefront of service delivery to provide consistency of contact giving some predictability in the pandemic. As stated previously the fact that we already had a regular multi-agency meeting (the No.11 Allocations Service) has helped us to plan for the release of prisoners during the crisis.

It is projected that **unemployment** will rise by 10%-20% in Midlothian as a result of COVID-19. This will cause even more challenge to individuals with experience in the justice system obtaining employment post prison sentence or post Community Payback Order. An action agreed in our three-year CJIOIP is to implement the project Recruit with Conviction – a project that promotes safe, suitable and sustainable employment for people with convictions. Training is also taking place with locally based employers and awareness raising among Justice staff and those in the Justice system on the legislative changes within the Management of Offenders Act (Scotland) Act 2019 which came into force on 30 November 2020. The overall aim remaining that this project will support access to employment for the 20% of adults who have criminal convictions.

Community Safety and Justice Actions and PIs 21/22

Midlothian *Moving Forward*
Community Planning for Midlothian

01. Reduce Violent Crime

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.CSJ.1.1	Work with partner agencies to prevent violent behaviours, manage violent offenders and develop a programme of interventions to reduce levels of violent crime.	**20/21:** Complete We have recently recruited a Desistance Team Leader to work with men on Community Payback Orders. Part of this role will be to develop programmes that tackle attitudes that support the use of violence.	100%	Number of violent crimes recorded by Police	17/18 = 69			487	**H1 21/22:** Data only *Baseline and Target n/a due to data collection changes* Group 1 (serious crimes of violence): **68**; Common assaults: **389**; Common assault of police officer: **30** Common assault of retail worker (new legislation from Aug 2021): **0**

02. Reduce Substance (Drug and Alcohol) Misuse

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.CSJ.2.1	Undertake a range of communication and engagement activity regarding responsible alcohol consumption	**20/21:** Complete	100%	Reduce the number of (all) alcohol related hospital stays (patients per 100,000 population)	17/18 = 537	537		N/A	**H1 21/22:** Annual measure
P.CSJ.2.2	Develop substance misuse services to reduce immediate harm, future harm and promoting recovery	**H1 21/22:** Off Target Starfish remains closed due to Covid restrictions. Prior to this attendance was approx. 80 to 90 per week.	100%	Increase the average weekly attendance at Horizons Cafe	80 per week	80		0	**H1 21/22:** Off Target Starfish remains closed due to Covid restrictions. Prior to this attendance was approx. 80 to 90 per week.

03. Reduce Domestic Abuse and Protect Women and Girls

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.CSJ.3.1	Raise awareness of Violence Against Women and Girls with services and communities	**H1 21/22:** On Target The Domestic Abuse Referral Pathway received 111 referrals from Midlothian. This was 20% of the 565 incidents of domestic abuse in Midlothian recorded by Police Scotland. Midlothian Marac heard 46 cases of which 60% involved a total of 90 children. All 6 planned Maracs were held and one additional Marc due to demand. Our VAWG multi-agency training has resumed via MS Teams. During H1 we provided 4 training sessions with a total of 75 participants: 2 x Improving our Practice on VAWG: Spotlight on Domestic Abuse 1 x Trauma, Domestic Abuse and Children And Young people under 18 1 x Protecting people from Serious Harm from Domestic Abuse, assessing risk and referring to Marac Of those who returned an evaluation 94% reported an increase in their knowledge. Uptake of our 'Introduction to Gender Based Violence' LearnPro continues to be quite limited at 2 in Q1 (Q2 is pending). Midlothian has continued to embed the Safe & Together model into practice, which is led by the Children & Families Service Manager. Communications: During H1 EMPPC established a multi-agency communications group and a Twitter account, which is	100%	% of repeat referrals to MARAC within one year	**Baseline:** H1 14/15: 100% **Target:** 15/16 Target: 100% 14/15 target: 100%	40%	✅	32%	**H1 21/22:** Off Target Slightly below the recommended repeat referral rate of 28%-40%
				Number of domestic abuse incidents recorded by the police	16/17 H1 549 17/18 H1 488		📈	572	**H1 21/22:** Data only
				Proportion of men who successfully complete the Caledonian programme who do not have any crime reports completed for domestic abuse in the following 12 months	First year reporting on measure		📈	N/A	**H1 21/22:** Data only Annual measure. Data will be available at year end. In addition to the Caledonian programme for non-court mandatory work Midlothian will offer a voluntary service for perpetrators of IPV from the Midlothian Families First Service.

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
		improving the circulation of VAWG information publicly and within the Council.							
P.CSJ.3.2	Equally Safe Priority 4 'Men desist from all forms of VAWG and perpetrators of such violent receive a robust and effective response'. Action for a pathway group to be initiated between CJ and WAWG to take forward priority 4.	**H1 21/22:** On Target Approved by CJ Board that community justice will be responsible for the implementation of Priority 4.	100%	Development of Pathway and action plan				N/A	**H1 21/22:** First year reporting that will gather data from statutory and voluntary cases.

04. Road Safety

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.CSJ.4.1	Educate people regarding speeding, drink driving and responsibly parking	**H1 21/22:** *await update*	0%	Consult on and deliver a Midlothian road safety plan consult on and deliver a Midlothian road safety plan					**H1 21/22:** *data not yet available*

05. Communities improve their understanding and participation in Community Justice

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.CSJ.5.1	Ongoing engagement with local communities and business through social media - good news stories regarding CPOs and unpaid work beneficiaries	**H1 21/22:** On Target The CSJP continue to tweet on a regular basis to ensure communities are kept updated on CJ matters. A new set plan has been made to further engage the community via social media.	50%	The number of combined followers on CSJP social media platforms (Facebook and Twitter)		420.5	✅	681	**H1 21/22:** On Target New set plan has been made to further engage the community via social media.
P.CSJ.5.2	Plan and deliver a seven day period of community justice advertising campaign focusing on case studies. This will highlight the link between education/training/employment, health inequalities, substance misuse, housing, positive attitudes, relationships	**Q4 21/22: Partnership working with Edinburgh college to release media students short films on community justice which will support the seven day campaign.**	80%	7 days of CJ campaign completed			📈	No	**H1 21/22:** Initial planning with partnership is ongoing.
P.CSJ.5.3	Set up a standalone input on community justice in the quarterly Midlothian Health and Social Care Partnership Newsletter	**H1 21/22:** Off Target Not yet in progress. Held back due to COVID.	100%	CJ input in every Midlothian Health and Social Care Partnership Newsletter			📈	No	**H1 21/22:** HSCP newsletter not currently being published. Discussions have taken place for CJ to provide input when it is restarted.
P.CSJ.5.4	Publish a Community Justice E-learning toolkit for all Council staff	**H1 21/22:** Complete E-toolkit is completed and online.	100%	Percentage of relevant partnership staff completing e-toolkit		50%	❓	N/A	**H1 21/22:** E-Learning toolkit complete and mandatory to staff groups. First year recording data not yet available
P.CSJ.5.5	Redesign and develop measurable outcomes for beneficiaries of Unpaid Work Projects, and market online application form for unpaid work	**H1 21/22:** Complete	100%	Analysis of evaluation forms from beneficiaries of unpaid work. Increase positive feedback from beneficiaries			❓	N/A	**H1 21/22:** Annual Indicator Delayed due to COVID – data will be collated in April 2022.

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.CSJ.5.6	Review and renew the Communication Action Plan for 2020-23	**20/21:** Complete Signed off by CSJP Board	100%	Communications Plan 2020-23 produced and signed off by Community Justice Board				Yes	**H1 20/21:** Data only Complete and signed off by CSJP Board.
P.CSJ.5.7	Commitment from the Partnership to co-produce where possible	**20/21:** Complete Coproduction in CJOIP and several other projects. Plans in place for regular flow of information between CJ and Justice Clients. 6-week meetings being held.	100%	Level of involvement of partners and service users in planning and delivering services				Yes	**H2 20/21:** Complete Coproduction in CJOIP and several other projects. Plans in place for regular flow of information between CJ and Justice Clients. 6-week meetings being held.

06. Partners plan and deliver services in a more strategic and collaborative way

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.CSJ.6.1	Commitment from CJ partners to participate in self-evaluation using the Care Inspectorate template	**20/21:** Off Target Initial meetings have taken place to discuss best methods of self-evaluation and communication has been made with CJ Scotland re prospective inspection outcome. Delayed due to COVID. This indicator will be merged with 5.2 and 5.3 and actioned in 2021/22.	20%	All statutory partners engage in the self-evaluation process by attending a workshop or completing an evaluation form		70%	🛑	0%	**20/21:** Off Target Delayed due to COVID. This indicator will be merged with 5.2 and 5.3 and actioned in 2021/22.
P.CSJ.6.2	Develop a shared vision for all partners	**H1 21/22:** On Target Progressed and a theory of change exercise planned with working group to develop vision.	100%	Vision developed and clearly communicated			📈	No	**H1 21/22:** On Target
P.CSJ.6.3	Review membership and operation of Community Justice Board and Working Group	**20/21:** Off Target No progress. Delayed due to COVID. This indicator will be merged with 5.1 and 5.2 and actioned in 2021/22.	100%	Qualitative data from partners			📈	No	**H2 20/21:** Delayed due to COVID. This indicator will be merged with 5.1 and 5.2 and actioned in 2021/22.
P.CSJ.6.4	Develop the Alcohol Problem Solving Court in Midlothian building on working relationship between health, justice services and third sector agencies	**H1 21/22:** Complete Alcohol PSC is now in operation but we have had no referrals (due to COVID and courts begin closed). Referrals will come from the sheriff to Justice.	100%	Number of assessments requested by the court			📈	0	**H1 21/22:** Data Only No referrals due to COVID and courts begin closed. Referrals will come from the sheriff to Justice.
P.CSJ.6.5	Encourage Midlothian Community Justice partners to support the Y2K 180 Project by delivering relevant input	**H1 21/22:** Off Target Several partners have agreed to be involved and several inputs have already taken place. Discussion has taken place at providing CJ input to 180 project on a regular basis once the youth work resumes from COVID recovery.	50%	Level of CJ partnership involvement in Y2K 180 project. Positive feedback from service users of the 180 project			📈	60%	**H1 21/22:** Data only Continued inputs when COVID-19 restrictions decrease contact to be made with Y2K to plan a programme of inputs from the partnership when service resumes fully.

07. People have better access to the services they require, including welfare, health and wellbeing, housing and employability

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.CSJ.7.1	Launch ALISS database of services for Midlothian to raise awareness and understanding of the range of community based services that are available	**H1 21/22:** Complete All Midlothian services have been input onto ALISS which is live searchable. CJ communicated with ALISS and partners in gaining their own organisational editing rights. We now have a full directory via the online system.	100%	Number of Midlothian searches carried out on ALISS					**H1 21/22:** Complete Data to be collated in April 2022
P.CSJ.7.2	Publish free booklet - Community Justice directory for Midlothian	**H1 21/22:** Complete Booklet designed however print company can no longer maintain contract as a result of Covid. Booklet marketed electronically and through social media.	100%	Free booklet published, distributed and marketed online				Yes	**H1 21/22:** Data only
P.CSJ.7.3	Implement 'Housing First' in Midlothian	**H1 21/22:** Complete Housing first implemented.	100%	Number of individuals in tenancies receiving a package of support				6	**H1 21/22:** Data only On track to deliver 20 over the year. 12 currently have been approved for housing first.
P.CSJ.7.4	Build stronger links with Department of Work and Pensions, Welfare Rights and Skills Development Scotland and ensure better access to their services by creating drop-in clinics at Number 11	**H1 21/22:** Complete SDS and DWP are attending the No. 11 allocations meeting.	100%	Meetings held fortnightly via Microsoft teams with multi-agency team in attendance.		Yes	✅	Yes	**H1 21/22: On Target**
P.CSJ.7.5	Continue the No 11 Practitioners Forum and develop a protocol	**20/21:** Complete Protocol/ISP signed off by legal department.	100%	Protocol developed and implemented				Yes	**H2 20/21:** Complete
P.CSJ.7.6	Create / develop an automatic referral process to third	**H1 21/22:** On Target	100%	Number of referrals to the No. 11 Practitioners Forum			❓	N/A	**H1 21/22:** On Target

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
	sector support agencies with a focus on males aged 18-26 with mental health and substance misuse issues (who are on CPOs)	The STRIDE service is now in operation and has initiated support and referrals.							Data analysis will be collected after year one of service delivery.
P.CSJ.7.7	Develop the Fresh Start worker's role within the wider justice context	**20/21:** Complete Fresh Start worker has been working to address poverty in conjunction with various organizations including Midlothian Council, Recovery Cafe; MELDAP, MELD, food banks and Social Bite Also working to reduce digital exclusion through Connecting Scotland, NHS, MELDAP. Fresh Start services are also being provided to refer unpaid work clients with complex needs.	100%	Fresh Start worker involved in increased partnership working - qualitative				Yes	**H2 20/21:** Complete Providing mobile phones and top ups, food and fuel vouchers. Food delivered by various staff in SMS, NHS and unpaid work to various people including homeless accommodation Working with partners to ensure those excluded have computers, tablets and smart phones as well as data. Providing digital support. Assisting with completion of hours through other' category.
				Number of people taking up the Fresh Start service				54	**H1 21/22:** Data only CGL staff attendance at St Leonards on Sundays to offer support for arrest referral services as of June 16th. All detainees go to St Leonard's as Dalkeith Custody suite remains closed.

08. Effective Interventions are delivered to prevent and reduce the risk of further offending

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.CSJ.8.1	Redesign exit questionnaires for all individuals on Community Payback Orders to gain feedback on the service delivery of the justice team	**20/21:** Complete	100%	Annual analysis of completed questionnaires with findings used to inform future service delivery				N/A	**H1 21/22:** First analysis will be completed in April 2022 to provide 12 months data set.

09. Life chances are improved through needs, including health, financial inclusion, housing and safety being addressed

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.CSJ.9.1	Develop new ways to engage with and support younger people in substance misuse treatment services	**20/21:** Complete MYPAS has developed new ways to engage with young people during lockdown with a number of services moving online. When appropriate face-to-face meetings were arranged out of doors. Additional funding has been allocated to MYPAS to develop a young people's app to provide up to date and relevant information on services to support young people across Midlothian and East Lothian. MYPAS organised three cluster training sessions for a range of staff from different services on the Midlothian document, Positive Attitudes to Risk.	100%	Number of young people supported across Midlothian in substance misuse treatment services				28	**H1 21/22:** Data only In the period April to September 2021 a total of 28 young people received on-going individual support over this period. 332 appointments were offered and 249 undertaken. 71% of young people reported reductions in drug/alcohol use.

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.CSJ.9.2	Increase the range of substance misuse treatment and recovery interventions available for individuals and their families delivered through Number 11	**20/21:** Complete Number 11 continued to provide a number of core services and increased its assertive outreach work through the appointment of an additional nurse. The number of high risk clients using Buvidal has increased and working in partnership with MELD people have been provided with a basic smart phone and /or data top ups to minimise their social isolation and help them 'keep in touch'. The Women's Supper Club stopped because of Covid-19 restrictions. A women's peer worker, based at Health in Mind has provided online support to women.	100%	Number of new interventions being delivered at Number 11				N/A	**H1 21/22:** Number 11 continued to provide a number of core services and increased its assertive outreach work through the appointment of an additional nurse. The number of high risk clients using Buvidal has increased and working in partnership with MELD people have been provided with a basic smart phone and /or data top ups to minimise their social isolation and help them 'keep in touch'. The Women's Supper Club stopped because of Covid-19 restrictions. A women's peer worker, based at Health in Mind has provided online support to women.
P.CSJ.9.3	Develop the role of peer workers, volunteers and other MELDAP services within Number 11	**20/21:** Complete This work is now completed with an agreed 3-tier pathway for peers. This pathway describes the three tier model, the requirements including additional qualifications required to progress and the salary levels attached to each of the three tiers.	100%	Number of peer workers and volunteers contributing to service delivery within Number 11					**20/21:** Not available due to COVID.

10. People develop positive relationships and more opportunities to participate and contribute through education, employment and leisure activities

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.CSJ.10.1	Implement the programme designed by Recruit with Conviction	**H1 21/22:** On Target There was a delay in facilitating the RWC training inputs. These	100%	Number of representatives from relevant businesses (including Midlothian Council HR,				0	**H1 21/22:** Data only Workshops and training dates agreed and underway. Due to be completed by Dec 21.

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
		are now planned for Nov21 and Dec 21.		Business Gateway) who attend recruit with conviction training					
P.CSJ.10.2	Use Midsafe money to fund a youth project with specifics around supporting parents and family relationships	**20/21:** Complete Applications received and funding awarded to Stay for Play organisation. Awarded money in Dec 2020.	100%	Evaluation of project after one year				No	**H1 21/22:** Evaluation will be carried out in December 2021.

11. Individuals resilience and capacity for change and self-management are enhanced

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.CSJ.11.1	Develop the SPRING service - specifically develop 'Stepping Stones' and the 'Next Steps' phase of SPRING	**H1 21/22:** On Target	100%	Increase the number of referrals to SPRING service for women				5	**H1 21/22:** Data only 5 new referrals have been received during the reporting period of April-September. The previous waiting list has now been reduced from 22 to 6. Women with involvement with Justice remain prioritised. This has been noticeable with those women who are subject to Structured Deferred Sentences (SDS).
				The number and percentage of women who attend Spring Service initial appointment who go on to engage with the service for at least three months				2	**H1 21/22:** Data only 30%. Women are now offered Stepping Forward (previously known as Stepping Stones) with greater flexibility. Further to the initial assessment women are encouraged to attend group and if this is not possible due to trauma response 1:1 work which mirrors the group work is offered until introduction to the group can be successful given thereby offering a tailored service approach.
				Number of women engaging with the Next Steps phase				3	**H1 21/22:** Data only Support from Stepping On is similar to Stepping Forward in that if women have a period of non-attendance at group then Spring's OT will reassess offering 1:1 support or if more appropriate signpost to other agencies. This is to ensure women have continued support once the Spring Service has ceased involvement.

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.CSJ.11.2	Review and develop the structured programme Stepping Stones to incorporate elements of Cognitive Behaviour Therapy and Decider skills, in partnership with psychological therapies.	**H1 21/22:** Complete The Stepping stones programme materials and resources have been updated. They are currently being piloted within the group setting and feedback from participants has been positive.	100%	Feedback from women that demonstrate positive change for individuals.				Yes	**H1 21/22:** Positive feedback received. Psychological services have now committed to be part of the Spring Steering Group. The Spring service has made direct referrals to psychological services e.g. DBT. Spring staff are all trauma level 2 training. The Spring Team Leader and Spring Social Worker now facilitate trauma training.

89

GIRFEC

Midlothian 🍂

Summary of successes
21/22: **Improving children and young people's mental health supports** has continued to be a key focus this year. Over 500 children and young people have received support from additional early mental health support provision as a result of Community Framework and Midlothian Early Action Partnership (MEAP) funding. Further Community Framework funding for 22/23 was confirmed in December and this has been awarded to enable third sector organisations to continue delivering agreed activities from April '22 to March '23. Feedback from beneficiaries, including families, carers and school staff – over 600 of whom have also received training, information, advice and practical support via the MEAP funded **Jigsaw Project** and **Community Framework projects** – has been overwhelmingly positive and has helped informed the decision to offer continuation funding to a number of current projects funded through the Framework, enabling them to continue offering effective support throughout 22/23. Knowing how to access mental health supports in a timely way is a key priority and a blueprint for establishing a **single point of access** for requesting support has been drafted; funding is in place to recruit two key roles to take this work forward. The actions and priorities of the **Early Years GIRFEC Subgroup** for 2021/22 have complemented the publication of the Public Health Scotland COVID-19 Early Years Resilience and Impact Survey (CEYRIS) which aimed to find out about the experience, and impact of COVID-19 and the associated restrictions on our young children (2-7 year olds) across Scotland. The research analysed the significant impact that the pandemic is having on children and families. The early year's subgroup actions prioritised the following areas, all of which feature significantly in the CEYRIS impact report. **Healthy Start:** The Henry approach has been successfully rolled out to partners in the private, voluntary and public sectors. 30 practitioners have received the basic training from Henry and built the approach into their early intervention work with families. This includes Midlothian Sure Start who delivered online sessions to families which included inputs and discussions on meal planning, healthy eating habits, the 'eat well plate', weening and breastfeeding, sleep support, healthy activities, wellbeing and practical cooking sessions where ingredients and utensils were provided. Feedback from the summer work was very positive and partners are interested in undertaking further training with HENRY to increase practitioner's skills and knowledge in terms of healthy eating and lifestyle work with families. Alongside this, Midlothian colleagues have contributed to the evaluation of the NHS pilot. The evaluation will be published imminently and will shape collaborative work on larger roll out and parent engagement. Consideration will be given to how the approach can be strengthened for 2022/23 in conjunction with the priorities of the Midlothian Mayfield Types 2 diabetes prevention test of change. **Family Learning** This year, our focus has been on evaluating the impact of the Parent's Involved in their Children's Learning approach which has been embedded in many Early Learning and Childcare settings and adopted by colleagues in health and the third sector. The University of Stirling has concluded the research which will be published following the May election. Overall, the evaluation of the approach found that "PICL has a constructive impact on the wellbeing of families with early year's children". It is an approach that is "succeeding to support key aspects of the parent-child relationship". This is the case especially for "parents' representations of their children's behaviours". The research found that as children's development progresses the outcome of a strengthened parent-child relationship is endeared. The research will also be presented at the annual conference for the European Early Childhood Education Research Association (EECERA) in July in Glasgow. **Early Language and Play skills project** Building upon an action from the 2020/21 plan to develop a consistent, early intervention approach to early language and play skills, this year has seen the roll out of the **Circle Up, Up and Away approach**. There has been significant

interest from organisations supporting children and their families to adopt this approach with 133 practitioners from across the private, public and third sectors completing the training. Baseline assessments for 77 children from the 6 pilot sites have been completed. Follow up data will be collected in May to establish impact. Anecdotal evidence is that the use of this approach is having an impact on the environment within the playroom and outdoors with a clearer focus on promoting early communication; interactions of the staff – more focused, more eye contact with the child, an awareness of developmentally appropriate interventions; and bringing consistency to all staff. Positive feedback on the approach was provided at a Care Inspectorate inspection at one of the phase 1 pilot settings in the private sector.

Another success to highlight this year was the implementation of the **increase in Early Learning and childcare funding** to 1140 hours per annum. Legislation came into effect on 1 August 2021 that places a statutory duty on education authorities to make 1140 hours of funded ELC available to eligible children. Midlothian Council introduced the expanded hours to all Midlothian families in the last academic year and continues to be able to deliver this duty. This expansion will improve children's outcomes, help to close the poverty-related outcome gap, improve family wellbeing and support parents and carers into work, study or training as we recover from COVID. Partners in the private, third, independent and childminding sectors across Midlothian have worked extremely hard to deliver this commitment in the difficult circumstances of the pandemic.

The **Equity and Inclusion GIRFEC Subgroup** has well established membership and is progressing actions for our key priority areas including reviewing partnership approaches to *ASN, Attendance, Poverty and Attainment, Nurture and Family Learning.* What has become progressively more evident is how interconnected the priority areas are and that consultation and planning and actions work to support the varied needs of our children young people and families. COVID, staffing and service restructures have impacted on the speed that work has progressed but the group has solidified the vision for the future and the need for all the work streams to be aligned.

The **Nurture strategy** was approved by the GIRFEC board and launched across the partnership. A nurture strategy group was established with representation across High Schools, Primary Schools and Early Years settings, Children and Families, the Inclusion and Well-Being Service, Community Life-Long Learning and third sector services. There are now 73 Nurture leads across services and 8 Collaborative Peer Support Network Groups. Further training and resources have been offered over the year to support the shared understanding of nurture in Midlothian. Training was held over 2 school in-service days with approximately 100 staff attending. 2 additional sessions were held with third sector services to discuss how their staff can be involved in supporting nurture in schools and council services. A digital platform has been created to share nurture based resources, this is advertised though the nurture newsletter and networks.

Education is undertaking a major review of how **Additional Support Needs** are understood, addressed and responded to in education and wider partnership services. 3 education staff have been seconded into the central team to support this work happening in a timely manner. Plans are in place to restructure staff and resources to ensure that all children across Midlothian have equal access to local supports for their needs. The final structure is awaiting financial approval before it is shared with wider partners.
While the structure is an important part of this work other work is also progressing. New SEMIS guidance has been produced to support schools to ensure accurate recording of individual children's needs. This provides services with a data set to better understand the needs of our children and young people and ultimately plan and allocate resources.
Progress actions related to **attendance and attainment** is supported is closely linked with the plans for ASN. As such much of this work has been paused to ensure it will align with changes in the ASN pathway.
Two pieces of research have been completed by Educational Psychology team to understand the use and impact of part time timetables and children and young People who have 0% attendance. This research has informed planning for the ASN review and future supports.

Plans to use the £700,000 of PEF money for a pilot project have been further developed into a final proposal for a sustainable **Whole Family Support Team**. This proposal has been developed with support from key partners across the partnership. The proposal now ensures that families can received support for children from birth to 16, and will be enhanced with commissioned financial and therapeutic supports from third sector partners. The intention is for this service to be in operation by August 2022.

A reconfigured **Family Learning** working group has been established to review the need for a Midlothian Wide Family Learning Strategy/Approach. This working group is now a joint endeavour across the Early Years and the Equity and Inclusion Subgroups. This strategy is now in draft with a view to further consultation regarding the

commitments across the partnership and the key actions to achieve the ambition of having a sustainable offer of family learning across the age span and across Midlothian.

Further work has begun across the partnership to consider Solihull as a single theoretical model to underpin to family learning across Midlothian.

Children and young people have been supported to address their own alcohol and drug use and/or to minimise the impact of other's alcohol and drug use on their lives. Partners have been successful in engaging with young people and their families, promoting children's capacity to be heard within their family, and for partners to be able to have high challenge, high support conversations with parents. The mix of peer support and practitioner involvement is a key success in this, in supporting parents' empathic understanding of the impact of their substance use. Children 1st have used children's voices to support change, whether this has been parents accessing residential recovery, becoming more connected to support or where there voice has meant being removed from their parents care. An example is that of one child who used the Children Harmed by Alcohol toolkit "I don't like it when my dad is sick in the morning when he drinks". The father subsequently opted into residential rehab following the sharing of his child's experience of the impact of his alcohol use.

During H2, 42 young people engaged in on-going MYPAS support for drugs/alcohol related issues, with a total of 482 appointments attended (average of 11.5 meetings attended per young person). Of these, 69% of young people reported reductions in drugs/alcohol use and 7 young people reported becoming drug/alcohol free.

The **Vulnerable Children and Young People GIRFEC Sub-Group** has been focusing on a variety of priorities. This includes an evaluation that was undertaken on the work around **Positive Approaches to Risk** guidance, which includes recommendation and areas for future developments. The guidance has been well received, is useful to practitioners and it addresses areas that concern practitioners and also explores areas they feel they have limited understanding/experience of.

The **Midlothian House Project,** which supports young people leaving care to live independently**,** has been very successful. The team are now in the process of developing an evaluation report to highlight the successes and outline future recommendations in terms of any continued work with Midlothian.

Work continues to progress actions outlined in the **Corporate Parenting Plan** and the Corporate Parent Strategy lead has been working with the Care Inspectorate strategic lead, to ensure our future plan is the best it can be.
A range of training programmes were offered across Midlothian, through excellent local partnership working, including:

- **Young people's Sexual Health Core and Confident RSHP training** programmes delivered to staff and volunteers from a range of settings to support them to be able to meet young people's sexual health needs. These programmes included current, relevant relationship, sexual health and parenthood (RSHP) education with confidence.
- **Relationship, Sexual Health and Parenthood (RSHP) training for practitioners working with Primary aged children:** 'Train the Trainer' programme was developed to support primary education to embed the RSHP into their health and wellbeing curriculum.
- **LGBT+ Awareness Training:** Sexual Health, MYPAS and the Inclusion and Wellbeing services delivered a LGBT+ awareness training programme which focused on increasing the knowledge around the needs of the LGBTQ+ community; increasing confidence in common terms used and practical ways to support LGBTQ+ young people in a school environment. 20 practitioners from education attended a 2 hour interactive online session on 16th August 2021.
- **Relationships, sexual health and parenthood training for practitioners working with young people with additional needs:** This training is currently been developed and will be delivered online through a series of short, recorded modules which you can access via a link. This would then be followed up by a short, 'live' Q&A session on Microsoft Teams. Further information please contact **HealthyRespectTraining@nhslothian.scot.nhs.uk**

There are currently 183 young people identified in Midlothian as **young carers.** Young Carer activities this year include 17 group-work sessions; 12 summer activity events and 25 young carers attended the drumming project delivered as part of the Youth Arts funding. Young carers also received 1-1 supports where appropriate. CLLE are now looking to recruit a Grade 7 post to continue the young carer work streams. This worker will continue to seek external funding for young carers. The team successfully obtained funding from the Carers Trust, Diamond Fund - Duke of Edinburgh Award. CLLE will continue to work with individual schools to ensure they can identify and more

accurately record young carers. Recently, 12 young carers were identified within primary schools as a result of this work stream.

In response to the Scottish Government's *A Rights Respecting Approach to Justice for children and young people: Scotland's Vision and Priorities Action Plan 2021-2022,* The **Midlothian Youth Justice Strategy** focuses on outcomes that must be achieved by 2024; Rights, Participation, Victim Support, Diversion from prosecution, no under 18's in YOI, improved use of data and improved communication. For the year 21/22, there were 202 referrals to youth justice and out of these, 54 were referred to children's services for an assessment of need and 7 were referred directly to SCRA. The number of repeat offenders has reduced significantly, indicating that our multi-agency approach to diversions is working.

The **Community Reach and Inclusion Bus** (CRIB) run by Heavy Sound was situated near Newbattle High School on Fridays between 11am – 3pm. This partnership venture provided support to young people who were not engaging in school and have been part of or are at risk of taking part in anti-social behaviour. An evaluation of the project will be undertaken during 2022.

The Midlothian Care Homes Manager, Police Scotland and the Early Intervention and Prevention Development Officer successfully piloted a **new project in relation to young people going missing from care**. This included the development and implementation of robust protocols which are being rolled out across other authorities. The pilot was innovative in that we agreed children's practitioner in the care homes workers would interview young people who were reported as missing and that they would seek further information or intelligence. This same approach is being rolled out and our staff have supported the delivery of training for return interviews in both East and Midlothian. A recent update has been added to the local protocol to include the use of taxis should a young person be required to be picked up and staff are unavailable to do this. The statistics for young people going missing in Midlothian continues to decline.

Summary of major challenges and actions to address them

21/22:

For the work led by Children 1st, on supporting children and young people to **address their own alcohol and drug use and/or to minimise the impact of other's alcohol and drug use on their lives,** the main challenge has been around **complexity of need;** the impact of COVID on parents' mental health and stability around substance use has been significant, meaning that they are supporting families for longer. We are also seeing **more co-working with social work,** with an increase in the number of families with child protection or looked after status referred into the service.

For those **Community Framework funded projects** seeking to deliver interventions via the creation of new posts there have been challenges in recruiting candidates with the requisite skills and experience during the lockdown periods; however, in each case it has been possible to arrange project extensions to accommodate these initial difficulties. The **Jigsaw Project** funded through the Midlothian Early Action Partnership was effectively paused for much of 2021 due to COVID restrictions and the resultant closure of schools, so a funding extension was negotiated enabling the project to continue on into Autumn 2022.

Significant financial investment is required to establish a **single point of access for mental health support**. The source of all of the funding has yet to be agreed.

COVID has continued to have an ongoing impact on staff absence, work pressures and priorities across the Partnership. Throughout the **Equity and Inclusion Subgroup** and related working groups this has impacted on the consistency of work and the progress with the agreed plan. Over the past year, we have seen a significant impact from extended periods of staff absence and staff moving on from key roles in Education, EPS and Children's Services. These changes in staff have had a direct impact on the working groups with leads of three Equity & Inclusion priority areas (Attendance, Nurture, and Family Learning) moving on to new roles. Again this has resulted in several actions being delayed.

Despite the delay, the sub group has continued to meet and refine the work required and have been able to examine where the work overlaps and how actions and priorities can be aligned. This has meant plans for consultation are more efficient and should avoid children, young people and families being consulted multiple times about similar

themes. Early 2022 has seen a number of key roles being recruited and new staff being introduced to the E&I sub group, this has enabled us to review the incomplete actions from 21/22 and develop achievable plans for 22/23.

In relation to Early Years, the publication of the CEYRIS study illustrates the importance of having localised information on children's development. Analysis of the Strengths and Difficulties Questionnaire results at a national level reveals that COVID19 has a negative impact on children's early language development. Looking at this information at a local level would help the subgroup plan for early interventions to support children and families with early language development. This year we set an action to improve data sharing. Unfortunately this is yet to be progressed mostly due to changes in organisational structures and staff absence. However, a meeting has been organised to discuss the challenges of data sharing and agree how information can be shared to ensure families get the right support at the right time.

As with other groups, the **Vulnerable Children and Young People's YP Group** are challenged with meeting the ever-increasing demands of the various work streams. The Group strive to ensure sustained and meaningful buy in from all partners.

01. Increased numbers of children will be safe, healthy and resilient

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.GIRFEMC.1.1	Children and young people supported by MELDAP commissioned services to address their own alcohol and drug use and/or to minimise the impact of other's alcohol and drug use on their lives	**21/22:** MELDAP funds two Midlothian services MYPAS and Children 1st. MYPAS works with young people aged 12-22 to provide information on the use of alcohol and other drugs including support to young people wishing to address their unhealthy use of these substances; primarily alcohol and cannabis. Children 1st provide whole family support to families where parental alcohol and drug use is a risk factor. While ensuring the children are safe and have the opportunity to thrive there is support for adults to improve their parenting skills. Children 1st works closely with adult treatment and recovery partners to help parents address their substance use.	100%	Number of children and young people provided with support		110	✅	139	**H2 21/22:** On Target H1 = 61, H2 = 78
				Number of children and young people reporting improved family relationships		55	✅	58	**H2 21/22:** On Target H1 = 21, H2 = 37
				Child/young person is at a reduced risk of harm as a result of parental drug and alcohol misuse		55	🛑	48	**H2 21/22:** Off Target H1 = 21, H2 = 27

02. Increased numbers of children and young people will receive timely and effective support when they need it

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.GIRFEMC. 2.1	Introduce additional earlier, community-level mental health supports	**21/22:** The Community Framework and Midlothian Early Action Partnership (MEAP) continue to fund additional earlier, community-level mental health services and supports	100%	The number of children and young people who receive support from additional early MH support provision as a result of Community Framework and MEAP early action funding				510	**H2 21/22:** Data Only C350 from Community Framework Services C160 from MEAP Project
P.GIRFEMC. 2.2	Pilot and evaluate a single referral pathway in an area of Midlothian (Penicuik)	**21/22:** It has been agreed that a Midlothian-wide roll-out will be the best way forward, as evidence already shows this works when done properly. Significant financial investment is required to undertake this work and the source of all of the funding has yet to be agreed. Blueprint drafted for a Midlothian-wide single referral pathway and presented to GIRFEC Board. Funding in place to recruit two key roles to take forward single referral pathway plans.	100%	Pilot in place and involving all key stakeholders		Yes		Yes	**H2 21/22:** On Target Instead of a pilot, research was undertaken to gather evidence of what works, which was shared with key stakeholders and a way forward was agreed.
				Interim evaluation of pilot completed with recommendations to GIRFEMC Board		Yes		Yes	**H2 21/22:** On Target Blueprint drafted for a Midlothian-wide single referral pathway and presented to GIRFEC Board. Funding in place to recruit two key roles to take forward single referral pathway.
P.GIRFEMC. 2.3	Identify and undertake earlier interventions that respond to the needs of individuals and reduce the numbers of 'inappropriate' referrals to CAMHS	**21/22:** The mapping work commissioned by MEAP was completed in April 2021 and the insights shared widely across Midlothian, including GIRFEC Board, CYP MH Strategic Planning Group	100%	Children and young people's feedback via Systems Mapping exercise (evidence-based, identification of supports needed and deemed a priority by children and young people)				49	**H2 21/22:** Data Only
				Percentage of referrals to CAMHS deemed as 'appropriate' referrals'				79.5%	**H2 21/22:** Data Only
P.GIRFEMC. 2.4	Pilot tier 1 intervention approach towards healthy eating and good nutrition in the Mayfield area,	**21/22:** 30 practitioners have been trained in the approach from across the public, private and third sectors. Local delivery partners have built the HENRY	100%	Number of practitioners trained in Henry approach		16		30	**H2 21/22:** On Target
				Number of families with children in the early years engaged in				44	**H2 21/22:** Data Only

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
	ensuring a consistent message across services that support families with children under 5	approach into family work. Midlothian colleagues have contributed to the evaluation of the NHS pilot. The evaluation will be published in early 2022 and will shape collaborative work on larger roll out and parent engagement. Consideration will be given to how the approach can be strengthened for 2022/23 in conjunction with the priorities of the Midlothian Mayfield Types 2 diabetes prevention test of change.		healthy lifestyle family learning activities					
P.GIRFEMC.2.5	Develop and embed best practice to support pregnant women who smoke to quit.	**21/22:** On target. 35% uptake of engagement well above the 10% target. This has been achieved through partnership with Quit your Way, midwives and third sector organisations.	100%	Increase the percentage of women identified as smoking at maternity booking who subsequently set a quit date with Midlothian's Quit your Way Service		30%	✅	35%	**H2 21/22:** On Target
P.GIRFEMC.2.6	Increase the availability of trauma-informed supports available to children and young people	**21/22:** Training on trauma-informed practice continues across Midlothian.	100%	Trauma informed workforce - number of staff trained across all services and organisations that support children and young people in Midlothian			📈	466	**H2 21/22:** Data Only 359 trained at Level 1 107 trained at Level 2

03. There will be reduced inequalities in learning

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.GIRFEMC. 3.1	Create accurate data-set, to monitor and track CYP with additional support needs' progress in learning and attainment	**21/22:** New guidance has been shared with all schools to support more accurate data collection via SEEMIS. The current data set allows the central team to understand Midlothian's ASN profile	100%	Appropriate support is being provided, based on data in place that identify needs, leading to improved attainment over time		Yes	🛑	No	**H2 21/22:** Off Target Data set in place. Quality assurance of data underway. This will inform new structure, resource provision and quality assurance visits to schools.
P.GIRFEMC. 3.2	Data-set being consistently used to monitor and track CYP with additional support needs' progress in learning and attainment	**21/22:** Data set now in place this will be used for QA over coming year to track and monitor attainment.	100%	Accurate data-set is consistently used in all schools to monitor, track and evidence of CYP progress in learning and attainment		Yes	🛑	No	**H2 21/22:** Off Target It has been agreed this target was too ambitious and without a review of how data was collected it cannot be used to report and measure progress. This action will be carried forward to 22/23 Review is in progress
P.GIRFEMC. 3.3	Launch five-year Equity and Inclusion Strategy	**21/22:** Final draft of strategy has been shared with partnership for comment. Key partners were are not in post until April/June 22 so action will be carried over. Strategy is no longer a 5 year strategic plan but a framework for service delivery.	50%	Strategic plan approved by GIRFEMC Board		Yes	🛑	No	**H2 21/22:** Off Target Draft is in final stages
				Level of school attendance of care-experienced children and young people			📈	91%	**H2 21/22:** Data Only
P.GIRFEMC. 3.4	Improve information sharing to support children that are identified as not meeting all their developmental milestones at the time of their health checks	**21/22:** Work is under away to improve the sharing of information. An initial meeting is arranged for 2nd May to discuss how this can proceed.	40%	Data sharing agreement in place		Yes	🛑	No	**H2 21/22:** Off Target This is ongoing

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.GIRFEMC.3.5	Create a Midlothian Family Learning strategy that encourages family members to learn together, with a focus on intergenerational learning, and enables parents to learn how to support their children's learning and development	**21/22:** The FLS was a shared action with EY and E&I sub-groups. Given the focus of Family Learning across the age range, it has now been agreed that this action will be led by E&I. The working group has been recreated and draft is in place for comment across partners. Evaluation of PICL approach has concluded. The report will be launched at a celebration event in June 2022. The research findings will also be shared at the EECERA Conference in July. Overall, the evaluation of the approach found that "PICL has a constructive impact on the wellbeing of families with early year's children". It is an approach that is "succeeding to support key aspects of the parent-child relationship". This is the case especially for parents' representations of their children's behaviours. As their development progresses the outcome of a strengthened parent-child relationship is endeared.	50%	Strategy in place with identified actions		Yes	🛑	No	**H2 21/22:** Off Target Draft is in final stages and will be carried forward until 22/23.
				Evaluation of the implementation of Parents Involved in their Children's Learning Approach by Stirling University		Yes	✅	Yes	**H2 21/22:** On Target
P.GIRFEMC.3.6	Collaboratively implement the Circle Up, Up and Away approach as an early intervention for children in their early years who are at risk of language and communication delay	**21/22:** 133 practitioners from across the private, public and third sectors have been trained in the approach. Baseline assessments for 77 children from the 6 pilot sites have been completed. Follow up data will be collected in May to establish impact	75%	Number of Practitioners (education, health, private/voluntary sector) trained in approach			📈	133	**H2 21/22:** Data Only
				Children that have been identified as at risk are assessed to have improved in their language and play development		Yes	✅	Yes	**H2 21/22:** On Target Baseline information collected

Improving Opportunities for People in Midlothian

Midlothian

Summary of successes

21/22:

Child Poverty Working Group has completed Year 3 Report. The governance to form a strategic child poverty group has been secured to drive a more strategic approach to poverty across the Council and CPP.

Youth volunteering recovery is improving in relation to volunteering opportunities available and work with schools and recovery targets are approaching pre-pandemic levels.

Local Employability Partnership has worked collaboratively to produce No One Left Behind Delivery Plan for Scottish Government for 2022/23 funding. Organisations secured employability grants to meet employability targets in 2022. This will continue for 2022/23. The increase in the number of parents, both in and out of work, who have engaged with Parental Employability Support has increased substantially over the second half of 2022.

Front line advice given by CABx has seen a huge increase and the amount of money gained for local residents through the CABx and Welfare Rights Team has vastly exceeded targets set.

Participation measure shows Midlothian is above the national average at 93.7% although the numbers entering HE remains below target. The unknown number of young people who are not in positive destinations continues to be kept at a low level due to the co-ordinated efforts of partners.

Progress towards the recovery targets identified in the CLD Plan is either very good or good, with steady progress made in all areas.

Council large and small grants, employability and TSi grants (health and wellbeing, community based adult learning and climate change) were co-designed and funds allocated through partnership panels, further enhancing a partnership approach. The panels for Council grants also included cross party elected members and community members who brought a range of knowledge and experience to the assessment process and decision making.

Summary of major challenges and actions to address them

21/22:

The impact of the cost of living and fuel increases will present a major challenge to the work of IOM. There is initial work underway around exploring approaches including Community Wealth Building, 20 minute neighbourhoods and food and growing strategies to combat this and develop a sustainable approach. The collaborative work around employability support will also help to move people into employment and better paid jobs.

Child poverty levels remain a challenge but the move towards having a strategic group to drive the agenda will leave the child poverty working group to focus on early intervention and prevention work and making an impact.

There is a continuing challenge around identifying and accessing suitable spaces in some geographic communities to deliver activities such as youth work and informal adult learning. Identifying buildings such as churches and community organisations is underway but there are costs involved which can mitigate against this use.

Improving Opportunities for People in Midlothian Actions and PIs 21/22

01. The number of children living in poverty is reduced

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.IOFPIM.1.1	Provide comprehensive support to families to maximise their income, increase their skills and access sustainable employment	**21/22:** **IFS:** Most families engaging are referred by Early Intervention Team and require a great deal of family support and intervention so are not at the stage of entering employment and training. Now taking referrals from wider partners to address this and have a more balanced caseload to increase numbers achieving positive outcomes. **PES:** 155 parents engaged over the year, 77 new parents in Q4. 49 of these parents are already in employment but looking to upskill and get a better job. 11 entered part time employment, 7 entered full time employment and 2 became self-employed. Slightly below target set as Covid impacted on engagement and people moving into work due to changing family/carer commitments	100%	Number of instances of front line advice given (CABS)		4,500	✅	12,790	**H2 21/22:** On Target
				Number of instances of specialist tribunal / appeal / support given (WRT)		700	✅	857	**H2 21/22:** On Target
				Amount of household income gained (WRT)		£3000000	✅	£4320090	**H2 21/22:** On Target
				Amount of household income gained (CAB)		£2,500,000.00	✅	£5,703,704.00	**H2 21/22:** On Target
				Number of Intensive family support (IFS) families entering into an action agreement		10	✅	19	**H2 21/22:** On Target Although referrals are higher than anticipated, most of the families are at stage 1 or pre-stage 1 which means they need lots of intervention before being able to progress to next stage in their journey
				IFS Participants no longer affected by debt as a barrier to social inclusion		7	✅	8	**H2 21/22:** On Target
				IFS Participants achieving positive outcomes (Employment and Education)		6	✅	8	**H2 21/22:** On Target
				Number of parents engaging in Parental Employability Support Programme		45	✅	155	**H2 21/22:** On Target
				Number of parents achieving increase in income through PESF		29	🛑	26	**H2 21/22:** Off Target Due to Covid impact on parents moving into employment and/or changing jobs
				Number of parents achieving qualifications through PESF		32	✅	48	**H2 21/22:** On Target

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
									Exceeded target with most individuals achieving more than one qualification
P.IOFPIM.1.2	Reduce food insecurity and fuel poverty	**21/22:** The Food and Health Alliance group is no longer in existence and that a review of food insecurity is being undertaken in 22/23	100%	Numbers assisted with crisis application to Fuel bank Foundation (2 payments: £30 (1st April -31st Oct), £49 per year 1st Nov – 31st March) (CAB)		30	✅	732	**H2 21/22:** On Target 2 payments of £30 = 356 2 payments of £49 = 376
				Implement new projects from Food and Health Alliance food insecurity recommendations including project on food vouchers and older people		3	❓	N/A	**H2 21/22:** Not Available The Food and Health Alliance group is no longer in existence and that a review of food insecurity is being undertaken in 22/23.
P.IOFPIM.1.3	Reduce the number of children living in poverty in Midlothian	**21/22:** End Child Poverty estimates 23.9% children in Midlothian are living in poverty (after housing costs) for 19/20. It is expected this figure will increase with the rising cost of living.	100%	The Child Poverty Act sets out four statutory, income-based targets (all after housing costs) to be achieved by 2030 - Less than 10% of children in relative poverty		10%	🛑	23.9%	**H2 21/22:** Off Target 23.9% of children are living in poverty after housing costs compared to 24% nationally

02. Increase participation measures for young people over 16

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.IOFPIM.2.1	Foundation apprenticeships offered by Midlothian Council	**21/22:** 105 young people commenced FA 4, 5 and 6.	100%	Number of places taken up for next academic year/ number of successful completions (Midlothian Council)		75	✅	105	**H2 21/22:** On Target
P.IOFPIM.2.2	Increase number of Edinburgh College places made available to Midlothian residents. Edinburgh College and partners	**21/22:** There have been 2088 enrolments from Midlothian for the 2021/22 academic session	100%	Number of places taken across 500 course options by Midlothian residents		3,000	🛑	2,088	**H2 21/22:** Off Target

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
	(Council / DYW/ SDS) will engage in high profile marketing and communications recruitment activities								
P.IOFPIM.2.3	Ensure that transitional support is offered to young people in S4, 5, 6 who are at risk of leaving school without a destination	**21/22:** Transitional support offered to all secondary schools in Midlothian.	100%	Youth work offer in each cluster at no cost to participants for P6-S1		4	✅	4	**H2 21/22:** On Target All four cluster have a minimum of junior and senior youth work offer
				Take up of 150 place alternative curriculum offer to leavers intending work as first destination to remain in learning and on school roll		100	🛑	0	**H2 21/22:** Off Target This was a C19 target and was not offered in 2021/22
				School college partnership offer expanded to include more digital qualifications		250	✅	508	**H2 21/22:** On Target 6 SCP pupils currently enrolled on an SCP digital qualification e.g. FA or NPA IT Software Development
				NOLB offers made		40	✅	41	**H2 21/22:** On Target
				Unknown's list average below 100		100	✅	88	**H2 21/22:** On Target
				Sustain Participation Measure at 1% above national average		1%	✅	1.5%	**H2 21/22:** On Target 2021 APM is 93.7% for Midlothian which is above the national average of 92.2%
				Care experienced / young carers % positive destinations is monitored and maintained within national average		71%	✅	80.95%	**H2 21/22:** On Target Latest figures 2020/21 show 80.95% of looked after children in a positive destination compared to 87.94% in Scotland. Some caution is needed due to the small number of children captured in this data for Midlothian.
				Number of young people engaging in Croft Street Hub (formerly PAVE/PAVE2)		56	✅	57	**H2 21/22:** On Target

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
				Number of young people gaining positive destinations of which 60% gaining positive outcome		60%	✅	95.3%	**H2 21/22:** On Target 789 leavers out of a cohort of 828 achieved 5 or more awards at Level 3
				Number of young people gaining 5 National 3 awards or above		90%	✅	90.78%	**H2 21/22:** On Target The latest data is from 2021
				Ensure Data Hub is up to date for S4-6 pupils		Yes	✅	Yes	**H2 21/22:** On Target
				Anticipated leave date (100%)		100%	🛑	99.6%	**H2 21/22:** Off Target S4 – 74.4% S5 – 93.6% S6 - 99.6%
				Preferred route (90%)		90%	✅	92.7%	**H2 21/22:** On Target S4 – 60.3% S5 – 78% S6 – 92.7%
				Preferred occupations (70%)		70%	✅	91.4%	**H2 21/22:** On Target S4 – 56.3% S5 – 76% S6 – 91.4%
				Number of young people who volunteer with Transform Project		40	🛑	39	**H2 21/22:** Off Target Engagement of young volunteers was returning to pre-Covid rates but Omicron restrictions Mid-December to February saw a slight reduction in new volunteers.
				No of sessions delivered to young people in Transform Project		90	✅	99	**H2 21/22:** On Target

03. Increase the number of adults in employment and qualification levels of adults in Midlothian

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.IOFPIM.3.1	Improve qualification levels for adults at levels SVQ1 and 4 and sustain qualifications levels at SVQ2 and 3	**21/22:** Offering more qualifications at both level 1 and 4 via CLLE, some SQA resulting will not be complete until summer 2022 for National 5 and Highers. Increase in number of courses offering first steps back to learning, mental health and wellbeing, digital skills	100%	Monitor qualification levels at SVQ 1	87.3%	84.2%	✅	88.5%	**H2 21/22:** On Target The latest available information (Jan-Dec 2020) shows Midlothian is above the Scottish average of 86.2%
				Monitor qualifications at SVQ level 4	39.9%	40.6%	✅	50.6%	**H2 21/22:** On Target The latest available information (Jan-Dec 2020) shows Midlothian is above the Scottish average of 49.0%
				Monitor number of people with no qualifications	7.9%	8.6%	✅	5.4%	**H2 21/22:** On Target The latest available information (Jan-Dec 2020) shows Midlothian is below the Scottish average of 8.1%
P.IOFPIM.3.2	City Region Deal IRES programme offered in Midlothian	**21/22:** Awaiting Update	0%	Numbers of individual supported / % successful outcomes from joint Construction training programme at Loanhead and in Edinburgh College		14	🛑	0	**H2 21/22:** Off Target The joint construction course was cancelled during C19, and then a further decision was taken to withdraw the offer
				Number of Midlothian residents engaging in City Region Deal digital programmes			📈	53	**H2 21/22:** Data Only
				Number of Midlothian residents gaining positive outcome through accessing Regional Skills Centres (sustained employment, additional hours, registering for support, assistance with accessing benefits)		20	✅	31	**H2 21/22:** On Target
P.IOFPIM.3.3	Reduce the number of adults aged 16 to 64 economically inactive in Midlothian	**21/22:** Continue to monitor and track, currently more vacancies than available employees in Midlothian	100%	Reduce the number of adults aged 16 to 64 economically inactive in Midlothian - Tracking Only		24.1%	✅	19.4%	**H2 21/22:** On Target The latest available information (October 20 - September 21) shows Midlothian is below the Scottish average of 23.9%
P.IOFPIM.3.4	Reduce the number of women claiming out of work benefits in Midlothian	**21/22:** Under Universal Credit a broader span of claimants are required to look for work than under Jobseeker's Allowance, so this number may rise	100%	Reduce the number of women claiming out of work benefits in Midlothian – tracking only		3.4%	✅	2.2%	**H2 21/22:** On Target The latest information available in February 2022 shows 2.2% of females claiming universal credit

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
									which is below the Scottish and UK average
P.IOFPIM.3.5	Support adults into employment through partnership working	**21/22:** Completed pipeline update	100%	Review and update Employability Pipeline		Yes	✅	Yes	**H2 21/22:** On Target Completed and published on website
				Numbers securing employment in health and social care sector through participation in Skills Boost programmes			📈	10	**H2 21/22:** Data Only
P.IOFPIM.3.6	Support adults into further and higher education through partnership working	**21/22:** The Skills Boost health Care course was developed in partnership between Edinburgh College and NHS Lothian. 10 people from Midlothian signed up for the course with all offered a full-time job with NHS Lothian close to their home. We will continue to encourage individuals from Midlothian to access this opportunity.	100%	Numbers attending Skills Boost programmes and achieving positive outcomes			📈	10	**H2 21/22:** Data Only

04. CLD Regulations are reviewed and new CLD plan agreed to meet statutory requirements

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.IOFPIM.4.1	Review existing CLD Plan and produce new CLD Plan for 2021-24	**21/22:** Plan competed and approved by Council and CPP. Will be reviewed every 6 months and updated as required	100%	Plan produced and action plan reviewed quarterly		Yes	✅	Yes	**H2 21/22:** On Target Plan completed
P.IOFPIM.4.2	Ensure equalities groups and representative bodies have their voice heard in the development of the	**21/22:** Complete – all equalities groups consulted via online survey and focus groups	100%	Number of equalities groups consulted		9	✅	9	**H2 21/22:** On Target
				Number of voluntary sector groups consulted		20	✅	20	**H2 21/22:** On Target

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
	plan subject to Covid restrictions								

05. Increase opportunities for Midlothian residents to be digitally included

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.IOFPIM.5.1	Increase access to digital learning opportunities across partners	**21/22:** Digital inclusion - Skills Development training piloted across Health and Social Care, Midlothian Council and Third Sector workforce. Looking to expand this in 22/23	100%	Map provision and produce Midlothian Digital Pathway with routes into support networks		1	✅	1	**H2 21/22:** On Target Basic map produced, incomplete participation
				Number of digital opportunities offered			📈	81	**H2 21/22:** Data Only H1 = 78, H2 = 3

06. Third Sector organisations and volunteers have improved skills, resources and knowledge to achieve positive change

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.IOFPIM.6.1	Deliver one to one business support, information and training to around 300 third sector organisations and individuals per year.	**21/22:** 94 Third Sector briefings sent out to 621 individuals 58 individual community groups, social enterprises and charities supported	100%	Number of instances of assistance		300	✅	679	**H2 21/22:** On Target
P.IOFPIM.6.2	Deliver an annual Third Sector Interface training programme, of 10 training events	**21/22:** 10 online training events offered: . Good Community Engagement . Top 10 Social Media Tips . Measuring Social Impact, . Community Change makers (in partnership with CLL), . Writing a Good Funding Application, . 20 Minute Neighbourhoods . Minute Taking . Mental Health for Managers . Cyber Resilience for the Third Sector . How to Write a Good Funding Application	100%	Number of training events delivered		10	✅	10	**H2 21/22:** On Target

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.IOFPIM.6.3	Collaborate with Midlothian Council to deliver the 1 year actions in the revised Midlothian Third Sector Compact	**21/22:** Grant scheme co-produced and launched	100%	Co-produce new Council grants scheme		Yes	✅	Yes	**H2 21/22:** On Target

07. Reduce health inequalities for people in Midlothian

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.IOFPIM.7.1	Deliver actions to contribute to the whole system approach to type 2 diabetes prevention in Midlothian	**21/22:** The diabetes prevention work has been hampered by COVID and also the lead worker has leaving the service.	0%	Review and reprioritise IOM members contribution to Diabetes prevention approach, minimum of 3 priorities		3	❓	N/A	**H2 21/22:** Not Available The diabetes prevention work has been hampered by COVID and also the lead worker has left the service.
				Provide 6 monthly update on progress in relation to action plan		2	❓	N/A	**H2 21/22:** Not Available The diabetes prevention work has been hampered by COVID and also the lead worker has left the service.
P.IOFPIM.7.2	Provide capacity building support to the Midlothian workforce to develop a prevention confident staff	**21/22:** Despite the pandemic staff have welcomed the opportunity to build their knowledge, confidence and skills in through various capacity building opportunities; noting it has felt positive to meet and learn with others and provided respite from the front line work.	100%	Provide learning sessions to statutory and third sector partners increasing their knowledge and understanding of health inequalities		10	❓	N/A	**H2 21/22:** Not Available The diabetes prevention work has been hampered by COVID and also the lead worker has left the service.
P.IOFPIM.7.3	Number of direct opportunities for volunteering in the Health and Social Care Partnership	**21/22:** Due to restructuring of the public health team this information is not currently available.	0%	Number of volunteers co-ordinated by the Health and Social Care Partnership		3	🛑	0	**H2 21/22:** Off Target Due to restructuring of the public health team this information is not currently available.

Sustainable Growth

Midlothian

Summary of successes

21/22:

Climate Emergency

The Actions identified in the 2021/2022 Single Midlothian Plan are intended to cover a three year period 2021/2024, and not all were expected to be delivered in the year 2021/2022.

The summary of success are:

- having a new acting Chair of the group, Midlothian resident, Rebecca Lewis.
- helping raising Climate Emergency on partners work agendas and the creation of a body of people working and interested in this area;
- work on biodiversity measures, including; incorporating further biodiversity work on school curriculum and engagement with Scottish Government; assistance with development of a Tiny Forest site of 600 trees at Bonnyrigg Primary School, identifying food growing and delivery of actions and priorities of the Midlothian Local Biodiversity Action Plan 2019-2024;
- ensuring Climate Emergency will be a central part of the review of the Midlothian Local Development Plan, including consideration of the role of "20 minute neighbourhoods", peer review of the replacement documents as it emerges, potential for carbon off setting, and biodiversity in new development; and
- starting work on creating hubs for information on Climate Emergency and sharing best practice – both on line and in paper format, but primarily on line.

Business Gateway

The Business Gateway service continues to be digitally delivered with 2 FTE Advisers; Advisers are attending local networking events with partners to increase service reach. We have exceeded each target set for the 3 areas of business support demonstrating a level of recovery but we are still hearing concern around supply chain, labour shortages and Covid borrowings.

Stimulate interest in Social Enterprise as a business model:

We have supported 8 clients that were not aware of social enterprise as a model but did have social or environmental aims; all 8 have now expanded their initial ideas and set up as Community Interest Companies and continue to access Adviser support as they develop their social enterprises.

Develop Strategy for pilot community enterprise project and deliver:

Plan in place for virtual delivery of community enterprise sessions across Midlothian in 2022/23 contributing to Community Wealth Building objectives.

Support TCCF 1 & 2 funds:

TCCF 1 - of the seven applications approved (£910,000) all projects are now complete with Penicuik Town Hall completing in quarter 3.

TCCF 2 – A further extension to July 2022 due to supply chain disruption and labour shortages, 2 of the 4 successful projects are complete with work ongoing at Jarnac Court & Welfare Park.

Maximise opportunities to support recovery in the tourism sector:

We continue to support the development of the tourism forum's digital presence and have representation on the steering group. A member benefit has been included of a quarterly roundtable meeting with Economic Development and Business Gateway to raise challenges and opportunities; early intervention in new initiatives can help accelerate those that will encourage more visitors to Midlothian. Business Gateway has referred 40 businesses to MTF & membership is now at 55.

Promote local employment opportunities:

The Locate in Midlothian website continues to be a valuable tool for employability opportunities and employment support. Each social channel is targeting different audiences and each is performing well in terms of audience growth and interaction.

Provision of PACE redundancy service:

PACE Local support 18/10/2021 – 31/03/2022 funded by Scottish Government, no referrals received from the national service, 3 individuals reached via partners, 2 moved to positive destinations and one is engaged with BG to set up as a consultant. The delivery worker was seconded from the CLLE team and contributed to the wider work of economic development, they were actively involved in supporting businesses to sign up to the SLL Gift card and processing of Covid grants. The understanding of what we do, how we do it, the sharing of knowledge and expertise across the team has been a valuable learning experience for all involved, perhaps a consideration as a tool for nurturing talent.

Local Procurement:

We have a dedicated officer in economic development and although progress has stalled over the Covid years due to capacity in both teams, we are in a good position to now take this forward with momentum as businesses are more comfortable directing resource at future opportunities. Addressing a gap in the learning cycle, we are introducing a procurement mentor to the client journey providing 121 support; this should increase the volume and quality of local bids.

Tyne Esk LEADER Programme finished, end date 31-12-21. 'Test of change year' Tyne Esk LEADER Scottish Rural Parliament project completed with full Midlothian/East Lothian needs based funding strategy produced. This will to inform the way forward with new fund 22/23 and beyond. Close links with communities fostered and communities primed for further engagement with the Scottish Rural Parliament. Opportunities to arise – Scottish Rural Youth Task Force/Scottish and Rural Islands Youth Parliament for young people, with Tyne Esk as potential first hosts, and Scotland's Older People Assembly for older people.

Rapid Re-housing Transition Plan 2021/22

Midlothian Council's Rapid Rehousing Plan (RRTP) was submitted to the Scottish Government on 30th June 2021. This sets out a vision that by 2024: an increased number of homeless households will obtain permanent accommodation, no homeless household will be accommodated in bed and breakfast accommodation, and the average time taken for the Council to complete its homeless duty will have halved from 105 to 52 weeks.

The RRTP sets out how Midlothian Council will continue the work undertaken to deliver key actions during 2021/22 and explains how Midlothian Council will address the next phase of its approach to transforming the services provided to those in housing need, including compliance with the Homeless Persons (Unsuitable Accommodation) (Scotland) Amendment Order 2020 that commenced on 1 December 2021.

These activities are crucial to reduce the time spent in temporary accommodation, improving the quality of temporary accommodation provided, continue to deliver Housing First and improve the health and wellbeing of those most vulnerable households. The plan also explains how Midlothian Council will address the next phase of its approach to transforming the services provided to those in housing need by developing other initiatives during 2021/22 and into 2022/23, with an emphasis on the prevention of homelessness, tenancy sustainability and early intervention.

During this reporting period, 99 households were assessed as homeless, with 385 households assessed since 1 April 2021. It is positive decrease of 22% in the overall number of homeless households assessed during as compared to 493 households assessed during 2020/21. Since 1st April 2021, 790 households have been provided

with advice and assistance compared to 515 for 2020/21 During 2021/2022 48 temporary properties have been successfully flipped to permanent tenancies. The service has also progressed the delivery of 22 housing first cases.

Summary of major challenges and actions to address them

21/22:

Climate Emergency

The Actions identified in the 2021/2022 Single Midlothian Plan are intended to cover a three year period 2021/2024, and not all were expected to be delivered in the year 2021/2022.

The summary of major challenges are:

- being able to deliver the required actions to help hit Net Zero by 2030;
- reviewing the range of extant carbon calculation methodologies and tools in use in government, academia and the private sector, and identifying one suitable, and publicising it;
- working with housing developers to maximise opportunities for land and buildings are set aside in new developments for use by retail and other local service providers
- working with local shop owners and service providers to identify opportunities for new local premises and outlets to serve currently unmet need;
- work to producing a directory highlighting Midlothian produce and how/where it can be obtained
- development of locally-owned Climate Emergency projects
- reviewing electricity grid capacity across Midlothian and assess its ability to handle predicted growth in electric vehicles, electric heating etc. identify bottlenecks and engage with relevant bodies to invest in upgrades;
- exploring the possibilities for a Council / private housing developer joint venture showcasing zero-carbon housing
- identify potential sites on Council and other partners land for renewable energy generation including solar, wind and ground-source heat pumps. Explore potential for community-owned schemes and joint ventures between public, private and community sectors
- working with car dealers, approve EV charger installers, Energy Saving Trust etc. to establish a 'one stop shop' for EV buyers in Midlothian to improve uptake, make the process of buying an EV and establishing the charging infrastructure seamless and smooth;
- reducing the need to travel to Edinburgh and beyond;
- review HGV/LGV movements within Midlothian - aim to limit numbers. Look at potential models for freight consolidation services within the county in order to provide a service to businesses and reduce the numbers of vans and HGVs throughout Midlothian
- promotion of A720 Orbital Bus route projects and consideration of tram extensions to Midlothian
- production of a new Midlothian Local Transport Strategy with reducing the demand for travel and reducing transport emissions at its heart.

As stated, Actions identified in the 2021/2022 Single Midlothian Plan are intended to cover a three year period 2021/2024, and not all were expected to be delivered in the year 2021/22. They do reflect the magnitude of work to be undertaken to hit the 2030 Midlothian Net Zero target.

Economic Development

Inward Investment Prospectus and campaign:

The updated brochure in near completion, we are awaiting a few inputs and then it will need to go to the graphics team, we plan to launch this in Q1 2022/2023.

Deliver Self Employment Awareness sessions

Self Employed Awareness Sessions is off target as roles changed at DWP related to Covid impacts and group support was paused. We are now booked to speak with JC work coaches on 4th May, to help them understand the support provided by Business Gateway so that they can identify the right clients at the right time for referral.

Future Dalkeith recommendations:

Only recommendation was work to develop 20 min neighbourhoods, picked up by planning colleagues but this has not progressed further with the University. The 20 min neighbourhood, or the Living Well Locally concept will be one of the themes included in the community enterprise sessions, to realise informal on the ground mapping of needs and opportunities alongside other priority themes such as fuel and food poverty supporting the net zero and community wealth building objectives.

Covid Response:

Increased workload on team due to the continuous need to process grants throughout the year and facilitate enquiries for those applications managed by CEC on Midlothian's behalf, this has had an impact on our ability to take forward recovery initiatives at pace.

Tourism Strategy – New Economic Strategy planned for 2022/2023 to include Tourism, Culture and Heritage.

Tyne & Esk Leader:

Uncertainty over staff contracts remains, still only extend to end May 22. Uncertainty over shape of new fund: launch of new fund by SG in May/June 22 but time needed for set up before monies can be allocated. Share of this (Scotland-wide £11.6m) to be allocated by end March 23.

Housing and Homelessness

There continues to be a significant demand placed on homeless and temporary accommodation services.

A key challenge for 2022/23 will be an increase in homelessness as the financial measures put in place to protect households during the Covid pandemic are now withdrawn, alongside the recent increase in energy, food and fuel costs, requiring a comprehensive preventative approach as set out in the Council's Rapid Rehousing Transition Plan.

Changeworks have been commissioned to deliver a 'Warm and Well' service, targeted at Midlothian Council tenants, in or at risk of fuel poverty to assist them live affordably warm in their homes. The project is aligned to Local Housing Strategy 2021-26 and works closely with Midlothian Council, health professionals, and other front-line organisations to identify those in need of support.

Sustainable Growth in Midlothian Actions and PIs 21/22

Midlothian *Moving Forward*
Community Planning for Midlothian

01. Maximise opportunities for inward investment and funding to the area

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.SG.1.1	Develop the Inward Investment Prospectus	**21/22:** Off Target See PI for progress note.	85%	Prospectus published		Yes	🔴	No	**H2 21/22:** Off Target Statistics all now updated, gathering input from colleagues and will then need graphics, estimate publish May 2022.
P.SG.1.2	Inward Investment campaign, launch prospectus with video promo	**21/22:** On Target Launch May 2022 with the prospectus.	85%	Digital Marketing Campaign		Yes	🔴	No	**H2 21/22:** Off Target Linked to P.SG.1.1
				Locate in Midlothian Traffic		3,750	✅	29,672	**21/22:** On Target Annual Target of 15,000 has been exceeded with 29, 672 visits to the website since April 2021 and continued incremental growth each quarter, 12,714 visit made during Q4 and 23,394 unique page views.
P.SG.1.3	Work with network of partners to promote opportunities and provide support	**21/22:** On Target Recent demand for larger industrial units from existing Midlothian businesses – 20,000 sq. ft. plus.	100%	Number of inward investment / indigenous investment enquiries received for sites/premises in Midlothian area.			📈	79	**H2 21/22:** Data Only Being achieved through work with network of partners to promote opportunities and provide support although there is recent demand for larger industrial units from existing Midlothian businesses – 20,000 sq. ft. plus.

02. Work with Midlothian employers to understand skills needs and provide local employment opportunities

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.SG.2.1	Promote local employment opportunities	**21/22:** Complete Regularly updated vacancies and posting to social channels to raise awareness and drive traffic to website. Employment support page is being accessed approximately by half the vacancy viewers.	100%	Growth in Digital Reach		Yes	✅	Yes	**H2 21/22:** On Target Unique views to vacancy overview page 706 and 3207 job post views. This tells us that on average each visitor views between 4 and 5 jobs while on the site.
P.SG.2.2	Provision of PACE redundancy support	**21/22:** Complete Funding ended 31/03/2022 project complete.	100%	Number of positive destinations, employment, training, self-employment referrals.			📈	3	**H2 21/22:** Data only Demand responsive
P.SG.2.3	Deliver Self Employment Awareness sessions	**21/22:** Off Target No sessions delivered	0%	Sessions with 1-2-1 / group follow up support if requested in partnership with Midlothian DWP		6	🛑	0	**H2 21/22:** Off Target No sessions arranged, capacity issues. BG presentation to Job Coaches to increase understanding of the support available.

03. Place based economic development approach to support the regeneration of Town Centres & Communities

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.SG.3.1	Develop strategy for pilot community enterprise project and deliver (funding dependant)	**21/22:** Off Target Delivery delayed, plan in place to commence delivery April 2022.	90%	Pilot project commenced		Yes	🔴	No	**H2 21/22:** Off Target Delivery delayed, plan in place to commence delivery April 2022.
P.SG.3.2	Future Dalkeith recommendations – phase 2 project	**21/22:** Complete External organisation (One Dalkeith) managing the urban tactical kit. Other outcome of Future Dalkeith was some 20 minute neighbourhood work which is linking into the Local Development Plan. No actions identified for Economic Development to progress from the project.	100%	Attract funding for take forward recommended projects from Future Dalkeith project			📈	Yes	**H2 21/22:** Data only One Dalkeith managing the urban tactical kit. Other outcome of Future Dalkeith was some 20 minute neighbourhood work which is linking into the Local Development Plan.
P.SG.3.3	Stimulate interest in Social Enterprises as a business model	**21/22:** Complete 8 individuals assisted	100%	Provide 1-2-1 support pre start		8	✅	8	**H2 21/22:** On Target 8 individuals assisted
P.SG.3.4	Support the delivery of TCCF funds phase 1 & 2	**21/22:** Complete TCCF1 All complete TCCF2 – 2 out of 4 projects delayed completion date of end June (agreed with Scottish Government)	100%	All projects completed within timescales		Yes	✅	Yes	**H2 21/22:** On Target TCCF1 All complete TCCF2 – 2 out of 4 projects delayed completion date of end June (agreed with Scottish Government)

04. Support regeneration of Town Centres

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.SG.4.1	Local procurement strategy implementation	**21/22:** Complete The Procurement and Economic Development teams attended a Supplier Development Programme National buyer event in May 2021. No local events have yet been held. We have marketed local tenders and reached out to local businesses that may have an interest in tendering**.** The Lead Officer indicator was not progressed as procurement officers have regular meetings with service leads to communicate this message therefore it would be duplication	100%	Increase the number of local businesses accessing tender opportunity support		40	🛑	17	**H2 21/22:** Off Target The Business Gateway Advisers recommend tendering as a growth opportunity, 17 clients have accepted Supplier Development Programme support.
				Increase the number of Supplier Development Programme Workshops		1	✅	1	**H2 21/22:** On Target Action plan to deliver local themed workshops.
				Develop a Lead Officer Forum to ensure sustainable supplier options to include Com Ben & net zero carbon		Yes	✅	Yes	**H2 21/22:** On Target Progressing in line with demand.
P.SG.4.2	Provide business support	**21/22:** Complete Support provided upon request.	100%	Number of pre-start businesses supported		190	✅	220	**H2 21/22:** On Target In total, 220 pre-start businesses were supported (PTS)
				Business start-ups claimed		160	🛑	122	**H2 21/22:** Off Target In total, 122 business start-ups were claimed in the year 2021/2022
				Established business support		150	✅	230	**H2 21/22:** On Target Meeting demand when required.
P.SG.4.3	Maximise opportunities to support recovery in the tourism sector	**21/22:** Complete National perspective is to develop short term recovery plans; officer now working with the Tourism Forum to develop this in partnership.	100%	Develop a new strategy for Midlothian		Yes	🛑	No	**H2 21/22:** Off Target To be included in new Economic Strategy 22/23
				Business Gateway membership referrals to MTF		120	🛑	40	**H2 21/22:** Off Target The team has been supporting the tourism forum with marketing, funding application and Business Gateway held a coffee morning for the tourism sector (22 attendees) Business Gateway Advisers referring individual clients to membership of the forum.

05. The council's affordable housing programme will achieve net zero carbon emissions by 2030

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.SG.5.2	Review current Housing Options provision and replace with a series of shorter fact sheets	**21/22:** Complete Information/web content relating to accessing housing options and homeless services has been updated. Private rented sector, Social housing and other specialised areas now complete.	100%	Provide focussed information on specific housing options across all tenures				Yes	**H2 21/22:** Complete Information provided across all tenures
P.SG.5.3	Deliver "Leaving Home" education programme in Schools	**21/22:** Off Target No activity within schools due to Covid 19.	0%	Deliver to S2 and senior year groups across all high schools				No	**H2 21/22:** Data only Due to Covid 19 no activity has been possible in schools. This activity will recommence after the end of year exam programme.
P.SG.5.4	Raise awareness of energy saving or fuel poverty advice and assistance schemes	**21/22:** Off Target Changeworks have been commissioned to deliver a 'Warm and Well' service, targeted at Midlothian Council tenants, in or at risk of fuel poverty to assist them live affordably warm in their homes. This service started on 1 November 2021.	50%	Increase the number of households accessing energy saving or fuel poverty advice and assistance schemes	16/17: 3278 17/18: 2583 18/19: 2131	1,000		N/A	**H2 21/22:** Off Target Project focus has been on in-depth support to Midlothian tenants' resulting in financial gains and saving. Due to Covid rising cases at the start of the year events planned were cancelled. Focus on awareness raising / support available from Changeworks.
P.SG.5.5	Undertake review of affordable housing specification design guide taking account of Midlothian's ambition to achieve net zero carbon emissions by 2030	**21/22:** Complete Completed by external design consultant September 2021.	100%	Revised specification completed by external consultant				Yes	**21/22:** Data only Completed by external design consultant September 2021.

06. Agree and implement a standard methodology and tool(s) for measuring and accounting for carbon emissions in Midlothian.

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.SG.6.1	Review the range of extant carbon calculation methodologies and tools in use in government, academia and the private sector (to note this action forms part of a three year plan)	**21/22:** Off Target Work has commenced, but not progressed significantly. Forms part of a three year plan.	15%	Review undertaken (to note this indicator forms part of a three year plan)		Yes	🛑	No	**H2 21/22:** Off Target Work not yet commenced.
P.SG.6.2	Agree on the most appropriate methodology/tool to use, consistent with national/local government/public body best practice (to note this action forms part of a three year plan)	**21/22:** Off Target Work not yet commenced. Forms part of a three year plan.	0%	Methodologies considered (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Council uses the most appropriate one currently for its reporting purposes.
P.SG.6.3	Publicise the availability and use of the methodology/tool and provide online guidance on how to use it (to note this action forms part of a three year plan)	**21/22:** Off Target Not yet commenced. Forms part of a three year plan.	0%	Methodologies publicised (to note this indicator forms part of a three year plan)		Yes	🛑	No	**H2 21/22:** Off Target Work not yet commenced.

07. Promotion of 20 minute neighbourhoods in Midlothian

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.SG.7.1	Promote the principles of the '20 minute neighbourhood' concept, as set out in the Scottish Government	**21/22:** Complete Principles have been promoted.	100%	Promotional work and awareness raising undertaken with relevant partners (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Engagement event with Midlothian Voluntary Action has occurred and being taken forward in the next Midlothian Local Development Plan.

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
	Position Statement on NPF4, November 2020, within all partner organisations (to note this action forms part of a three year plan)								More understanding and promotion work is needed.
P.SG.7.2	Work with housing developers to maximise opportunities for land and buildings are set aside in new developments for use by retail and other local service providers (to note this action forms part of a three year plan)	**21/22:** Complete Action will be taken up further through the Local Development Plan review.	100%	Engagement has taken place with housing developers (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Occurs where required in Midlothian Local Development Plan. Will be taken up further through the Local Development Plan review.
P.SG.7.3	Work with local shop owners and service providers to identify opportunities for new local premises and outlets to serve currently unmet need - work to producing a directory highlighting Midlothian produce and how/where it can be obtained	**21/22:** Off Target Direct work not yet commenced but forms part of three year plan.	40%	Engagement has taken place with local shop owners and service providers (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Ongoing and on Target (3 year indicator). Specific direct work Economic Development section of the Council has been involved this work.
P.SG.7.4	Work with Midlothian employers to identify measures to facilitate local employment, reduce the amount and distance of commuting and maximise use of walking, cycling and public transport to travel to work	**21/22:** Off Target Direct work not yet commenced but forms part of three year plan.	25%	Engagement has taken place with local employers (to note this indicator forms part of a three year plan)		Yes	🛑	No	**H2 21/22:** Off Target Ongoing through Council work.

08. Climate Emergency Awareness Raising and Community Engagement

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.SG.8.1	Promotion of Climate Emergency issues through a programme of engagement activities, including a sustained social media presence and investigation of setting Climate Emergency Hubs (to note this action forms part of a three year plan)	**21/22:** On Target Group meetings are being organised and meetings have been had with Scottish Government about establishment of an East and Midlothian Climate Change Hub.	25%	Promotion group established and is operational (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Group meetings have occurred in order to work out how this can be done and actions identified.
P.SG.8.2	Compile exemplars of Climate Emergency related projects, for wider circulation, that can prompt action and involvement (to note this action forms part of a three year plan)	**21/22:** On Target Group meetings have taken place.	50%	List of exemplar projects is compiled (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Group meetings have occurred in order to work out how this can be done and actions identified. Examples are being pulled together. More need to be pulled together and distributed.
P.SG.8.3	Development of locally-owned Climate Emergency projects (to note this action forms part of a three year plan)	**21/22:** Off Target	20%	Work progressed to take forward development of locally-owned Climate Emergency projects (to note this indicator forms part of a three year plan)		Yes	🛑	No	**H2 21/22:** Off Target Promotion work has not been undertaken as envisioned/initially hoped for. The Community Engagement work will puck this up and work with partners to investigate how this can be improved.
P.SG.8.4	Learn from other projects and Community Planning	**21/22:** On Target Information currently being collated.	25%	Relevant projects identified and understood (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Information is being pulled together

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
	Partnerships on Best Practice on Net Zero and Housing (to note this action forms part of a three year plan)								
P.SG.8.5	Work with Midlothian Council education services to establish what role Climate Emergency has in the school curriculum and activities. Identify if there are events that schools/children could become involved in. Cover all Climate Emergency, travel etc.	**21/22:** On Target Working with schools and the Scottish Government.	100%	Climate Emergency group partners liaise with Midlothian Council Education service (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Ongoing, and work done to promote this through the school curriculum and work with Scottish Government.
P.SG.8.6	Ensure that young people (esp. early years / primary / secondary) are supported to contribute to conversations and planning to support initiatives with the improvement of carbon reduction (to note this action forms part of a three year plan)	**21/22:** On Target Action to be achieved through engagement with the review of the Midlothian Local Development Plan and wider engagement.	50%	Climate Emergency group partners liaise with Midlothian Council Education service and other relevant bodies (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Will be achieved through engagement with the review of the Midlothian Local Development Plan and wider engagement.

09. Development of Renewable Energy

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.SG.9.1	Work with owners/operators of current renewable energy projects in Midlothian to explore potential for expansion into surrounding new housing projects (to note this action forms part of a three year plan)	**21/22:** Off Target Work not yet commenced but forms part of three year plan.	0%	Work undertaken with Midlothian Energy to take forward the action (to note this indicator forms part of a three year plan)		Yes	🛑	No	**H2 21/22:** Off Target Work not yet commenced. However, there are not many current operators with whom to engage.
P.SG.9.2	Explore the possibilities for a Council / private housing developer joint venture showcasing zero-carbon housing (to note this action forms part of a three year plan)	**21/22:** Off Target Work not yet commenced but forms part of three year plan. However, the council is pursuing Passivhaus standard for its new social housing	0%	Work undertaken with Midlothian Energy to take forward the action (to note this indicator forms part of a three year plan)		Yes	🛑	No	**H2 21/22:** Off Target Work not yet commenced.
P.SG.9.3	Explore developing a plan for decarbonising the electricity and hot water output from the Millerhill Energy from waste plant (to note this action forms part of a three year plan)	**21/22:** On Target Discussion has had with representatives of Midlothian Energy. Further discussion required.	100%	Work undertaken with Midlothian Energy to take forward the action (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Further work to be done.
P.SG.9.4	Explore developing a plan for extending district heating beyond Shawfair. Map opportunities (to note this action forms part of a three year plan)	**21/22:** Off Target Lack of GIS capacity in the Council to take this forward.	0%	Work undertaken with Midlothian Energy to take forward the action (to note this indicator forms part of a three year plan)		Yes	🛑	No	**H2 21/22:** Off Target Lack of GIS capacity in the Council to take this forward.

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.SG.9.5	Build on experience elsewhere in Scotland to develop Midlothian-based projects for retrofitting of renewable heat systems in existing gas-heated domestic properties (to note this action forms part of a three year plan)	**21/22:** On Target Investigation work has commenced.	20%	All partners learn from experience elsewhere (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Indicator being developed through investigation work which has commenced.
P.SG.9.6	Review electricity grid capacity across Midlothian and assess its ability to handle predicted growth in electric vehicles, electric heating etc. Identify bottlenecks and engage with relevant bodies to invest in upgrades	**21/22:** On Target Work commenced but issues encountered in getting information.	50%	Assess capacity electricity grid capacity in Midlothian (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Need to pursue and get more information.
P.SG.9.7	Identify potential sites on Council and other partners land for renewable energy generation including solar, wind and ground-source heat pumps. Explore potential for community-owned schemes and joint ventures between public, private and community sectors	**21/22:** On Target Work ongoing.	30%	Consideration given by partners to potential sites for renewable energy (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target

10. Support and Promotion of Biodiversity

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.SG.10.1	Work with schools on biodiversity projects in their local areas, including on establishment of B-line projects (to note this action forms part of a three year plan)	**21/22:** On Target Ongoing, and work done to promote this through the school curriculum and work with Scottish Government.	100%	Climate Emergency group partners liaise with Midlothian Council Education service and other relevant bodies (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Work done to promote this through the school curriculum and work with Scottish Government
P.SG.10.2	Take forward community driven citizen science projects and keep people connected to nature (to note this action forms part of a three year plan)	**21/22:** On Target Projects going forward.	100%	Climate Emergency group partners work with relevant community and other bodies (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Projects undertaken: River Esk River Fly monitoring project.
P.SG.10.3	Investigate potential locations and interested parties in taking forward a community woodland including "Tiny Forest" proposals, or managed open space (to note this action forms part of a three year plan)	**21/22:** On Target Site identified and developed.	100%	Climate Emergency group partners work with relevant community and other bodies (including investigation of mapping of food growing areas) (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H1 21/22:** On Target Site found and developed with 600 trees in April 2022.
P.SG.10.4	Promote wildlife corridors that connect urban and rural areas and across local authority areas (to note this action forms part of a three year plan)	**21/22:** On Target Action will be achieved through Council Education and Planning services.	100%	Climate Emergency group partners work with Midlothian Council, adjacent local authorities and relevant bodies (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Will be achieved through Council Education and Planning services.
P.SG.10.5	Promote local food growing (to note this action forms part of a three year plan)	**21/22:** On Target Sites searches being undertaken and implementation of Council Food Growing Strategy being taken forward.	50%	Climate Emergency group partners help take forward the Midlothian allotment and food growing strategy (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Implementation of Council Food Growing Strategy being taken forward and sites searches being undertaken. More work needed.

11. Place the Climate Emergency as the Central Theme of the Midlothian Local Development Plan no. 2

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.SG.11.1	Review best practice in Scotland/elsewhere for embedding climate change mitigation/emissions reduction in planning policy (to note this action forms part of a three year plan)	**21/22:** On Target Being taken forward as part of considerations for the review of the Midlothian Local Development Plan.	50%	Climate Emergency Group members to work with Midlothian Council (Planning) to take forward (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Indicator forming part of considerations for the review of the Midlothian Local Development Plan and being taken forward as part of this. Further work required.
P.SG.11.2	Develop a measurable and verifiable plan for LDP2 to support delivery of Net Zero by 2030 (to note this action forms part of a three year plan)	**21/22:** On Target Being taken forward as part of considerations for the review of the Midlothian Local Development Plan.	100%	Climate Emergency Group members to work with Midlothian Council (Planning) to take forward (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Will be considered and taken forward with the review of the Midlothian Local Development Plan.
P.SG.11.3	Investigate possibilities for peer review of the climate emergency credentials of the next Midlothian Local Development Plan (to note this action forms part of a three year plan)	**21/22:** On Target Being taken forward as part of considerations for the review of the Midlothian Local Development Plan.	100%	Climate Emergency Group members to work with Midlothian Council (Planning) to take forward (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Indicator forming part of considerations for the review of the Midlothian Local Development Plan and will be taken forward as pan review occurs.
P.SG.11.4	Investigate a policy mechanisms for carbon off setting requirements for new development in Midlothian (to note this action forms part of a three year plan)	**21/22:** On Target Being taken forward as part of considerations for the review of the Midlothian Local Development Plan.	100%	Climate Emergency Group members to work with Midlothian Council (Planning) to take forward (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Consideration of carbon off setting requirements will be taken forward in the review of the Midlothian Local Development Plan.

12. Transport

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.SG.12.1	Investigate potential for Bus Partnership Projects in Midlothian to get bus routes in place at the start of a new development before car based travel patterns form or are exacerbated (to note this action forms part of a three year plan)	**21/22:** On Target Bus partnership work on going.	25%	Potential for Bus Partnership Projects in Midlothian have been investigated for new development (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Bus partnership work on going. Being taken forward as part of considerations for the review of the Midlothian Local Development Plan.
P.SG.12.2	Reduce the need to travel into Edinburgh or other areas – improve employment, training and educational opportunities in Midlothian by increasing or promoting local provisions (to note this action forms part of a three year plan)	**21/22:** On Target Some progress made, this action forms part of a three year plan.	25%	Support, where appropriate, local employment and training opportunities (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Support provided upon demand. Economic Development are working on taking this forward.
P.SG.12.3	Promotion of A720 Orbital Bus route projects and consideration of tram extensions to Midlothian (to note this action forms part of a three year plan)	**H2 21/22:** On Target Action has been a standing item for Midlothian Local Plans and Local Development Plans. More work will be done through the Local Development Plan Review.	20%	Opportunities are taken for promotion of the A720 Orbital Bus route projects and consideration of tram extensions to Midlothian (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Progressing well, more work will be done through the Local Development Plan Review, has been a standing item for Midlothian Local Plans and Local Development Plans. The item is raised through national strategic transport reviews.

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.SG.12.4	Review HGV/LGV movements within Midlothian - aim to limit numbers. Look at potential models for freight consolidation services within the county in order to provide a service to businesses and reduce the numbers of vans and HGVs throughout Midlothian	**21/22:** Off Target Work not yet commenced but forms part of a three year plan.	0%	Relevant partners work together to consider the action (to note this indicator forms part of a three year plan)		Yes	🛑	No	**H2 21/22:** Off Target Work not yet commenced.
P.SG.12.5	Work with car dealers, approve EV charger installers, Energy Saving Trust etc. to establish a 'one stop shop' for EV buyers in Midlothian to improve uptake, make the process of buying an EV and establishing the charging infrastructure seamless and smooth	**21/22:** On Target Forms part of a three year plan.	20%	Work undertaken with car dealers to investigate how purchase of electric vehicles can be simplified (to note this indicator forms part of a three year plan)		Yes	✅	Yes	**H2 21/22:** On Target Consideration has been given to an EV event in Midlothian, but further work required.
P.SG.12.6	Work with communities and regional transport partners to investigate support for production of an updated Local Transport Strategy with reducing the demand for travel and reducing transport emissions at its heart	**21/22:** Off Target Work forms part of a three year plan.	10%	Relevant partners work together (to note this indicator forms part of a three year plan)		Yes	🛑	No	**H2 21/22:** Off Target Work not commenced with all partners. Internal discussion had in the Council to take it forward.

Equalities Actions and PIs

Equalities

Action Code	Action	Action update	Action Progress	Indicator	Baseline	Indicator Target	Status	Indicator Value	Indicator Progress
P.EQU.1.3	Establish a project which raises awareness of the environmental impact of period products and promotes "plastic-free periods" whilst recognising socio-economic barriers and addressing period poverty.	**H2 21/22** Home delivery pilot with renewables starts in June 2022	0%	Number of people accessing a more environmentally-friendly/sustainable choice of period product			❓		On target data will be available monthly
P.EQU.1.4	Find opportunities for equalities characteristics groups to maximise influence by working together	**H2 21/22** Midlothian Mela and Equal Midlothian week and other equality projects led by CLLE attracted 135 people.	0%	Number of joint working actions undertaken (projects)	2	1	✅	4	**H2 On target 4 projects completed.**

Integrated Impact Assessment Form

Promoting Equality, Human Rights and Sustainability

Title of Policy/ Proposal	Midlothian Community Planning Partnership – Single Midlothian Plan 22/23
Completion Date	March 2022
Completed by	CP Manager, CP Dev Officer and Thematic Leads including child poverty
Lead officer	A Lang

Type of Initiative:

Policy/Strategy   **New Single Midlothian Plan**

Programme/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.

The Single Midlothian Plan sets out the priorities with the communities in Midlothian, using data and local people's views to inform the outcomes for next five years with a one year action plan. Its primary purpose is to address inequality and ensure better outcomes for all. There are five thematic groups which their own improvement actions. The overall legislation covering community planning is the Community Empowerment Act 2015. The specific legislation/drivers/strategy effecting other thematic groups are:

- Community Justice Outcome Improvement Plan
- National Community Justice Strategy Plan
- Community Justice (Scotland) Act 2106
- Equally Safe Priority 4 all men desist from Violence against Women and Girls
- Child Poverty Scotland Act 2017
- Midlothian Local Development Plan (2017)
- Climate Change (Emissions Reduction Targets) (Scotland) (Act 2019)
- Midlothian Council Climate Emergency Declaration Dec 2019
- The Children and Young People's (Scotland) Act 2014; Getting It Right For Every Child; United Nations Conventions on the Rights of the Child (UNCRC).; Our work is also influenced by the principles summarised in The Promise.
- Housing Scotland Act (1987, 2001, and 2014).
- Housing to 2040
- Scottish Government National Strategy for Economic Transformation
- Regional Prosperity Framework
- ESES City Deal
- Midlothian Strategy for Growth 2020-2025 + Economic Renewal
- National health and wellbeing outcomes framework - gov.scot (www.gov.scot)
- https://www.midlothian.gov.uk/download/downloads/id/3940/allotment_and_food_growing_strategy_2020_-_2030.pdf

No One Left Behind: delivery plan - gov.scot (www.gov.scot)

What will change as a result of this policy?

Vision
By working together as a Community Planning Partnership, individuals and communities will be able to lead healthier, safer, greener and successful lives by 2030. No child or household need live in poverty. Midlothian will be a Great Green Place to Grow by achieving our net zero carbon ambitions

5 year outcomes

• **Individuals and communities have improved health and learning outcomes**	
• **No child or household living in poverty**	
• **Significant progress is made towards net zero carbon emissions by 2030**	
Through the working community planning we wish to improve outcomes with local communities to reduce inequalities.	

2. 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	Yes
The policy/proposal is likely to have a significant environmental impact	Yes
Low Relevance	
The policy/proposal has little relevance to equality	No
The policy/proposal has negligible impact on the economy	No
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.**	

3. 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	The evidence from the Midlothian Profile (https://www.midlothian.gov.uk/info/200284/your_community/214/community_planning_in_midlothian) and SIMD continues to highlight the 3 priority areas - Mayfield and Easthouses, Gorebridge and Central Dalkeith/Woodburn should be prioritised. Midlothian's population is characterised by: • larger than average young, and retired, segments; • A slightly smaller than average working-age population; and • The female proportion of the retired population increasing as it ages. • General health remains good, while the incidence of limiting long-term illness appears to have increased. • Cancer; coronary heart disease; respiratory disease, and diabetes all show large variations across Midlothian that correlate to areas of deprivation. • Midlothian has a higher rate of multiple admissions than the Lothian average, but slightly lower than the Scotland average rate. • The number of adult referrals to Social Services has increased. The increase in Community Care services (Homecare, Telecare etc.) corresponds to the increase in Midlothian's 65+ population. The number of Midlothian residents in care homes has decreased.

132

- Unemployment, qualification levels, positive destination and wages

- Economy

- Employment: Employment levels in Midlothian is above the Scottish figures.

- Local Business: In 2020 Midlothian had 2,720 businesses. 89.9% of these (2,445) were small employers, 3.7% medium (100), 6.4% large (175).

- Types of employment by industry. The largest single industrial sector is retail/wholesale, followed by human health/social work, Education, Manufacturing and construction.

- Economic site supply: There were 28 separate business parks/economic development sites in 2018.

- total number of homeless app during 21/22 – 350

- total number of applicants for housing with the Council 4,363 - as of end of Feb

- end of Feb total number of active homeless applications 706

- Homeless data and request for housing, waiting list

- Midlothian Council Housing 7,000+

- Children and young people aged 21 years and under account for 25.5% of the population of Midlothian.

2019 Midlothian Carbon Emissions (Units are $ktCO_2$, except for *, which is tCO_2)

Total emissions	373.2
Industry & commercial	79.07
Domestic	137.7
Transport	136.7
Public Sector	19.7
Per capita*	4.04

- GVA is the GDP adjusted for taxes and subsidies and is regarded as a better measure of the economic wellbeing - 2019 is the last updated figures - GDP £1.954m GVA £1.662M for Midlothian.

- Midlothian Child Poverty overall 2019/20 - Child Poverty 23.9%

Variation·in·child·poverty·rates·across·Midlothian,·2018-19¶

Ward	2018/19¤
Penicuik¤	14%¤
Bonnyrigg¤	11%¤
Dalkeith¤	35%¤
Midlothian·East¤	23%¤
Midlothian·South¤	26%¤
Midlothian·West¤	11%¤

- ¶

Data on service uptake/access	• GIRFEC: National and local research and evidence tells us that we need to work towards ensuring more children and young people receive timely and effective mental health support when they need it. The data tells us that we need to continue increasing our preventative approaches and early interventions that support children and young people's mental health and wellbeing. • Adult Health:

2020/21 targets and actuals

Indicator	2020/21 target	2020/21 target (rate per 100,000)		2020/21 (rate per 100,000)		Target met
		Annual	Monthly	Annual	Monthly	
1. A&E attendances	Maintain	31,543	2,629	26,390	2,199	✓
2. Emergency admissions	5% decrease	9,207	767	9,207	767	X
3a. Unplanned bed days (acute)	10% decrease	60,888	5,074	57,459	4,788	✓
3b. Unplanned bed days (GLS)	Decrease	<13,733	<1,144	14,122 (p)	1,177 (p)	✓
3c. Unplanned bed days (MH)	Decrease	<15,910	<1,326	12,903	1,075	✓
4. Delayed discharges occupied bed days	20% decrease	9,836	820	9,779	815	✓
5. Last 6 months of life (% in large hospital)	Decrease	<8.7%	-	7.4%	-	✓
6. Balance of care (% at home)	Increase	>96.4%	-	96.7% (p) - 2019/20	-	✓

(p) = provisional

• Indicators 3b and 6 are still provisional, and 6 is for 2019/20.

2. Flu Vaccine Uptake in Midlothian

Group	Number Vaccinated	Population Estimate	% Uptake
All adult vaccinations	37,220	NA	NA
Clinically extremely vulnerable or severel..	2,880	3,263	88.3%
Age 70 and over	11,715	13,186	88.8%
Age 65-69	4,514	5,249	86.0%
Age 50-64	12,822	20,342	63.0%
Adults age 16-64 who are in a flu at-risk ..	10,396	15,353	67.7%
Adult vaccinations given at schools/nurs..	779	NA	NA
Pregnant women	681	864	78.8%
Pre-school children (2-5yrs)	2,143	2,967	72.2%

1. Covid % Uptake for Midlothian

Group	Number Vaccinated (booster/Dose3)	Population Estimate	% coverage
All adults	59,099	NA	NA
Severely Immunosuppressed*	1,076	1,147	93.8%
Clinically extremely vulnerable	2,916	3,165	92.1%
Age 80 and over	3,843	4,301	89.4%
Age 70-79	8,321	8,842	94.1%
Age 60-69	10,518	11,615	90.6%
Adults age 16-64 at-risk*	12,375	15,448	80.1%
Age 50-59	12,091	13,965	86.6%
Age 40-49	9,154	13,949	65.6%
Age 30-39	8,557	14,247	60.1%
Age 18-29	6,377	12,586	50.7%

• number accessing homeless prevention advice and assistance services during 21/22 684 total number of cases of homeless prevention cases during 21/22 189

	- Housing lets 21/22 - total lets 21/22 - 395 - Liberations - Stride uptake - Spring uptake - Unpaid work uptake - Climate change – uptake not applicable - Business Gateway uptake/growth - Green projects business value
Data on quality/outcomes	Add in H1 or H2 reporting for Single Midlothian Plan See appendix B for data on quality outcomes for H1
Research/literature evidence	The Midlothian Profile, Citizens Panel and the SMP provide an evidence base of the needs of the residents in Midlothian. Good practice from other local authorities on climate change https://edinburghcentre.org/ Health's consultation and link to results and on strategy 2022-03-02 Wider Impacts Dashboard.do Community Planning IIA Data _service and (
Service user experience information	CLLE satisfaction rates: Q3 95.4% of CLLE service users in 21/22 were very satisfied with the service. Employability Customer Charter Standard – Midlothian's Score Card from the Service User Consultation March 2022 note only 39 responses from across partnership service users). (Above 85% Green, below 50% red) **1 – Green, 10 Amber and one Red** <table><tr><td>With patience, kindness and consider how you feel. 80% (Always)</td><td>Listened to you, treat you as an individual and respect your privacy. 82.22% (Always)</td><td>Treat you fairly and without discrimination. 86.67% (Always)</td><td>Make sure the service meets your needs and they are will to change so they can 71.11% (Always)</td></tr><tr><td>Staff are knowledgeable about the challenges those seeking support face 60.47% (Always)</td><td>Work with employers to make sure you have the best start possible in your new job if you want it. 50% (Always)</td><td>Make services easy to find and use. 61.36% (Always)</td><td>Recognise your past experience and work with you to create a plan with other supports included. 55.56% (Always)</td></tr></table>

135

	Make the information and processes as clear and easy as possible. 69.77% (Always)	Give you direct ways to use the service in person, online, by email or on the phone. 63.64% (Always)	Ask you how well the service is helping you and how we/they could make it better. 62.22% (Always)	Make it easy for you to feel comfortable to ask for improvements or make a complaint. 60% (Always)
	Carers' and service users' experiences were sought and woven throughout the planning process for the Strategic Commissioning Plan Planning Leads also have access to data from: - National Health and Wellbeing Outcomes. - Consultation with people who use the service - Local Citizen's Panel (https://www.midlothian.gov.uk/info/200284/your_community/214/community_planning_in_midlothian)			
Consultation **and involvement** findings	The Single Midlothian Plan continues to be developed using a co-production model. In line with the Midlothian COMPACT TRACK values —Togetherness, Respect, Accountability, Creativity and Kindness—this ensures that the relationships between our sectors develop in ways which ensure the best outcomes for local communities. https://www.midlothian.gov.uk/downloads/download/735/midlothian_compact_2020-2025_pdf The single Midlothian plan is informed by consultation through thematic groups and the work of the community partnership is reported to communities for feedback. In addition key equality groups provide direct feedback Midlothian PEG and Faith Partnership Group. Housing tenant's participation officer liaises with the tenants group over the actions within the SMP. The following link advertises current consultations that can form the SMP priorities. https://www.midlothian.gov.uk/directory/33/consultations/category/182			
Good practice guidelines	The SMP complies with guidance set out by the community empowerment act 2015 and is informed by the review of CPP improvement service. https://www.improvementservice.org.uk/what-we-do/support-for-community-planning-partnerships			
Other (please specify)				
Is any further information required? How will you gather this?	No			

4. **How does the policy meet the different needs of and impact on groups in the community?**

Equality Groups	Comments – positive/ negative impact
Older people, people in the middle years,	Positive - opportunities to reduce social isolation, improve health and wellbeing and develop new skills.
Young people and children	Positive - enable young people and children to access new opportunities, receive support on issues such as health and well-being or supporting the development of employability skills.
Women, men and transgender people (includes issues relating to pregnancy and maternity)	Positive - opportunities to reduce social isolation, improve health and wellbeing, learn new skills and increase access to employment, education and training.
Disabled people (included physical disability; learning disability; sensory Impairment; long term medical conditions; mental health problem)	Positive - opportunities to reduce social isolation, improve health and wellbeing, learn new skills and increase access to employment, education and training.
Minority ethnic people (includes Gypsy/Travellers migrant workers non-English	Positive - opportunities to reduce social isolation, improve health and wellbeing, learn new skills and increase access to employment, education and training and improve written and spoken language skills.
Refugees and asylum seekers	Positive - opportunities to reduce social isolation, improve health and wellbeing, learn new skills and increase access to employment, education and training and improve written and spoken language skills.
People with different religions or beliefs (included people with no religion or belief.	The Faith Partnership is a subgroup of CP provides a forum for faith based groups to directly influence the work and priorities of the SMP. However between 2020 and Jan 22 the faith partnership did not meet. In order to ensure the voice of faith partnership is heard this group will be

137

	reconvened
Lesbian; gay bisexual and heterosexual people	MPEG is a key consultative group of the CPP and SMP and provides a forum for those from equalities groups to influence the SMP.
People who are unmarried; married or in a civil partnership	Positive - opportunities to reduce social isolation, improve health and wellbeing, learn new skills and increase access to employment, education and training.
Those vulnerable to falling into poverty	
Unemployed	Positive - opportunities to learn new skills and increase access to employment, education and training and access to income maximisation support.
People on Benefits	Positive - opportunities to learn new skills and increase access to employment, education and training and access to income maximisation support.
Single Parents and vulnerable families	Positive - opportunities to receive specialist support and improve health and wellbeing.
Pensioners	Positive - opportunities to reduce social isolation, improve health and wellbeing and develop new skills.
Looked after Children	Positive - opportunities to receive specialist support and improve health and wellbeing.
Those leaving care settings ((including children and young people and those with illness)	Positive - opportunities to receive specialist support and improve health and wellbeing.
Homeless People	Positive - opportunities to learn new skills and increase access to employment, education and training and access to income maximisation support.
Carers (including young carers)	Positive - opportunities to receive specialist support and improve health and wellbeing.

Those involved in the criminal justice system	Positive - opportunities to learn new skills and increase access to employment, education and training.
Those living in the most deprived communities (bottom 20% SIMD areas)	Positive - opportunities to learn new skills and increase access to employment, education and training and access to income maximisation support.
People misusing services	Positive - opportunities to receive specialist support and improve health and wellbeing.
People with low literacy/numeracy	Positive - learn new skills and increase access to employment, education and training and improve written and spoken language skills.
Others e.g. veterans, students	Positive - opportunities to receive specialist support and improve health and wellbeing.
Geographical Communities	
Rural/ semi-rural Communities	Rural and semi-rural communities are able to influence the SMP through the citizen's panel survey, through FCC reps in CP planning, and directly within the sustainable growth thematic area.
Urban Communities	Urban communities, including the formulation of the local plan, are able to influence the SMP through the citizen's panel survey, through FCC reps in CP planning, and directly within the sustainable growth thematic area.
Coastal Communities	n/a

5. Are there any other factors which will affect the way this policy impacts on the community or staff groups?

No

6. **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?

Yes. The citizen's panel survey is operated by a procured company.

7. **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?**

Information published by Midlothian Council can be provided on request in many of the community languages and in large print, Braille, audio tape or BSL. For more information, please contact the Equality, Diversity & Human Rights Officer on 0131 271 3658 or equalities@midlothian.gov.uk

8. **Please consider how your policy will impact on each of the following?**

Objectives Equality and Human Rights	Comments
Promotes / advances equality of opportunity e.g. improves access to and quality of services, status	Third sector organisations will be able to continue to provide locally based services addressing the needs of their local communities.
Promotes good relations within and between people with protected characteristics and tackles harassment	Third sector organisations will be able to continue to provide locally based services addressing the needs of their local communities.
Promotes participation, inclusion, dignity and self- control over decisions	Volunteer grant panel vacancies were advertised via Myjobscotland and through existing networks. They had an equal say in the scoring of applications. Unsuccessful applicants will not be identified in the public report to protect their dignity.
Builds family support networks, resilience and community capacity	Those funded will benefit through enhanced family support, resilience and community capacity support. Those not funded will be offered tailored support to attract additional resources and funding.
Reduces crime and fear of crime	N/A
Promotes healthier lifestyles including Diet and nutrition Sexual Heath Substance Misuse Exercise and physical activity	Those funded will benefit through enhanced support focussing on health and wellbeing. Those not funded will be offered

Life Skills	tailored support to attract additional resources and funding.
Environmental	
Reduce greenhouse gas (GHG) emissions in Midlothian (including carbon management)	Will support projects that aim to reduce carbon emissions.
Plan for future climate change	Will support projects that aim to reduce carbon emissions.
Pollution: air/ water/ soil/ noise	Will support projects that aim to reduce carbon emissions.
Protect coastal and inland waters	Will support projects that aim to reduce carbon emissions.
Enhance biodiversity	Will support projects that aim to reduce carbon emissions.
Public Safety: Minimise waste generation/ infection control/ accidental injury /fire risk	n/a
Reduce need to travel / promote sustainable forms or transport	Will support organisations to provide locally based opportunities.
Improves the physical environment e.g. housing quality, public and green space	2 projects were not eligible as they were for capital projects but they have been noted for future discussion for alternative capital funds. Capital spend, particularly in the carbon emissions stream; will be reviewed for the next 3 year funding stream.
Economic	
Maximises income and /or reduces income inequality	Will support organisations to be able to provide income maximisation support.
Helps young people into positive destinations	Will support organisations to be able to provide employability programmes.
Supports local business	n/a
Helps people to access jobs (both paid and unpaid)	Will support organisations to be able to provide services such as job clubs, employment related training and development of volunteering opportunities
Improving literacy and numeracy	Will support organisations to engage their participants in activities that will promote the improvement of literacy and numeracy skills.
Improves working conditions, including equal pay	The policy will support the development of activities that will enable local people to be better informed and confident in challenging poor working conditions.

Improves local employment opportunities	Local people will have increased access to services that support their personal development, educational attainment and consequently, improve readiness to access employment opportunities.

9. **Is the policy a qualifying Policy, Programme or Strategy as defined by The Environmental Impact Assessment (Scotland) Act 2005?**

No

10. **Action Plan**

Identified negative impact	Mitigating circumstances	Mitigating actions	Timeline	Responsible person
Faith partnerships may not have a representative voice.	Due to Covid-19 group was unable to meet	We have reconvened the faith partnership group	First meeting Feb 2022 and will have ongoing monthly meetings	Rebekah Sullivan and Jennifer Hodson
Citizens panel members have been in place for a number of years	After looking into the citizen's panel it was identified that the panel members and company carrying out the surveys had not been changed in a few years.	Tender requests have been sent out to businesses	Emails to businesses sent out April 2022 and quotes/new provider will be looked at early May 2022	Rebekah Sullivan & Annette Lang

11. **Sign off by Chief Officer**

Signature   Joan Tranent

Name   Joan Tranent

Date   May 2022

**Standing Order 19.2 Decision
Report by Chief Executive**

Report for Noting

1 Recommendations

Council is invited to note the terms of this report.

2 Purpose of Report/Executive Summary

The purpose of this report is to advise the Council of the decision taken by the Chief Executive in terms of Standing Order 19.2.

**Date: 16 June 2022
Report Contact:
Alan Turpie, Legal and Governance Manager**

alan.turpie@midlothian.gov.uk   0131 271 3667

3   Background

3.1   Standing Order 19.2 states that:

"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)."

3.2   At its meeting on 29 March 2022, the Council approved the following motion:

Making a contribution of £20,000 to the Disaster Emergencies Committee (DEC) to fund its member charities' UK-based activities in recognition of the considerable strain the crisis in Ukraine has placed on the resources of these charities. This being funded by agreeing a supplementary estimate in 2021/22 met from the general reserve. Noting that the ability to do this is provided for by section 83(3) of the Local Government (Scotland) Act 1973 which provides Council to incur expenditure on contributions to any charitable body in furtherance of its work in the United Kingdom. Noting that the Council is not authorised to provide direct relief to communities abroad".

When Officers attempted to make the donation to DEC and, at that time, sought confirmation on the caveat that it could be "to fund its member charities' UK-based activities in recognition of the considerable strain the crisis in Ukraine has placed on the resources of these charities" DEC unfortunately advised that they do not fund UK-based activity

Having taken advice from the Monitoring Officer, it was determined that a donation to DEC would now be viewed as falling out with the provisions of section 83(3) of the Local Government (Scotland) Act 1973 and so risked being considered as ultra vires.

In terms of governance, advice received from DEC constitutes information not previously available and so avoids any issue with the six month rule in terms of Standing Order 7.14. There not being another Council meeting until 23 May 2022 and the need to support charities dealing with the Ukrainian crisis being seen as a matter of urgency, the Chief Executive therefore used Standing Order 19.2 powers to re-allocate the donation to the British Red Cross and the International Rescue Committee (both of whose activities to support Ukrainian refugees are based in the UK) and thereby give effect to the members' wishes, following discussion with the Leader of the Council and having advised the other Group Leaders and proposer and seconder of the motion as a courtesy.

4   Report Implications (Resource, Digital and Risk)

4.1   Resource
None

4.2   Digital
None

4.3   Risk
Failure to report these decision would lead to a lack of governance.

4.4   Ensuring Equalities (if required a separate IIA must be completed)
This report does not recommend any change to policy or practice and therefore does not require an Equalities Impact Assessment.

4.4   Additional Report Implications
See Appendix A

Appendix A – Additional Report Implications

A.1   Key Priorities within the Single Midlothian Plan
Not applicable

A.2   Key Drivers for Change
Key drivers addressed in this report:

☐ Holistic Working
☐ Hub and Spoke
☐ Modern
☐ Sustainable
☐ Transformational
☐ Preventative
☐ Asset-based
☐ Continuous Improvement
☐ One size fits one
☒ None of the above

A.3   Key Delivery Streams
Key delivery streams addressed in this report:

☐ One Council Working with you, for you
☐ Preventative and Sustainable
☐ Efficient and Modern
☐ Innovative and Ambitious
☒ None of the above

A.4   Delivering Best Value
The report does not directly impact on Delivering Best Value

A.5   Involving Communities and Other Stakeholders
The report does not directly relate to involving communities

A.6   Impact on Performance and Outcomes
The report does not directly impact on Midlothian Council's performance and outcomes

A.7   Adopting a Preventative Approach
Not applicable

A.8   Supporting Sustainable Development
Not applicable

Financial Monitoring 2021/22 – General Fund Revenue

Report by Gary Fairley, Chief Officer Corporate Solutions

Report for Noting

1   Recommendations

a) Council is recommended to the contents of this report.

2   Purpose of Report / Executive Summary

2.1   The purpose of this report is to provide Council with information on performance against service revenue budgets in 2021/22 and details of material variances against budget and the General Fund Reserve.

2.2   This report incorporates all COVID related income and expenditure in 2021/22 with related divergence from budgets fully funded by a combination of government grant, whether ring fenced for specific purposes, or from the general funding provided, and savings elsewhere in council budgets.

2.3   The budget performance figures shown in appendix 1 result in a net underspend of £3.091 million for the year being 1.28% of the revised budget and a £0.491m improvement from that reported at quarter 3.

Date: 09 June 2022
Report Contact:
Gary Fairley, Chief Officer Corporate Solutions

gary.fairley@midlothian.gov.uk   0131 271 3110

3 Background

3.1 This report encompasses all performance against revenue budget including additional costs incurred and lost income due to the Covid-19 pandemic.

3.2 The main areas of service budget variances for the year are outlined below and covered in more detail at appendix 2.

<u>Overspends</u>

- Costs exceeded income generated by £0.788 million for the Building Maintenance Service. Service turnover for the year was £6.405 million and the adverse variance reflects issues with productivity and job management combined with difficulties in obtaining material and rising prices;

- A higher than planned value of works relating to the repair and maintenance of the Council's operating fleet is being externally contracted giving rise to an adverse variance against budget of £0.203 million, a further improvement from the positions reported at earlier quarters. Management action is in place to carefully manage spend in this area and also to accelerate service review work that is underway;

- As reported in earlier quarters the annual review of Insurance premiums as provided for in the contract, alongside some potentially higher value new claims received in 2021/22, gives rise to an overspend now at £0.595 million. The main drivers for increased premiums are the Council's claims experience and a general market pressure felt across the sector. The contract is due for re-tendering in July 2022 and preparatory work is underway. During quarter 3 two high value claims dating back to the 1970's and 1980's were received and necessitated making a provision;

- The Council elected to withdraw from the partnership agreements with Scottish Government for the Employability Pipeline project and Social Inclusion programme. As a consequence grant monies of £0.144 million received are required to be repaid.

- As implementation of the Equipped for Learning project continues a detailed assessment of the allocation of costs between the revenue and capital accounts has resulted in an increase of £0.170 million in cost attributable to the revenue account. Overall, the cost of delivery of the programme remains within original estimates.

These are more than offset by favourable movements against budget:

- The impact of vacant posts across the Council of £1.925 million. Many of these are posts are within the scope of the MTFS Management Review proposals and will be removed from the

Council's staffing establishment as reviews are progress to completion;

- Costs across the spectrum of learning setting for children and young people are lower than provided for in the budget mainly due to lower pupil numbers than provided for thus giving rise to a positive variance in £2.289 million;

- Lower than budgets pressure on Family Placement and Residential Respite budgets gives rise to a positive variance of £0.242 million;

- When the budget was set the Council share of undistributed sums was estimated. Actual distribution, most notably for the Teachers Induction Scheme, was slightly higher. Total distributed Scottish Government Grant amounts to £185.609 million.

3.3 COVID funding provided to the Council by the Scottish Government late in 2020/21 alongside other funding streams aligned to COVID recovery were carried forward from 2020/21 to 2021/22. Funding continued to be applied in-year to match costs and lost income. It is anticipated that funds remaining at 31 March 2022 will be fully utilised in 2022/23 to continue to mitigate the impact of the pandemic and support increased service costs across Midlothian.

3.4 The provision for pay awards included in the approved budget approved reflected the Scottish Public Sector Pay Policy for 2021/22 published at the time and as members are aware Government subsequently revised the pay policy. The settled pay awards were greater than the provision made in the approved budget with the additional £0.675 million (£40 million nationally) funding provided in the Local Government Finance (Scotland) Order 2021 applied to provide an increased provision in the revised budget for pay awards. Furthermore as part of a shared funding package to support additional pay costs of £48 million nationally the Scottish Government provided £30 million nationally, of which Midlothian's share was £0.506 million.

4 Delegation of resources to Midlothian Integration Joint Board

The approved budget provided for the allocation of £47.724 million to the Midlothian Integration Joint Board (MIJB) for the provision of delegated services. The application of new Scottish Government funding and other minor technical adjustments to this allocation during the year to date increase the allocation to £50.598 million.

In accordance with the Integration Scheme the MIJB is required to deliver delegated services within the budget allocations from the Council and NHS Lothian and where any overspend is projected to put in place a recovery plan to address that. As a last resort the integration scheme allows for the MIJB to seek additional financial support from its partners, either by way of an additional budget allocation or by "brokerage" (provision of additional resources in a year which are repaid in the following year).

Additional costs incurred by the MIJB in response to the Covid-19 pandemic were funded by government and accordingly delegated services were delivered within the allocations provided and no provision has been necessary for an additional budget allocation from the Council.

Financial Monitoring reports covering all of the MIJB activity are presented to the Integration Joint Board and are available on the committee management section of the Council website:-

Midlothian Integration Joint Board (cmis.uk.com)

5 General Fund Reserve

The balance on the General Fund as at 31 March 2022 reflects the utilisation of fiscal flexibilities and release of non-committed earmarked reserves to support setting a balanced budget for 2022/23.

Accordingly these cross year elements are reflected in the General Fund Balance at 31 March 2022 and as the tables below set out, are set aside as committed in 2022/23:

The table below sets out the position for the General Fund reserve:-

	£ million	£ million
Reserve as at 1 April 2021		29.672
Less earmarked provisions utilised in 2021/22		(23.314)
General Reserve at 1 April 2021		**6.358**
Planned movements in reserves		
Council Transformation Programme Costs	(0.460)	
Severance Costs	(0.051)	
Supplementary estimates	(0.080)	
Other movements	0.286	
		(0.305)
Fiscal Flexibilities adopted in year		3.365
Underspend per appendix 1		3.091
In year budgets carried forward for use in 2022/23		19.923
General Fund Balance at 31 March 2022		**32.432**

An element of the General Fund is earmarked for specific purposes and this is shown below:

	£ million
General Fund Balance at 31 March 2022	**32.432**
Earmarked for specific purposes	
Budgets carried forward and earmarked for use in 2022/23	(19.923)
Council Transformation	(1.336)
Set aside to balance 2022/23 budget	(5.576)
General Reserve at 31 March 2022	**5.597**

The Reserves Strategy approved by Council on 12 February 2019 needs the Council to maintain an adequate level of General Reserve to provide a contingency for unforeseen or unplanned costs and that in the financial context at that time approve the adoption of 2% of the approved budgeted net expenditure (excluding resources delegated to the IJB) to be considered a minimum. This equates to £3.650 million. Council also agreed that where projections indicate that should the 2% minimum General Reserve balance be breached an immediate recovery plan be implemented to recover the position, failing which, the next available budget would need to provide for the restatement of reserve position.

The General Reserve of £5.597 million is above the minimum set in the Reserves Strategy but will only remain that way if there is no adverse performance against budget or any further draw on reserves in future years.

5.2 The distribution of funding by Scottish Government late in the year which relates to spending plans for the following financial year continues to impact on the level of earmarked funds carried forward from one financial year to the next. In addition a range ring fenced or specific service commitments were carried forward and are committed to fund expenditure in the current financial year.

Including these carry forwards in the General Fund Reserve balance at the yearend is a technical adjustment to comply with the Accounting Code. The funds are in the main committed in financial year 2022/23 and as such have used to augment service budgets to meet expenditure commitments in the current financial year.

The table below summarises the carry forward position.

	£ million
Scottish Government funding for designated use	£ 8.630
Covid funding utilised when setting 2022/23 budget	£ 1.675
Covid funding to mitigate service cost/lost income	£ 2.974
Education Recovery funding for summer term	£ 1.796
Devolved School Management carry forward	£ 1.123
Ring Fenced/Specific Service carry forwards	£ 2.647
Scottish Government Grant for pay pressures	£ 0.512
Supplementary Estimates to be applied in 2022/23	£ 0.080
Other Cross Year Service Funding	£ 0.486
	£19.923

6 Report Implications (Resource, Digital and Risk)

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

6.2 Digital
Increased reliance and investment in digital solutions and digital first solutions will be a key element of future plans.

6.3 **Risk**

Section 95 of the Local Government (Scotland) Act 1973 requires all Local Authorities in Scotland to have adequate systems and controls in place to ensure the proper administration of their financial affairs.

The assessment of performance against budgets by services is underpinned by comprehensive financial management and budgetary control arrangements. These arrangements are central to the mitigation of financial risk.

Ensuring that adequate systems and controls are in place reduces the risk of significant variances arising, and where they do arise they help to ensure that they are identified and reported on and that appropriate and robust remedial action is taken. The primary purpose of this report is to report on performance against budget for the full year. The material variances detailed in appendix 2 highlight that the financial management and budgetary control arrangements require continual review and enhancement if financial risk is to be effectively mitigated.

During the year there were some areas where effective forecasting of spend against budget was hindered due to ineffective feeder systems or incomplete service information which in previous years has resulted in previously unreported or significantly adjusted variances at the financial year end. Financial Management Corporate Management team meetings are provided with an update on progress to resolve these areas and is continuing to support actions to address the underlying issues and mitigate the risk associated with them.

The Council recognises the potential for compensation claims deriving from Scottish Government's Limitation (Childhood Abuse) (Scotland) Act 2017 which removes the three year time limit on claims of child abuse. Some claims will be historic and relate to Lothian Regional Council, Midlothian District Council or their predecessors and some will date post reorganisation and relate to Midlothian Council. And so presents a risk that would further reduce reserves from those currently projected. Further financial obligations may also arise as the implications associate with the The United Nations Convention on the Rights of the Child (Incorporation) (Scotland) Bill, which has yet to secure Royal Assent , are more fully understood.

As reported elsewhere on today's agenda the impact of cyber security breaches on public sector organisations can have devastating financial impact. Accordingly adequate mitigation of those risks continues to be essential to ensure the Council's financial sustainability.

6.4 **Ensuring Equalities**

As changes to existing plans are developed the assessment of the impact of these proposals in relation to their impact on equalities and human rights is carried out. This helps to ensure wherever possible that

there are no negative impacts on equality groups or potential for infringement of individuals' human rights from the any of the proposals.

6.5   Additional Report Implications

See Appendix A

Appendices

APPENDIX A – Report Implications

A.1   Key Priorities within the Single Midlothian Plan

The exiting financial plans support the delivery of the key priorities in the single Midlothian Plan. As the impact of changes in the funds available to support services continues to unfold any changes in the availability and allocation of resources will need to be considered in parallel to the actions proposed to continue to delivery key priorities.

A.2   Key Drivers for Change

Key drivers addressed in this report:

☒ Holistic Working
☒ Hub and Spoke
☒ Modern
☒ Sustainable
☒ Transformational
☒ Preventative
☒ Asset-based
☒ Continuous Improvement
☒ One size fits one
☐ None of the above

A.3   Key Delivery Streams

Key delivery streams addressed in this report:

☒ One Council Working with you, for you
☒ Preventative and Sustainable
☒ Efficient and Modern
☒ Innovative and Ambitious
☐ None of the above

A.4   Delivering Best Value

The report does not directly impact on Delivering Best Value.

A.5   Involving Communities and Other Stakeholders

The development of the Medium Term Financial Strategy reflected a community consultation exercise carried out in 2019 which has also helped shape the drafting of future Strategic Plans and the early development of the Council's Longer Term Financial Strategy.

In addition there is continues engagement with the recognised Trade Unions on the financial position.

A.6 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 financial consequences of the pandemic will impact on the availability and allocation of resources in pursuit of key outcomes as set out in the Single Midlothian Plan for both the immediate and longer term and therefore the ability of the Council to continue to deliver services in a financial sustainable manner.

A.7 Adopting a Preventative Approach

Maintaining the effectiveness of the Financial Strategy will support the prioritisation of resources to support prevention.

A.8 Supporting Sustainable Development

There are no direct sustainability issues arising from this report and we will work to mitigate as far as feasible any sustainability issues which arise as a consequence of any of the changes to existing plans.

Appendix 1-2 financial tables

MIDLOTHIAN COUNCIL

GENERAL FUND 2021/22

Performance against budget

Function	Approved Budget	Revised Budget Expenditure	Revised Budget Income	Revised Budget Net £	Outturn £	(Underspend) / Overspend £
Management and Members	2,054,529	1,961,554	0	1,961,554	1,900,868	(60,686)
Place						
Corporate Solutions	20,955,751	46,398,476	(24,721,931)	21,676,545	20,890,381	(786,165)
Place	30,446,779	48,982,455	(12,072,393)	36,910,062	37,487,042	576,980
Central Costs	3,085,352	57,005	0	57,005	706,010	649,005
People and Partnerships						
Midlothian Integration Joint Board	47,723,814	67,220,543	(16,622,065)	50,598,478	50,598,478	0
Non-Delegated Services - Sport and Leisure, Community Safety and Welfare Rights	2,122,353	7,102,900	(5,387,562)	1,715,338	1,721,344	6,006
Childrens Services, Partnerships and Communities	19,336,672	22,822,888	(418,319)	22,404,569	21,870,214	(534,355)
Education	103,459,243	132,331,102	(25,282,187)	107,048,915	104,269,819	(2,779,096)
Lothian Valuation Joint Board	571,315	571,315	0	571,315	571,315	0
Non Distributable Costs	898,936	934,595	0	934,595	906,372	(28,223)
GENERAL FUND SERVICES NET EXPENDITURE	230,654,744	328,382,834	(84,504,457)	243,878,377	240,921,843	(2,956,535)
Loan Charges	2,492,000	2,492,000	0	2,492,000	2,464,714	(27,286)
NDR Discretionary Relief	70,300	70,300	0	70,300	76,555	6,255
Investment Income	(110,736)	0	(110,736)	(110,736)	(17,144)	93,592
Capital Financed from Current Revenue (CFCR)	0	48,033	0	48,033	42,990	(5,043)
Allocations to HRA, Capital Account etc.	(5,248,308)	(5,248,308)	0	(5,248,308)	(5,231,964)	16,344
	227,858,000	325,744,859	(84,615,193)	241,129,666	238,256,993	(2,872,673)
less Funding:						
Scottish Government Grant	(172,381,000)	0	(185,321,155)	185,321,155	185,609,008	(287,853)
Council Tax	(55,477,000)	0	(55,477,000)	55,477,000	55,407,607	69,393
Utilisation of Reserves	0	325,744,859	(325,413,348)	331,511	(2,759,622)	(3,091,133)

Financial Monitoring 2021/22 – General Fund Revenue – Material Variances

Place Directorate

Corporate Solutions

Description of Variance	Reason for Variance	Quarter 1 £000	Quarter 2 £000	Quarter 3 £000	Quarter 4 £000	Additional information / Action taken
Vacancies and Performance Factor	Staff turnover and vacancies.	(142)	(226)	(336)	(351)	The Corporate Solutions Management review is progressing and will be finalised during the first quarter of 2022/23. Vacancies had been held in advance of implementation of the formal service review and there was staff turnover during the year.
Housing Benefits	Higher subsidy received from DWP than budgeted.	0	0	0	(108)	Figures are reliant on completion of the year end subsidy claim.
	Overpayment recoveries have exceeded budget.	0	0	0	(90)	Due to DWP rule changes and the continued impact of universal credit the income budget in this area was reduced in 2021/22. It is expected that a continued downwards trend in recoveries will be seen in 2022/23 and beyond.
Bad Debt provision	The value of sundry debt (not rents or Council Tax) that is estimated to be uncollected has reduced from the position at 31st March 2021.	0	0	0	(123)	The re-start of debt collection activity in 21/22 will have improved the position from the closing 2020/21 one.\n\nFigures are reliant on year end calculations.
Statutory Penalties	Income from charges made to those in late payment of Council Tax exceeds budget.	0	0	0	(74)	2021/22 figures include an element of income relating to the restart of debt collection after the initial pandemic related suspension.
Other non-material variances	Miscellaneous over and underspends covering the remaining areas of the Service.	62	10	0	(40)	
Net Underspend		**(80)**	**(216)**	**(336)**	**(786)**	

Place

Description of Variance	Reason for Variance	Quarter 1 £000	Quarter 2 £000	Quarter 3 £000	Quarter 4 £000	Additional information / Action taken
Building Maintenance	Issues with productivity and job management combined with difficulties in obtaining material and rising prices.	0	0	0	788	As previously highlighted in earlier financial monitoring reports it was not possible to make any meaningful projections during the year in this area due to the quality of data available. A programme of change is scheduled through a service review with proposals drafted to redesign and implement service operations which are efficient and sustainable in job management, productivity, budgeting and forecasting.
Travel & Fleet Services	Cost of vehicle repairs mainly relating to external works. Partially offset by vacancies within the service.	406	394	304	203	The budget for vehicle repairs carried out directly or by contractors is provided for as part of the overall Travel and Fleet Services gross budget of £3.1 million. The next stage of the service structure review will focus on fleet services. Budget recovery measures have been implemented with a moratorium to reduce overspend during the year.
Roads and Lighting	Staff shortages and a delay in the start of the residential streets programme have impacted on productivity.	0	0	0	192	A new structure in Roads Maintenance Services has been implemented and is currently being recruited to.
Trade Waste	The external customer base was on a downwards trend pre-covid. The pandemic has exacerbated this with fewer businesses to service.	0	0	175	166	As the longer term implications of the pandemic become clearer service provision will be reviewed for the private sector services.
Waste Disposal	Actual tonnage exceeds budgeted. One-off cost reduction relating to resolution of a contract with a previous contractor.	0	0	209 (96)	225 (96)	The 22/23 budget incorporates updated projections on waste tonnages. Over the course of the year detailed and complex work has been ongoing with the City of Edinburgh Council to agree a basis for financial forecasts. During Q3

Description of Variance	Reason for Variance	Quarter 1 £000	Quarter 2 £000	Quarter 3 £000	Quarter 4 £000	Additional information / Action taken
						work got to a place to allow this to be reported with sufficient certainly.
Winter Maintenance	Adverse weather conditions over the winter months resulted in response costs exceeding budget.	0	0	0	56	
Homelessness	Increased provision of supported temporary accommodation at Klibreck and Eastfield has resulted in increased concierge costs.	63	0	0	0	Forecast additional costs at Q1 are now offset by underspends against budget elsewhere in the service.
Gross Overspend		**469**	**394**	**592**	**1,534**	
Offset by:						
Housing & Homelessness	The use of Bed and Breakfast places ceased in November 2020 resulting a projected saving of £0.273m. The remaining underspend relates to fixtures, fittings and removal costs for clients.	(127)	(204)	(206)	(397)	As the year progressed spend started to stabilise, this was due to a couple of factors: (1) having a set list of essential items required for moving into a property and (2) less movement of tenants by trying to get as many onto permanent tenancies as possible.
Vacancies and Performance Factor	Staff turnover and vacancies.	151	(203)	(367)	(189)	The Place Management review, with a savings target of £0.350m, is now at implementation stage. Vacancies across the service have been held to offset this savings target in the current year. The in-year movement relates to updated projections for vacancies across the service.
Utilities	Predominantly relates to an underspend in water charges.	0	0	0	(90)	Prior year one-off credits have been received and roads drainage charges are no longer applicable.
Property Investment Income	Void rental periods were lower than budgeted resulting in an underspend against budget.	0	0	0	(66)	
Landlord Registration Income	The value of charges received exceed budget.	0	0	0	(45)	
Building Standards	Income from warrants exceeds budget.	0	0	0	(33)	Ongoing monitoring of this area will determine whether this is a long-term trend in income or a related to a backlog from the pandemic.
Community Action Team	Unbudgeted recharges made to support COP26.	0	0	0	(21)	One off.

Description of Variance	Reason for Variance	Quarter 1 £000	Quarter 2 £000	Quarter 3 £000	Quarter 4 £000	Additional information / Action taken
Travelling Peoples Site	Shared costs with East Lothian Council exceed budget due to the site being closed because of damage.	28	22	17	(14)	Arrangements with East Lothian Council at this shared site facility are being reviewed with a view to reducing ongoing costs.
Other non-material variances	Miscellaneous over and underspends covering the remaining areas of the Service.	24	3	(12)	(102)	
Net Overspend		**545**	**12**	**24**	**577**	

People and Partnerships Directorate

Health and Social Care - Non-Delegated Services - Sport and Leisure, Community Safety and Welfare Rights

Description of Variance	Reason for Variance	Quarter 1 £000	Quarter 2 £000	Quarter 3 £000	Quarter 4 £000	Additional information / Action taken
Management Review	There is an outstanding Management Review target. Delayed implementation has had a negative impact.	115	50	50	115	The Service Review is progressing and the remaining target will be secured for financial year 2022/23.
Other non-material variances	Miscellaneous over and underspends covering the remaining areas of the Service.	27	13	13	(53)	
Gross Overspend		**142**	**63**	**63**	**62**	
Offset by:						
Community Justice	Staffing costs underspend.	(18)	(4)	(15)	(51)	Following a review of year end carry forward requirements some budget can be released.
Welfare Rights	Staffing costs underspend	0	0	0	(5)	Vacancy in Q4.
Net Overspend		**124**	**59**	**48**	**6**	

Childrens Services, Partnerships and Communities

Description of Variance	Reason for Variance	Quarter 1 £000	Quarter 2 £000	Quarter 3 £000	Quarter 4 £000	Additional information / Action taken
Children's Services						
Residential and Day Education Placement	Over the past year there has been a slight increase in residential placements required for our younger children (5 -10) years in particular alongside some placements continuing for longer than previously forecast due to COVID restrictions. Our ethos remains that where possible and safe all children and young people shall remain in Midlothian.	77	133	88	17	This continues to be a high risk and uncertain area. Individual placements can be both uncertain and expensive. As a consequence there is a risk of forecasts changing significantly as the year progresses. COVID has meant that some young people have not been able to move on to college or their own tenancy as quickly as hoped. Significant investment has been directed at supporting many children and young people via youth workers to ensure they remain at home and in education. Work is ongoing to consider alternative approaches for this age group but a key priority is to care for and educate young people within their own community. The longer term impact of Covid on children and young people has still not been fully appreciated and the need to future plan to ensure the council has sufficient resources to support those who have been adversely affected via their learning, mental health and emotional and social wellbeing cannot be underestimated.
Gross Overspend		**77**	**133**	**88**	**17**	
Offset by:						
Family Placements	There has been a reduction in External Foster Care placements which are more expensive than our internal provision.	(181)	(275)	(242)	(231)	Costs relating to adoptions can be difficult to project due to uncertainty of court dates for hearings and granting of adoptions and also the complex nature of the work. This work has been impacted by Covid with regard to delayed court hearings. We therefore need to be mindful that

Description of Variance	Reason for Variance	Quarter 1 £000	Quarter 2 £000	Quarter 3 £000	Quarter 4 £000	Additional information / Action taken
						the underspend could be consumed with a few adoption orders being granted or children needing to go to external placements.

The recruitment of additional foster carers has been impacted by Covid. Resources are at capacity which may result in more external placements being required. |
| Non-residential services commissioned and provided for Children with and without disabilities | Taxi costs for children without disabilities. | (33) | (19) | (4) | 6 | A review of all taxi spend across Childrens Services and Education was underway pre-COVID. However, resources were subsequently realigned to other areas of critical work. Restrictions reduced taxi spend as children and young people were not able to move between schools or placements. |
| | Residential Respite | (114) | (125) | (89) | (11) | Additional support packages for children or young people with a disability are a key part of their care plan and pilots have been taking place to ensure support required is provided within local communities. However, the impact on families when children are unable to have mini breaks or receive additional support from other services remains a concern and the pressure on families is very real and challenging to manage. Additional spend via the MARG budget for 1:1 support in part contributes to an overspend in MARG and an underspend in commissioned services. Budgets in this area are being re-aligned.

Education, Children's services and CLLE have all seen an increase in the level of support requested for our children and young people who have additional support needs (ASN). This is in part due to the lack of resources open during 2 lockdowns, self-isolating issues, and the lack of continuity in being able to offer social experiences because of |

Description of Variance	Reason for Variance	Quarter 1 £000	Quarter 2 £000	Quarter 3 £000	Quarter 4 £000	Additional information / Action taken
						restrictions. These have all had a detrimental impact on many Children and Young People across Midlothian.
Vacancies and Performance Factor	Staff turnover and vacancies.	(29)	(33)	(230)	(241)	Movement between Q2 and Q3 relates mainly to vacancies in Residential Services and at Hawthorn. An area of concern is the ability to recruit suitably experienced staff and this is being reviewed.
Other non-material variances	Miscellaneous over and underspends covering the remaining areas of the Service.	(74)	(34)	(5)	(31)	
Net Underspend		**(354)**	**(353)**	**(482)**	**(491)**	
Partnerships and Communities						
EU Funded Projects	The Council has withdrawn from the partnership agreements with Scottish Government for the Employability Pipeline project and Social Inclusion programme. £0.144m of grant received has been repaid.	0	144	144	144	The decision to withdraw was a consequence of an inability to agree changes to target outcomes, comply with retrospective European Social Fund rule changes and meet the 98% compliance rate in terms of participant evidence for vulnerable client groups.
Gross Overspend		**0**	**144**	**144**	**144**	
Vacancies and Performance Factor	Staff turnover and vacancies.	(50)	(75)	(113)	(115)	
CLL Running Costs	Due to some services not fully operating running costs will be lower than budgeted.	(27)	(92)	(76)	(72)	Within the Community Learning and Development strategy recovery engagement targets have been set over a 3 year period. For 21/22 these targets have been exceeded thus future spend should grow proportionately back towards budgeted levels.
Net Underspend		**(77)**	**(23)**	**(45)**	**(43)**	
Service Net Underspend		**(431)**	**(376)**	**(527)**	**(534)**	

Education

Description of Variance	Reason for Variance	Quarter 1 £000	Quarter 2 £000	Quarter 3 £000	Quarter 4 £000	Additional information / Action taken
Additional Support Needs	Additional young people with support needs were identified after the 2021/22 budget was set.	190	358	464	124	The review of our ASN service is ongoing and temporary additional staff have been appointed to support this work. A report will be prepared for members which will set out the current and projected service need. This will also inform how the budget will be set going forward and what information is required to allow that to happen. The ASN review is also linked to the wider review of the DSM scheme. The overspend has provided new specialist provision for young children across 5 primary schools, additional secondary school ASN provision, an increase in therapeutic services and an increase in outdoor learning experiences for some of our most vulnerable children and young people. The overspend represents best value when compared with placing children externally and also ensures that our children are supported within their local communities. Due to recruitment challenges resulting in not all posts being filled the overspend reduced from the projection at Q3.
Equipped for Learning Project	Costs properly chargeable to the revenue account exceed the initial assessment of cost split between the revenue account and the capital account for the project.	0	0	220	170	The initial estimated made a number of assumptions on the split between costs that would be treated as capital and those that would be revenue. The variation reflects the require accounting treatment of the services that have been procured. The overall delivery costs of Equipped for Learning remains in line with the original cost envelope.
Gross Overspend		**190**	**358**	**684**	**294**	
Offset by:						

Description of Variance	Reason for Variance	Quarter 1 £000	Quarter 2 £000	Quarter 3 £000	Quarter 4 £000	Additional information / Action taken
Schools	In the Primary sector actual school numbers for the current school year are 93 lower than secured in the approved budget. In addition there are underspends in school settings, after allowing for a 1% carry forward under current DSM rules.	(573)	(752)	(818)	(629)	Uptake of school places in the Primary Sector was impacted by a high level of P1 deferrals.

Numbers in the secondary sector are almost exactly in line with secured budgets. |
Early Learning and Childcare	Vacancies and lower than budgeted absence across settings.	0	(688)	(745)	(752)	Pupil number projections across Education are being reworked and will feed into the Medium Term Financial Strategy cost projections. Detailed work on the Early years delivery model is also ongoing and will inform financial projections.
	Approved budget providing for 110 more pupils than attending.	0	(767)	(790)	(790)	
	Lower than budgeted spend on running costs.	0	0	0	(118)	In-year projections were based on full utilisation of budget.
Home to School Transport – Primary and Secondary	Costs are lower than budgeted mainly due to restrictions in place during part of the financial year.	(238)	(60)	(76)	(157)	Detailed work will continue in 22/23 to analyse and challenge spend.
PPP Contracts	Unitary charge payments are slightly less than budget due to some applicable credits in 21/22 as defined in the PPP operating model.	0	0	0	(60)	Final figures are based on a year-end reconciliation of complex contractual charges.
Vacancies and Performance Factor	There are a number of vacancies across the Education service partially offset by higher than budgeted spend on maternity cover in schools.	(199)	(593)	(241)	(567)	Strict vacancy control is applied with management action in place to minimise any impact on frontline service provision.
Net Underspend		**(820)**	**(2,502)**	**(1,986)**	**(2,779)**	

Management and Members

Description of Variance	Reason for Variance	Quarter 1 £000	Quarter 2 £000	Quarter 3 £000	Quarter 4 £000	Additional information / Action taken
Vacancies and performance factor	Underspend due to vacancies and cost of Members.	(17)	(23)	(29)	(61)	
Net Underspend		**(17)**	**(23)**	**(29)**	**(61)**	

Other

Description of Variance	Reason for Variance	Quarter 1 £000	Quarter 2 £000	Quarter 3 £000	Quarter 4 £000	Additional information / Action taken
Council Tax Income	Increased yield due to continued demographic growth offset by an increase in the provision for bad and doubtful debts.	71	92	0	69	Council Tax income growth of £1m was reflected in the 2021/22 budget reflecting an increased Band D rate and also projected increases in chargeable dwellings in Midlothian. The increased bad debt provision is due to recent collection experience and economic circumstances.
Scottish Government Grant	The 21/22 budget was set with an estimate of the Councils share of undistributed sums. Actual distribution, most notably for the Teachers Induction Scheme, exceeds projections.	0	0	(425)	(288)	Costs associated with employing probationary teachers are covered in the Education budget.
Loan Charges	Lower than budgeted net interest costs.	0	(176)	2	(27)	
Central Costs - Insurances	The annual review of premiums due on 1st July each year that is inherent in the Insurance contracts has resulted in a considerably higher increase than expected when the budget was set giving rise to an	196	196	196	196	The Councils appointed Insurance Broker has supported the Council to minimise increases where possible. The position reached is reflective of the position across the whole Local Authority Insurance market.

Description of Variance	Reason for Variance	Quarter 1 £000	Quarter 2 £000	Quarter 3 £000	Quarter 4 £000	Additional information / Action taken
	adverse variance of £0.196m. During this financial year a number of potentially high value claims have been made on the Council giving rise to possible costs which are included in the Q3 projection.	89	183	433	399	During 2021/22 a number of potentially higher value claims were received some dating back to the 1970's and 1980's. A provision is made for settling these claims based on advice from the councils appointed Loss Adjuster. However, sums remain a provision at this point. As claims progress the loss adjusters will continually refine projected costs as information on the likelihood of settlement costs emerges.
Net Overspend		**356**	**295**	**206**	**349**	

Housing Revenue Account
Revenue and Capital Final Outturn 2021/22 and Capital Plan 2022/23 - 2026/27

Report by Gary Fairley, Chief Officer Corporate Solutions.

Report for Noting

1   Recommendations

Council is recommended to note the contents of this report.

2   Purpose of Report/Executive Summary

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

- The final outturn position for 2021/22 for both the Housing Revenue Account (HRA) Capital Plan and the Revenue Account;
- A revised capital plan for 2022/23 to 2026/27 reflecting the cross-year movements from 2021/22.

The summarised financial performance for 2021/22 is:

- Capital Investment in the year totalling £39.477 million;
- A net underspend of £0.374 million on the Revenue Account;
- An HRA reserve at 31st March 2022 of £28.084 million the majority of which is committed to finance existing investment in the new build programme.

Date 18th May 2022

Report Contact:
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3   Background

3.1   Capital Plan 2021/22

The Capital Plan reported to Council on 15th February 2022 allowed for investment of £45.573 million in 2021/22.   Budget of £6.225 million is carried forward to 2022/23, as shown in Appendix C to reflect:-

- The most up-to-date delivery programme for Phases 2-4 of the New Social Housing programme with £4.969 million carried forward in to 2022/23;
- That the anticipated increase in the number of buyback properties from 12 to 22 did not occur (15 were purchased in total during the financial year) due to market conditions resulting in a carry forward to 2022/23 for the expenditure and subsidy budget of £1.391 million and £0.443 million, respectively;
- Earlier receipt of Affordable Housing Subsidy from Scottish Government of £3.435 million; and
- General slippage for temporary accommodation provision at Jarnac Court and Central Heating Upgrades of £0.253 million and £0.106 million, respectively.

Offset by:-

- General acceleration of the Scottish Housing Quality Standard (SHQS) upgrade programme of £0.481 million due to being able to access properties following the lifting of Covid-19 restrictions to carry out works required;
- Backdated developer contributions being applied earlier than anticipated of £0.013 million.

There was a small overspend of £0.084 million reported to Council 15th February 2022, this has increased marginally by £0.045 million to £0.129 million against the revised budget of £39.299 million, as shown in Appendix C.

The variations explained above result in an increase in borrowing against the budget of £6.387 million of £0.111 million for the year.

3.2   Revenue Account 2021/22

The projected underspend reported to Council on the 15th February 2022 was £0.949 million. This has decreased by £0.575 million to £0.374 million, as shown in Appendix D.

This is primarily due an increase in the provision made at the yearend for bad and doubtful debts which is a consequence of an increase in the level of rent arrears experienced during the year due to the pandemic and wider economic circumstances of tenants.

At 31 March 2022 the total rent due remaining unpaid totalled £4.597 million for which the provision made for bad and doubtful debts was increased by £0.660 million to £2.440 million.

While recovery interventions were limited during the pandemic the Revenues Team continue to engage with tenants to support them as fully as possible to maintain their obligations as tenants and also to ensure that tenants are in receipt of housing and other benefits that they are entitled to.

At 31 March 2022 rent billed but unpaid equated to 15% of the total rent income for the year of £30.643 million. For comparison at March 2020 this was circa 12%.

The HRA reserve balance is £28.084 million at 31st March 2022. The longer-term financial projections demonstrate that this will be required to finance existing investment commitments to 2036/37.

3.3 Capital Plan 2022/23 – 2026/27

The capital plan has been updated to reflect the cross year movements from 2021/22 and is detailed in Appendix E. A fuller review of the Capital Plan and other potential investment plans will be completed over the summer and reported to Council later in the year.

4 Report Implications

4.1 Resource

There are no direct resource implications arising from this report.

4.2 Digital

There are no direct digital implications arising from this report.

4.3 Risk

The principal risks are around the issue of affordability, ensuring that the investment in new build and the existing stock can be made without having to impose unacceptable increases on weekly rents.

Whilst the HRA reserve balance is £28.084 million at 31 March 2022, the longer-term financial projections demonstrate that the majority of this will be required to finance existing investment commitments.

4.4 Ensuring Equalities

There are no equality issues arising directly from this report.

4.4 Additional Resource Implications
See Appendix A.

Appendices

Appendix A – Additional Resource Implications

Appendix B – Background Information

Appendix C - Capital Plan 2021/21

Appendix D – Revenue Account 2021/22

Appendix E – Capital Plan 2022/23-2026/27

APPENDIX A – Report Implications

A.1   Key Priorities within the Single Midlothian Plan

Not applicable

A.2   Key Drivers for Change

Key drivers addressed in this report:

☐ Holistic Working
☐ Hub and Spoke
☐ Modern
☐ Sustainable
☐ Transformational
☐ Preventative
☐ Asset-based
☐ Continuous Improvement
☐ One size fits one
☒ None of the above

A.3   Key Delivery Streams

Key delivery streams addressed in this report:

☐ One Council Working with you, for you
☐ Preventative and Sustainable
☐ Efficient and Modern
☐ Innovative and Ambitious
☒ None of the above

A.4   Delivering Best Value

The report does not directly impact on Delivering Best Value

A.5   Involving Communities and Other Stakeholders

The report does not directly relate to involving communities

A.6   Impact on Performance and Outcomes

The report does not directly impact on Midlothian Council's performance and outcomes

A.7   Adopting a Preventative Approach

Not applicable

A.8   Supporting Sustainable Development

Not applicable

APPENDIX B

Background Papers/Resource Links (if applicable)

HRA Capital Plan and Revenue Budget

MIDLOTHIAN COUNCIL

Appendix C

HOUSING REVENUE ACCOUNT CAPITAL PLAN 2021/22

	Revised Budget 2021/22 £'000	Carry Forward to /from 2022/23 £'000	Revised Budget 2021/22 £'000	Final Outturn £'000	Variation (Under)/Over £'000
FUNDING					
Grants					
- Incentivising New Build	3,520	3,435	6,955	6,955	0
- Buy Backs Funding	960	(443)	517	517	0
- Decarbonisation Fund	236	0	236	236	0
Council Tax on Second Homes	76	0	76	94	18
Insurance Receipt McNeill Terrace	177	0	177	177	0
Appropriation of Reserve to Fund borrowing	25,000	0	25,000	25,000	0
Borrowing Requirement	15,604	(9,217)	6,387	6,498	111
TOTAL AVAILABLE FUNDING	40,604	(6,225)	39,348	39,477	129
APPROVED EXPENDITURE	**£'000**	**£'000**	**£'000**	**£'000**	**£'000**
New Build Houses Phase 2-4	36,868	(4,969)	31,899	31,899	0
Backdated Developer Contributions	0	13	13	13	0
Buy Backs	3,600	(1,391)	2,209	2,209	0
Aids & Adaptations	308	0	308	437	129
Homelessness - Temporary Accommodation Provision	1,767	(253)	1,514	1,514	0
McNeill Terrace Roof Replacement	170	0	170	170	0
Scottish Housing Quality Standard					0
-Upgrade Central Heating Systems	900	(106)	794	794	0
-SHQS Repairs	1,960	481	2,441	2,441	0
TOTAL EXPENDITURE	45,573	(6,225)	39,348	39,477	129

MIDLOTHIAN COUNCIL

HOUSING REVENUE ACCOUNT 2021/22

	Revised Budget	Final Outturn	Variation (Under)/Over
Average No of Houses	**7,088**	**7,173**	**85**
	£000's	£000's	£000's
Repairs and Maintenance			
General Repairs	6,588	6,092	(496)
Decant/Compensation	51	49	(2)
Grounds Maintenance	786	755	(31)
	7,425	**6,896**	**(529)**
Administration and Management	5,248	5,232	(16)
Loan Charges	13,588	11,645	(1,943)
Other Expenses	2,392	3,238	846
TOTAL EXPENDITURE	**28,653**	**27,011**	**(1,642)**
Rents			
Houses	31,833	30,643	1,190
Garages	618	616	2
Others	527	451	76
TOTAL RENTS	**32,978**	**31,710**	**1,268**
NET EXPENDITURE/(INCOME)	**(4,325)**	**(4,699)**	**(374)**

Movement in HRA Reserve

Opening HRA Reserve	**(48,385)**
Enhancement during 2021/22 as above	(4,699)
Approved Capital Financing from Current Revenue	25,000
Closing HRA Reserve	**(28,084)**

MIDLOTHIAN COUNCIL

HOUSING REVENUE ACCOUNT CAPITAL PLAN 2022/23 - 2026/27

	Revised Budget 2022/23 £'000	Proposed Budget 2023/24 £'000	Proposed Budget 2024/25 £'000
FUNDING			
Grants			
-Affordable Housing Supply Subsidy	1,341	13,734	4,924
-Buy Backs Funding	800	560	520
Council Tax on Second Homes	96	98	100
Borrowing Required	77,124	75,121	35,243
TOTAL AVAILABLE FUNDING	79,361	89,513	40,787

APPROVED EXPENDITURE	£'000	£'000	£'000
New Build Houses Phase 2, 3 & 4	63,292	57,355	21,177
Backdated Developer Contributions	810	8,828	0
Housing Led Town Centre Regeneration Purchases	0	10,000	10,000
Buy Back Properties	3,000	2,100	1,950
Aids & Adaptations	454	488	508
Bonnyrigg District Heating Scheme Boiler	1,300	0	0
Environmental and Fire Safety Improvements	2,000	2,000	2,000
Temporary Accommodation Provision	415	0	0
Scottish Housing Quality Standard			
-Upgrade Central Heating Systems	1,673	1,677	1,677
-Future Works	6,417	7,065	3,475
Total Expenditure	79,361	89,513	40,787

Proposed Budget 2025/26 £'000	Proposed Budget 2026/27 £'000
0	0
520	520
103	106
13,475	7,321
14,098	7,947

£'000	£'000
3,834	0
0	0
0	0
1,950	1,950
515	523
0	0
2,000	2,000
0	0
2,325	0
3,474	3,474
14,098	7,947

General Services Capital Plan 2021/22 Final Outturn

Report by Gary Fairley, Chief Officer Corporate Solutions

Report for Decision

1 Recommendations

It is recommended that the Council:-

1. Approve the additions to the General Services Capital Plan as set out in section 3.1;
2. Approve the adjustment to the project expenditure and funding budgets for the projects outlined in section 3.2.
3. Note the General Services Capital Plan outturn position for 2021/22 as set out in Section 4.

2 Purpose of Report/Executive Summary

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

- An update of the General Services Capital Plan incorporating information on further additions to the Capital Plan for approval (Section 3.1) and adjustments to existing budgets in the Capital Plan (Section 3.2);
- Information on the final outturn performance against budget for 2021/22 (Section 4.1-4.4);
- An update on the capital fund balance at 31 March 2022 (Section 5).

Date: 09 June 2022
Report Contact:
Gary Thomson, Senior Finance Business Partner
gary.thomson@midlothian.gov.uk

3   **New Projects & Adjustments to Existing Project Budgets**

3.1   **New Projects presented for endorsement in the Plan**

The following projects are presented for endorsement to be fully adopted within the General Services Capital Plan:-

- **In-cab Waste Collection Vehicles**: in-cab technology (touch screen tablets) for waste collection vehicles to enable "Digital by Default" and increase efficiency with reporting of real-time service issue information. £0.034million capital expenditure budget fully expended in 2021/22 and fully funded by £0.034 million of Zero Waste Scotland grant.

- **Ventilation in Schools**: Phase II of meeting the Scottish Government's requirements for further ventilation and CO2 monitoring in schools. £0.093 million capital expenditure budget to be fully phased in 2022/23 and fully funded by £0.093 million of Scottish Government grant.

- **Orbital Bus Route**: Bus Route from west to east Midlothian through the Loanhead-Bonnyrigg-Dalkeith corridor. £0.302 million capital expenditure budget fully funded by £0.302 million of Transport Scotland Bus Partnership Fund Capital Grant funding, with expenditure and funding to be fully phased in 2022/23.

3.2   **Adjustments to project budgets**

Adjustments to the capital expenditure budgets for the following projects are presented for approval in the General Services Capital Plan:-

- **32-38 Buccleuch Street Ground Floor Redevelopment**: Increase of £0.073 million in capital expenditure budget (from £0.360 million to £0.433 million) due to inflationary pressures as a result of market conditions post Covid / Brexit / Ukraine conflict, and the final design development being informed by the condition of the existing building now being fully exposed. Remaining capital expenditure budget phased fully in 2022/23. Approved by Capital Plan and Asset Management Board on 7 June 2022.

4.   **2021/22 Final Outturn Position**

4.1   **Expenditure**

The latest 2021/22 General Services Capital Plan was approved by Council on 15 February 2022, with an expenditure budget of £25.527 million.

After reflecting the budgets for new projects as outlined in Section 3.1, and the rephasing of 2021/22 budgets to/from 2022/23 as shown in Tables 1 and 2 below, the final budget for the year is £23.408 million.

Table 1: Material rephasing of budgets from 2022/23 back to 2021/22

Project	2021/22 Budget £000's	2021/22 Actual £000's	Rephased Amount £000's	Notes
Digital: Equipped for Learning	3,500	4,724	+1,224	Acceleration of equipment purchases to meet the Council's ambitious plans to provide every child of school age with a digital device along with the associated

				infrastructure
Road Upgrades	1,281	2,062	+781	Milder than anticipated winter weather conditions permitted acceleration of projects
Beeslack Community High School Replacement	430	577	+146	Project progressing to Stage 3 and development of Outline Business Case, with associated design development works having been carried out earlier than anticipated
Street Lighting	722	824	+102	Milder than anticipated winter weather conditions permitted acceleration of projects
Others	3,637	3,802	+165	
Total	**9,570**	**11,989**	**+2,418**	

Appendix 1 contains detail on rephasing of budgets on a project by project basis.

Table 2: Material Rephasing of budgets from 2021/22 forward to 2022/23

Project	2021/22 Budget £000's	2021/22 Actual £000's	Rephased Amount £000's	Notes
Early Years Capital Projects inc. Third Party Provided Projects	1,357	691	-666	Work to expand and create capacity is expected to continue in 2022/23 or commence over summer 2022. The Council is already delivering 1,140 hours ahead of the reintroduction of the statutory requirement. Ongoing projects are to support further expansion in capacity.
CCTV Network	472	0	-472	Delay to commencement of procurement process. Procurement now underway
Digital Services Asset Management Plan	1,936	1,496	-440	Rephasing of expenditure for Asset Management Plan due to impact of Covid and reprioritization of resources
Poltonhall Astro & Training Area Resurfacing	555	183	-372	Prior to works commencing on site, a redesign was required which has resulted in project running c. 3 months behind forecast. At the time of writing this report, the project is now complete and final account is in the process of being concluded.
Free School Meal Provision	324	0	-324	Kitchen equipment required for the expansion of free school meal provision will be ordered and installed over the course of the Summer 2022, October 2022 and February 2023 breaks
Woodburn Primary School	566	300	-266	Design works, value engineering and market testing ongoing. Contractor has been appointed with works to commence in July
32-38 Buccleuch Street Ground Floor Redevelopment	325	71	-254	Design of Passivhaus solution into building has taken longer than anticipated which will improve Council learning and this, combined with Brexit/Covid issues has meant further delays to material deliveries.
Easthouses Primary School	350	112	-238	Stage 3 complete. Current market volatility has required further review of value engineering options
King's Park Primary School Extension/ Refurbishment	226	7	-219	Stage 1 complete. Current market volatility has required further review of cost envelope and value engineering options prior to progressing to Stage 2.
Children's	767	557	-210	The Project continues to progress however

Project	Rephased Project Budget 2021/22 £000's	Actual Outturn 2021/22 £000's	(Under)/ Over Spend 2021/22 £000's	Notes
Therapeutic Residential Service				agreement that renovations would be carried out externally delayed works to enable procurement processes. Works have now been approved and are due to be completed in August 2022
New Danderhall Primary hub	2,339	2,162	-177	Final retention payment to Heron Bros construction held pending resolution of final defects
Accelerated Roads Residential Streets	850	681	-169	Delay to the start of the residential streets programme due to staff shortages. New structure in Roads Maintenance Services has now been implemented and is currently being recruited to
Paradykes Primary Replacement	169	25	-144	Final retention payment to Morrisons construction held pending resolution of final defects
St. Mary's RC & Early Burnbrae Primary Schools	574	434	-140	Rephasing of remaining expenditure to 2022/23 to allow acoustic issues to be resolved
Return of Contingencies	-639	-241	+398	Lower level of return of contingencies in 2021/22 due to impact of Covid on overall capital programme with return of contingencies rephased fully to 2022/23
Others	4,762	3,884	-878	
Total	**14,933**	**10,362**	**-4,571**	

Appendix 1 contains detail on rephasing of budgets on a project by project basis.

Actual expenditure in the year was £23.386 million, giving an underspend of £0.022 million against the rephased budget as noted in table 3 below.

Table 3: Project Under/Over Spends in 2021/22

Project	Rephased Project Budget 2021/22 £000's	Actual Outturn 2021/22 £000's	(Under)/ Over Spend 2021/22 £000's	Notes
Highbank Intermediate Care Re-provisioning	614	833	+219	Overspend due mainly to additional grouting costs, which were difficult to estimate in advance of knowing exact depth of mineshaft (£212k). and additional asbestos-related demolition costs (£7k).
St. Mary's RC & Early Burnbrae Primary Schools	434	194	-240	£0.240 million contingency released. £0.140 million retained as noted in Table 2 above.
Outdoor Play Equipment - Gorebridge	57	56	-1	Project now complete other than final retention payment, with final tendered costs marginally less than budgeted. Corresponding reduction in developer contributions applied of £0.001 million
Total	**1,105**	**1,083**	**-22**	

4.2   Funding

After adjusting for carry-forwards and the funding for the new projects as outlined in Section 3.1 above, the plan budgeted for funding of £17.369 million, as shown in Section 4.4.

Actual funding was £17.368 million, reflecting the £0.001 reduction in developer contribution funding for the Outdoor Play Equipment in Gorebridge project as noted in Section 4.1 above.

4.3   Borrowing

After adjusting for carry forwards and rephasing, the plan budgeted for in-year borrowing of £6.039 million.

Actual borrowing was £6.018 million, reflecting the net underspend as noted in Section 4.1.

4.4   Summary

A summary of the final outturn position for 2021/22 is outlined in the table below.

Table 4: General Services Capital Plan Performance against Budget 2021/22

Item	2021/22 Budget Q3 £000's	2021/22 Rephased Budget £000's	2021/22 Actual Outturn £000's	2021/22 Variance £000's	2021/22 Carry Forward £000's
Expenditure	25,527	23,408	23,386	-22	2,119
Funding	16,258	17,369	17,368	-1	0
Borrowing Required	9,269	6,039	6,018	-21	

5   Capital Fund

The non-committed Capital Fund balance at the end of the 2021/22 financial year is £1.988 million, is as follows:-

Item	Amount £000's
Balance at 01 April 2021	**24,157**
Actual Capital Receipts received in 2021/22	672
Developer contributions received in 2021/22 and transferred to capital fund	2
Capital Receipts transferred to General Fund Reserve in 2021/22 to fund Covid costs and transformational projects	-553
Capital receipts released to support Capital Investment in 2021/22	-2,000
Balance at 31 March 2022	**22,278**
Committed to fund City Deal Project	-7,694
Committed to support Capital Investment	-12,061
Developer Contributions earmarked for specific purposes	-535
Non-committed balance at 31 March 2022	**1,988**

6   Report Implications

6.1   Resource

The 2021/22 borrowing requirement has reduced from £9.269 million as reported at Quarter 3, to £6.018 million, with the resultant impact on loan charges reported in the Financial Outturn 2021/22 – General Fund Revenue report presented elsewhere on today's agenda.

The reduction in borrowing in 2021/22 is largely due to rephasing of a number of projects, with expenditure subsequently carried forward / rephased into 2022/23. As such, the movement in loan charges in 2021/22 will largely be unwound in 2022/23 and 2023/24, once the capital expenditure relating to these projects is incurred.

6.2   Digital

None.

6.3   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. The impact of Covid-19 is as yet unknown and will be reviewed by officers over the forthcoming period.

6.4   Ensuring Equalities

There are no equalities issues arising directly from this report.

6.5   Additional Report Implications

See Appendix A.

Background Papers:

Appendix A: Report Implications

A.1   Key Priorities within the Single Midlothian Plan

Not applicable.

A.2   Key Drivers for Change

A.3   Key Delivery Streams

Key delivery streams addressed in this report:

☐ One Council Working with you, for you
☒ Preventative and Sustainable
☐ Efficient and Modern
☐ Innovative and Ambitious
☐ None of the above

A.4   Delivering Best Value

The report does not directly impact on Delivering Best Value.

A.5   Involving Communities and Other Stakeholders

No external consultation has taken place on this report.

A.6   Impact on Performance and Outcomes

There are no issues arising directly from this report.

A.7   Adopting a Preventative Approach

Not applicable.

A.8   Supporting Sustainable Development

Not applicable.

Appendix 1: General Services Capital Plan 2021/22 Expenditure Outturn

GENERAL SERVICES CAPITAL PLAN FINAL OUTTURN	Rephased 2021/22 Budget Q3 £000's	Rephased 2021/22 Budget Outturn £000's	2021/22 Actual Outturn £000's	2021/22 Variance Outturn £000's	2021/22 Carry Forward OT £000's
PLACE DIRECTORATE					
Corporate Solutions					
Newbattle Centre of Excelllence	324	49	49	-	275
Business Applications	74	74	74	-	0
DS Corporate Solutions	217	-	-	-	217
Front Office - Hardware, Software & Services	231	719	719	-	(488)
Back Office - Hardware, Software & Services	394	113	113	-	281
Network, Software & Services	278	123	123	-	155
Schools - Hardware, Software & Services	492	492	492	-	0
Digital: Equipped for Learning	3,500	4,724	4,724	-	(1,224)
Civica Automation	47	-	-	-	47
Place					
Street Lighting Upgrades	722	824	824	-	(102)
Footway & Footpath Network Upgrades	236	46	46	-	190
Road Upgrades	1,281	2,062	2,062	-	(781)
Accelerated Roads Residential Streets	850	681	681	-	169
North Middleton Bridge	80	18	18	-	62
A7 Urbanisation		50	50	-	(50)
Dalkeith Christmas Lights	25	25	25	-	-
Cycling, Walking & Safer Streets Projects	714	715	715	-	(1)
Vehicle & Plant Replacement Programme	1,355	1,366	1,366	-	(11)
In-Cab Waste Collection Vehicles		34	34	-	-
LEZ Electric Vehicles & Charging Points	103	55	55	-	48
School Transport Retrofit Fund	22	-	-	-	22
Outdoor Play Equipment - Gorebridge	57	56	56	(1)	1
Gala & Events Trailer Stage		43	43	-	-
Mauricewood Road Bus Shelter	4	-	-	-	4
Welfare Park, Newtongrange	98	-	-	-	98
Play Park Renewal	98	-	-	-	98
Nature Restoration Fund 2021/22	31	40	40	-	(9)
Property Upgrades	606	686	686	-	(80)
Midlothian & Fairfield House Shower Upgrades	22	17	17	-	5
Destination Hillend	666	725	725	-	(59)
32-38 Buccleuch Street Ground Floor Redevelopment	325	71	71	-	254
Cashless Catering	29	-	-	-	-
Non-Domestic Energy Efficiency Projects	210	210	210	-	-
Contaminated Land	70	45	45	-	-
Public Sector Housing Grants	280	190	190	-	-
Penicuik THI	196	64	64	-	132
Mayfield Town Centre Regeneration	4	-	-	-	4
CCTV Network	472	-	-	-	472
Place Based Investment Fund 2021/22		1	1	-	(1)
Town Centre Regeneration Fund 2019/20	495	495	495	-	0
Town Centre Regeneration Fund 2020/21	311	220	220	-	91
TOTAL PLACE	**14,920**	**15,033**	**15,033**	**(1)**	**(180)**

PEOPLE AND PARTNERSHIPS DIRECTORATE	2021/22 Budget Q3 £000's	2021/22 Budget Outturn £000's	2021/22 Actual Outturn £000's	2021/22 Variance Outturn £000's	2021/22 Carry Forward OT £000's
Education - Early Years					
Mount Esk Nursery School Replacement @ Hawthornden	20	-	-	-	20
King's Park Primary School	50	124	124	-	(74)
Roslin Primary School	-	5	5	-	(5)
Capital grants to partner providers	450	196	196	-	254
Catering kitchens	100	-	-	-	100
Hawthorn Children & Families Centre Alteration	50	77	77	-	(27)
Mauricewood Primary School	100	53	53	-	47
Vogrie Outdoor Early Learning Centre	167	86	86	-	81
Other Outdoor Spaces	80	58	58	-	22
Settings' kitchens	33	-	-	-	33
Scots Corner	75	-	-	-	75
Newtongrange Primary School	50	-	-	-	50
Lasswade Primary School	45	-	-	-	45
Woodburn Primary School	45	-	-	-	45
Rosewell Primary School Alteration	-	26	26	-	(26)
Mount Esk Nursery School	20	66	66	-	(46)
Tynewater Primary School	20	-	-	-	20
Bilston Primary School	20	-	-	-	20
Moorfoot Primary School	20	-	-	-	20
Loanhead Primary School	5	-	-	-	5
Cuiken Primary School	3	-	-	-	3
St Andrew's Primary School	4	-	-	-	4
Education - Primary					
Paradykes Primary Replacement	169	25	25	-	144
St. Mary's RC & Early Burnbrae Primary Schools	574	434	194	(240)	140
New Danderhall Primary hub	2,339	2,162	2,162	-	177
Cuiken Primary School Extension	-	101	101	-	(101)
Sacred Heart Primary School Extension	237	221	221	-	16
Lawfield Primary Extension	7	7	7	-	0
Easthouses Primary School	350	112	112	-	238
Tynewater Primary School	10	-	-	-	10
Burnbrae Primary School GP Space	2	-	-	-	2
Burnbrae Primary School External Works	73	-	-	-	-
Woodburn Primary 9 class & activity hall extension	566	300	300	-	266
Woodburn - Modular Unit Relocation	226	234	234	-	
Education - Secondary					
Lasswade High - Toilets & Changing to 1,600 pupil capacity	50	118	118	-	(68)
A701 High School	430	577	577	-	(146)
Education - Learning Estate Strategy					
Kings Park PS upgrade to existing building	226	7	7	-	219
St Davids Primary - 4 class & EY extension	47	25	25	-	22
Mauricewood Refurbishment	30	-	-	-	30
Burnbrae PS - Early Years Complex Needs	-	5	5	-	(5)
Mayfield School Campus replace & extend	152	137	137	-	15
Learning Estate Strategy: Development Budget		128	128	-	
Hawthornden Primary - ASN Unit		8	8		
Education - General					
Saltersgate Alterations Phase III - Playground Improvements	252	113	113	-	138
Saltersgate Phase IV - Internal Alterations	39	-	-	-	39
Modular Units - Session 2017/18	10	-	-	-	10
St. David's EY, Burnbrae Extension, Mayfield Campus Alterations	56	56	56	-	(0)
New Learning Estate Furniture & IT Equipment	17	-	-	-	
CO2 Monitors for Schools	205	226	226	-	(21)
CO2 Monitors for Schools / Ventilation 21/22 Phase II	93	-	-	-	93
Free School Meal Provision	324	-	-	-	324
Children's Services					
Residential House for 5-12 year olds	767	557	557	-	210
Communities & Partnerships					
Members Environmental Improvements	100	179	179	-	(79)
Participatory Budgets	160	-	-	-	160
Adult Social Care					
Assistive Technology	152	126	126	-	26
Homecare	55	-	-	-	55
Highbank Intermediate Care Reprovisioning	538	614	833	219	(76)
General Fund Share of Extra Care Housing	59	95	95	-	(37)
Sport & Leisure					
Property - Poltonhall Astro & Training Area Resurfacing	555	183	183	-	372
Property - Penicuik Astro Resurfacing	290	214	214	-	76
Dalkeith Thistle - Pavilion Upgrade	28	28	28	-	0
Loanhead Memorial Park Pitch	5	1	1	-	4
Flotterstone Car Park Infrastructure & Charging	32	16	16	-	16
TOTAL PEOPLE AND PARTNERSHIPS	**10,470**	**7,701**	**7,680**	**(21)**	**2,596**
COUNCIL TRANSFORMATION					
Purchase to Pay	2	-	-	-	2
EWiM - Buccleuch House Ground Floor	33	-	-	-	33
A701 & A702 Relief Road City Deal Project	741	675	675	-	66
TOTAL COUNCIL TRANSFORMATION	**776**	**675**	**675**	**-**	**102**
GENERAL SERVICES CAPITAL PLAN TOTAL	**26,166**	**23,408**	**23,386**	**(22)**	**2,517**
Provision for Return of Contingencies	(639)	(639)	(241)	-	(398)
GENERAL SERVICES CAPITAL PLAN TOTAL	**25,527**	**23,408**	**23,386**	**(22)**	**2,119**

Financial Governance – Financial Regulations

Report by Gary Fairley, Chief Officer Corporate Solutions

Report for Decision

1   Recommendations

Council is recommended to approve the updated Financial Regulations set out in appendix 1.

2   Purpose of Report / Executive Summary

The purpose of this report is to present an updated version of the Financial Regulations for approval.

Section 95 of the Local Government (Scotland) Act 1973, requires all Local Authorities in Scotland to have adequate systems and controls in place to ensure the "proper administration of their financial affairs", including the appointment of an officer with full responsibility for their governance. The Financial Regulations are a core element of the systems and controls with the requirement that any changes to these require the approval of Council.

The Financial Regulations are supported by a series of Financial Directives which are also being updated and will be presented to Audit Committee on 29 June 2022 for their endorsement (as required by the Financial Regulations) .

The Financial Regulations are by their nature high level and the changes which have been incorporated since they were last approved are principally to reflect the Scheme of Administration and the current Leadership Structure.

Date: 08 June 2022
Report Contact:
Gary Fairley, Chief Officer Corporate Solutions

gary.fairley@midlothian.gov.uk   0131 271 3110

3   **Background**

The Financial Regulations detail the responsibilities of the Chief Officer Corporate Solutions who has been appointed as the "proper officer" along with the responsibilities of the Chief Executive, Executive/Joint Directors, Chief Officers, Heads of Service, and other Relevant Officers. These Financial Regulations also detail the responsibilities of the Council, Cabinet and other committees in relation to the conduct of the Council's financial affairs.

4   **Revised Financial regulations**

The principal changes reflect;-

a) The scheme of administration which provides for Financial reports to be presented to Council rather than Cabinet

b) The current Leadership Structure

The revised Financial Regulations are set out in appendix 1 and Council is asked to approve these.

In parallel a review of the more detailed Financial Directives has been progressed and updated Directives will be presented to The Audit Committee on 29 June 2022 with a recommendation that Audit Committee endorse these revised Directives as required by the Financial Regulations.

5   **Report Implications (Resource, Digital and Risk)**

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

5.2   **Digital**
There are no digital implications associated with this report..

5.3   **Risk**
Section 95 of the Local Government (Scotland) Act 1973 requires all Local Authorities in Scotland to have adequate systems and controls in place to ensure the proper administration of their financial affairs.

The updated Financial regulation for a core part of these systems and controls. Ensuring that adequate systems and controls are in place help mitigate financial risk

5.4   **Ensuring Equalities**

No equality issues have been identified when updating the Financial Regulations.

5.5   Additional Report Implications

See Appendix A

Appendices

APPENDIX A – Report Implications

A.1   Key Priorities within the Single Midlothian Plan

Effective financial governance will support the delivery of the key priorities in the single Midlothian Plan.

A.2   Key Drivers for Change

Key drivers addressed in this report:

☒ Holistic Working
☒ Hub and Spoke
☒ Modern
☒ Sustainable
☒ Transformational
☒ Preventative
☒ Asset-based
☒ Continuous Improvement
☒ One size fits one
☐ None of the above

A.3   Key Delivery Streams

Key delivery streams addressed in this report:

☒ One Council Working with you, for you
☒ Preventative and Sustainable
☒ Efficient and Modern
☒ Innovative and Ambitious
☐ None of the above

A.4   Delivering Best Value

The report does not directly impact on Delivering Best Value.

A.5   Involving Communities and Other Stakeholders

Recognising that the changes made principally reflect the Scheme of Administration and current Leadership Structure no consultation has been undertaken.

A.6   Impact on Performance and Outcomes

Effective financial governance in turn supports the effective delivery of services and the achievement of the key outcomes as set out in the Single Midlothian Plan.

A.7   Adopting a Preventative Approach

Maintaining the effectiveness of the financial governance framework will support the delivery of preventive interventions.

A.8   Supporting Sustainable Development

There are no direct sustainability issues arising from this report.

Appendix 1 – Revised Financial Regulations

Midlothian Council

_____

Financial Regulations
28 June 2022

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MIDLOTHIAN COUNCIL

FINANCIAL REGULATIONS

INDEX

1. **SCOPE and OBSERVANCE**

1.1 Section 95 of the Local Government (Scotland) Act 1973, requires all Local Authorities in Scotland to have adequate systems and controls in place to ensure the "proper administration of their financial affairs", including the appointment of an officer with full responsibility for their governance. These Financial Regulations detail the responsibilities of the Chief Officer Corporate Solutions who has been appointed as the "proper officer" along with the responsibilities of the Chief Executive, Executive Directors, Chief Officers, and other Relevant Officers. These Financial Regulations also detail the responsibilities of the Council, Cabinet and other committees in relation to the conduct of the Council's financial affairs.

1.2 Executive Directors and Chief Officers will ensure that all relevant employees are aware of these Regulations and that they are fully complied with. The Chief Officer Corporate Solutions and the Chief Internal Auditor will monitor and report on compliance.

1.3 All actions affecting the Council's finances should only be conducted by properly authorised employees. Chief Officers will establish a clear and effective framework of authorisation for their Services, complying with, and using the Council's electronic authorised signatories' system.

1.4 Responsible Officers will ensure that only expenditure within the legal powers of the Council is incurred. Where this is not clear, the Responsible Officers will consult the Chief Officer Corporate Solutions prior to incurring such expenditure. Similarly, the legality of expenditure relating to new service developments, initial contributions to other organisations and responses to new emergency situations will also be clarified prior to any related expenditure being incurred.

1.5 Any potential non-compliance with, or contravention of these Regulations, will be reported immediately to the Chief Officer Corporate Solutions who may raise the matter with the Chief Executive, the Legal & Governance Manager as Monitoring Officer, and/or any other Relevant Officer as appropriate, to determine any action to be taken.

1.6 Executive Directors and Chief Officers, and other Relevant Officers will ensure that all spending within Capital and Revenue Estimates conforms to proper accounting standards and will seek clarification of the proper classification if required, from the Chief Officer Corporate Solutions.

1.7 The Financial Regulations will be applied and interpreted in a manner which takes account of the obligations contained within the Council's Standing Orders relating to Contracts.

1.8 The Guidelines for Making Payments, available on the Intranet, shall be complied with in full.

3

2. **FRAMEWORK FOR FINANCIAL ADMINISTRATION**

2.1.   The Financial Regulations detail the responsibilities of Elected Members, The Chief Executive, Executive Directors and Chief Officers within the context of the Council's political management framework. The Financial Regulations may only be amended by the Council.

2.2   The Chief Officer Corporate Solutions as the 'proper officer' for the proper administration of the Council's financial affairs will oversee the operation of the Financial Regulations within the Council and will provide to the Chief Executive, and Responsible Officers a written framework which governs the Council's financial affairs. The framework will consist of:

Financial Directives: These directives will cover all relevant aspects of financial administration and the Chief Officer Corporate Solutions will have the delegated authority to alter the Financial Directives except for any matters which are covered by the Financial Regulations where Council approval will be required. Changes to the Financial Directives will be reported to Audit Committee for their endorsement.

Financial Guidance Notes: These guidance notes will provide employees with detailed guidance and advice on specific procedures to be followed and any such guidance notes issued will require the prior approval of the Chief Officer Corporate Solutions.

All Financial Guidance notes are available on the Intranet in the Finance mini-site and are highlighted in this document as 'Finance→FAQ's…..' etc.

Based on the Guidance, Responsible Officers are expected to produce procedure notes for every business critical system/process.

To assist them in this process, reference should be made to Internal Audit's internal control guide (Finance→FAQ's→Internal Audit etc.)

2.3   All Financial Directives and guidance notes issued in terms of these Financial Regulations are issued with the same status and authority as if they were contained within these Financial Regulations.

3.   **COUNCIL/CABINET RESPONSIBILITIES**

3.1   The Council, Cabinet, and Committees will continuously strive to secure best value and economy, efficiency, and effectiveness in their use of resources.

3.2   The Council will be responsible for overseeing the Council's financial and budgetary arrangements.

3.3   The Chief Officer Corporate Solutions in consultation with the Chief Executive, Executive Directors and Chief Officers as appropriate will advise Council and all other Committees on the financial implications of the Council's activities.

3.4   The responsibilities of the Council, Cabinet and other Committees in relation to the conduct of the Council's financial affairs is defined in the Councils Standing Orders and Scheme of Delegation. In summary they are as follows:

3.5   **Council**

- The Council, on recommendations of Business Transformation Steering Group will approve all Revenue and Capital Budgets.
- The Council will consider and determine annually the council tax and council house rent levels to apply in any year.
- The Council will consider and approve any alterations to the Financial Regulations. The Council will approve the framework for the transfer of resources across budget headings.
- The Council will consider and approve requests for supplementary estimates.
- The Council will monitor the overall financial performance of the Council's services in relation to the approved Capital and Revenue Budgets.
- The Chief Officer, Corporate Solutions will provide to the Council with regular budget monitoring reports along with explanations for any significant variances from budget and the remedial action planned.
- The Council will consider and approve a Treasury Management Policy Statement and any amendments thereto and will consider reports on the Council's treasury management activities.

3.6   **Cabinet**

- The Cabinet develops and implements operational policy within the Council's approved budget and strategic policy framework.

3.7   **Performance Review and Scrutiny Committee**

- The Committee will have an overview of the Council's performance and make recommendations as appropriate to Cabinet.
- The Committee will consider any aspect of Council's performance and the policy implications arising from this and make recommendations to the Cabinet in relation to any performance-related issues, which it feels appropriate to raise.
- The Committee will liaise with and assist the Cabinet to achieve performance targets contained in policies approved by the Cabinet.

- The Committee will highlight particular areas of performance where it wishes further information or explanations from the Cabinet or other Council bodies.

3.8 **General Purposes Committee**

- The Committee will be responsible for administering Trusts and Charitable Funds on behalf of the Council, except those relating solely to Education or Social Work.
- The Committee will be responsible for the administration of specific Trust Funds arising from opencast coal sites.

3.9 **Audit Committee**

- The Committee will endorse the Strategic Internal Audit Plan, covering three years, and the annual Internal Audit Plan, and receive regular reports on these in accordance with the Internal Audit Reporting Calendar.
- The Committee will receive and review reports on audit activity and results of reviews.
- The Committee will promote sound corporate governance, management of risk, and a robust internal control environment.
- The Committee will consider reports by the Council's External Auditors, including reports on the audited Annual Accounts.
- The Committee will consider Treasury Management strategy reports in advance of them being presented to Council.
- The Committee will consider draft unaudited and audited Financial Statements.

6

4. CORPORATE GOVERNANCE

4.1 The public sector has adopted Corporate Governance principles which, in the context of a Local Authority, are about how it conducts its business and relates to its community. Corporate Governance is about openness, integrity and accountability.

The six principles of Corporate Governance are:

- Focusing on the purpose of the authority and on outcomes for the community and creating and implementing a vision for the area.
- Members and Officers working together to achieve a common purpose with clearly defined functions and roles.
- Promoting values for the authority and demonstrating the values of good governance through upholding high standards of conduct and behaviour.
- Taking informed and transparent decisions which are subject to effective scrutiny and managing risk.
- Developing the capacity and capability of Members and Officers to be effective.
- Engaging with local people and other stakeholders to ensure robust public accountability.

4.2 The Council is expected to demonstrate that its local Code of Corporate Governance is available to be viewed by all stakeholders, partners and members of the public. Audit Scotland expects the Council to have robust Corporate Governance procedures in place.

4.3 The Local Code of Corporate Governance is approved by Cabinet and scrutinised by the Audit Committee. The Cabinet receives an annual report on compliance with the Code and whenever the Code requires to be updated.

4.4 The annual report coincides with the publication of the Annual Accounts and Performance Information, which will include an Assurance Statement, signed by the Chief Executive and Leader of the Council.

4.5 The local code determines how the Council directs and controls its functions and relates to its community, and is accessible to all. The code can be viewed on the Council's website and on the Intranet under Finance FAQs & Guidance   Internal Audit & Audit Committee

4.6 The basis of the Assurance Statement will be an overview and opinion on the Council's arrangements contained in the approved Local Code.

5.1   The Council's Scheme of Delegation allows situations where the Chief Executive, Executive Directors and Chief Officers can advance matters, within reason, without the approval of Elected Members. Decisions taken are within the policies and Standing Orders of the Council and relate to operational, functional and managerial matters concerning the relevant officer's service. This Financial Regulations also deals with delegated authority in the normal course of business below Chief Officer level.

5.2   Where delegated decision making is appropriate, the Chief Executive, Executive Directors, Chief Officers, and other officers will act in accordance with the 'Scheme of Delegation'.

5.3   Where obligated by law or specific requirements of these Financial Regulations and Directives, the Chief Executive, Executive Directors, and Chief Officers must not delegate authority to other Officers of the Authority.

5.4   Where Council business can be delegated to other Relevant Officers of the Authority, Executive Directors and Chief Officers must ensure that:

a)   Delegation is in the interests of the service.
b)   Proper reporting/accountability processes are in place.
c)   Relevant Officers are fully briefed/debriefed.

5.5   The Internal Audit function will monitor whether any delegation breaches the general principles of internal check and separation of duties.

5.6   Executive Directors and Chief Officers will keep a record of delegated authority within their Service Area and ensure that this record is kept up to date and monitored annually.

6.   **REVIEW OF FINANCIAL REGULATIONS**

6.1   These Financial Regulations may be varied or revoked by the Council and any variation or revocation will be effective from the first working day after the conclusion of the Council meeting at which it was approved.

7.   **LEGAL INTERPRETATION**

7.1   Any matters requiring legal interpretation will be referred to the Legal & Governance Manager.

Contact: If there are any difficulties with the interpretation of these Financial Regulations or if you wish to discuss any other issue, please contact the Chief Officer Corporate Solutions.

Audit Committee Annual / End of Term Report 2021/22

Report by Chair of the Audit Committee

Report for Decision

1 Recommendations

The Council is asked to:

a) acknowledge the performance of the Audit Committee and its assurances to the Council, as set out in the Audit Committee Annual / End of Term Report 2021/22 (Appendix 1); and

b) endorse the Audit Committee's shared lessons learned and identified areas of improvement, set out in Appendix 1 and paragraph 4.2 of this report, to inform the new Audit Committee post local government elections in May 2022 to enhance the Audit Committee's effectiveness as a scrutiny body.

2 Purpose of Report/Executive Summary

The purpose of this report is to provide Members with the Audit Committee Annual / End of Term Report 2021/22, which sets out how the Audit Committee has performed against its remit and the effectiveness of the Audit Committee in meeting its purpose based on the annual self-assessments of the Committee against best practice, and provides assurances to the Council.

It is important that the Council's Audit Committee fully complies with best practice guidance on Audit Committees to ensure it can demonstrate its effectiveness as a scrutiny body as a foundation for sound corporate governance of the Council.

The Chartered Institute of Public Finance and Accountancy (CIPFA) Audit Committees Practical Guidance for Local Authorities and Police 2018 Edition (hereinafter referred to as CIPFA Audit Committees Guidance) includes the production of an annual report on the performance of the Audit Committee for submission to the Council. The Audit Committee Annual / End of Term Report 2021/22 is appended to this report as Appendix 1 for consideration. Midlothian Council continues to adopt this best practice.

Date   14 March 2022

Report Contact on behalf of the Chair of the Audit Committee:
Jill Stacey   Tel No
jill.stacey@midlothian.gov.uk

3   Background

3.1   It is important that the Council's Audit Committee fully complies with best practice guidance on Audit Committees to ensure it can demonstrate its effectiveness as a scrutiny body as a foundation for sound corporate governance for the Council.

3.2   The Chartered Institute of Public Finance and Accountancy (CIPFA) issued an updated guidance note Audit Committees Practical Guidance for Local Authorities and Police 2018 Edition (hereinafter referred to as CIPFA Audit Committees Guidance). It incorporates CIPFA's Position Statement: Audit Committees in Local Authorities and Police which sets out CIPFA's view of the role and functions of an Audit Committee.

3.3   The CIPFA Audit Committees Guidance includes the production of an annual report on the performance of the Audit Committee against its remit for submission to the Council.

4   Audit Committee Annual / End of Term Report 2021/22 and Self-Assessments

4.1   The Audit Committee carried out self-assessments of Compliance with the Good Practice Principles Checklist and Evaluation of Effectiveness Toolkit from the CIPFA Audit Committees Guidance during an Informal Session on 25 January 2022 facilitated by the Chief Internal Auditor. The Audit Committee at its meeting on 14 March 2022 agreed the self-assessments and approved, after minor amendments, their Annual / End of Term Report 2021/22 for presentation to Council.

4.2   The outcome of the self-assessments was a medium degree of performance against the good practice principles and a medium degree of effectiveness. Improvements were identified focussing on activity to improve its effectiveness in fulfilling its role. In summary these are:
- Utilise the CIPFA Skills and Knowledge toolkit.
- Obtain feedback on its performance from a range of Executive Directors and others who interact with the Committee.
- Review and scrutinise the Risk Management Policy and Strategy on a regular basis.
- Continue to rely on the knowledge of those members appointed to other Committees on which the Audit Committee places reliance.
- Continue to ensure the application in practice of the Audit Committee's treasury management scrutiny role in advance of Council approval.
- Continue to ensure appropriate scrutiny on its Action Log.
- Schedule a recruitment, selection and appointment process for the independent members of the Audit Committee prior to May 2022.

4.3   The Audit Committee Annual / End of Term Report 2021/22 is appended to this report as Appendix 1 for consideration. Midlothian Council continues to adopt this best practice. It is designed both to provide assurance to full Council and to share lessons learned and areas of improvement to inform the new Audit Committee post local government elections in May 2022 to enhance the Audit Committee's effectiveness as a scrutiny body.

5 **Report Implications (Resource, Digital, Risk and Equalities)**

5.1 **Resource**

The Council has provided support and resources to the Audit Committee throughout the year including a Democratic Services Officer as the Minute secretary.

In terms of accountability and independence to ensure conformance with the Public Sector Internal Audit Standards (PSIAS), the Chief Internal Auditor reports functionally to the Audit Committee as outlined within the Internal Audit Charter. The Chief Internal Auditor facilitated the annual self-assessment process, and will support the Audit Committee to implement its identified improvement actions.

5.2 **Digital**

There are no digital implications arising from this report.

5.3 **Risk**

The role of the Audit Committee includes the high level oversight of the effectiveness of the Council's systems of internal financial control, internal control and governance, including risk management.

There is a risk that the Audit Committee does not fully comply with best practice guidance thus limiting its effectiveness as a scrutiny body as a foundation for sound corporate governance. The completion of the annual self-assessment and identification of improvement actions as evidenced through this Annual / End of Term Report will mitigate this risk.

5.4 **Ensuring Equalities**

This report does not relate to a new or revised policy, service or budget change, which affects people (the public or staff), so an Integrated Impact Assessment (IIA) is not an applicable consideration.

5.5 **Additional Report Implications (See Appendix A)**

APPENDIX A – Additional Report Implications

A.1 Key Priorities within the Single Midlothian Plan

Although this report does not relate directly to the key priorities within the Single Midlothian Plan to which Midlothian Council and its Community Planning Partners have made a commitment (Reducing the gap in economic circumstances; Reducing the gap in learning outcomes; Reducing the gap in health outcomes; and Reducing the impact of climate change), good governance is important to enable Midlothian Council to deliver its key priorities in support of achieving the Council's objectives.

A.2 Key Drivers for Change

Key drivers addressed in this report:

☐ Holistic Working
☐ Hub and Spoke
☒ Modern
☒ Sustainable
☐ Transformational
☐ Preventative
☐ Asset-based
☒ Continuous Improvement
☐ One size fits one
☐ None of the above

Midlothian Council is committed to creating a great place to grow supported by the 9 drivers for change. Self-assessment of the Audit Committee utilising best practice toolkits underpins its own continuous improvement to ensure that modern and sustainable governance arrangements are in place.

A.3 Key Delivery Streams

Key delivery streams addressed in this report:

☒ One Council Working with you, for you
☒ Preventative and Sustainable
☒ Efficient and Modern
☒ Innovative and Ambitious

A.4 Delivering Best Value

Self-assessment of the Audit Committee utilising best practice toolkits underpins its own continuous improvement to enhance its effectiveness as a scrutiny body as a foundation for sound corporate governance of the Council, thus supporting the delivery of the Council's best value duties.

A.5   Involving Communities and Other Stakeholders

The Audit Committee in fulfilling its governance role acts as a bridge between the Council and other stakeholders.

A.6   Impact on Performance and Outcomes

The members of the Audit Committee have reflected on the performance and outcomes against the remit of the Committee through the completion of annual self-assessments. The identification of improvement actions as evidenced through the Audit Committee Annual / End of Term Report are designed to enhance its effectiveness as a scrutiny body as a foundation for sound corporate governance of the Council.

A.7   Adopting a Preventative Approach

Assurances received by the Audit Committee from Management, Internal Audit and External Audit set out the assessment of prevention and detection internal controls and governance arrangements.

A.8   Supporting Sustainable Development

This report does not relate directly to supporting sustainable development. Good governance is important to enable Midlothian Council to achieve its objectives.

MIDLOTHIAN COUNCIL
AUDIT COMMITTEE
ANNUAL/END OF TERM REPORT FROM THE CHAIRMAN – 2021/22

This annual/end of term report has been prepared to inform the Midlothian Council of the work carried out by the Council's Audit Committee during the year 2021/22. The content and presentation of this report meets the requirements of the CIPFA Audit Committees Practical Guidance for Local Authorities and Police 2018 Edition (hereinafter referred to as CIPFA Audit Committees Guidance) to report to full Council on a regular basis on the Committee's performance in relation to the terms of reference and the effectiveness of the Committee in meeting its purpose to share lessons learned and areas of improvement to inform the new Audit Committee post local elections in May 2022.

Meetings

There were virtual meetings of the Audit Committee 6 times during the financial year which included meetings on 22 June, 17 August (special), 28 September, 7 December 2021, 25 January and 14 March 2022 to consider reports pertinent to the audit cycle and its terms of reference.

The Audit Committee is a key component of Midlothian Council's corporate governance. It provides an independent and high-level focus on the audit, assurance and reporting arrangements that underpin good governance and financial standards. The purpose of the audit committee is to provide independent assurance to elected members of the adequacy of the risk management framework and the internal control environment. It provides independent review of Midlothian Council's governance, risk management and control frameworks, and oversees the financial reporting and annual governance processes. It oversees internal and external audit, helping to ensure efficient and effective assurance arrangements are in place.

The Audit Committee reviewed the draft Annual Governance Statement 2020/21 at its meeting on 22 June 2021 in order to assess whether it properly reflects the risk environment and whether the content is consistent with its evaluation of the internal controls and governance arrangements based on evidence received during the year. The Audit Committee scrutinised the unaudited Annual Accounts 2020/21 of the Council at its special meeting on 17 August 2021, including the enhanced Management Commentary for therein for wider stakeholders, having not received them as originally expected for consideration at its meeting on 22 June 2021. It reviewed the final audited accounts at its meeting on 28 September 2021, alongside the External Audit report on their annual audit 2020/21 to consider any concerns or improvements arising from the audit, prior to recommending to the Council that they be adopted. The Audit Committee scrutinised the Annual Report and Accounts of the Council at appropriate times in accordance with its terms of reference, which also includes the promotion of good governance, and financial and ethical standards.

The Audit Committee approved the Internal Audit Charter, and the Internal Audit Strategy and Annual Plan. It monitored Internal Audit's performance including progress against annual plan, conformance with Public Sector Internal Audit Standards (PSIAS), and quality assurance and improvement plan (QAIP) within Internal Audit mid-term performance and annual assurance reports, and considered the statutory annual audit opinion within the Internal Audit Annual Assurance Report. It considered Internal Audit's reports which set out executive summaries of findings, audit opinions, good practice and recommendations associated with each assurance review, as well as other work. It monitored the implementation of agreed actions through receipt of two reports during the year from Internal Audit, noting that Corporate Management Team monitoring (the "second line") has been enhanced to check that Internal Audit recommendations are implemented in a more timely manner.

The Audit Committee has reviewed the External Audit Strategy and Plan Overview for Midlothian Council, considered External Audit reports including the annual report to Members and the Controller of Audit on the annual audit of the Council, reviewed the main issues arising from the External Audit of the Council's statutory accounts, and monitored the implementation of agreed actions arising.

The Audit Committee received quarterly update reports from the Chief Officer Place during the year on strategic risks and mitigations. The report requested in June 2020 on the review and scrutiny of the Risk Management Policy and Strategy was presented and approved at the March 2022 meeting (twice delayed from original December 2020 target) and monitored on the Action Log. There is a dependency on this to enable Audit Committee oversight of Risk Management Framework to ensure it is able to demonstrate its effectiveness in carrying out its remit.

The Audit Committee considered the adequacy and effectiveness of the Council's counter fraud arrangements by way of an annual report which set out the counter fraud activity and outcomes associated with the refreshed Counter Fraud Policy and Strategy approved by Council in August 2020. In addition, the Committee has requested self-assessment of fraud risks and counter fraud controls associated with national reports, and received assurance reports thereon from the Integrity Group.

The Audit Committee is the governance body responsible for scrutiny of the treasury management strategy, mid-term and annual performance reports prior to their presentation to Council for approval, in accordance with the CIPFA Treasury Management Code of Practice. This scrutiny occurred during 2021/22 at Audit Committee meetings including the Annual Treasury Management Outturn Report 2020/21 in June 2021, the Treasury Management Mid-Year Review Report 2021/22 in December 2021, and the draft Treasury Management and Investment Strategy 2022-23 in January 2022. The Audit Committee will have the opportunity in June 2022 to scrutinise the full suite of Treasury Management Practices (TMPs) following CIPFA release of the new editions of the Treasury Management Code and Prudential Code on 20 December 2021.

The minutes of Audit Committee meetings were presented for approval by the Council, and any exceptional items or recommendations were referred to the Council in accordance with the remit.

Membership

The Membership of the Audit Committee reflects the Council's approved Scheme of Administration i.e. there should be a one third equal split on all Committees reflecting the number of Councillors for each political party (June 2017), being six Members of the Council and two non-voting members appointed from an external source. Two of the six Elected Members on the Audit Committee are in the Cabinet (Committee with executive decision-making powers), which is not in technical compliance with CIPFA audit committee good practice on membership i.e. separation from the executive. However, to partially mitigate this, the Audit Committee operates with an independent Chair and a second independent member to provide the opportunity for independent scrutiny and challenge. The two non-voting independent members were appointed from the community following a recruitment and selection process carried out during 2017. The independent Chair has a pre-meeting with senior management prior to each Audit Committee meeting to enable wider context of Council business.

The Committee membership during the year included Mr M Ramsay (Chair), Councillors C Cassidy, A Hardie, D Milligan, J Muirhead, K Parry and P Smaill, and Mr P De Vink.

The attendance by each member at the Committee meetings throughout the year was as follows:

Member	22 June 2021	17 August 2021	28 September 2021	7 December 2021	25 January 2022	14 March 2022
Mr M Ramsay (Chair)	√	√	√	√	√	√
Cllr C Cassidy	√	√	√	√	√	√
Cllr A Hardie	√		√	√		√
Cllr D Milligan	√	√			√	√
Cllr J Muirhead	√	√	√	√	√	√
Cllr K Parry	√	√	√	√	√	√
Cllr P Smaill	√	√	√	√	√	√
Mr P De Vink	√	√	√	√	√	√

Every Audit Committee meeting in 2021/22 was quorate (i.e. at least three elected members present). Cllr J Hackett attended the September and December 2021 meetings as a substitute for Cllr D Milligan.

All other individuals who attended the meetings are recognised as being "In Attendance" only. The Chief Executive, Executive Directors, Chief Officer Corporate Solutions (Section 95 Officer), External Audit (EY), and Internal Audit attend all Audit Committee meetings, and other senior officers also routinely attend Audit Committee meetings. The Council has provided support and resources to the Audit Committee throughout the year including a Democratic Services Officer as the Minute secretary.

Skills and Knowledge

Given the wider corporate governance remit of Audit Committees within local government and the topics now covered by the external and internal audit functions, it is noteworthy that there is a range of skills, knowledge and experience that Audit Committee members bring to the committee, not limited to financial and business management. This enhances the quality of scrutiny and discussion of reports at the meetings. No one committee member would be expected to be expert in all areas.

3

Self-Assessment of the Committee

The annual self-assessment was carried out by members of the Audit Committee on 25 January 2022 during a Development Session facilitated by the Chief Internal Auditor using the Good Practice Principles Checklist and Evaluation of Effectiveness Toolkit from the CIPFA Audit Committees Guidance. This was useful for Members to ensure the Committee can demonstrate its effectiveness as a scrutiny body as a foundation for sound corporate governance of the Council.

The outcome of the self-assessments was a medium/high degree of compliance against the good practice principles and an improving and medium degree of effectiveness. Improvements were identified focussing on activity to improve its effectiveness in fulfilling its role. In summary these are:

- Utilise the CIPFA Skills and Knowledge toolkit, to complement the Induction Programme following the Local Government Elections in May 2022, at an appropriate time in line with the Audit Cycle to support new and continuing members to fulfil their remit.
- Continue to obtain feedback on its performance in fulfilling all aspects of the Committee's remit from a range of Executive Directors and others who interact with the Committee to support continuous learning and improvement.
- Review and scrutinise the revised Risk Management Policy and Strategy (every 2 years from March 2022). It is important that the Audit Committee is given the opportunity to regularly scrutinise the Council's Risk Management Policy and Strategy (Risk Management Framework). This enables the Audit Committee to fulfil its oversight role to monitor the effective development and operation of risk management consistently across the Council and an Area where the Audit Committee can add value by supporting improvement (No. 3 - Supporting the establishment of arrangements for the governance of risk and for effective arrangements to manage risks).
- Continue to rely on the knowledge of those members appointed to other Committees, to evaluate their effectiveness in fulfilling remits, on which the Audit Committee places reliance.
- Continue to ensure the application in practice of the Audit Committee's treasury management scrutiny role in advance of Council approval. Ensure that the Members on the Audit Committee and Council receive Briefings and Refresher sessions on this technical area of business of Treasury Management and Investment and Prudential Indicators to enable them to consider reports for scrutiny and decision respectively.
- Continue to ensure appropriate scrutiny and challenge on its Action Log to ensure that Audit Committee recommendations have been recorded and monitored to ensure they are fully implemented to its satisfaction.
- Schedule a recruitment, selection and appointment process for the independent members of the Audit Committee prior to May 2022 local government elections to enable those appointed to benefit from the elected members' induction programme.

Development Sessions will be arranged prior to each of the Audit Committee meetings during 2022/23 to enable these improvements to be progressed and fully implemented.

Assurance Statement to the Council

The Audit Committee provides the following assurance to the Council:

- The Council has received the Minutes of the Audit Committee throughout the year.
- The Audit Committee has operated in accordance with its agreed terms of reference, covering the themes of Governance, Risk and Control, Internal Audit, External Audit, Financial Reporting, and Accountability Arrangements, and accordingly conforms to the Audit Committee principles within the CIPFA Position Statement for Audit Committees.
- It focused entirely on matters of risk management, internal control and governance, giving specialist advice to the Council on the value of the audit process, on the integrity of financial reporting and on governance arrangements, and acted as a bridge between the Council and other stakeholders. It did this through material it received from Internal Audit, External Audit, other Audit bodies, and assurances from Management relevant to Audit Cycle of reporting.
- The Audit Committee has reflected on its performance during the year, and has agreed areas of improvement to enable enhanced effectiveness to fulfil its scrutiny and challenge role for the new Committee/Council post Local Government Elections in May 2022.

Recommendation of the Terms of Reference for the Audit Committee for the coming year

This Audit Committee in previous year's self-assessment has requested the Council through the Standing Orders Working Group to give consideration to excluding the Audit Committee membership from the Scheme of Administration requirement (i.e. there should be a one third equal split on all Committees reflecting the number of Councillors for each political party), or consider an alternative arrangement, to enable the Membership of the Audit Committee to comply with the Membership requirements set out in the CIPFA audit committee good practice, i.e. separation from the executive. This would enhance the Audit Committee's independence in the high level scrutiny and oversight of internal controls, risk management and governance arrangements. The new Council, as part of its Scheme of Administration arrangements post Local Government Elections in May 2022, is asked to consider this request.

Mike Ramsay
Chairman of Audit Committee
14 March 2022

Business Travel

Report by Gary Fairley, Chief Officer Corporate Solutions

Report for Decision

1 Recommendations

Council is asked to:-

I. Note that on 21St April 2022 the Secretariat of the Scottish Terms and Conditions Committee covering NHS services in Scotland agreed a temporary increase to NHS Scotland standard business travel mileage rates of 5p per mile.

II. Note that there was no consultation and or indication of this change given to Councils who's staff work alongside NHS colleagues under the integration of Health and Social Care arrangements.

III. Agree to change the Council's reimbursement arrangements from the HMRC rate of 45p per mile to mirror the revised Scottish agenda for change as set out in section 4 and in line with the NHS agreement that this change be backdated to cover mileage incurred since 1st April 2022.

IV. To note that the NHS agreement is described as a temporary measure to 31st July with two month's to be given before any reversion to the national agreed rates. The two months' notice has not been triggered at the time of writing and so it will remain in place until at least mid-August 2022. Accordingly agree to delegate authority to the Chief Officer Corporate Solutions to make any further changes to the reimbursement rates to maintain parity with the NHS agenda for change rates.

2 Purpose of Report/Executive Summary

Undertaking Business travel in employees own vehicles remains a legitimate strand of the Councils Business Travel and Subsistence Policy. Where employees do use their own vehicle for business travel they are reimbursed at the HMRC rate which has been and remains at 45p per mile. Reimbursement at or below this rate does not incur an income tax charge on the payments and has been widely recognised as an appropriate benchmark for reimbursement.

The increase in vehicle fuel costs has brought added financial pressure on employees who use their own vehicle on Council business, particularly staff working in Health and Social care services.

The adequacy of the HMRC rate for Local Government workers has been brought into question by the agreement of the Secretariat of the Scottish Terms and Conditions Committee covering NHS services in Scotland to temporary increase to NHS Scotland standard business travel mileage rates of 5p per mile.   The temporary changes to the NHS agenda for change rates bring the reimbursement rate to 61p per mile for the first 3,500 miles and 25p per mile thereafter.

Date: 15 June 2022

Report Contact:
Name: Gary Fairley
Tel No 0131 271 3310
gary.fairley@midlothian.gov.uk

3   Background

As part of the Council people policies framework the current iteration of the Business Travel & Subsistence Policy was implemented late in 2019. The purpose of the policy, which applies to all employees with the exception of those covered by SNCT terms and conditions of service, is to set out the procedure for business travel arrangements within the Council to ensure they represent value for money and demonstrate responsible travel practices that pay attention to environmental, social and economic sustainability.

The policy includes an assessment of the necessity of travel and prior to undertaking any business related journey and encourages employees to undertake an assessment to confirm the necessity of the travel. Managers must ensure the most cost effective means of travel are used and relevant considerations are made e.g.

- Can the need for the journey be satisfied by other means such as telephone, e-mail etc?
- Can the venue and/or date be changed to coincide with other travel requirements?
- Are shared travel arrangements an option?

Where it is determined necessary to undertake a business related journey, there is hierarchy of travel modes that must be considered as follows.

1.   Consider alternatives to travel;
2.   Use of public transport i.e. bus or rail;
3.   Use of Council pool vehicle;
4.   Use of dedicated vehicle; or
5.   Use of employee's private vehicle.

The policy provides for those staff who use their own private vehicles to be reimbursed at the HMRC rate of 45p per mile for the first 10,000 and 25p per mile thereafter. Payments above these rates are liable to Income Tax.

4.0   What's changed?

Whilst the hierarchy set out in the Business Travel and Subsistence Policy remains sound and we encourage other forms of travel before employee's use their own private vehicles for business travel it is never the less the case that delivery of key service areas remains reliant on this mode of travel. This is particularly the case in Health and Social Care.

Trade Union representatives have rightly raised the impact on their members from the increase in fuel prices and the challenge that maintaining the HMRC rates brings. There is no indication that HMRC intend to increase the advisory rates.

In April NHS staff mileage reimbursement rates increased and this added to the need to bring forward a change for Local Government workers.

Accordingly it is proposed to make two changes to the Business Travel Policy. Firstly to move away from the HMRC rate and adopt the rates adopted in the NHS agenda for change agreement as noted below

HMRC Advisory rates	NHS Agenda for Change rates
45p per mile for first 10,000 miles per annum	56p per mile for first 3,500 miles per annum
25p per mile thereafter	20p per mile thereafter

Secondly to apply the temporary increase of 5p per mile put in place for NHS in Scotland. This would be backdated to 1 April 2022.

The NHS arrangement applies for the first four months of the financial year across the NHS in Scotland and the need for any variation to the UK Staff Council position will be assessed on a four monthly basis with a minimum of two months' notice of reverting to the UK position (notice has not been triggered and as such the temporary increase will now remain in place until at least mid-August 2022.

Accordingly the temporary rates which would apply to Local Government staff form 1st April 22 would be;-

Local Government workers Proposed rates inc temp increase)
61p per mile for first 3,500 miles per annum
25p per mile thereafter

Members should note that payments above the current or future HMRC rate would be subject to Income Tax.

The drop in reimbursement after 3,500 miles recognises the fixed cost element of car ownership which is covered in the higher rate for the first 3,500 miles. In additional it is unlikely to represent a best value solution to have employees using their own vehicle for business travel significantly in excess of 3,500 per annum, rather a dedicated fleet or pool vehicle is expected to be the better value solution.

5   Report Implications (Resource, Digital, Risk and Equalities)

5.1   Resource

There were some 876,000 miles claimed by employees using their own vehicles for business travel in 2021-22 a reduction from the 2018-19 position (pre introduction of the current policy, expansion of the electric

pool vehicle fleet and pre pandemic) of 1.7 million miles claimed. Of which 530,000 and 804,000 respectively related to Health & Social Care services.

The 35% increase in the rate from 45p to 61p for mileage claimed up to 3,500 miles, if it is assumed no employees claimed more than 3,500, would equate to an annual increase in reimbursements of £140,000. This should be compared to a total reimbursement in 2021-22 of £392,000 and £666,000 in 2018-19. As such the increase in the rates proposed should be compensated in budgetary terms by the overall reduction in mileage travelled.

5.2 Digital

There are no digital implications associated with the recommendations.

5.3 Risk

Key services, especially Health and Social care services remain somewhat reliant on staff using their own vehicles for business travel. Whilst the adoption of the business travel hierarchy has helped reduce this form of business travel it has not negated it.

The proposed increase in reimbursement rates mitigates employees opting out of using this mode of travel, an arrangement which is not contractual. As such it will help mitigate the risk of service disruption in the short term. It does however remain policy that other forms of travel should be adopted in preference to the use of employees own vehicles and work continues to roll out fleet vehicles and pool vehicles in this regard.

5.4 Ensuring Equalities

The Business Travel and Subsistence policy was equality impact assessed before its adoption. The changes proposed today fit within that policy framework and are expected to have a positive impact on part time female colleagues given the mileage reclaimed in Health and Social Care services.

5.5 Additional Report Implications (See Appendix A)

Appendices

Appendix A – Additional Report Implications

APPENDIX A – Additional Report Implications

A.1   Key Priorities within the Single Midlothian Plan

The proposed changes support the sustainable delivery of key services across our communities.

A.2   Key Drivers for Change

Key drivers addressed in this report:

☐ Holistic Working
☐ Hub and Spoke
☒ Modern
☒ Sustainable
☐ Transformational
☒ Preventative
☐ Asset-based
☒ Continuous Improvement
☐ One size fits one
☐ None of the above

A.3   Key Delivery Streams

Key delivery streams addressed in this report:

☐ One Council Working with you, for you
☒ Preventative and Sustainable
☒ Efficient and Modern
☒ Innovative and Ambitious

A.4   Delivering Best Value

The Business Travel and Substance policy and the travel hierarchy it promotes aims to deliver best value for the Council in respect of necessary business travel.

A.5   Involving Communities and Other Stakeholders
The need to act swiftly and to negate the financial impact on employees has limited the ability to consult fully with Trade Union colleagues. However Trade Union colleagues have been made aware of the proposals to adopt the temporary agenda for change rates.

A.6   Impact on Performance and Outcomes
The proposed increase will support service continuity.

A.7   Adopting a Preventative Approach

The proposal will help prevent service disruption.

A.8 **Supporting Sustainable Development**

The Business Travel & Subsistence Policy and the travel hierarchy it adopted aims to reduce business travel and to shift modes of travel to more environmentally friendly modes of travel such as the electric pool vehicle fleet and so reduce the carbon footprint associated with business travel. Work continues in that regard to further reduce the reliance on employees using their own vehicles.

Easthouses Primary School – Full Business Case

Report by Executive Director Place

Report for Decision

1 Recommendations

It is recommended that the Council:

    i.   Notes that the design development of Easthouses Primary School through HubSE has concluded and a school design for the new two stream primary school has been approved by Education.

    ii.   Notes that following a competitive tender process through HubSE, a preferred contractor is in place and has been refining this design with officers in both Place and Education.

    iii.   Notes that the approved budget in the General Services Capital Plan for this project is £18.616m.

    iv.   Approves an Affordability Cap for this project of £21.59m to allow its procurement to proceed, supported by the rationale provided in the report below and in the Full Business Case appended to this report.

    v.   Approves the procurement of the project on the basis of the Full Business Case.

    vi.   Approves a General Services Capital Plan budget of £22.044m for the overall project cost.

2 Purpose of Report/Executive Summary

In an update of the General Services Capital Plan 2021/22 Quarter 3 Monitoring Report and 2022/23 to 25/26 Budgets (report to Council 15th February 2022), it was highlighted that:

- The Strategic Outline Business Case for Easthouses Primary School had been approved by Children, Young People & Estates Capital Programme & Strategy Board on 20 January 2022, and Capital Plan & Asset Management Board on 25 January 2022.

- That the budget for the provision of a 2 stream primary school, with 18 ASN places and 120 Early Years spaces had risen from the existing fully approved capital expenditure budget of £13.205 million to £18.616 million.

- That the increase in cost was to be funded through a mix of increased application of Early Years Grant (£0.414 million), increased application of developer contributions (£4.003 million) and an increase in prudential borrowing (£0.994 million).

The report highlighted that the increase in costs reflected improved energy requirements as part of the building design in line with the Council's Net Zero to 2030 commitment, and the latest estimates of costs. The £18.616m budget was arrived at by applying the Scottish Futures Trust (SFT) funding metric (£4,244/m^2) to the proposed 4,386sqm development and includes historic expenditure on fees to date. In the past, Midlothian Council has delivered school developments within that funding metric.

However, it should be noted that this metric has not been updated in recent years and has not kept pace with level of inflation that has affected the construction market in the last 12 – 18 months.

The £18.616m budget was also less than the £20.12m that quantity surveyors advising the Council (Thomas & Adamson) estimated at the time it would cost to deliver the school.

Following this report, Midlothian Council utilised HubSE to appoint a Tier 1 contractor in order to avail of their expertise in design development and value management, seeking to drive savings and bring the budget in line with the SFT Metric.

However, any savings achieved by reductions in floor area and careful review of project costs have been overtaken by the inflationary impact on the construction market which is pushing the cost of parts and labour upwards. This has been verified through market testing via our preferred contractor Morrison.

As a result, in order to deliver the approved design for Easthouses Primary School, the proposed Affordability Cap is now £21.59m. This represents a cost of £4922/m^2.

The cost of delivering the school in addition to historic costs associated with the project require an adjustment to the General Services Capital Plan to reflect an overall budget of £22.044m.

Date: 16 June 2022
Report Contact:
Fiona Clandillon, Head of Development

fiona.clandillon@midlothian.gov.uk

3 Background

3.1 The requirement to deliver a new two stream primary school at Easthouses, on the site of the former Newbattle High School, arose due to the planned expansion of the settlements of Easthouses, Mayfield, Newtongrange and Gorebridge. This is resulting in a rising pupil product from new housing developments in the surrounding areas.

3.2 The delivery of the school will ensure a capacity breach at Newtongrange Primary School is avoided and a high quality learning environment across the learning estate in Midlothian can continue to be provided. A statutory catchment review and consultation will be carried out to alleviate existing capacity pressures within surrounding schools and to ensure that sufficient school places are available throughout Midlothian Council's learning estate.

3.3 Following the approval of a budget for the project in a report to Council on 12th February 2019, a design for the school was developed and planning consent obtained with a view to deliver the school for August 2022.

3.4 However, having designed the proposal, the project went out the tender. The tender return date was the 6th of April 2020, which fell within the first COVID-19 lockdown. The tender process was subsequently put on hold and it became clear that the original August 2022 target date was going to be missed.

3.5 In order to make best use of this delay, a design review of the project was undertaken which identified several areas of concern, highlighting numerous areas of the proposal which were inadequate for educational and operational use.

3.6 Subsequently, an independent design team was appointed through Hub South East (HubSE) framework to undertake a design review and set out options for how to take the project forward. This assessed the design in line with the Single Midlothian Plan's requirements and outcomes and presents the associated implications from each option relating to education outcomes, programme impacts and costs.

3.7 This process resulted in a total of 43 observations that need to be addressed for the design to comply with the project business goals, strategic aims and business plans. These ranged from fundamental operational matters, such as inadequate ASN provision, to specific design observations, such as the dining space being inadequate in terms of shape and location. Additionally, the design was not developed with current energy targets in mind, and thus would fall significantly short of the requirements of current schools being designed and constructed to LEIP standards.

3.8 Consequently, a fundamental redesign of Easthouses Primary School was undertaken by the team's architect, working closely with Education and Place, that would deliver a master-planned solution for the new Easthouses Primary School that can provide places for 459 children, an enhanced nurture provision with 16 places, to support children with social, emotional or behaviour needs, and 80 pre-school places to provide for the current and expanding Easthouses catchment area.

3.9 Following the approval of the revised budget for the project in February 2022, HubSE, working closely with Midlothian Council, appointed a preferred Tier 1 contractor. This triggered a further design review with the aim of bringing the estimated budget of £20.12m in line with the approved budget of £18.616m.

3.10 However, this review was undertaken at a time when the construction industry is being affected by persistent labour and supply chain issues as well as rising material prices. This has resulted in a significant inflationary impact on capital projects across the Council's programme. At Easthouses, following extensive market testing with their suppliers, Morrison has reported that the project will cost £21.59m to deliver.

3.11 It should be noted that we have ensured that fees for HubSE are linked to the value of the original £18.616m budget and fees for the wider design team are linked to £20.12m value that Thomas & Adamson placed on the project in January 2022. This ensures that that the advisory team is not benefitting financially from wider cost inflation.

3.12 Midlothian will continue to seek means to reduce the overall cost of the project without jeopardising the integrity and quality of the school. However, given current inflationary trends, a decision is being sought to secure the £21.59m budget to allow an Affordability Cap (maximum price) to be set for the project as soon as possible. This will result in a commitment that the price cannot go higher than that and transfer the risk of further increased costs over and above £21.59m to HubSE.

3.13 As set out in the Full Business Case, the total project cost to Midlothian Council is £22.044m, once historic expenses on the project since 2019 are included. This does not affect the proposed Affordability Cap.

3.14 The target for delivery of the school has now been adjusted to August 2024, in consultation with Education.

4 Report Implications (Resource, Digital and Risk)

4.1 Resource

Project Capital Expenditure & Income									
Financial Year	2019/20 £000's	2020/21 £000's	2021/22 £000's	2022/23 £000's	2023/24 £000's	2024/25 £000's	2025/26 £000's	Later Yrs £000's	Total £000's
Capital Costs	301	156	112	687	16,382	4,096	310	0	**22,044**
Early Years Capital Grant	0	-54	-13	-120	-2,446	-612	-46	0	**-3,292**
Developer Contributions	-220	-102	-79	-512	-1,505	-750	-863	-10,998	**-15,029**
Net Capital Cost	**81**	**0**	**20**	**55**	**12,430**	**2,734**	**-599**	**-10,998**	**3,723**

The potential impact on the Council's revenue budget as a direct consequence of the revised/additional capital investment (the Council's Loan Charges) is shown in the table below.

Financial Year	2019/20 £000's	2020/21 £000's	2021/22 £000's	2022/23 £000's	2023/24 £000's	2024/25 £000's	2025/26 £000's	2026/27 £000's	Following receipt of all DC's
Net Capital Costs (from table above)	81	0	20	55	12,430	2,734	-553	-10,998	
Loan Charges	**1**	**1**	**1**	**2**	**388**	**472**	**562**	**540**	**134**

4.2 Digital
None

4.3   Risk

Project Overview - Risks		Impact	Likelihood	Mitigation
Financial	Budget: Current £18,616,000 Forecast cost: £21.59m	5	5	Currently reviewing value management options to deliver project for less than current anticipated budget.
Financial	Future market volatility and inflation pushing cost above anticipated budget. Currently there is no evidence of prices increases levelling out at this stage and as such, there is a risk that prices may rise above the level of inflation indicated within the BCIS indices.	5	3	Integrating inflation into budget in accordance with procurement methodology. Secure Affordability Cap as soon as possible to transfer risk to contractor / HubSE.
Operational	Value Engineering results in school that is not adequate for educational or operational requirements and/or has significant defects/snagging issues due to poor quality build.	4	1	Close engagement of client in design development to ensure building is fit for purpose. Integration of quality assurance into build process through HubSE oversight / client management .
Delivery	Planning conditions are imposed as part of the consent that results in unaccounted for costs.	3	1	Risk/contingency allowances made within proposed budget to address eventuality.
Delivery	Delays in delivery past June completion / August hand over result from value management process.	3	1	The Stage 1 programme has been extended to account for the value management programme currently being undertaken. Education now identifies a site

				start early 2023 with completion July 2024.

4.4   Ensuring Equalities (if required a separate IIA must be completed)

NA

4.4   Additional Report Implications

Appendices

Appendix A – Additional Report Implications
Appendix B – Background information/Links

APPENDIX A – Report Implications

A.1   Key Priorities within the Single Midlothian Plan

- **Reduce education inequality**: the school will provide a high quality learning environment and creating opportunities for pupils to learn in a nurturing and secure space

- **Reduce economic inequality**: through provision of high quality learning environment in a location that is more accessible to more pupils, it is anticipated that there will be a positive impact on engagement and attainment, which will drive community and economic benefits.

- **Reduce health inequality**: A school developed to a high energy standard, which will be a healthy environment for pupils to learn. The school will need to be accessible by public and active transport routes, utilising green infrastructure, to ensure the pupils have the opportunity to develop healthy and sustainable travel habits;

- **Achieve net zero carbon by 2030**: The replacement school will be built to a high energy standard and will be situated closer to the majority of its catchment pupils, making it more accessible by walking and cycling. This will result in a decreased carbon footprint for the operation of the school.

A.2   Key Drivers for Change
Key drivers addressed in this report:

☐ Holistic Working
☐ Hub and Spoke
☒ Modern
☒ Sustainable
☒ Transformational
☐ Preventative
☒ Asset-based
☐ Continuous Improvement
☐ One size fits one
☐ None of the above

A.3   Key Delivery Streams
Key delivery streams addressed in this report:

☐ One Council Working with you, for you
☒ Preventative and Sustainable
☐ Efficient and Modern
☒ Innovative and Ambitious
☐ None of the above

A.4   Delivering Best Value
The report does not directly impact on Delivering Best Value

A.5 Involving Communities and Other Stakeholders

Planning / Design / Delivery Consultation
This proposed project involves working with both schools and stakeholders within the community. Community engagement will commence once this report has been approved and the project has governance to progress to Planning.

Education Statutory Consultation
Statutory consultation will be undertaken on the establishment of the new primary school and its catchment area.

A.6 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.

A.7 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.

A.8 Supporting Sustainable Development

While this development is not funded through the Learning Estate Investment Programme (LEIP), its energy efficiency strategy is to achieve the Band A performance for LEIP funded projects. This equates to an ambitious energy target of 67/kWh/sqm/annum for core hours/facilities use. This project therefore supports Midlothian Council's carbon strategy.

Because there was a pre-existing design in place that served as a starting point for this project, which pre-dated the declaration of a climate emergency by Midlothian Council in 2019, the project brief for Easthouses school did not require it to be designed to a Passivhaus certified standard.

APPENDIX B

Background Papers/Resource Links (if applicable)

Easthouses Primary School Report to Council 12th February 2019
General Services Capital Plan Update 15th February 2022
Easthouses Primary School Full Business Case 14th June 2022

Midlothian Council

Full Business Case

Project Name	Easthouses Primary School		
Author		Date	15/06/22
Sponsoring Service	People and Partnerships	Version	C

Contents

1

1. Introduction and Project Overview

A new Easthouses Primary School is planned to be built on the site of the old Newbattle High School. A historic proposed design had previously gained Planning Consent, however this was then deemed unsuitable for development, primarily due to operational and environmental targets/objectives not being met. The new Project has been redesigned to comprehensively address these matters, while retaining valuable design and engagement intelligence from the original scheme to ensure maximum programme and cost efficiencies are captured. This full business case seeks a decision to proceed to procure the full project.
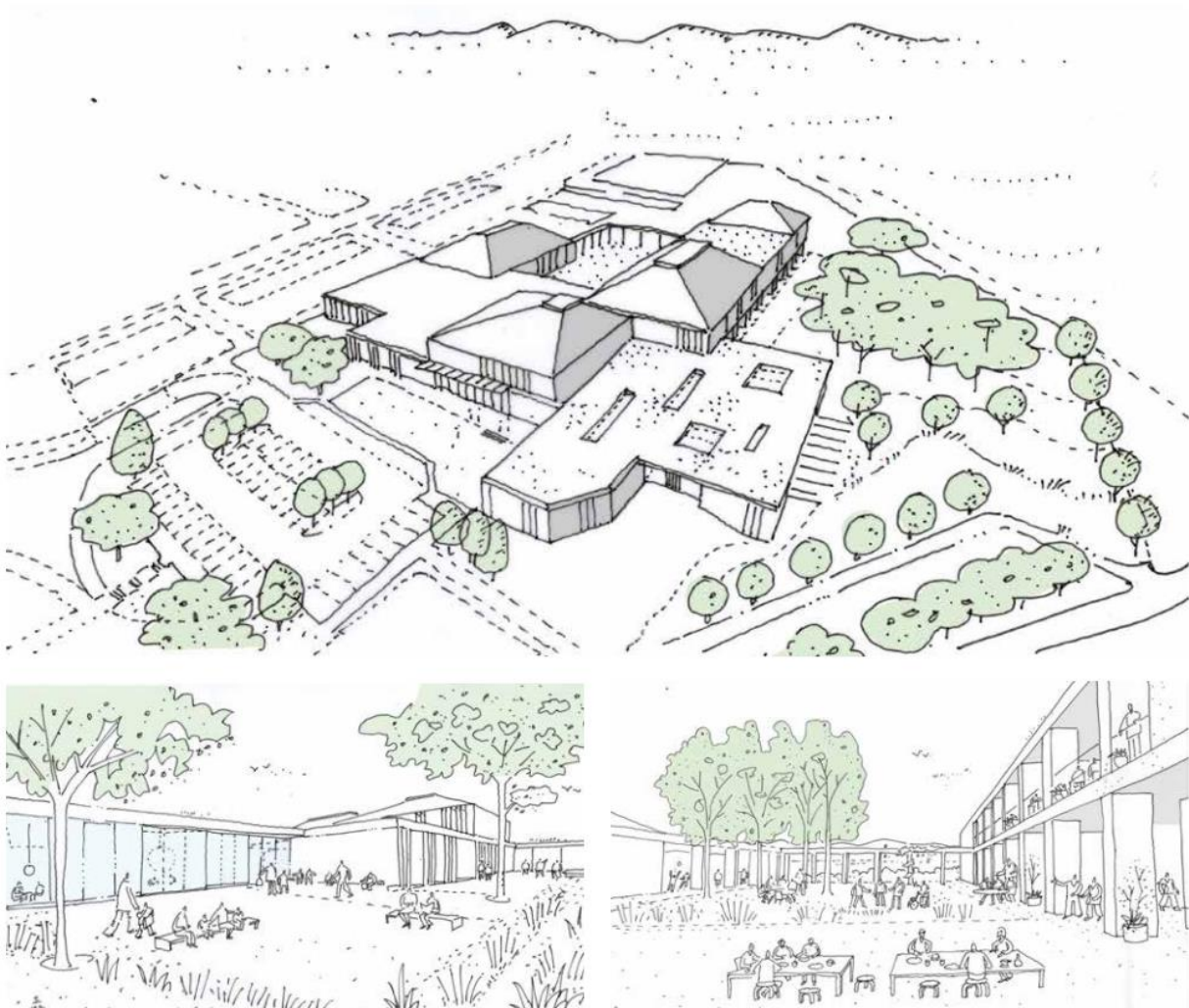
2.	Executive Summary

Provide a clear, concise summary of the key features of the business case, briefly describing what the project will deliver, any key decisions associated with it, the expected costs and the funding position (showing any budgets already identified/ expected and the ask of Capital). Include an outline of the benefits, and any dis-benefits, what risks and assumptions are associated with the project, and summarise planned or agreed dates and time constraints. Indicate who the project sponsor is and how the project will be owned and governed and what form the project board will take.

To design a master-planned solution for the new Easthouses Primary School that can accommodate 459 children, an enhanced nurture provision with 16 places, to support children with social, emotional or behaviour needs, and 80 pre-school places as set out in the Schedule of Accommodation. Having designed and tendered a previous scheme, it was felt that there were significant areas that were inadequate for operational use, and that an exercise to redesign the building was necessary using a place-principle approach. It also assesses the design in line with the Single Midlothian Plan's requirements and outcomes.

Whilst Easthouses Primary School is not funded by the Learning Estate Investment Programme (LEIP), the principles of delivering low energy, low carbon facilities are high on the agenda for local authorities across the country and thus is now considered a key component of the brief for this project to help Midlothian Council achieve its target of being operationally Net Zero by 2030. Provision to connect with any future district heating networks developed in the area have been made, and both building energy efficiency and construction embodied carbon (lifecycle carbon cost) are prioritised.

The design brief was appraised based on high quality operational and energy performance parameters through space efficient and optimised ground conditions configuration and critical programme timescales – 2024 turn-key delivery in line with Autumn term dates.

3

The site was previously the location of Newbattle High School, which was demolished in 2016. Platformed areas remain, which provide existing level areas for the building location.

The following Project Team are in place to deliver the development, with HubSE undertaking the procurement as a Strategic Partner to Midlothian Council.

Tier 1 Contractor:	Morrison Construction			
Tier 1 Designers:	JM Architects (Architect)	RYBKA (M&E)	Goodson (C&S)	Rankin Fraser (Landscape Architect
Hub Advisors:	Thomas & Adamson (PDM)	Thomas & Adamson (Cost Advisor)	Thomas & Adamson (Principal Designer)	

The full project cost has been calculated, including risk allowances for market volatility and construction contingencies, at £21.59M.

Roles and governance are identified below:

Project Sponsor	People and Partnerships
Project Manager	Ross Morrison – MLC, Senior Project Manager
Other Project Roles	James Palmer – HubSE, Project Director

4

3. Strategic Fit

This project is strongly aligned to the Single Midlothian Plan. It responds to the plan's 4 key objectives in the following way.

- **Reduce education inequality:** the school will provide a high quality learning environment and creating opportunities for pupils to learn in a nurturing and secure space

- **Reduce economic inequality**: through provision of high quality learning environment in a location that is more accessible to more pupils, it is anticipated that there will be a positive impact on engagement and attainment, which will drive community and economic benefits.

- **Reduce health inequality**: A school developed to a high energy standard, which will be a healthy environment for pupils to learn. The school will need to be accessible by public and active transport routes, utilising green infrastructure, to ensure the pupils have the opportunity to develop healthy and sustainable travel habits;

- **Achieve net zero carbon by 2030**: The replacement school will be built to a high energy standard and will be situated closer to the majority of its catchment pupils, making it more accessible by walking and cycling. This will result in a decreased carbon footprint for the operation of the school.

4. Business Aims, Needs & Constraints

Provide an overview of the sponsoring organisation and explain how the project supports the existing policies and strategies, and how it will assist in achieving the business goals, aims and business plans of the organisation. Include any relevant information about the current business situation, such as the organisational structures, business model, buildings, processes, teams and technology currently in place.

A new Easthouses Primary School is identified in the Council's Learning Estate Strategy, which was approved by Council in 2017. A new two stream school is required to provide places for 459 children, an enhanced nurture provision with 16 places, to support children with social, emotional or behaviour needs, and 80 pre-school places to provide for the current and expanding Easthouses catchment area.

Further to the established case, the project objectives will incorporated the following requirements:-

- Deliver educational benefits and requirements identified by the Partnership and People directorate;

- Provide wider Additional Support Need (ASN) provision across Midlothian;

Meet the Council's Net Zero aspirations and the Climate Emergency Declaration requirements.

Describe the purpose of the project, why it is needed, establishing a compelling case for change based on business needs, e.g. demand for services, deficiencies in existing provision, delivery of asset plans and development of the capital investment strategy. Where are we now and where do we need to get to.

A tender for Easthouses Primary School was issued to contractors on the 17th January 2020. The tender return date was 6th of April which fell within the COVID-19 lockdown period. After consultation with bidders it was agreed that the tender should proceed but bidders were asked to allow within their price for the bid being held open until the 30th of September 2020 but this has now lapsed.

A decision was taken not to proceed with the tender due to COVID-19. Given the delay incurred due to COVID-19, it became clear that the school would not be delivered by the original August 2022 target date. On instruction from the client, it was agreed that the design team review the school designs to address areas of concern outlined below.

- Early Years spaces & access to outdoor play space

- Community nursery provision

- Additional Support Needs provision, with dedicated secure outdoor space.

- Dining Room is on the upper level with no direct access for pupils to the playground, classes for P1-3 are on the lower level, so younger children would have to walk through the school & upstairs to get to lunch and go through the reverse to go outside to play.

- Access to playground areas directly from classes is limited as the main playground is situated at the end of the school building

- The layout shows limited/inadequate provision for smaller nurture spaces

- From the main entrance to the school one must cross the library/general purpose space and dining area to reach the classrooms, so these spaces double as corridors.

- The offices of Head Teacher and Deputes are located by the main entrance rather than close to the classrooms. In most of our schools these offices have been moved into more central positions.

Following the review, the client requested that a further options appraisal was undertaken to consider the project's scope and deliverables. An independent design team was appointed using Hub South East (HubSE) framework to begin work with the Client to undertake the design development, prepare the concept design, cost plan and subsequent work programme. The purpose of the review was to determine the best option to deliver the Client's educational requirements. It assessed the design in line with the Single Midlothian Plan's requirements and outcomes and the client's objectives and presented the associated implications from each option relating to education outcomes, programme impacts and costs.

The review identified a series of themes relating to the previous design from the perspective of operational (practical issues that impact the educational experience), construction (cost/buildability/engineering) or architectural (design best practice) considerations. This review identified a total of 43 observations that need to be addressed for the design to comply with the project business goals, strategic aims and business plans. These range from fundamental operational matters, such as inadequate ASN provision, to specific design observations, such as the dining space being

inadequate in terms of shape and location. Additionally, the design was not developed with current energy targets in mind, and thus would fall significantly short of the requirements of current schools being designed and constructed to LEIP standards.

The design brief was appraised based on tight budgetary parameters through space efficient and optimised ground conditions configuration and critical programme timescales – 2023/2024 delivery.

Identify any constraints, e.g. timing issues, legal requirements, professional standards, planning constraints. What assumptions have been made, and any linkages and interdependencies with other programmes and projects should be explained, especially where the proposed project is intended to contribute to shared outcomes across multiple services.

The following constraints and conditions are identified as part of the outlined business case:-

- The Project is programme critical, and an opening date of Aug 2024 is currently identified;

- Planning – the Project requires a new Planning Application, although falls within the existing PAN. Prioritisation of the determination timescale is critical;

- As the site is located adjacent to the new Newbattle Community Campus and close to the live Mayfield Campus, the local community will have a sensitive relationship to the Project and their linkages, and significantly impacted by the collective outcomes;

The site is also located adjacent to a live affordable housing site, with design/access coordination to be managed.

State what impact the project will have on business as usual, e.g. temporarily reduce capacity or divert resources.

No anticipated impact on "business as usual" due to the proposed school delivering additional capacity in line with the learning estates requirements.

5. Objectives

A new Easthouses Primary School is identified in the Council's Learning Estate Strategy, which was approved by Council in 2017. A new two stream school is required to provide places for 459 children, an enhanced nurture provision with 16 places, to support children with social, emotional or behaviour needs, and 80 pre-school places.

Further to the established case, the project objectives will incorporated the following requirements:-

- Deliver educational benefits and requirements identified by the Partnership and People directorate;

- Provide wider Additional Support Need (ASN) provision across Midlothian;

- Meet the Council's Net Zero aspirations and the Climate Emergency Declaration requirements.

6.   Scope

The new Easthouses Primary School is required to deliver on the key outcomes of the Learning Estate Strategy but also the Single Midlothian Plan in relation to:-

- Reduce education inequality: the school will provide a high quality learning environment and creating opportunities for pupils to learn in a nurturing and secure space
- Reduce economic inequality: through provision of high quality learning environment in a location that is more accessible to more pupils, it is anticipated that there will be a positive impact on engagement and attainment, which will drive community and economic benefits.
- Reduce health inequality: A school developed to a high energy standard, which will be a healthy environment for pupils to learn. The school will need to be accessible by public and active transport routes, utilising green infrastructure, to ensure the pupils have the opportunity to develop healthy and sustainable travel habits;
- Achieve net zero carbon by 2030: The replacement school will be built to a high energy standard and will be situated closer to the majority of its catchment pupils, making it more accessible by walking and cycling. This will result in a decreased carbon footprint for the operation of the school.

6.1   Out of Scope

List any notable exclusions, those areas that may be viewed as associated with the project or the affected business area, but which are excluded from the scope of the project.

- Dedicated community provision, although evening and weekend lets will be available along with community access to the muga pitch.

7.   Options Appraisal

7.1   Option 1 – Do Nothing / Do Minimum

Description	Not an option as MLC have statutory requirements to provide capacity for anticipated pupil rolls.
Expected Costs	N/A
Expected Benefits	N/A
Risks Specific to this Option	N/A
Advantages & Disadvantages	N/A
Viability	N/A

8

Other Points	N/A

7.2 Option 2 – Retender Previous Scheme	
Description	Retender / Proceed with historic consented scheme design despite identified concerns not being addressed. Programme and costs minimised. Completion potential Q4 2023.
Expected Costs	£16,630,000 + (priced as at Q4 2021) adjusted for inflation costs or market influences on the original contract price tendered in 2019/20.
Expected Benefits	This option will provide a new school facility to support the area's basic building facility needs, although without fulfilling many of the priority educational requirements adequately. The design is not aligned to the identified strategic drivers for the project in relation to reducing education inequalities; reducing economic inequalities; reducing health inequalities; or contribute to the Council's journey to being net zero carbon by 2030.
Risks Specific to this Option	Given that the tender submissions have lapsed, the project will be required to be retendered.
Advantages & Disadvantages	Advantages of this option may be a shortened programme due to omission of planning determination and reduced cost. Disadvantages are that the designs have been deemed unfit for purpose, without addressing Midlothian Council's key objectives and educational functionality requirements.
Viability	We deem this option unviable for the reasons outlined.
Other Points	

7.3 Option 3 – Develop New Proposed Project	
Description	Procure the redeveloped scheme from first principles, with full stakeholder engagement. Completion Q3 2024.
Expected Costs	Estimate/Detail the costs involved with implementing this option, including whole life costing where appropriate. A full breakdown of estimated Capital and Revenue costs to be shown – full life cycle costings. £21,590,000 – this reflects the additional design requirements, inclusion of energy target enhancements and revised building inflation implications.
Expected Benefits	Design appraisal and updated plans have identified several potential cost benefits from the repositioning/redesign of the site and buildings; these relate to removing the 'split level' within the building and the omission of the related retaining walls and tanking/waterproofing. These benefits are offset by changes to the building's shape and form which have resulted from the various operational comments being

	incorporated into the design. This has resulted in an increase in the wall-to-floor ratio and the ground slab (and therefore substructure) area. The energy standards enhancements and numerous learning experience benefits through the redesigned facility provide significant contributions to Health and Wellbeing, Inclusive Growth and Net Zero 2030 objectives.
Risks Specific to this Option	Programme and cost – the current market conditions are unprecedented, and contractors are experiencing increases in both cost and timescales from supply chains. Pricing caps and programme buy-in will be agreed as part of the pre-tender engagement. As Easthouses and Mayfield Primary Schools are proceeding concurrently, the quality of the design and building/outdoor learning environments must be consistently excellent and aligned to ensure an equitable community facility provision.
Advantages & Disadvantages	Timescales and costs for this option are extended from previous scheme budget assumptions. The redeveloped project will provide Easthouses, as one of Midlothian's most deprived catchments, with a school that is excellent, both in terms of educational functionality and architectural quality, at a cost and timescale that has been thoroughly assesses and controlled to secure best value outcomes.
Viability	We deem this option viable for the reasons outlined above.
Other Points	Headline programme milestones; Commencement January 2022 Hub Stage 1 May 2022 Hub Stage 2 January 2023 Construction June 2024
Description	Addressing the short comings of the original design, this option will target all issues raised by the client and will deliver a new school that fits Educations needs.

7.4 Scoring of Options Against Objectives

Use the table below to score options against the objectives in order to create a shortlist of options to be considered.

Objectives	Options Scoring Against Objectives							
	1	2	3	4	5	6	7	8
Objective (from Section 3)								
Reduce education inequality	1	1	3					
Reduce economic inequality	1	2	2					
Reduce health inequality	1	2	2					
Achieve net zero carbon by 2030	-1	0	2					
Total	2	5	9					
(Press F9 on each total to add the numbers in the column)								
Ranking								

Scoring
Fully Delivers = 3
Mostly Delivers = 2
Delivers to a Limited Extent = 1
Does not Deliver = 0
Will have a negative impact on objective = -1

11

7.5   Recommendation

Using evidence based on the options appraisal and the objectives scoring, clearly articulate the recommended option, showing the best fit against the project's stated objectives, and balancing cost, benefits and risk. The recommendation should not be made on objectives scoring alone but the table can be used to eliminate those options that score poorly as a first stage, with the second stage being a more detailed analysis of the remaining options. Bear in mind:

- Investment Appraisal
- Assumptions
- Constraints
- Dependencies

Design appraisal and updated plans have identified several potential cost benefits from the repositioning/redesign of the site and buildings.

These benefits are offset by changes to the building's shape and form which have resulted from the various operational comments being incorporated into the design. This has resulted in an increase in the wall-to-floor ratio and the ground slab (and therefore substructure) area.

The energy standards enhancements and numerous learning experience benefits through the redesigned facility provide significant contributions to Health and Wellbeing, Inclusive Growth and Net Zero 2030 objectives.

The redesign to maximise energy efficiency will provide lower energy costs, increased natural light and better air quality, providing improved health and wellbeing for all end users of the building.

The school will be delivered with the latest technologies supporting pupils, staff and support services while delivering modern solutions to individual needs.

Enhanced construction techniques will seek to minimise ongoing maintenance cost through the delivery of quality materials, finishes and MEP installations.

12

8. Benefits

Identify the key benefits the project will deliver.

All benefits need to be measurable, realistic and have a baseline or comparable starting point. These benefits will be monitored during and after the project close to gauge project success and value for money. If a benefit is more subjective, then that should be supported by, for example, staff or customer surveys taken **before and after** the project.

Give an idea of the total financial benefits, if these exist.

List any dis-benefits where appropriate, e.g. the loss of a disposal receipt where it is proposed to utilise a surplus building instead of selling it.

8.1 Customer Benefits

Benefit	Measures	Source	Baseline	Expected Benefit	Expected Date	Measure Frequency
Improved educational attainment.	Long term improvement on educational attainment through access to new technologies and better learning environments.					
	Provision of dedicated tutorial rooms for small group/one-to-one teaching spaces.					
	Dedicated ASN provision will help support pupils in attaining better outcomes at school while helping to address issues in the wider social environments.					
Improved health and wellbeing	Long term improvements gained through detailed, considered designs and MEP strategies improving on daylight, air quality and access to outdoor spaces.					
	Provision of new outdoor spaces including, muga pitch, ASN					

13

	gardens, social areas and wild gardens.				
	Provision of dedicated spaces and equipment to support active school travel.				

14

8.2 Staff Benefits						
Benefit	**Measures**	**Source**	**Baseline**	**Expected Benefit**	**Expected Date**	**Measure Frequency**
Improved health and wellbeing through working in modern healthy work environments.	Better air quality.					
	Increased natural lighting.					
	Less stress and more productivity.					
Access to modern technologies.	Improved productivity.					
	Improved teaching outcomes.					
	Improved teaching experience.					
Maintenance	Safer access to maintenance plant through detailed design and consideration.					
	Improved maintenance schedules through specification of "intelligent M&E technologies"					

8.3 Resources Benefits (financial)							
Benefit	**Measures**	**Source**	**Capital or Revenue?**	**Baseline (£'000)**	**Saving (£'000)**	**Expected Date**	**Measure Frequency**
Building Energy Efficiencies	Reduced operating costs.						
	Reduced energy consumption.						
	Improvement on building efficiencies.						
Enhanced Construction Techniques	Reduced maintenance costs.						

15

	Reduced call-out service charges.						

9. Costs

The original project cost of £18,616,000 presented to council in the OBC, January 2021 were based on SFT metrics, these do not reflect current market conditions or the excessive inflationary uplifts we are now experiencing. SFT have recognised the issues facing the industry however the schedule to review these metrics do not align with the project programme.

In response, costs for the project have been managed and presented through the HubSE cost consultants, Thomas & Adamson. Due to the stage the designs and Tier 1 Contractor partnership status have reached, it has been possible to 'market test' the majority of the key packages through the supply chain, particularly where the market is experiencing unprecedented volatility in materials supply costs and sub-contractor availability.

There has been an extensive 'value management' exercise undertaken in collaboration with the preferred Tier 1 Contractor in order to reduce the project budget in line with the following breakdown. Due to the design & build procurement route, the Tier 1 contractor retains a risk allowance to manage design development and construction through the project, as is standard for this contractual structure. Hub SE have committed to reducing their development management fee to reflect the pre-Christmas Outline Business Plan budget, and additionally the Design Team's fees will be based on previous levels rather than reflecting additional market volatility uplifts. There will be a continuation of the design development and value management process throughout the remaining pre-Contract period, through which we anticipate further project savings being captured prior to financial close:

Description	£
Facilitating works	200,000
Substructure	1,169,415
Superstructure	7,092,430
Internal finishes	1,055,855
Fittings, furnishings and equipment	872,200
Services	3,870,875
Complete buildings and building units	0
Work to existing buildings	0
External works	2,263,219
Building works sub total	16,523,994
Inflation as per BCIS indices	874,529

17

Main contractor's preliminaries	1,567,855
Design & Build management risk	474,159
Main contractor's design fees	789,019
Main contractor's overheads and profit	987,770
Building works total	**21,217,327**
Project / design team fees	848,642
Other development / project costs	373,867
Client direct costs	410,000
Risks – provisional sum for Safe Routes to School	150,000
Risks – construction	0
Cost limit (excluding VAT)	**£22,849,835**
Deduction for proposed VE (10/06/2022)	**-£1,316,871**
Deduction for proposed HubSE discount	**-£46,000**
Deduction for proposed Design Team discount	**-£50,000**
Revised Cost Limit (excluding VAT)	**£21,586,964**
Rounded – Proposed Affordability Cap	**£21,590,000**
Previous project design/planning costs	457,319
Total Budget	**£22,044,000**

The total capital costs of the project, inclusive of professional fees, internal client costs, site infrastructure costs and expenditure to date equates to £21.59 million. Due to historic design and planning costs associated with Easthouses that also need to be accounted for, the budget for the project rises to £22.044m.

18

The provision of Early Years space is fully funded by the already received Scottish Government Early Years Capital Grant, equating to £3.246 million. In addition, developer contributions of £15.029 million can be applied to fund infrastructure costs relating to the delivery of primary school provision for the project, although it is noted that the receipt of the majority (£10.998 million) of these is due to fall after the completion of the project which will therefore require the Council to borrow to fund capital costs prior to the receipt and application of these developer contribution funds.

Table 9.1 Project Capital Expenditure & Income

Financial Year	2019/20 £000's	2020/21 £000's	2021/22 £000's	2022/23 £000's	2023/24 £000's	2024/25 £000's	2025/26 £000's	Later Yrs £000's	Total £000's
Capital Costs	301	156	112	687	16,382	4,096	310	0	**22,044**
Early Years Capital Grant	0	-54	-13	-120	-2,446	-612	-46	0	**-3,292**
Developer Contributions	-220	-102	-79	-512	-1,505	-750	-863	-10,998	**-15,029**
Net Capital Cost	**81**	**0**	**20**	**55**	**12,430**	**2,734**	**-599**	**-10,998**	**3,723**

The movement in the net capital cost position from the Business Case presented in February 2022 is as follows:-

Item	February 2022 Business Case £000's	June 2022 Business Case £000's	Movement £000's	Note
Capital Cost	**18,616**	**22,044**	**+3,428**	**Reflects revised cost plan**
Early Years Capital Grant	-2,674	-3,292	-617	Reflects higher rate/m2 for project along with a more detailed calculation of floor space EYCG can be applied to
Developer Contributions	-13,292	-15,029	-1,736	Reflects higher rate/m2 for project and achievement of negotiated rate in line with this for section 75 agreements still to be negotiated
Net Capital Cost	**2,649**	**3,723**	**+1,074**	

Risks inherent in the assumptions above:-

- Delivery of capital expenditure budget within the revised budget of £22.044 million;

- Application of Early Years Grant beyond 2022/23 given current Scottish Government end-date for applying grant of 31/03/2023;

- Developer contributions from sites with signed Section 75's (£2.1 million) and sites that are anticipated to be brought forward / section 75 still to be negotiated (£10.2 million) are realised in line with projections above.

The potential impact on the Council's revenue budget as a direct consequence of the revised/additional capital investment (the Council's Loan Charges) is shown in the table below.

Financial Year	2019/20 £000's	2020/21 £000's	2021/22 £000's	2022/23 £000's	2023/24 £000's	2024/25 £000's	2025/26 £000's	2026/27 £000's	Following receipt of all DC's
Net Capital Costs (from table above)	81	0	20	55	12,430	2,734	-553	-10,998	
Loan Charges	**1**	**1**	**1**	**2**	**388**	**472**	**562**	**540**	**134**

20

10. Key Risks

Description	Mitigation
Fully explain any significant risks to the project, especially those which could affect the decision on whether and in what form the project goes ahead. Include a full risk register.	Details of any mitigating action already taken or suggested.

Project Overview - Risks		Impact	Likelihood	Mitigation
Financial	Budget: Current £18,616,000 Forecast cost: £22,044m	5	5	Currently reviewing value management options to deliver project for less than current anticipated budget.
Financial	Future market volatility and inflation pushing cost above anticipated budget. Currently there is no evidence of prices increases levelling out at this stage and as such, there is a risk that prices may rise above the level of inflation indicated within the BCIS indices.	5	3	Integrating inflation into budget in accordance with procurement methodology. Secure Affordability Cap as soon as possible to transfer risk to contractor / HubSE.
Operational	Value Engineering results in school that is not adequate for educational or operational requirements and/or has significant defects/snagging issues due to poor quality build.	4	1	Close engagement of client in design development to ensure building is fit for purpose. Integration of quality assurance into build process through HubSE oversight / client management .
Delivery	Planning conditions are imposed as part of the consent that results in unaccounted for costs.	3	1	Risk/contingency allowances made within proposed budget to address eventuality.
Delivery	Delays in delivery past June completion / August hand over	3	1	The Stage 1 programme has been extended to account for the value

21

	result from value management process.			management programme currently being undertaken. Education now identifies a site start early 2023 with completion July 2024.

11. Procurement Approach

Hub South East (HubSE) were instructed by Midlothian Council to provide Strategic Support Partnering Services to support the Council through the completion of a comprehensive design and briefing appraisal.

The review was to consider how best approved statutory consents can be utilised or varied, to where possible accelerate project delivery. The team engaged to support HubSE on this assignment were:

JM Architects   Architect

Thomas & Adamson   Project Management and Cost Consultancy

Rybka   M&E Engineer

Goodson Associates   Structural Engineer

HubSE have engaged the contractor market for the full remaining Project Procurement to the selected Tier 1 supply chain contractors under a Design and Build contract within agreed pricing cap parameters.

It is recommended that the project is delivered through the following model:-

1. HubSE – through a strategic partnering service agreement, where HubSE design, procure and deliver the project through its supply chain, process and governance. This approach is adopted by many local authorities in Scotland but still requires an informed client and internal project management support

Given the education programme pressure on resource and the time critical nature of the project (June 2024), it is proposed the HubSE are commissioned to deliver the project design to detailed design and full business case and following approval proceed with the contractor appointment and construction. This will be their first project for Midlothian Council for a number of years and provides a good opportunity to demonstrate added value in terms of expertise, best practice and community benefit.

12. Time

12.1 Time Constraints & Aspirations

Detail any planned or agreed dates, any time constraints on the project or the affected business areas and any other known timescales.

22

- Stage 1 Submission: June 2022
- Stage 1/NPR Acceptance: July 2022
- Enabling Works Start: Q4 2022
- Stage 2 Submission: December 2022
- Stage 2 Acceptance: January 2023
- Execution of DBDA: February 2023
- Phase 2 - Main Works Start: April 2023
- Phase 2 - Completion: June 2024

The PDP is based on a progressive Stage 1 to Stage 2 design approach, allowing the Stage 2 design to overlap and continue pending approval and consideration of the Stage 1 submission. MLC agree to underwrite the costs associated with this exercise and the interim payments which are profiled in the cash flow contained in Appendix 1.

Four weeks have been allowed for MLC review and approval.

Fiona Clandillon of MLC has delegated authority to approve stage 1 and Stage 2 submissions and executing the DBDA in line with programme dates in section 8.

Hub SE and MLC will jointly prepare a Memorandum of Understanding following the Stage 1 Submission and prior to commencement of the legal work-stream, using DBDA Standard Form recording any project specific matters which will be considered in amendments to the DBDA.

Four weeks following the Stage 2 approval period have been allowed for execution of the Design and Build Development Agreement (DBDA).

MLC will nominate their legal representative mid-way through the Stage 2 process and will prepare a draft DBDA by 1st November 2022.

12.2 Key Milestones	
Description	**Target Date**
- Stage 1/NPR Acceptance:	July 2022
- Stage 2 Acceptance:	January 2023
- Phase 2 - Main Works Start:	April 2023
- Phase 2 - Completion:	June 2024

13. Governance	
Include any plans around the ownership and governance of the project and identify the people in the key project roles in the table below.	

Role	Name
Project Sponsor	People and Partnerships

23

Project Manager	Ross Morrison – MLC, Senior Project Manager
Other Project Roles	James Palmer – HubSE, Project Director

14. Resources			
Task	**Responsible Service/Team**	**Start Date**	**End Date**
List the staff resources and expertise required to implement the project. Make sure support services are included such as Project Management, Legal, Procurement and Communications.			
Fiona Clandillon – MLC, Head of Development.	Place Directorate	Feb 2022	Sept. 2024
Ross Morrison – MLC, Senior Project Manager.	Place Directorate	Feb 2022	Sept. 2024
Ross Irvine – MLC, Senior Project Manager.	People and Partnerships	Dec 2022	Sept. 2024

15. Environmental Management

MLC's policy of being a net zero carbon city by 2030 is an important consideration in assessing success factors for the project. Whilst briefing does not incorporate the delivery of a net zero operational energy facility the ability to meet those criteria are assessed with potential upgrade path to net zero carbon identified.

The project's primary energy target will be defined as the total primary energy consumption will be less than **86kWh/m².a**. (Electrical Demand Target: 50 kWhr/m2.a and a Thermal Demand Target: 36 kWhr/m2.a incorporating heat pumps)

To achieve these ambitious targets, energy consumption will have to be greatly reduced through passive measures and highly efficient plant and equipment.

The strategic approach to the engineering services for the new facility is founded on the following principals:

- Carbon efficient primary energy sources and desire to reduce/ remove reliance on fossil fuels.
- Recognise potential users of the facility (School, Nursery & Community-Use) the inter-relationship, operability & systems efficiency for different operational and occupancy profiles.
- Provide an environment which is comfortable, safe, healthy and compatible with the operations associated with the facility.

24

- Develop solutions which are compatible with the Clients Brief for the project, taking cognisance of any budgetary constraints.
- Develop engineering services solutions that are simple in concept and in-use, reliable and robust in operation.
- Design engineering services plant, plant rooms and distribution systems with a focus on system efficiencies and minimising distribution losses.
- Develop environmental control strategy for summer and winter with the aim of simplistic implementation and low reliance on technology.
- Design engineering services plant, plant rooms and distribution systems taking account of the requirement to provide safe access/provision for maintenance, repair and replacement.
- Develop energy consumption monitoring strategy for each of the uses and major loads associated with the facility.
- Develop upgrade path for potential Phase 2 design and construction and identify proposals for extending engineering services to the extension with minimal disruption to the operation of the phase 1 facility.
- Apply valid and economically viable Low and Zero Carbon (LZC) technologies only to support Technical Standards Section 6 compliance strategy and the MLC carbon reduction aspirations.

If No, what is the reason for this?

16. Stakeholders

List the key interested individuals, teams, groups or parties that may be affected by the project or have an interest in it, including those external to the organisation. Show what their interest would be and their level of responsibility. Also note any plans for how they will be engaged including the use of any existing communication channels, forums or mechanisms already in place.

In the event the Business Case projects a total capital expenditure of more than £10 Million then key stakeholders and partners should be included.

Education Executive Team and Development Heads as key stakeholders.

Public consultation has been addressed through extensive previous exercises under the existing previous scheme.

Wider MLC internal stakeholders will be kept informed through regular project updates and key milestone reports.

There are no outstanding stakeholder issues at present.

17. Assumptions

Document the high-level assumptions that have been made during the development of the Business Case and any other unanswered questions that may be significant. Refer to the Supplementary Guidance on Optimism Bias and detail the assumptions you have made in constructing the costs and business case.

[Green Book Supplementary Guidance Optimism Bias](#)

It is assumed that the project's design will be delivered under the HubSE Strategic Partnering Agreement. Contractor appointment and construction will be delivered by Midlothian Council.

18.	Dependencies

Document any projects, initiatives, policies, key decisions or other activities outside the control of the project that need to be considered or which may present a risk to the project's success, or on which this project depends.

- The Project is programme critical, and a delivery date of June 2024 is currently identified ahead of the school opening Aug 2024.
- Planning – the Project requires a new Planning Application, although falls within the existing PAN. Prioritisation of the determination timescale is critical;
- As the site is located adjacent to the new Newbattle Community Campus and close to the live Mayfield Campus, the local community will have a sensitive relationship to the Project and their linkages, and significantly impacted by the collective outcomes;

The site is also located adjacent to a live affordable housing site, with design/access coordination to be managed.

19.	Constraints

Document any known pressures, limits or restrictions associated with the project.

- Current catchment area is being considered, this will impact the Safer Routes to School strategy. A provisional sum for this element is contained within the overall project cost.

20. ICT Hardware, Software or Network infrastructure		
Description of change to Hardware, Software or Network Infrastructure	**Enterprise Architecture Approval Required?**	**Date Approval Received**
List any new ICT systems or changes likely as a result of the project. If there are no ICT changes, then say 'none'.		
Currently considering full fibre installation, this may require alternative specification of hardware, moving away from copper based connections. This may include any hardware connected to the network, however as this is a new school, procurement of new equipment would be required as standard, albeit alternative specifications.		

21. Change Controls Issued by the Project		
Change Ref ID & Date	**Approval Route**	**Description**

23. Support Services Consulted
The minimum **consultation period for Outline/Full Business Cases is 10 working days** unless the Programme Board Chair agrees there are exceptional circumstances that require a shorter turnaround time.

Note:

- **It is mandatory for Capital projects to consult with the full list below.**
- If any services are not consulted, this should be indicated in the Comments section, along with the reason why. All comments received should also be noted, or reasons given for discounting them.
- It is a legal requirement for the Council to carry out an Equality and Human Rights Impact Assessment (EHRIA) to evaluate the impact our decisions have on our customers.

Note: There is a copy and paste version of the consultation list below which you can use for circulating your Business Case.

Service	Consultee	Comments	Date
Place	Kevin Anderson, Executive Director Place - Kevin.Anderson@midlothian.gov.uk		20/01/2022
Children & Families	Fiona Robertson, Executive Director Fiona.robertson@midlothian.gov.uk		20/01/2022
Place	Derek Oliver, Chief Officer Place - derek.oliver@midlothian.gov.uk		11/05/2022
Corporate Solutions	Chief Officer Corporate Solutions – Gary Fairley - Gary.Fairley@midlothian.gov.uk		20/01/2022
Finance	Gary Thomson, Senior Accountant Projects & Treasury - Gary.Thomson@midlothian.gov.uk		20/01/2022
Property Management	Gareth Davis, Property Manager - Gareth.Davies@midlothian.gov.uk		15/03/2022
Legal (Property/ Planning & Environment)	Alan Turpie, Legal Services Manager - Alan.Turpie@midlothian.gov.uk"	Liaised with Theresa Young and William Venters.	18/02/22
Procurement	TBC		
Planning	Peter Arnsdorf, Planning Manager - Peter.Arnsdorf@midlothian.gov.uk	Unable to make contact, however communications for the site have been undertaken during the previous planning application and falls within the existing PAN.	Pre-2022
Operations – Preventative Maintenances	Alan Ramage, Planned Maintenance Manager - Alan.Ramage@midlothian.gov.uk		15/03/2022
Transport Planning	Fraser Gilbert, Senior Consultant Engineer - Fraser.Gilbert@midlothian.gov.uk		13/05/22
Roads Management	James Gilfillan, Senior Consultant Engineer (Roads) James.Gilfillan@midlothian.gov.uk		11/05/22
Communications	TBC		

24. Document Revision History

Version	Reason	By	Date

25. Decision by Capital Board	Date
* Approved/Not Approved to:	

28

* Insert approval decision from Capital Board.

29

A701 Relief Road and A701 Spur Road

Report by Executive Director Place

Report for Information

1   Recommendations

That Midlothian Council notes the following in relation to the A701 Relief Road, A702 Spur Road project:

- The STAG 2 Report has been finalised and Work Stage B is complete
- The Consultation process associated with the STAG 2 appraisal process is complete in relation to the above project
- A preferred route has been selected (Route C)
- Preparatory works for compulsory purchase are commenced to mitigate adverse implications on the project programme
- The project is to move into Work Stage C (Specimen Design)
- In the course of Work Stage B, total overall estimated costs for delivery of above project have risen to £55m (including cost of Sustainable Transport Corridor and Straiton Junction Signalisation)
- This has resulted in the funding gap associated with this project currently estimated to be £33.2m.
- While this funding gap may decrease as we progress Stage C, with greater certainty over costs emerging, a significant funding gap is likely to remain.
- It is therefore recommended that Midlothian Council submit an application to the Levelling Up Fund (LUF) to attract alternative funding into the project to close this gap.

2   Purpose of Report/Executive Summary

This report presents a progress update on the A701 Relief Road and A702 Spur Road project. The report updates member on the design development of the project, the outcome of the public consultation exercise, budget implications of the design development and next steps related to the compulsory purchase process necessary to secure the preferred route and progress the delivery of the project.

This report updates the estimated financial position in relation to the project and identifies an increased variance between the approved budget and the estimated project cost, currently a shortfall of circa £33.2m.

28th June 2022

Report Contact:
Hugh Meikle - Senior Project Manager

hugh.meikle@midlothian.gov.uk

3   Background/Main Body of Report

Context for A701 Improvements

3.1   Midlothian Council is in the process of overseeing unprecedented investment in local transport infrastructure. The following projects are currently being developed:

- Midlothian Orbital Bus Route – bus signalisation & prioritisation
- A7 Urbanisation
- Upgraded junction at Hillend / Midlothian Snowsports Centre
- A701 Relief Road Road & A702 Spur
- Straiton Junction Signalisation
- A701 Sustainable Transport Corridor

3.2   In addition, Transport Scotland are progressing A703 Junction Improvement (Transport Scotland) and Midlothian Council is updating its Active Travel Strategy. In this wider context of investment, the A701 relief road and its related projects on the A702 and the Sustainable Transport Corridor (collectively, the A701 Transport Corridor Improvement Programme) are critical to delivering Midlothian's economic and development strategy.

3.3   The wider context for these projects are at a regional level. The Edinburgh and South East Scotland City Region Deal (ESESCRD) has adopted a Regional Prosperity Framework, setting out the 9 Big Moves this regional collective will be working to deliver (see below). The A701 Improvement Programme supports Big Moves 2 and 3 as they relate to both Re-thinking Place and the delivery of Sustainable Transport. The improvements will assist in the delivery of 20 minute neighbourhoods by enhancing active travel connections between settlements, places of work and services. It will also support cross boundary active travel improvements and enhancement of the public transport infrastructure along the A701.

Figure 1: Regional Prosperity Framework – Big Moves
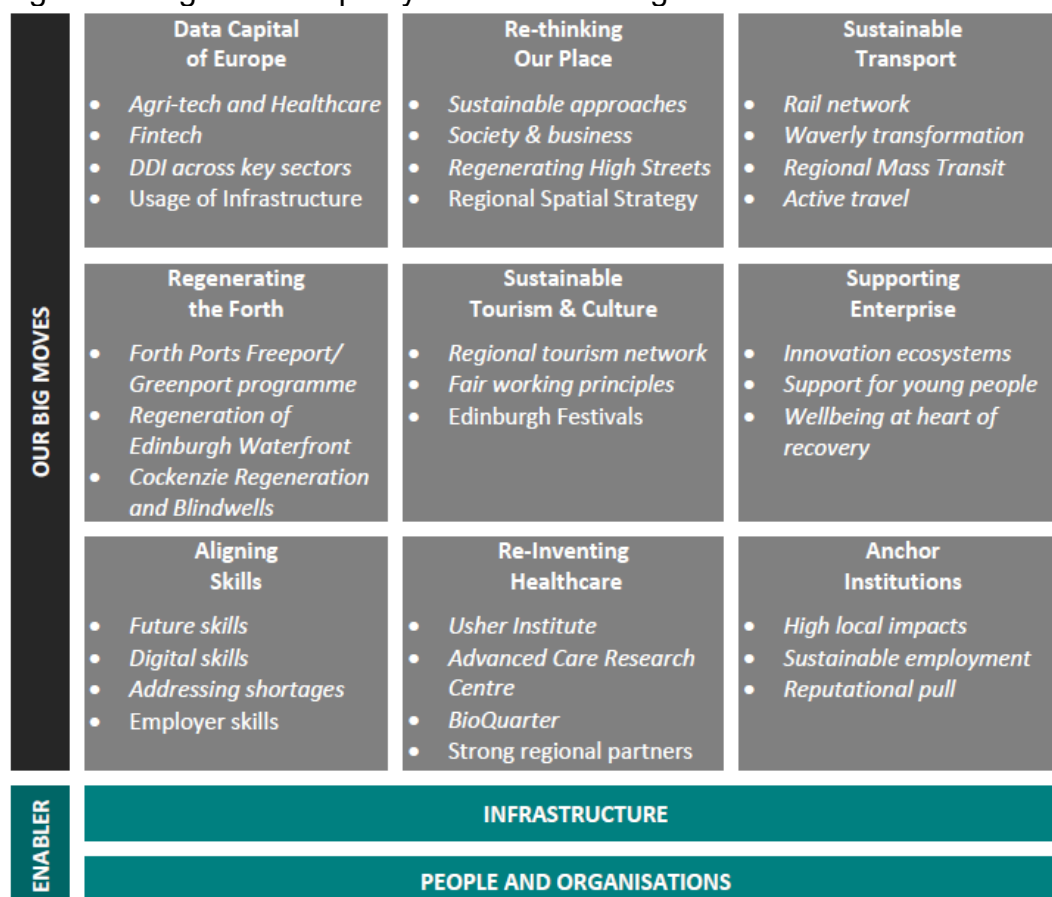
Growth Corridor

3.4 The A701 Corridor Strategic Development Area, as set out in the adopted Midlothian Local Development Plan (MLDP), provides for a range of housing developments and associated infrastructure such as new or expanded schools. In addition to attracting investment in housing and community infrastructure, this corridor makes a significant contribution to Midlothian's economic prosperity.

3.5 The MLDP supports the continuing expansion of The Midlothian Science Zone and sites have been allocated with support given to development in line with the *Bush Framework Masterplan*. This has the potential to provide for a significant increase in research and knowledge-based jobs.

3.6 The implementation of the Easter Bush Masterplan is a central component of unlocking new investment opportunities and enhancing economic performance across the City Region. Bioscience development at Easter Bush is a world class asset which is at the forefront of scientific research and development. The campus is a key part of developing the research, development and data driven innovation (DDI) theme of the City Deal.

3.7   There is a strong employment focus in the A701 Corridor and the MLDP expects this to be further developed with new employment allocations. The MLDP seeks to build upon the success of the Straiton Commercial Centre in providing employment growth and retail services to this corridor.

3.8   Apart from improvements to the current centre, the MLDP directs further development to the west of the A701 with the intention of creating a mixed-use development, which can include retail development, but would likely focus on office, hotel and commercial leisure uses in a strong landscape framework, with the potential in the longer term for some housing also (see Figure 2, sites Ec3, MX1, Hs16). A key element of this area will be the planned Edinburgh International Arena. This hopes to comprise an 8000-capacity indoor arena offering conference, retail and leisure space including a cinema and two hotels as well as a range of other ancillary leisure opportunities. This will be a significant tourism and leisure destination. This development of a Midlothian 'Gateway' is an ambitious plan, but it is intended that there would be associated benefits, not restricted to the local area but extending to the entire A701 Corridor, including environmental and transportation improvements.

Figure 2: Extract, Midlothian Local Development Plan A701 Corridor
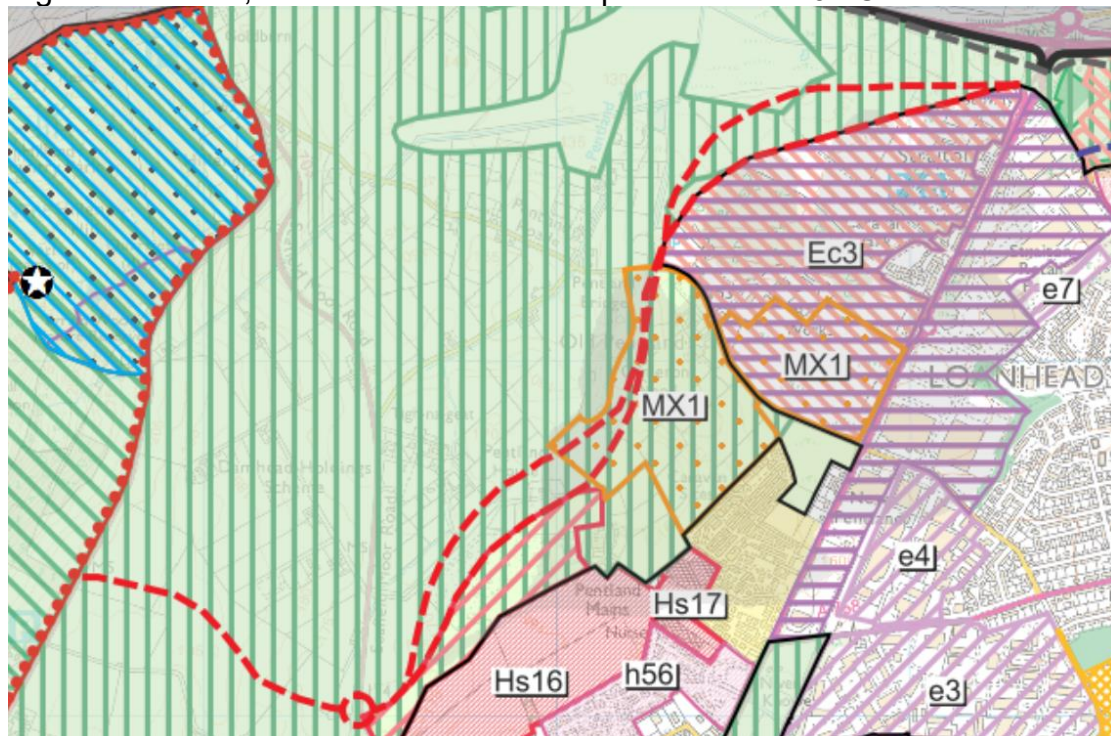
3.9 It should be noted that the proposed Beeslack Replacement Community High School, within the A701 Corridor, is not currently viewed as being dependent on the delivery of the improvement programme as it is a relocation rather than 'new' development. Therefore, it will not have a net impact. This is subject to further consultation with both the Planning Authority and Transport Scotland through the planning application process.

Enabling Infrastructure

3.10 The A701 Corridor experiences significant traffic congestion which is likely to be exacerbated as a result of the development supported by the MLDP. Transport Scotland has stated that it will object to further growth along the A701 Corridor due to the adverse impact it will have on the trunk road network.

3.11 To address this, the MLDP states that it is a requirement to deliver the A701 Relief Road to the west of the current A701 along with a link to the A702 in order to enable development along this Corridor.

3.12 The A701 Improvement programme will improve traffic flow in the A701 corridor, promote active travel and enhance public transport infrastructure, supporting a shift away from private car usage in this area. This will have a variety of beneficial effects, including air quality. Without the proposed improvement works long the A701, economic opportunity in the existing A701 corridor will be severely curtailed.

3.13 In summary, the project is enabling infrastructure that is critical to the delivery of a commercial gateway at Straiton, 1,570 new homes and a range of general economic sites, including a world class scientific research facility at Easter Bush. It will reduce barriers to inclusive growth, attract commercial investment through the creation of a Midlothian Gateway at Straiton, and will directly improve physical connectivity and social mobility both locally and onwards across the City Region.

4.0 Consultation Process

4.1 As part of the work undertaken for the Strategic Transport Appraisal Guidance (STAG) Part 1 (Initial Appraisal) for the A701 Relief Road, twelve route options were developed, with the options considering the key engineering and environmental / planning constraints. The STAG Part 1 appraisal process identified options that presented significant issues and risks. For example, routes along the eastern edge of the study area impacted a number of features that presented significant geotechnical features. These would require significant works to address poor ground conditions, resulting in additional time and cost. In addition, the impacts at Clippens Landfill were considered to present significant environmental impacts/risks. Based on the initial appraisal, 5 options were selected for further study at the next stage. After additional analysis these were refined down to three options. For the A702 Link Road section, two options were developed. These were then combined to give the six options (Options A-F) that were progressed to STAG Part 2 detailed appraisal.

4.2 Route Options A, B, and C for the A701 Relief Road are presented in the image below. These route options all have the same alignment with the A702 Link Road section incorporating a new at-grade 3-arm roundabout on the A702 and a new at-grade 4-arm roundabout on the A703 in the vicinity of Seafield Mill. Options A, B, and C also include an upgraded Bush Loan Junction on the A702. For the A701 Relief Road section, Option A is to the west of Cameron Wood and the Old Pentland Kirk. Option B and C run to the east of Cameron Wood and the Old Pentland Kirk. Option B crosses the Pentland Oil Shale Bing at the northern end of the route. All the options include an upgraded Straiton Junction at the northern end of the route.

4.3 Route Options D, E, and F, are presented in the image below. The A702 Link Road section is the same for all of these option, beginning with a new at-grade 4-arm roundabout at the Bush Loan junction on the A702. It then continues east to a new at-grade 4-arm roundabout on the A703 – in the vicinity of Seafield Mill.
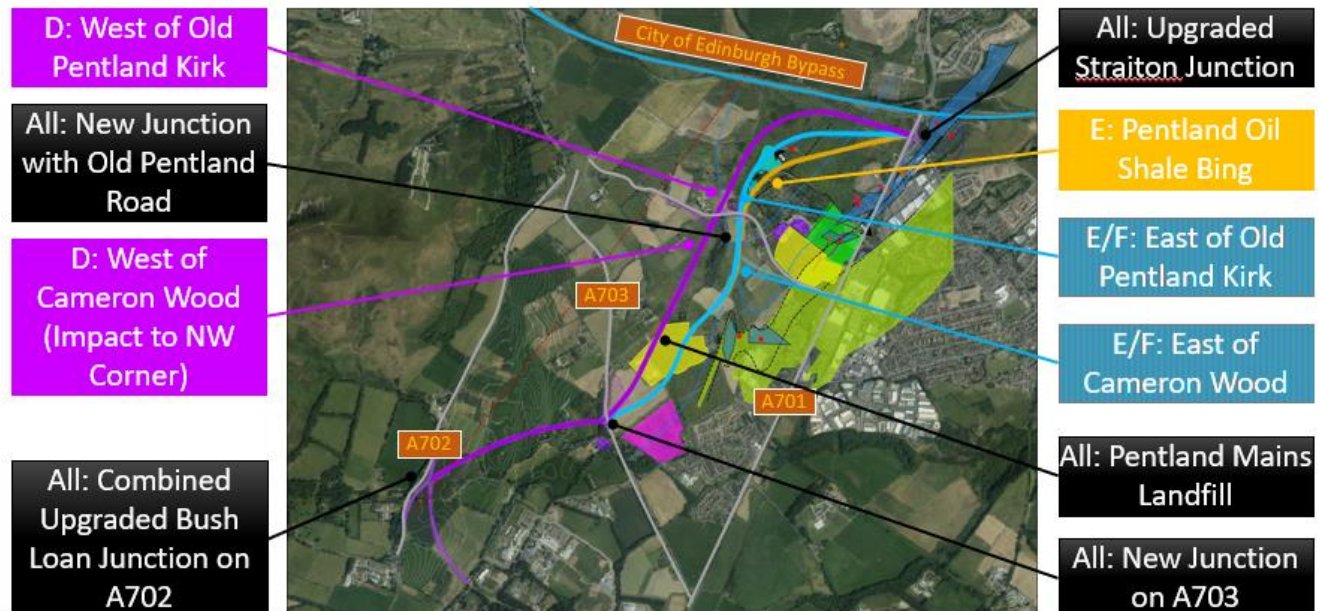
4.5 As part of the STAG Part 2 appraisal process, a non-statutory public consultation was conducted on 5 October 2021. More than 130 people attended the event and a recording of the event is available on the project website (www.a701reliefroad.co.uk). Input received during that consultation is incorporated into the STAG appraisal and feeds into the design where relevant on the public acceptability criteria on route selection.

4.6 The input received from this consultation did not indicate a particular preference for any of the six route options. Rather, there was opposition to the project and any of the proposed route options. The justification that the road was to be implemented to comply with the requirements of the LDP was repeatedly queried. More than 230 questions were submitted during the public consultation event. Responses to these questions have been prepared and are available on the FAQs section of the project website. The Planning and Environmental Consultant (PEC) prepared a report on the consultation and this forms part of the STAG2 report and will form part of the planning application for the scheme.

4.7 In addition to the above, Midlothian Council has an ongoing programme of stakeholder engagement, which includes a wide range of statutory, institutional, local and community organisations.

5.0   Conclusion of Consultation & Selection of Preferred Route

5.1   The six route options (three north of Seafield Mill and two South) have been appraised under the STAG criteria; environment, safety, economy, integration, and accessibility / social inclusion. The STAG Part 2 appraisal process is now complete and the preferred route option has been proposed and approved by the Capital Projects and Asset Management Board (CP&AMB) of Midlothian Council. This route option will now be progressed through specimen design before a planning application is submitted for the scheme.

5.2   In the route selection process the following was considered:

I.   The preferred alignment (east vs west) at Cameron Wood was considered. Options A & D (west of Cameron Wood) were rejected due to significantly more earthworks compared to some of the other route options. In order to avoid property in the vicinity of Pentland Road / Burnside Road, the north-west corner of Cameron Wood would have to be removed. A route to the west of Cameron Wood also results in additional land / property severance issues compared to the eastern route options. Whilst this option has the potential for lower engineering risks, these are not considered sufficient to justify the disadvantages.

II.   The next choice was which alignment is preferred (impacting area of peat vs impact Pentland Oil Shale Bing) north of Pentland Rd. Options B & E were rejected based on initial consultation which suggested an alignment through the Pentland Oil Shale Bing would not be supported by affected landowners and would likely result in additional risk to the project delivery. This option also has the potential for higher engineering risks, specifically in ground conditions associated with mine workings north of Pentland Road. An alignment to the west of the Pentland Oil Shale Bing, as proposed by Options C and F is therefore preferred.

III.   Finally which alignment is preferred for the A702 Link Road (Option C vs Option F). Options F was rejected based on initial consultation with landowners. Options C and F result in similar impacts to property / land and therefore pose a similar risk of objections. However, the significant additional cost of Option F (£10m) compared to Option C does not yield sufficient additional economic benefits to be justified. Therefore, Option C is the preferred option.

STAG Part 2: Option C

East of Old Pentland Kirk

East of Cameron Wood

New Junction on A702 in Vicinity of Boghall Farm

Upgraded Bush Loan Junction on A702

City of Edinburgh Bypass

Upgraded Straiton Junction on A701

New Junction with Old Pentland Road

Pentland Mains Landfill

New Junction on A703 in Vicinity of Seafield Mill

5.3   It should be noted that Option C alignment closely follows the alignment shown in the current approved LDP and also is the preferred option of the University of Edinburgh.

5.4   In addition to the selection of the preferred route, one of the key outcomes of the STAG 2 report was a better understanding of the costs associated with the delivery of the route. There has been a significant increase in the costs associated with its delivery. The resource implications of the outcome of the STAG 2 report are highlighted in Section 7.

5.5   Midlothian Council are in the process of appointing consultants to take forward the next steps in terms of design development

6.0   Compulsory Purchase

6.1   From our Land Consultant's initial discussions with the affected land owners and occupiers there are some parties who may not be willing to agree a voluntary transfer of their property to the Council. In that event the Council would need to consider making a Compulsory Purchase Order (CPO) to acquire the relevant land to deliver the scheme. Legal firm Brodies have been appointed to assist with the CPO process, as necessary.

6.2   The compulsory purchase process takes time to deliver. Firstly the Council need to obtain the powers from the Scottish Ministers to proceed with a compulsory purchase order. This first stage requires producing a Statement for Reasons for the necessity of the compulsory powers for the council to use CPO. Planning permission has to be in place to use a CPO. At present the scheme is still going through the planning process and therefore it is subject to planning but the CPO and the planning can be brought forward in parallel. This will help mitigate any delays in delivering the scheme.

6.3   Following on from this and once the preferred route option is agreed, Draft Orders can be prepared and served on the affected parties. This states the land to be acquired by CPO and any rights over land required. Affected parties have the ability to object to the CPO at this stage. There are various reasons they could object i.e. excessive land, business disturbance, challenge of the CPO powers. If the reasons for objection cannot be dealt with through negotiation the matter will be referred to the Reporter through a Public Inquiry. All parties will have a right to be heard and then the reporter will make a decision. Thereafter the CPO Orders can be made and published.

6.4   If the CPO goes through a public inquiry, the timescale for delivery of the scheme will be affected. It is anticipated that a CPO process will have a duration of 18 to 24 months and will run concurrently with the procurement and contractors design phases of the project. 18 months has been allowed for in the current programme and we are seeking to advance the preparatory works and the drafting of the statement of case to minimize the CPO duration.

7   **Report Implications (Resource, Digital and Risk)**

7.1   Resource

Following the completion of the STAG 2 report and the selection of the preferred route, revised costs for the delivery of the A701 Improvement programme are set out below.

Table 1: Programme Costs (May 2022)	Million	
Route alignment Option C	£47.012	
Straiton junction signalisation (included above)	0	
Mean estimated land cost	0	
Land cost Inc option C	0	
Business extinguishment	£1.062	
Fees (£2.5m included in option C)	£0.742	
A701 Active travel corridor	£4.000	
MLC contingency	£2.229	
Total	**£55.045**	

Currently the cost consultant has adopted an optimism bias of 44% (as recommended in the STAG process). In addition 12% inflation has been allowed for 2022, 7% for 2023 and 5% for the following 3 years. When the preferred route has been identified and the specimen design has been developed in the next work stage this optimism bias can be reduced to 18%. It is however likely that during the specimen design development that issues will come to light that will absorb much of the difference so it is probable that this will not result in significant savings to the project.

Table 2 presents the funding gap that currently affects the programme.

Table 2: Project Funding & Shortfall		
Approved Capital Expenditure Budget GSCP		£21.774
Revised/Updated Programme Cost		£55.045
Funding	Secured	Funding Gap
City Deal Funding (secured subject to Easter Bush Business Case)	-£ 10.900	
Midlothian Council - Capital Fund (Secured)	-£ 7.694	
Developer Contributions (secured, signed, estimated)	-£ 3.251	
	-£ 21.845	`
Funding Gap		-£33.200

In addition, there may be a further £2.7 million of developer contributions available from future/remaining development as outlined in the Local Development Plan, which could be applied to reduce the funding gap. At this stage, it is not possible to forecast with certainty the likelihood of realisation of these planning contributions.

Levelling Up Fund Application

In order to close what has now become a very significant funding gap, Midlothian Council is in the process of making an application to the UK Government's Levelling Up Fund (LUF). Due to the funding requirement exceeding £20m, the application will comprise a Large Transport Bid.

The application deadline is the 6th of July 2022. To facilitate this application, Midlothian Council has appointed Stantec to lead on the bid with the support of relevant officers, utilising UK Government funding provided for this purpose. This process is ongoing. There will be three stages of assessment:

1. Gateway Review
2. Assessment and Shortlisting
3. Decision Making

A final response from UKG will be expected by Autumn 2022.

8.0   Digital

None

9.0   Risk

Development in the A701 corridor is dependent on the reduction in traffic congestion on the A701. If congestion cannot be reduced Transport Scotland will object to development proposals during the planning process and the development opportunities will be curtailed and the development objectives on the LDP will not be met.

Savills have been engaged as the Land Consultant. Savills have contacted the parties with land interests in the current 6 short-listed relief road alignments. MLC have been advised that there are a few key landowners that are not in favour of the road and are not open to negotiated purchase of their interest. Savills have advised that compulsory purchase will need to be utilised in their opinion. Savills have further advised that a CPO process could take up to two years and as such there is currently insufficient time in the project programme to accommodate this. To mitigate the delay it is Savills suggestion that preparatory works be commenced for the preparation of the statement of reasons and the draft notices.

The modelling of has been based on the assumption that the Straiton junction with the A720 will be signalised. MLC is responsible for the south side and City of Edinburgh Council (CEC) for the North side. We have coordinated with CEC and they have advised that they are supportive of the scheme in as far as it promotes active and enhances bus travel time through Straiton junction. They have further advised that they will not be supportive of proposals that improve car journey time through the junction. It has further been advised that Transport Scotland have possible funding available for projects that improve bus journey time and that prioritising busses should be considered. CEC are not looking to contribute to the cost of the junction signalisation / improvement and are of the opinion that it should be paid for out of this road project.

 In any risk that the project does not proceed the present abortive cost estimate incurred amounts to £769,015.31.

10.0   Ensuring Equalities (if required a separate IIA must be completed)

NA

11.0   Additional Report Implications (See Appendix A)

See Appendix A

Appendices

Appendix A – Additional Report Implications
Appendix B – Background information/Links

APPENDIX A – Report Implications

A.1   Key Priorities within the Single Midlothian Plan

Insert text here

A.2   Key Drivers for Change

Key drivers addressed in this report:

☐ Holistic Working
☐ Hub and Spoke
☐ Modern
 X Sustainable
 X Transformational
☐ Preventative
 X Asset-based
☐ Continuous Improvement
☐ One size fits one
☐ None of the above

A.3   Key Delivery Streams

Key delivery streams addressed in this report:

☐ One Council Working with you, for you
☐ Preventative and Sustainable
 X Efficient and Modern
 X Innovative and Ambitious
☐ None of the above

A.4   Delivering Best Value

Investment in the A701 Improvement Programme is set to generate £189m of benefits as well for the Midlothian and wider Scottish economy.

A.5   Involving Communities and Other Stakeholders

A community consultation and stakeholder consultation process has been carried out as part of the STAG 2 process. Further consultation will be required as part of any planning application process.

A.6   Impact on Performance and Outcomes

NA

A.7   Adopting a Preventative Approach

NA

A.8   Supporting Sustainable Development

The A701 Improvement Programme is part of a range of investments in transportation infrastructure in Midlothian that will allow the creation of a better and more sustainable range of transport infrastructure to improve access to local services and communities by active travel and public transport.

APPENDIX B

Background Papers/Resource Links (insert applicable papers/links)

Public Consultation Boards

Local Transport Strategy

Report by Kevin Anderson, Executive Director - Place

Report for Decision

1   Recommendations

It is recommended that Council:

i)   notes the current development of key local, regional and national strategies relating to the economic, environmental, transportation and land-use sectors and the need accordingly to review Midlothian's Local Transport Strategy; and

ii)   approve the financial resources required for the development of the Local Transport Strategy for Midlothian.

2   Purpose of Report

The purpose of this report is to provide Council with context to review the Local Transport Strategy for Midlothian and the proposed timescale and measures to do so.

Date: 14 June 2022
Report Contact: Derek Oliver, Chief Officer - Place
Email: derek.oliver@midlothian.gov.uk

3 Background

3.1 The published Local Transport Strategy for Midlothian is significantly outdated and requires review.

3.2 Recently, there has been significant change and development across the economic, environmental, transportation and land-use sectors, notwithstanding the pandemic, climate change, the financial crisis and technology. These changes call for transformational change and revised strategies, despite tightened resources available to deliver and maintain existing services.

3.3 There is an opportunity to integrate with recent and ongoing policy development in transport and land-use at a local, regional, and national level. Strategies and initiatives including: (i) Midlothian Local Development Plan, (ii) Midlothian Economic Strategy, (iii) SEStran Regional Transport Strategy and (iv) National Transport Strategy 2, together with climate change strategies and actions, will affect the Local Transport Strategy and can be influenced by its outcomes.

3.4 Midlothian Council must ensure that its transport system is fit for purpose and in line with the needs of our communities.

4 Local Transport Strategy Review

4.1 A new Local Transport Strategy will consider the entire transport system, including walking, cycling, wheeling, public transport, private vehicles, placemaking, technology and behaviour change. It will critically review the operational needs and maintenance of the existing transport system to ensure that it is suitably funded and fit for purpose as well as the opportunity for evolving change in line with policy and strategy.

4.2 A key element of the review will be to identify initiatives and measures for early implementation which will help to deliver Midlothian Council's goals for economic recovery post-COVID-19. As transportation is a critical aspect in connecting people, businesses and communities, the identification of measures which will help support short and long term regeneration and recovery are critical.

4.3 Engagement with local communities, stakeholders, partners, and transport providers will be through a range of measures. Town centre, enterprise and business organisations will help to provide critical input to direct the Strategy.

4.4 The Strategy will be crucial in supporting bids for external funding in areas of transformational change. It will provide a key linkage to the climate change agenda; promote active travel and other sectors attracting high levels of investment and regeneration.

5   Local Transport Strategy Development

5.1   A consultant will require to be appointed to undertake this project. As required by Transport Scotland, the overall approach and development will follow the sequence of steps set out in the Scottish Transport Appraisal Guidance (STAG):

* Case for change (CfC)
* Option development and appraisal
* Strategy drafting

5.2   The Case for Change will:
* Consider all of the significant settlements in the Midlothian area and establish a broad local hierarchy, reflective of e.g., service provision and employment patterns
* Develop a high-level analysis of the demographics and economy of the area, reflecting the hierarchy developed above
* Set out the factual position with respect to the transport supply side in the context of this hierarchy and transport connectivity both internally and externally with Edinburgh a key focus – this supply side analysis will include the current delivery mechanisms for transport services across the region. Develop a range of spatially detailed connectivity indicators to illustrate the current transport supply side.
* Set out the transport demand side considering transport and travel volumes and patterns by mode for both people and freight relating to travel to / from and through Midlothian.
* Outline the main societal and technological changes which the LTS will have to be developed in the context of – this will include the most recent understanding of the evidence concerning post-COVID-19 travel behaviours.

5.3   Establishing the policy and local context, the transport supply and demand side as well as how this may evolve in response to societal and behavioural change, a process to identify transport problems and link these through to strategy objectives will also be undertaken. An LTS has a potentially wide range of issues to address. Adopting a structure to organise and make sense of these issues is essential to create order, avoid fragmentation and omissions in the process.

5.4   The chart below outlines eight steps that will be followed in developing this as an effective method to systematically identify problems and find a resolution within the overall framework as the process progresses.

5.5 In Step 1, all the aspects which define any trip are considered, including:

- All modes of travel: awareness of travel options; cost of travel; fuel / power issues; integration of travel between modes; journey information; journey quality; journey times; personal security (fear of crime); personal accessibility – being able to access transport networks and services specifically from a disability / protected group perspective; reliability of journey times (including public transport service punctuality); safety (transport); environmental concerns
- Public transport services specifically: capacity; comfort; connectivity (availability of services); ease of use / convenience; integration between services (within mode, e.g., bus to bus); service reliability (cancellations); timetables (first and last / frequency)

5.6 In Step 2, the problems are evidenced existing sources, drawing on the SEStran RTS and the STPR2 Regional Report. As a local strategy, these problems will be identified spatially, where possible.

5.7 Step 3 considers the supply side causes of the transport problems identified and this will again be populated with geographical detail where possible. This step is important as it also provides a structured approach to the later generation of options stage.

5.8 Steps 4 and 5 consider what these problems mean for travel behaviour and also society more generally (economy, environment, health etc).

5.9 Steps 6-8 develop TPOs specific to each problem; collated within a set of LTS objectives, mapped to the RTS and NTS2 to ensure policy consistency.

5.10 A key part of STAG and the CfC process is engagement, both with the public and stakeholders. STAG advises that 'the local community should be consulted alongside key stakeholders unless there is a specific reason why this is unnecessary' at the CfC stage.

5.11 At the conclusion of the CfC, a number of 'strategy themes' will be proposed, where each theme will form a chapter of the Draft LTS – potentially reflecting the regional mobility themes developed in the SEStran RTS. These themes will represent the main issues to which the LTS will set out a response, incorporating responses to the supply side problems identified here, and also responses to the opportunities provided by the new policy context, and new transport technologies and societal change.

5.12 The CfC Report itself will then be consulted upon for a period and an appropriate online platform will be utilised where the draft can be viewed (in full and in summary) and where feedback can be provided via a respondent survey. This feedback will be focused on whether people agree or disagree with the range of problems identified and the resulting strategy vision and objectives

5.13 The feedback from the consultation process will be used to finalise the CfC report.

6 Phase 2 Option development and appraisal

6.1 Included within the scope of the LTS will be reference and scoping of capital / infrastructure projects, revenue funded projects, Strategies, Policies and Plans, including NTS, STPR2 and SeStran RTS.

7 Phase 3 Draft LTS, Consultation and Final LTS

7.1 The Draft LTS will be subject to a consultation period. This will be published on an electronic platform to provide a visually attractive and accessible environment in which people can view and comment on the Draft. This consultation will include all statutory impact assessments. Comments will be reviewed and incorporated where appropriate in the Final LTS.

8 Proposed Programme

8.1 The process of developing a new LTS will typically take 8-12 months, in three parts broadly as follows:

* Case for Change: 4-5 months
* Option development and appraisal: 2-3 months
* Draft RTS: 4-5 months

9 Project Budget

9.1 It is anticipated that a budget of £92,500 will be required to have the LTS developed and implemented for Midlothian.

10   Performance Reporting

10.1   Robust scrutiny to the project management can be undertaken at Cabinet by way of Quarterly reporting.

11   Report Implications

11.1   Resource

A budget of £92,500 requires to be allocated to this project.

11.2   Digital

All digital requirements will be undertaken and hosted by the consultant.

11.3   Risk

The risk of not reviewing the Local Transport Strategy is that Midlothian's current goals and policies for economic, social and environmental delivery are not achieved and potential external funding and development opportunities are missed. The lack of a contemporary Local Transport Strategy may also harm Midlothian Council's local and national reputation.

11.4   Ensuring Equalities

The process of impact assessment runs throughout the strategy development process and is focussed on the Strategic Environmental Assessment (SEA) and the Equality Impact Assessment (EqIA). The objectives of the EqIA are to integrate the consideration of relevant equalities issues and impacts into the development of the LTS and to demonstrate compliance with the Public Sector Equality Duty, the Fairer Scotland Duty, Child Rights and Wellbeing duties. This EqIA will also address the Fairer Scotland and Child Rights and Wellbeing duties as these relate to issues affecting the transport system and apply on a statutory basis to local authorities.

The main steps in the process are as follows:

- SEA and Equalities Scoping Case for Change Report - SEA Environmental Report and Equalities Duties Report
- Preliminary Appraisal and STAG and Equalities Appraisal
- Draft RTS (SEA Environmental Report and Equalities Report)
- Final RTS
- Post Adoption Statement

12.5   Additional Report Implications

See Appendix A

APPENDIX A – Report Implications

A.1   **Key Priorities within the Single Midlothian Plan**
            The route map outlines the phases of service recovery and
            transformation which will underpin the Single Midlothian Plan.

A.2   **Key Drivers for Change**
            Key drivers addressed in this report:

            ☐ Holistic Working
            ☐ Hub and Spoke
            ☒ Modern
            ☒ Sustainable
            ☐ Transformational
            ☒ Preventative
            ☒ Asset-based
            ☒ Continuous Improvement
            ☐ One size fits one
            ☐ None of the above

A.3   **Key Delivery Streams**
            Key delivery streams addressed in this report:

            ☒ One Council Working with you, for you
            ☒ Preventative and Sustainable
            ☒ Efficient and Modern
            ☒ Innovative and Ambitious
            ☐ None of the above

A.4   **Delivering Best Value**
            The report aims to deliver best value.

A.5   **Involving Communities and Other Stakeholders**
            Extensive consultation is imperative.

A.6   **Impact on Performance and Outcomes**
            The report aims to measure progress through outcomes.

A.7   **Adopting a Preventative Approach**
            The report is based on the creation of a wellbeing economy which
            prioritises prevention, fairness for people, the economy and the
            environment.

A.8   **Supporting Sustainable Development**
            The improvement and enhancement of our environment.

Midlothian Council Speed Policy and Roads Hierarchy Review

Report by Kevin Anderson, Executive Director - Place

Report for Decision

1   Recommendations

It is recommended that Council:
   i)   Approves the Midlothian Council Speed Policy;
   ii)   Approves the Hierarchy Review report as a reference for improving safety on Midlothian roads; and
   iii)   Approves Officers to undertake public consultation on local road safety issues in line with these documents; 20mph speed restrictions within towns and settlements; speed reductions across identified sections of the network; and return to a future Council meeting with findings and proposals.

2   Purpose of Report

The purpose of this report is to implement policy to improve road safety and seek to implement appropriate speed limits across Midlothian, its towns and settlements.

Date: 15 June 2022
Report Contact: Derek Oliver, Chief Officer - Place
Email: derek.oliver@midlothian.gov.uk

3 Background

3.1   The Midlothian road network needs to support a local transport system that is safe for all road users and improves the quality of life in our communities with the potential to encourage social and economic activity.

3.2   Effective vehicle speed management involves many components designed to encourage, help and require drivers to adopt appropriate and safe speeds. Speed limits are a key source of information and play a fundamental role in indicating the nature of, and risks posed by, a road to both motorised and non-motorised road users.

3.3   Scotland's National Transport Strategy (NTS2) sets out a vision of the country's transport system for the next 20 years to address the key challenges we face. There are a number of overarching strategies and delivery plans being produced to support this at a national level, including the Road Safety Framework (2021), together with Regional and Local Transport Strategies.

3.4   To support the aims of these documents, Midlothian Council has undertaken a road safety and hierarchy review of its network which has led to the production of a Speed Policy document. This sets out the Council's objectives, guidance which has been used to inform the policies, and how these will be implemented.

3.5   The setting of national speed limits for different road types, and the identification of which exceptions to the general limits can be applied, is the responsibility of the UK Government. The three national speed limits for cars, motorcycles and light vans are:

- The 30mph speed limit on Class A, B or C or unclassified roads with street lighting.

- The speed limit of 60mph on single carriageway roads.

- The 70mph limit on dual carriageways and motorways.

3.6 National limits are not, however, appropriate to all roads. The responsibility for determining local speed limits lies with Roads Authorities having regard to guidance issued by the Scottish Government together with relevant advice from the Department for Transport (DfT).

3.7 The setting of speed limits can be a sensitive issue for communities as residents and businesses can have conflicting views dependent upon their own experiences and how they primarily use the road space, i.e. a safe speed for drivers may differ from pedestrians or cyclists.

3.8 It is necessary to set appropriate and effective speed limits, which support the underlying principles, and achieve a reasonable level of driver compliance within those limits.

3.9 Where there is strong community support to lower the speed limit, this request will be considered in line with the procedure outlined within the Policy.

3.10 Road Safety systems involve those who design and are responsible for the road network as well as those who use them. They are responsible for reducing road casualties, particularly serious and fatal incidents, and all road users have a role to play in achieving this by using roads safely and complying with the rules.

3.11 The Policy and Hierarchy Review report provides local direction and consistency for Roads Services, together with reference for our communities, as to what comprises an appropriate speed and safety measures for various types of road and environment.

3.12 Public consultation on local road safety issues in line with the Policy and Hierarchy Review; 20mph speed restrictions within towns and settlements; and speed reductions across identified sections of the network will permit targeted and prioritised interventions, assessed on a consistent basis and established baseline in order to allocate budget and funding for necessary infrastructure improvements.

4 Report Implications

4.1 Resource

The finances for the production of the Hierarchy Review report and Speed Policy have been met from existing resources. The next stage of public consultation will require resource, which will be met within existing establishment and budgets. Resulting capital costs for infrastructure interventions will be subject to relevant funding applications and future Council reports.

4.2 Digital
Public consultation will require digital support through existing platforms.

4.3 Risk
The risk of not implementing a local Speed Policy results in national speed limits being in place across the network which may not be suitable for local issues. Approving the Policy can help to reduce road safety concerns.

4.4 **Ensuring Equalities**
The subject of this report does not have a significant impact on equality.

4.5 **Additional Report Implications**

See Appendix A

Appendices

Midlothian Council Speed Policy
Midlothian Roads Hierarchy Review Report

APPENDIX A – Report Implications

A.1   Key Priorities within the Single Midlothian Plan
The route map outlines the phases of service recovery and transformation which will underpin the Single Midlothian Plan.

A.2   Key Drivers for Change
Key drivers addressed in this report:

☐ Holistic Working
☐ Hub and Spoke
☒ Modern
☒ Sustainable
☒ Transformational
☒ Preventative
☒ Asset-based
☒ Continuous Improvement
☐ One size fits one
☐ None of the above

A.3   Key Delivery Streams
Key delivery streams addressed in this report:

☒ One Council Working with you, for you
☒ Preventative and Sustainable
☐ Efficient and Modern
☒ Innovative and Ambitious
☐ None of the above

A.4   Delivering Best Value
The report aims to deliver best value.

A.5   Involving Communities and Other Stakeholders
Extensive public consultation is imperative. Prior to any new or altered speed limits being introduced, Police Scotland will be formally consulted to gather their views on the appropriateness of the measures, and adapt the proposals where necessary.

A.6   Impact on Performance and Outcomes
The report aims to measure progress through outcomes.

A.7   Adopting a Preventative Approach
The report is based on the creation of a wellbeing economy which prioritises prevention, fairness for people, the economy and the environment.

A.8   Supporting Sustainable Development
The improvement and enhancement of our environment.

Midlothian Roads Hierarchy Review

Midlothian Council

7 December 2021

Delivering a better world

Quality information

Prepared by	Checked by	Verified by	Approved by
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Revision History

Revision	Revision date	Details	Authorized	Name	Position

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Table of Contents

Figures

1.   Introduction

1.1   Background

Scotland's National Transport Strategy (NTS2) published in February 2020 sets out a vision of our transport system for the next 20 years to address the key challenges we face. With a number of overarching strategies and delivery plans being produced to support this at a national level, including the Road Safety Framework (2021), Midlothian Council have appointed AECOM to undertake a review of their existing road network hierarchy and whether this is still appropriate and in keeping with the recent national publications, with a particular focus on road safety.

Midlothian Council officers monitor all road accidents which occur in the local authority boundary as well as specific complaints from members of the public and community Councils. Various datasets have been extracted for analysis within this report, including an assessment of: Severity, speed, lighting conditions, weather conditions, and classification of road. This has helped to establish a baseline for the local authority area and has allowed site specific assessments to be undertaken of major settlements within the local authority boundary.

The following Figure details the study area being considered.
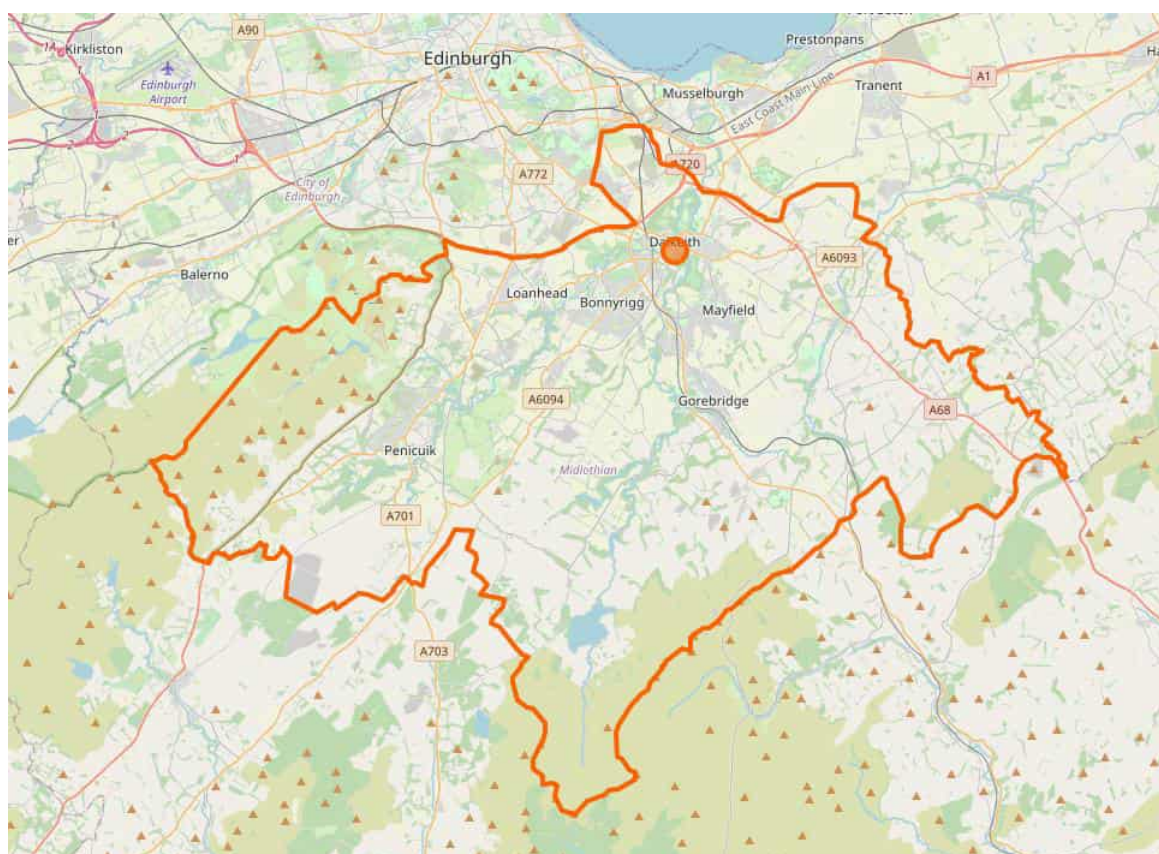
Figure 1: Roads Hierarchy Review study area

1.2   Aims and Structure of Report

This report will review both the National Transport Strategy and the Road Safety Framework, along with the emerging strategies and policies from neighbouring local authority areas to help inform this study by highlighting the key findings. A Review of accidents will then be undertaken across the local authority area with a view to setting the baseline of safety and environment for residents and communities. A review will then be undertaken of the types of measures that can be introduced to reduce the number of collisions occurring and their severity. This will include an examination of 20mph Limits and 20mph Zones.

The remainder of this report is structured as follows:

- Section 2 – National & Local Policy Review
- Section 3 – Review of Midlothian Accident Data
- Section 4 – Measures to improve Road Safety
- Section 5 – Speed Reduction
- Section 6 – Potential 20mph Limits and 20mph Zones
- Section 7 – Summary

2.   National & Local Policy Review

2.1   Introduction

As the world moves forward national and local policies need to adapt to the changes in society and the priorities which arise. In recent years we have seen unprecedented changes with a global pandemic and climate emergency. These have tested countries resilience from national leaders down to local communities and demonstrated some of the challenges and priorities which are likely to exist.

National Transport Strategy 2 was published in 2020 and since that time a number of supporting strategies and delivery plans to accompany the document have been produced. This Chapter seeks to provide a summary of these documents along with a review of emerging policies from neighbouring local authorities. This will help to establish what the likely priorities will be for Midlothian Council, and help to form a cohesive strategy which can then be implemented.

2.2   National Transport Strategy (NTS2)

The NTS2 recognises the different needs of Scotland's cities, towns, remote and rural areas. It considers the reasons for travel and how these trips are undertaken. The strategy does not present specific initiatives, interventions, or projects, but it does set out the strategic framework for which future investment decisions will be made.

The vision of the strategy for the next 20 years is to, "have a sustainable, inclusive, safe and accessible transport system, helping deliver a healthier, fairer and more prosperous Scotland for communities, businesses and visitors".

The vision is underpinned by the adjacent four priorities, each with three associated outcomes. It can be seen that in order to achieve the aims of the strategy, road safety and accessible transport will play a large part. The four priorities are covered in further detail below.

Reduces inequalities
- Will provide fair access to services we need
- Will be easy to use for all
- Will be affordable for all

Takes climate action
- Will help deliver our net-zero target
- Will adapt to the effects of climate change
- Will promote greener, cleaner choices

Helps deliver inclusive economic growth
- Will get people and goods where they need to get to
- Will be reliable, efficient and high quality
- Will use beneficial innovation

Improves our health and wellbeing
- Will be safe and secure for all
- Will enable us to make healthy travel choices
- Will help make our communities great places to live

2.2.1   Reduce Inequalities

Everyone in Scotland will share in the benefits of a modern and accessible transport system. Transport plays an important part in delivering the fully inclusive society we want. While we tackle inequalities, our actions will simultaneously reduce poverty, in particular child poverty. Our transport system:

- *Will provide fair access to services we need: we have a duty to reduce inequalities and advance equality of opportunity and outcome, including the protected characteristics of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex and sexual orientation. We will ensure that our disadvantaged communities and individuals have fair access to the transport services they need. The transport system will enable everyone to access a wide range of services and to realise their human rights.*

- *Will be easy to use for all: people have different needs and capabilities. Our transport system will recognise these and work to ensure that everyone can use the system with as few barriers as possible.*

- *Will be affordable for all: people have different incomes and our transport system will not exclude people from mobility by making it unaffordable. We will target actions to deliver the Strategy towards those needing most help, including those living in poverty.*

2.2.2　Climate Action

People will be able to make travel choices that minimise the long-term impacts on our climate and the wellbeing of future generations. We face a global climate emergency. Scotland must transition to a net-zero emissions economy for the benefit of our environment, our people and our future prosperity. Our transport system:

- *Will help deliver our net-zero target: the Climate Change Act passed by the Scottish Parliament includes an increased ambition to reduce greenhouse gas emissions to 75% of 1990 levels by 2030, 90% by 2040 (i.e. the period covered by this Strategy) and net-zero emissions by 2045. Transport is currently the largest contributor to Scottish emissions and this will be tackled through a range of actions including an ambition to phase out the need for new petrol and diesel cars and vans by 2032, changing people's travel behaviour and managing demand.*

- *Will adapt to the effects of climate change: in Scotland we are already experiencing the impacts of climate change and we will adapt our transport system to remain resilient and reduce the harmful effects on future generations.*

- *Will enable greener, cleaner choices: over the next 20 years, Scotland will see a continued transformation in transport where sustainable travel options are people's first choice if they need to travel. We will design our transport system so that walking, cycling and public and shared transport take precedence ahead of private car use.*

2.2.3　Economic Growth

Scotland will have a transport system that will help deliver sustainable and inclusive economic growth enabling the whole country to flourish. Transport plays a key role in delivering Scotland's Economic Strategy's four priority areas of investment, innovation, inclusive growth and internationalisation. It enables firms to have efficient access to suppliers and customers. It allows people fair and affordable access to reach the jobs where they can be most productive and boost both business growth and household incomes through improving access to employment. Our transport system:

- *Will get people and goods where they need to get to: network and services will be integrated effectively with spatial and land use planning and economic development, and adapt to changing requirements of our citizens, businesses and visitors.*

- *Will be reliable, efficient and high quality: everyone needs to be confident about how long a journey will take, and that it will be a simple and comfortable experience. We will be able to plan our lives, to get to work on time, access education and training, and to deliver goods efficiently and keep businesses running smoothly.*

- *Will use beneficial innovation: will pioneer and use new products, services and technologies developed from high quality research to improve our transport system. We will secure opportunities and investment for innovation and growth of testing platforms and supply chains to help Scotland be at the forefront of world leading developments in sustainable mobility.*

2.2.4　Health & Wellbeing

Scotland's transport system will be safe and enable a healthy, active and fit nation. Our transport system needs to be safe and secure and give users trust and confidence that they will reach their destinations without threat. It should also allow people to make active travel choices to improve their health and physical and mental wellbeing and seek to reduce health inequalities. It should support our Public Health Priorities. Our transport system:

- *Will be safe and secure for all: the prevention and reduction of incidents on the transport system will continue to be a priority.*

- *Will enable us to make healthy travel choices: active modes will be a preferred method of travel and have a significant positive effect on individual health and wellbeing, both by making people more active and by improving air quality. This will reduce the social and economic impact of public health problems such as mental health, obesity, type-2 diabetes, and respiratory and cardio-vascular diseases.*

- *Will help make our communities great places to live: cleaner, greener and sustainable places and networks will encourage walking, wheeling and cycling. This will deliver more social interaction, support local businesses and services and create vibrant communities.*

2.3   Scotland's Road Safety Framework to 2030

Road Safety systems involve those who design and are responsible for the road network as well as those who use them. They are responsible for reducing road casualties, particularly serious and fatal incidents, and all road users have a role to play in achieving this by using roads safely and complying with the rules. The Framework defines road safety as, "*any policy, project, plan, programme or strategy which aims to reduce the number and severity of road traffic casualties or reduces road danger with better education or through the design, building, operation or use of the road system*".

To achieve this vision the framework identifies five outcomes (Safe Road Use, Safe Roads & Roadsides, Safe Speeds, Safe Vehicles and Post-crash Response) which describe the road safety environment it aims to deliver. These outcomes align with the five pillars of the Safe System show below.

Safe Road Use
Achieved from road users who decide the most sustainable way to travel, know and comply with road rules and take responsibility for the safety of themselves and others, especially the vulnerable.

Safe Vehicles
Well-maintained vehicles, reduce the risk of collisions and, in the event of a collision, reduce the harm to road users, including pedestrians, cyclists, horse riders, motorcyclists and vehicles occupants.

Scotland to have the best road safety performance in the world

Safe Speeds
Road users understand and travel at appropriate speeds to the conditions and within the speed limits.

Safe Roads and Roadsides
They are self-explaining in that their design encourages safe and sustainable travel so that they are predictable and forgiving of errors.

Post-Crash Response
Allows an effective and appropriate response to collisions. Road victims receive appropriate medical care and rehabilitation to minimise the severity and long-term impact of their injuries. Learnings from collisions are captured and acted upon. Families of those killed or seriously injured are appropriately supported.

Figure 2: Extract of Five Outcomes identified in Scotland Road Safety Framework 2030

2.3.1.1   Safe Roads and Roadsides

In a Safe System, roads and roadsides are designed to reduce the risk of collision, and to mitigate the severity of injury should a collision occur. A combination of the design and maintenance supported by the implementation of a range of strategies to ensure that roads and roadsides can be as safe as possible can reduce casualties on our roads. One way in which this can be achieved is to both segregate different kinds of road users and the traffic moving in different directions or at different speeds. If this is not possible, promoting positive behaviours and safer sharing of spaces, as well as the appropriate use of speed limits and signage, can also be a much more affordable and sustainable way to protect the most vulnerable road users.

2.3.1.2   Safe Speeds

Speed limits in a Safe System are based on aiding crash-avoidance and reducing the speed at which impacts occur. This ensures the body's limit for physical trauma is not reached or exceeded. The Safe System aims to establish appropriate speed limits according to the features of the road, the function it serves, and the physical tolerance of those who use it. The key factors that should be taken into account in any decisions on local speed limits are:

- history of collisions

- road geometry and engineering

- road function

- composition of road users (including existing and potential levels of vulnerable road users)

- existing traffic speeds

- road environment

2.3.1.3   National Targets

The following targets have been set within the Road Safet Framework 2030.

Interim Targets to 2030
50% reduction in people killed
50% reduction in people seriously injured
60% reduction in children (aged <16) killed
60% reduction in children (aged <16) seriously injured

Intermediate Outcome Targets
- 40% reduction in pedestrians killed or seriously injured
- 20% reduction in cyclists killed or seriously injured
- 30% reduction in motorcyclists killed or seriously injured
- 20% reduction in road users aged 70 and over killed or seriously injured
- 70% reduction in road users aged between 17 to 25 killed or seriously injured
- Percentage of motorists driving/riding within the posted speed limit
- The casualty rate for the most deprived 10% SIMD areas is reduced to equal to the least deprived 10% SIMD areas.

Intermediate Measures
- Casualty rate per 100 million vehicle kilometers for cyclists killed and seriously injured
- Casualty rate per thousand population for pedestrians killed and seriously injured
- Number of people killed and seriously injured in collisions where at least one driver/rider was driving for work, not commuting

Figure 3: National Targets extracted from Road Safety Framework 2030

2.4   Neighbouring Local Authority Policies

The following section will examine the existing policies of neighbouring local authorities and those which are in the process of being brought forward. It is important to understand this as there needs to be a level of consistency in approach as residents and visitors can become confused with the differing roads types and the measures controlling them. For the purpose of this study a review has been undertaken of both East Lothian Council and The City of Edinburgh Council which are discussed below.

2.4.1   East Lothian Council (ELC)

East Lothian Council's Single Outcome Agreement 2013-2023 outlines their road safety commitment in Outcome 7 which states, "East Lothian is an even safer place – There are fewer collisions, casualties and deaths on our road". There is acknowledgement that this will not be an easy task as the Council faces significant challenges, including the Council's financial position, growing population, and increased demand for services.

The Council identifies 20mph Speed Restrictions as a major mechanism for achieving Outcome 7. The ELC speed policy was updated in 2018 to reflect the publication of "The Good Practice Guide on 20 mph Speed Restrictions" by Transport Scotland (January 2015) and the Traffic Signs Regulations and General Directions (TSRGD) (2016). In addition, it recognises speed limit as only one of many speed management measures along with engineering, enforcement and education.

Main policy objectives are for ELC to set speed limits on the local road network in a way that supports the local transport system that promotes economic growth, is safe for all road users and improves the quality of life. The policy is seen as a tool for setting up an effective speed management part of which are speed limits. Speed limits should be evidence-led, self-explaining, indicate, but also align, with people's assessment of appropriate and safe speed. They should encourage self-compliance. The underlying aim is to achieve a 'safe' distribution of speeds that reflects the function of the road and the impact on the local communities.

The following three items are assessed before a potential speed change – is 'movement' or 'access and place' the prevailing function; casualty numbers; the need to increase active travel journeys. Some of the underlying policy principles are:

- Alternative speed management options will always be considered before a new speed limit is introduced;
- Mean (average) speeds will be used to determine local speed limits;
- The minimum length of a speed limit will generally not be less than 600m (allowable minimum of 400m);
- Speed limits will not be used to attempt to solve the problem of isolated hazards, for example a single road junction or reduced forward visibility on a bend;
- A balance has to be struck between the needs of the community and the needs of motorists.

Enforcement
Police Scotland is the agency responsible for the enforcement of speed limits on roads in the Council area although 20mph speed limits and zones should be designed and introduced to be self-enforcing; and changes should not be reliant on Police enforcement.

Urban roads
The national speed limit in most urban areas is 30mph. A 40mph limit may be used where appropriate and, in exceptional circumstances, a 50mph limit may be considered. The three speeds are roughly split between town centres, suburban roads/on outskirts and dual carriageways/higher quality roads, respectively.

Rural roads
The national speed limit on the rural road network is 60mph on single carriageway roads and 70mph on dual carriageways. Road network is divided into upper (A and B Class) and lower tier (Class C and Unclassified) roads depending on function. National speed limits are normally applicable except where accident rates exceed the thresholds (for upper and lower tiers roads) specified in Circular 1/2006. Then lower speed limits will be considered. The accident rate is a trigger for intervention.

Village Speed Limits
In order to implement the 30mph speed limit in villages, a definition for 'village' has been produced (i.e. criteria). Buffer zones (40mph) are also considered for various development scenarios (e.g. lower density, outlying houses, buildings such as schools or churches, etc. Class C and unclassified roads are by virtue of the presence of street lighting. Beyond that, Traffic Regulation orders are required.

ELC have considered the following 20mph speed restrictions:

- 20mph speed limit zones
- Mandatory 20mph speed limits
- Variable/Part Time 20 mph Limits
- Advisory 20 mph limits
- 20 mph limits – TSRGD requirements

The main three types of data required for a speed limit assessment are:

- Traffic flow data – Annual Average Daily Flow (AADF);
- Traffic speed data – based on typical mean journey speeds along individual sections;
- Accident data – typically for a 5-year period (minimum 3-year).

2.4.2   City of Edinburgh Council

City of Edinburgh Council have stated that they are committed to providing a safe and modern road network for the 21st century, as set out in its Road Safety Plan for Edinburgh to 2020. This document is however, over a decade old and work is currently underway to develop a new Plan to cover the period to 2030. The new Plan is intended to be developed within the context of Scotland's Road Safety Framework to 2030.

The Council's Road Safety team is responsible for delivering a programme of road safety infrastructure improvements, which can be categorised into four major workstreams:

- Reducing road traffic collisions;
- Reducing excessive traffic speeds;
- Improving walking, wheeling and cycling journeys to school; and
- Improving pedestrian crossing facilities.

In addition to the above, a citywide 20mph network was approved for Edinburgh in January 2015; and the scheme was implemented by March 2018. The main goals of the scheme were to reduce the risk and severity of collisions, encourage people to walk and cycle and create more pleasant streets and neighbourhoods. The approved network extends 20mph speed limits to the city centre, main shopping streets and residential areas while retaining a network of roads at 30mph and 40mph in the city suburbs.

Due to the overall positive response and requests from across the city following the roll-out, further streets are in the process of being added to the network. Evidence and justification for the roll-out include a successful 2012 pilot and the positive findings of the monitoring programme that was established. The following image is an extract from the City of Edinburgh Council website, with the dark green and blue showing existing and proposed 20mph streets respectively. It can be seen that the proposed coverage will be extensive.
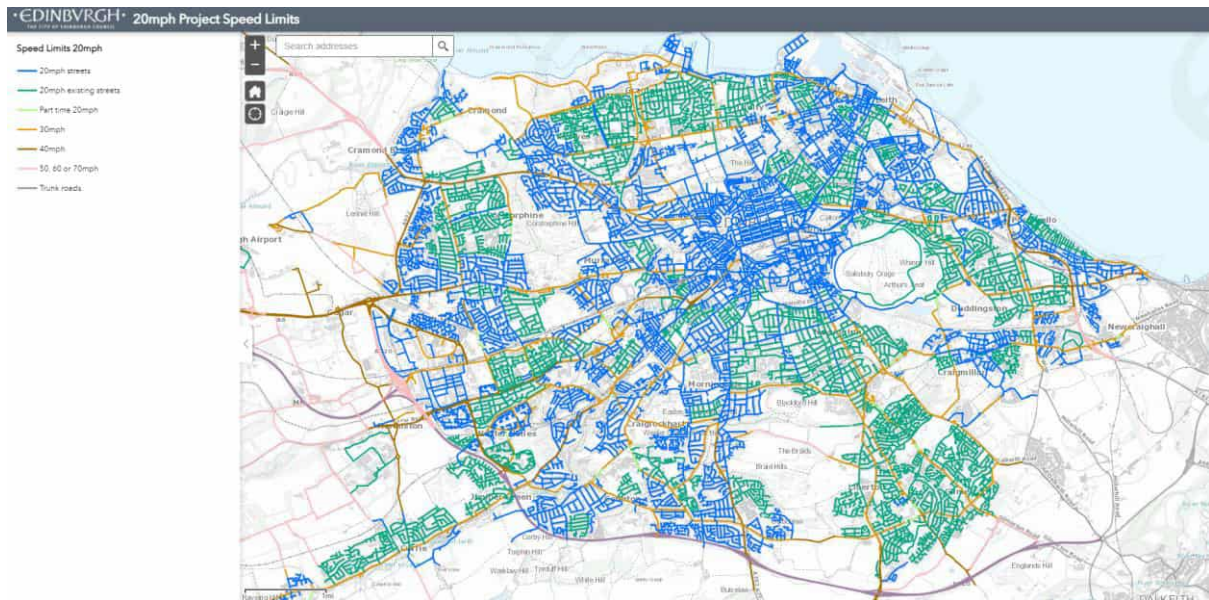
Figure 4: City of Edinburgh Council 20mph map extract

3. Review of Midlothian Accident data

3.1 Introduction

Midlothian Council gather and collate accident data for the local authority area and the following Chapter undertakes a review of this to assess whether there are any apparent causal factors. Accident locations have been assessed in terms of vehicle speeds, lighting conditions, weather conditions, and type of road carriageway or junction. Appendix A shows the mapping exercise which has been undertaken to track the location, speed, and severity of the accidents occurring.

3.2 Midlothian Road Network

Midlothian's public road network comprises of the following classifications and length, 2016/17 (kilometres)

	Trunk	Local Authority				Total
	A Roads	A Road	B Road	C Road	Unclassified	
Midlothian	39	93	100	101	389	721
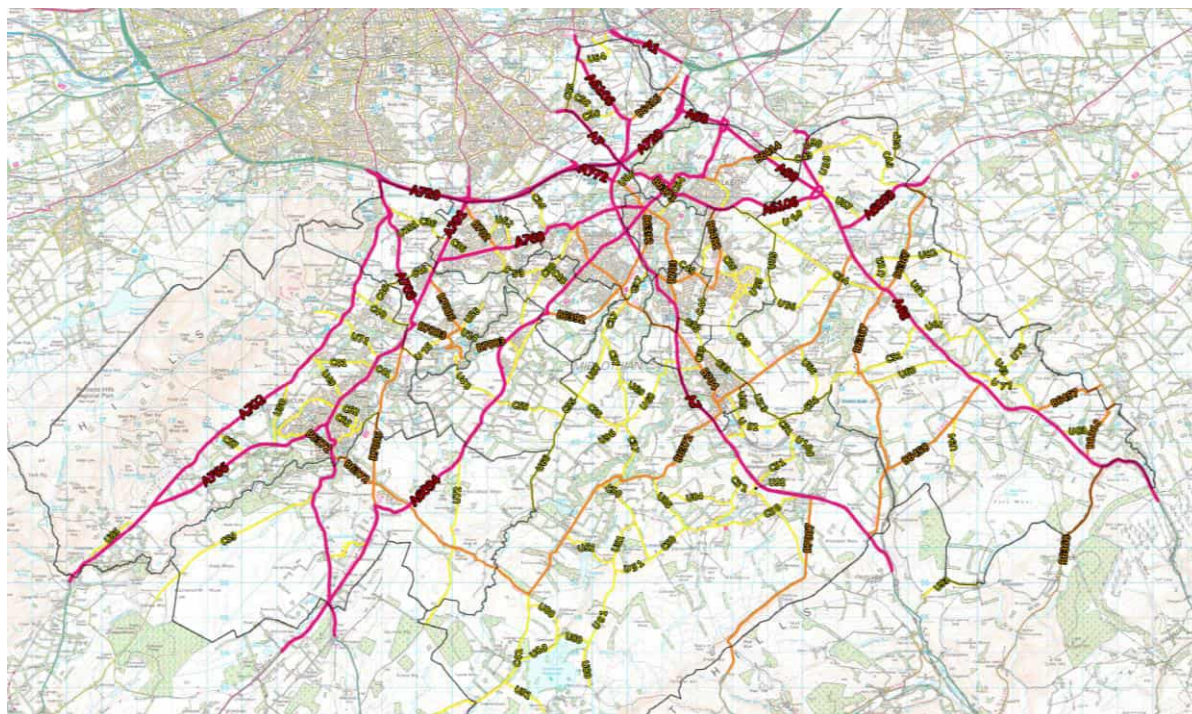
Figure 5: Midlothian Roads Hierarchy classifications

3.3   Midlothian Accident Statistics

The following graphs show the total number of vehicles involved in collisions resulting in respective types of injury, namely Slight, Serious, and Fatal, recorded over a 5-year period to the year 2021.
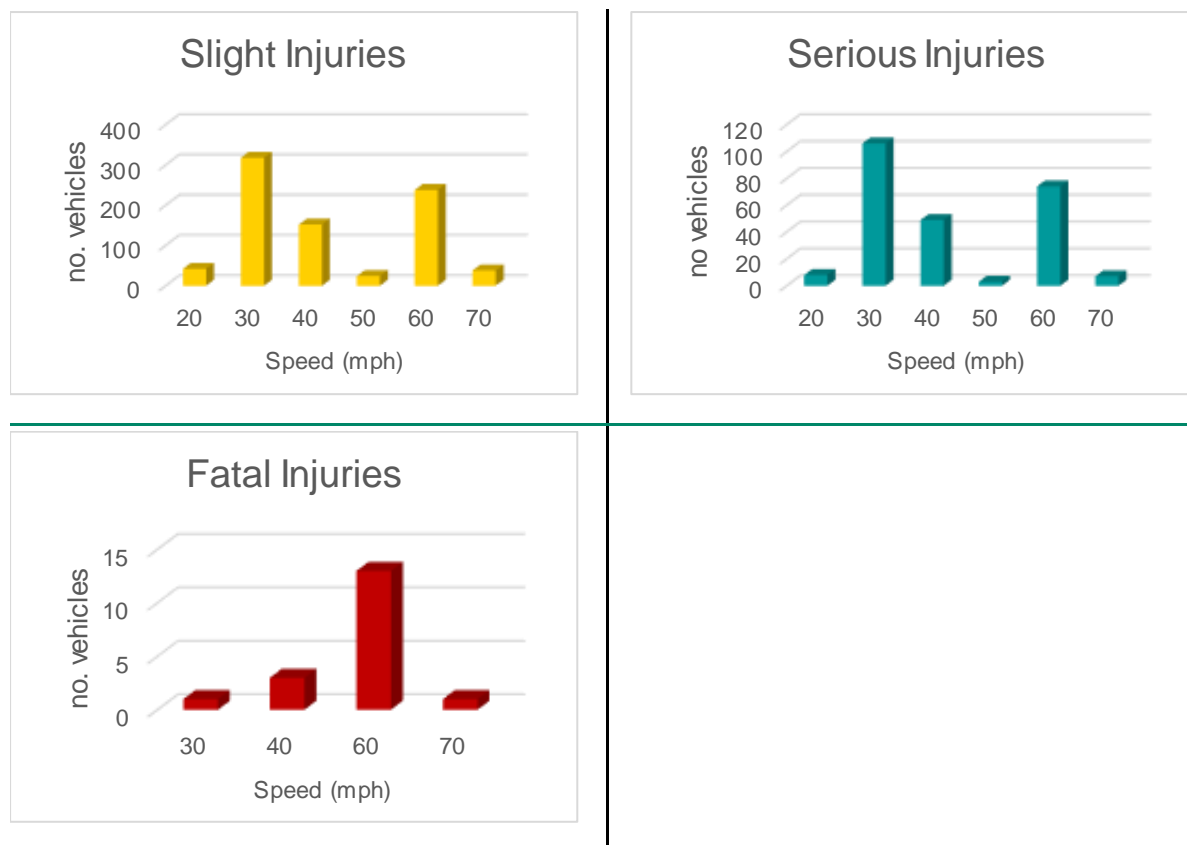
Figure 6: Total number of vehicle collisions occurring in previous 5-year period to 2021

It can be seen that the majority of Slight and Serious injuries occur in the 30mph bracket. The number of fatal accidents is however much higher in the 60mph bracket, demonstrating the link between higher speeds resulting in much higher chances of serious or fatal accidents, which is discussed in further detail within Chapter 5. The following graphs further break down the Casualties by Speed, Type of Road, Weather Conditions, and Lighting Conditions, all which could be considered as potential contributory factors.
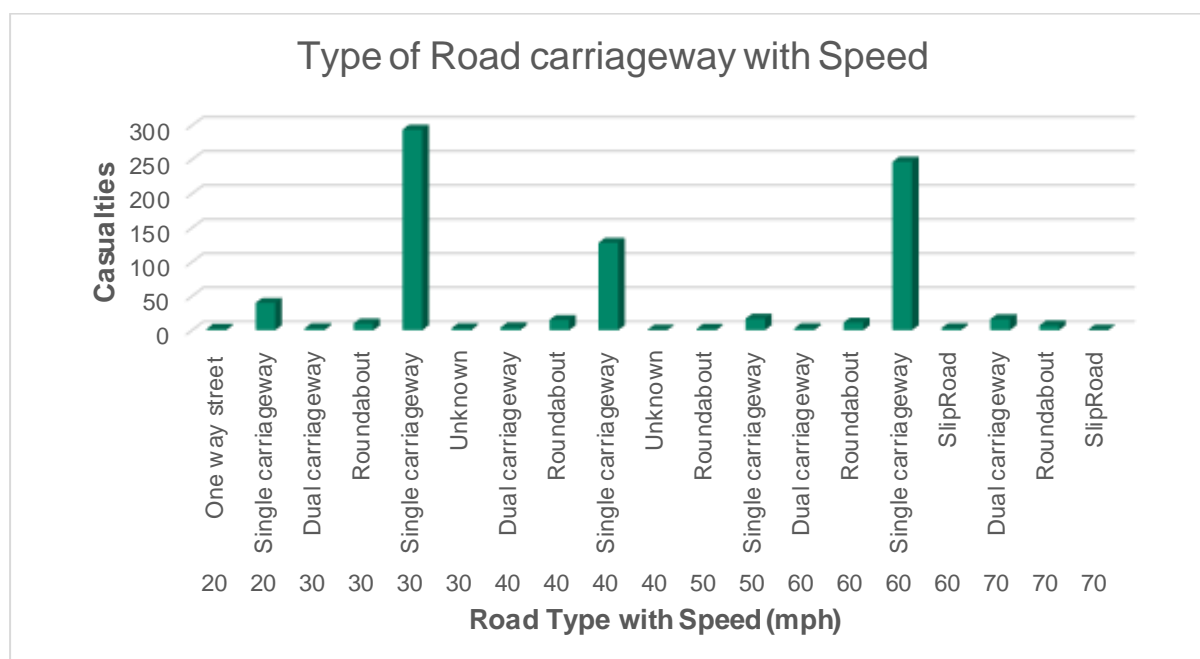
Figure 7: Total Casualties split by Road Speed and Road Type
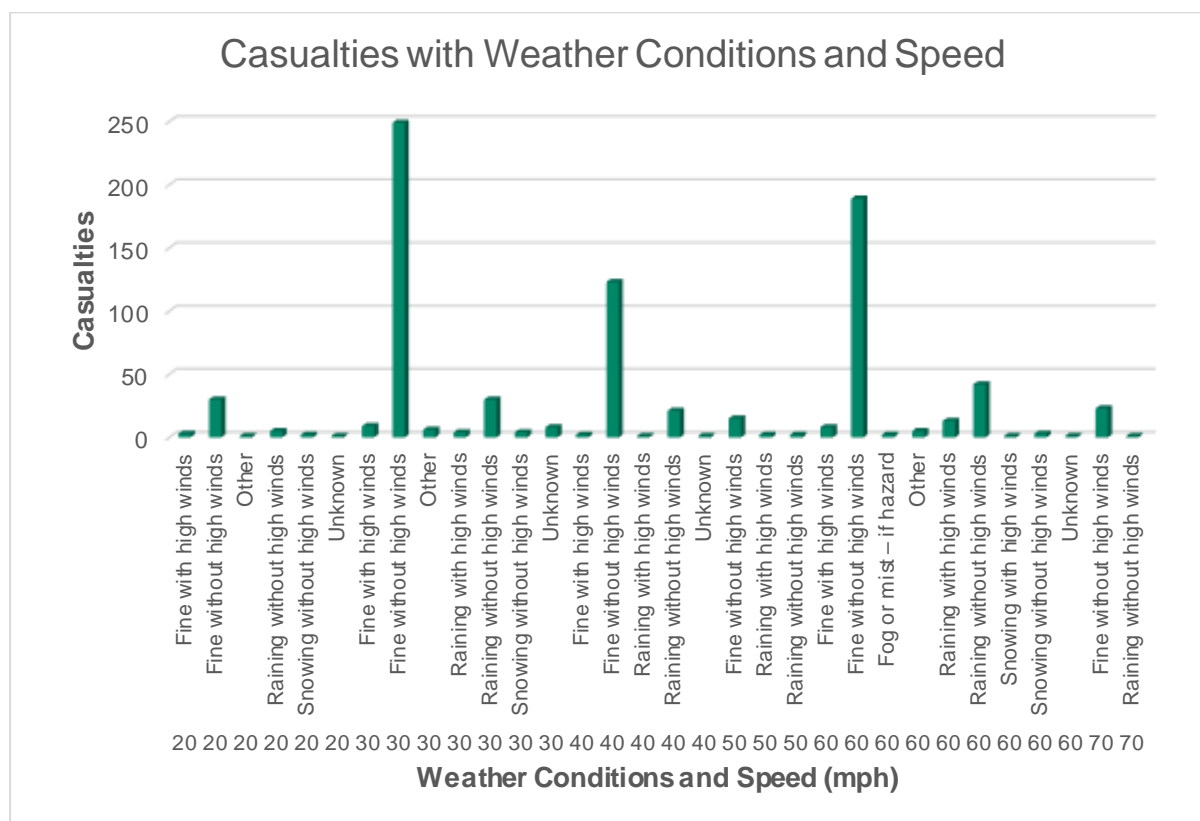
Figure 8: Total casualties split by road speed and weather conditions
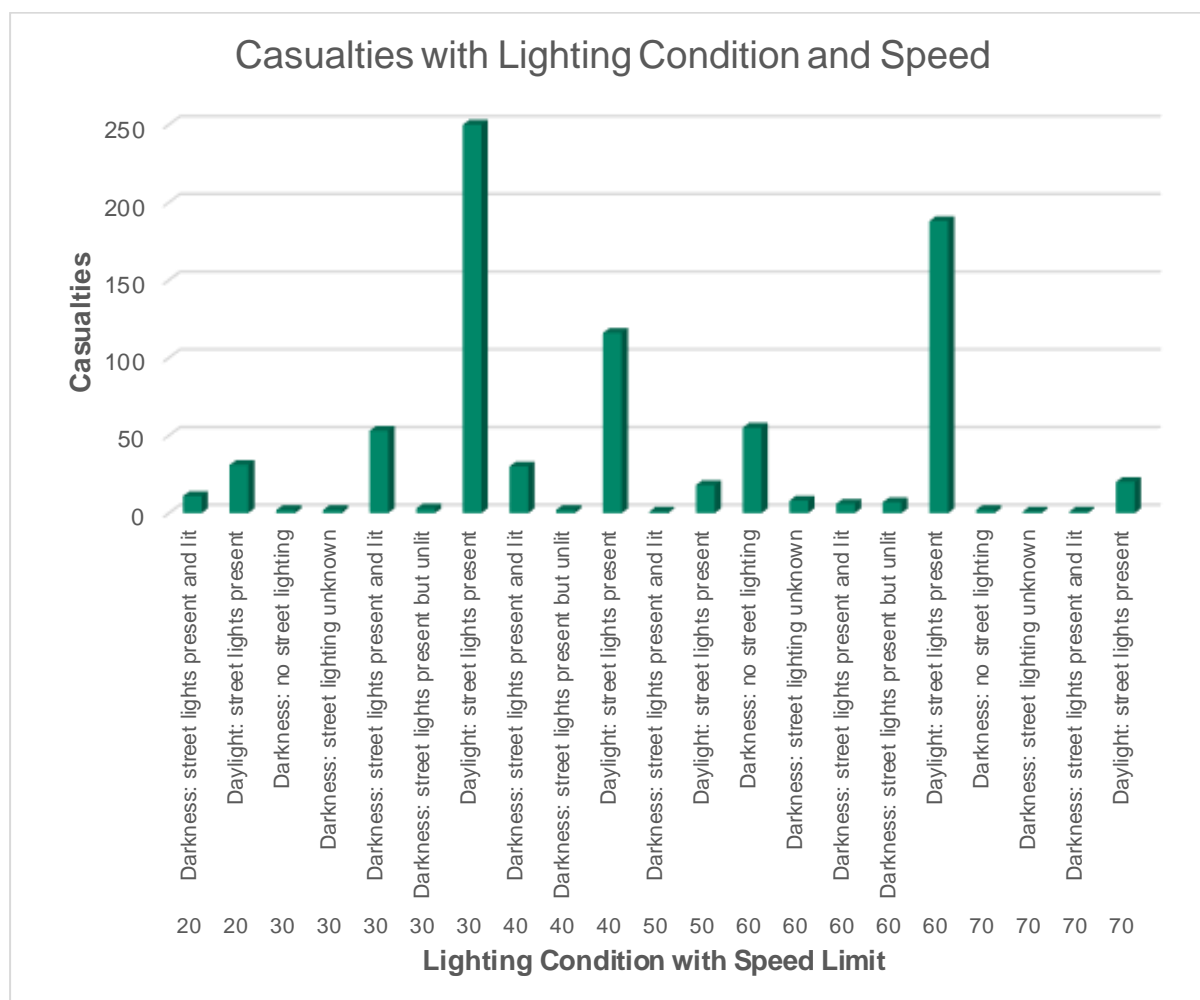
Figure 9: Total casualties split by road speed and lighting conditions

It can be seen in Figures 7, 8, and 9 that the potential contributory factors of Road Type, Weather Conditions, and Lighting Conditions, do not offer any obvious reasons for the overall accidents occurring in the local authority area. The majority of accidents occur on single carriageway roads where weather and lighting conditions were good at the time of the accidents.

It is considered that this type of analysis would be more beneficial when examining smaller cordoned areas as there could indeed be some site specific reasons for incidents occurring which are not apparent when considering global statistics for the local authority area.

3.4 Midlothian Settlements Review

To give some context to the global accident statistics discussed in the previous section, a review of individual settlements within Midlothian has been undertaken. This is to try and better understand whether the accidents are occurring at a uniform rate across the local authority area or whether there are specific settlements which are experiencing higher than average rates. The map below details ten settlements within Midlothian where further analysis has been undertaken.
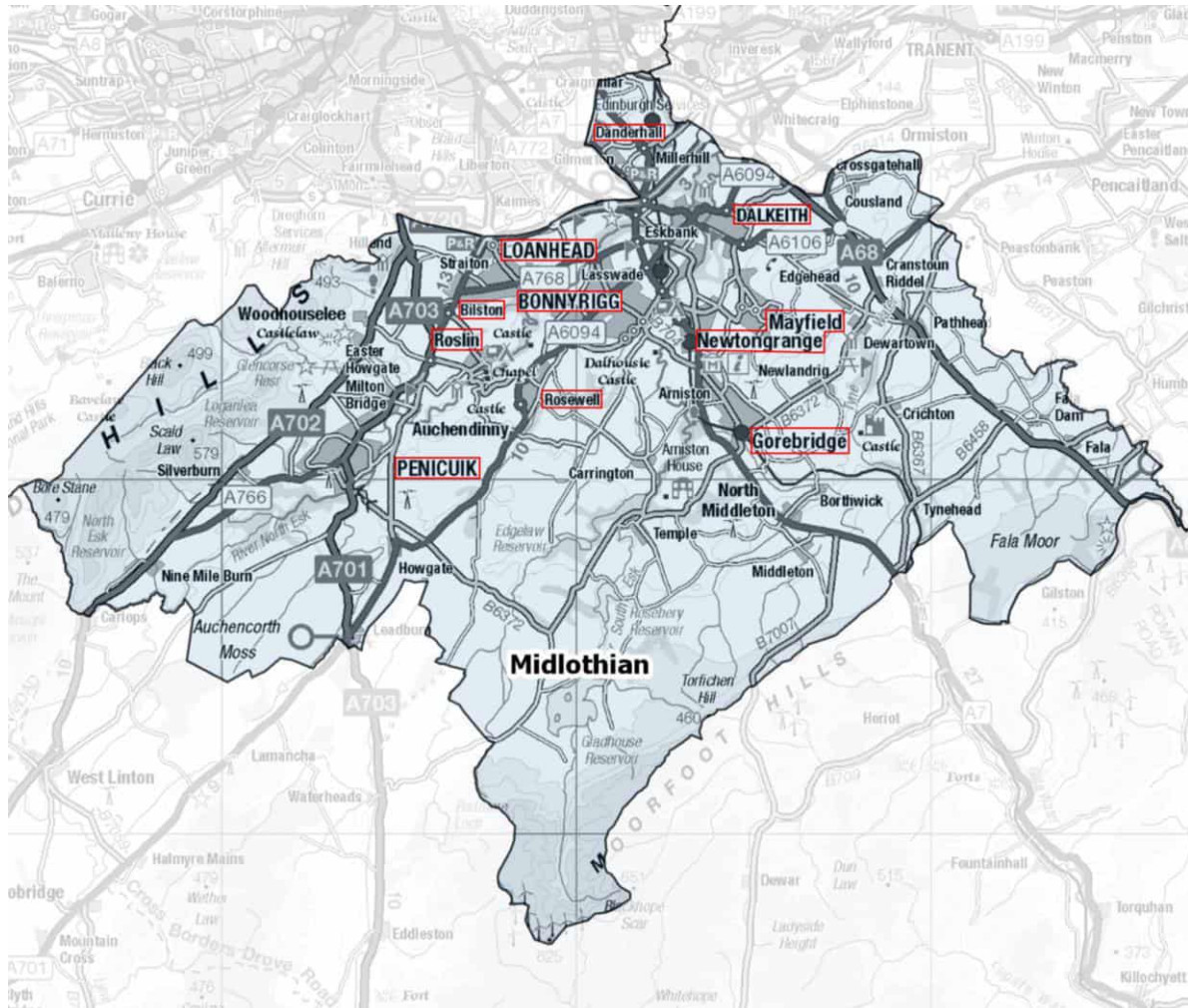
Figure 10: Ten settlements considered for further analysis

The total number of casualties (Slight, Serious, Fatal) have been plotted against each settlement and is show in the graph overleaf which breaks the accidents down by the types of road/ junction on which they occurred and the speed of the road.
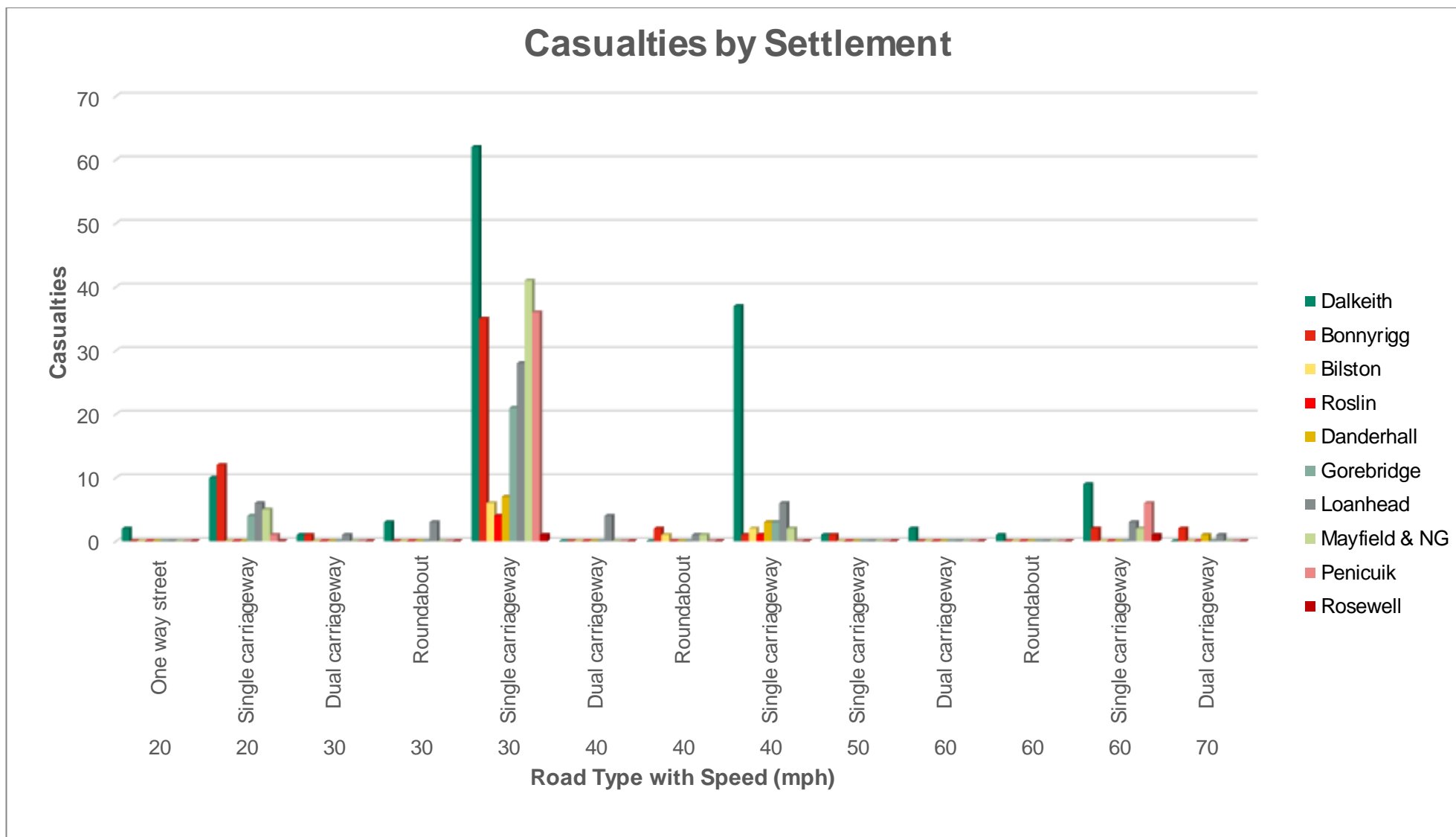
Figure 11: Casualties by Settlement and Speed/ Road Type

Some settlements have a high volume of accidents in comparison to others, which could be due to higher populations and higher volumes of traffic traversing through the settlements. Some will also have a higher number of daily walking and cycling trips to local amenities and all of these movements have the potential for accidents where conflict points occur. To better understand the rate at accidents are occurring in each settlement, the total number of accidents were converted into a per capita population, based on 2018 population predictions shown below.

Settlement	Population (2018 Estimated)
Dalkeith	12,000
Bonnyrigg	15,677
Bilston	1,330
Roslin	1,670
Danderhall	2,810
Gorebridge	7,160
Loanhead	6,440
Mayfield & Newtongrange	13,570
Penicuik	16,120
Rosewell	1,680
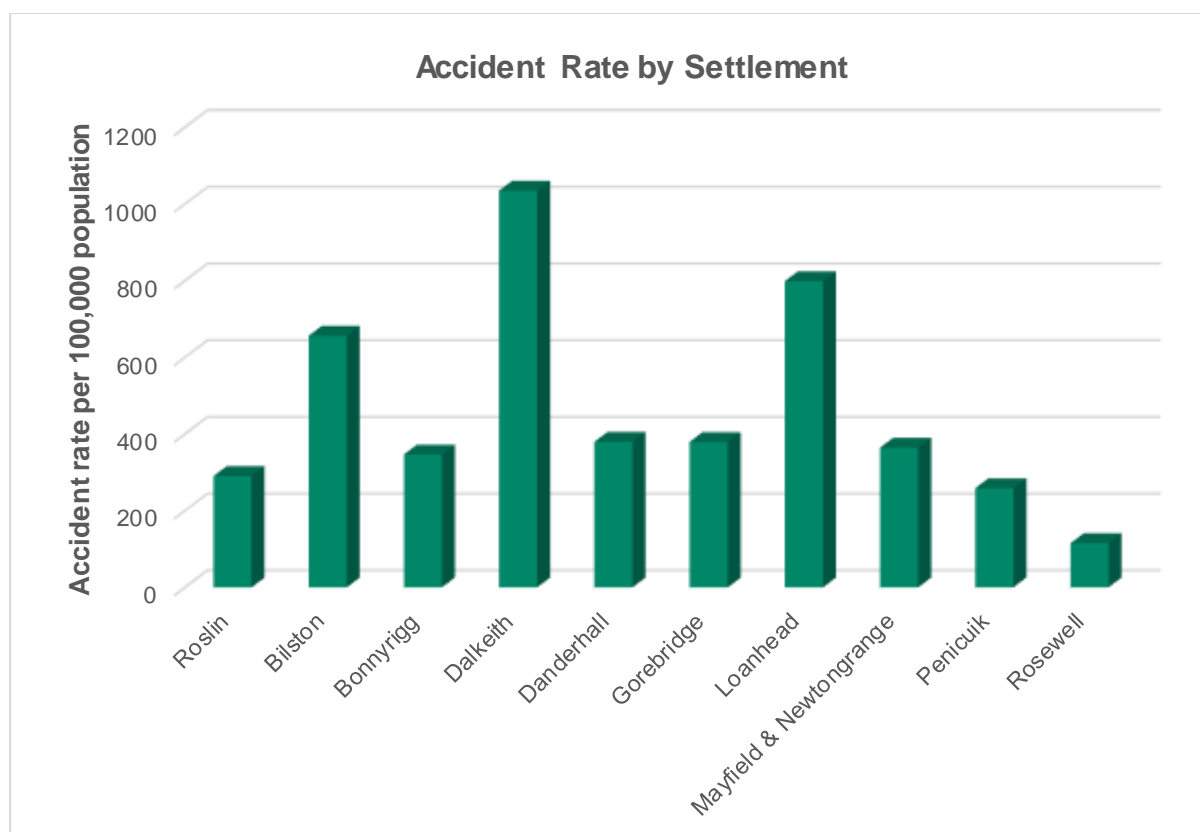
Figure 12: Accident rate per Settlement

It can be seen that when considering the accidents on a per capita basis, the various settlements within Midlothian become more uniform, however Dalkeith does retain the highest number of casualties in total and as a ratio per population.

4. Measures to improve Road Safety

4.1 Introduction

Whilst traffic regulation, enforcement and signage can offer speed reduction benefits it is unlikely these measures in isolation would offer the same level of reduction as those in combination with physical interventions, which generally offer better speed reduction results for problem locations. Measures that also tend to be requested by members of the public include speed cameras, however the Safety Camera Scotland Partnership (SCSP) who are responsible for these will only consider them when all other engineering measures have failed. The typical traffic calming type measures which would be used to lower speeds are discussed within this Chapter.

4.2 Traffic Calming

There are many different forms of traffic calming measures although generally they can be categorised into the following three groups;

1. **Vertical Measures** – These traffic calming measures generally require a vehicle to overcome a physical object that is designed to influence the speed of the vehicle. The most common types of vertical traffic calming are speed humps, speed tables and speed cushions but there are other devices such as raised junctions and rumble strips that can also be used.

2. **Horizontal Measures** – Horizontal calming measures aim to reduce a vehicles speed by forcing a lateral movement or forcing vehicles to give way to each other. These measures can include chicanes, pinch-points and mini-roundabouts.

3. **Traffic Regulation, Signage and Enforcement** – A range of other traffic management measures can be utilised to slow traffic speeds, either by regulatory deterrents (speed limits and safety cameras) or softer psychological measures (signage, vehicle activated signs, road markings and coloured/ textured surfacing).

4.2.1 Traffic Calming Measures and their Relative Performance (*Department of Transport*)

Type	Impact on Speed ***Most Impact *Least Impact	Impact on Traffic Flows ***Most Impact *Least Impact	Impact on Injury Accidents ***Most Impact *Least Impact
Raised Junction	***	***	***
Road Hump	**	***	***
Rumble Strip	*	*	**
Local Narrowing	**	**	**
Chicane	**	*	**
Mini Roundabout	**	*	**
Speed Cameras	**	*	**
Speed Table/Raised Crossing	**	***	***

Example Raised Junction	Example Road Hump	Example Rumble Strip	Example Local Narrowing
Example Chicane	Example Mini Roundabout	Example Speed Camera	Example Speed Table/Raised Crossing

Vertical measures such as raised junctions and speed cushions generally have the largest impact on vehicle speeds, conversely however they also have the largest detrimental effect on traffic flows. Horizontal measures such as pinch points, gateways and chicanes have varying levels of impact on reducing vehicle speed depending on the design. It is noted that Speed Cameras have an impact on traffic speeds, albeit not as significantly as some vertical measures with least impact on existing traffic flows and emergency vehicles.

4.2.2 Pedestrian Crossing and Traffic Management

In addition to Traffic Calming, traffic signals can be provided at junctions and designated pedestrian crossings which not only reduce traffic speeds but also enhance pedestrian crossing and safety. A range of traffic crossing techniques are available.

Type/Notes	Example Photograph
Priority Crossing – A priority crossing is a point designed for pedestrians to cross, these usually include dropped kerbs and paving for visually impaired pedestrians. At these crossings, vehicles have right of way and pedestrians should cross during safe gaps in traffic. These crossings whilst improving pedestrian crossings facilities will have minimum impacts on vehicle speeds. These facilities can be provided at raised junctions which aid speed reduction	
Zebra Crossing - Characterised by black and white stripes on the road, parallel to the flow of the traffic. The crossing is marked with flashing amber globes on black and white posts on each side of the road. Pedestrians have a right of way when they step onto the crossing. Zebra crossings promote priority for pedestrians and can also help reduce traffic speeds. These facilities can be located on raised carriageway areas, further aiding speed calming.	

Push Button / Signalised Crossing – A traditional push button / signalised crossing where a pedestrian is invited to cross when a green signal is showing. This improves pedestrian safety when crossing and helps calm traffic speeds.	
Signalised Junction with Pedestrian Crossings – Both traffic and pedestrians are controlled by traffic lights. These facilities managed flow and minimise vehicular conflict and promote pedestrian crossing. Signals can help calm traffic speeds. On busy roads these facilities help manage traffic flow more efficiently. However, on quieter roads they are likely to introduce delays to both traffic and pedestrians.	

In addition to the measures listed above, changes to the road environment can also contribute to a reduction in vehicle speeds. Measures, such as, tightening of corner radii, installing traffic signals, reduction of carriageway widths, gateway features and public realm improvements can all be used to reduce the speed of drivers. Guidance on traffic calming measures is provided by the Department of Transport in Local Transport Note 1/07. *Table 1.1* of this document provides a summary of the performance of a range of calming measures. This table is reproduced below.

Type of measure	Chapter or Section in LTN	Impact on traffic speeds * * * = largest reduction	Impact on traffic flows * * * = largest reduction	Impact on injury accidents * * * = largest reduction	Delays to emergency services * * * = shortest delay	Relative public acceptability * * * = most acceptable	Impact on vehicle emissions * * * =smallest increase		
							CO	NOx	PM
Road hump									
Round-top	4.2	* * *	* * *	* * *	*	* * *	* *	* *	* *
Flat-top	4.2	* * *	* * *	* * *	*	* * *	*	*	*
Raised junction	4.2	* * *	* * *	* * *	*	* * *	*	*	* *
Sinusoidal	4.2	* * *	* * *	* * *	*	* * *	-	-	-
'H' hump	4.2	* *	* * *	* * *	* *	* * *	-	-	-
'S' hump	4.2	* *	* * *	* * *	* *	* * *	-	-	-
Thump	4.2	* *	* * *	* *	*	* *	-	-	-
Cushion	4.2	* *	* * *	* * *	* *	* *	* *	* *	* *
Rumble device									
Area	5.1	*	*	* *	* * *	* *	-	-	-
Strip	5.1	*	*	* *	* * *	*	-	-	-
Narrowing									
Island	6.3	*	*	*	* * *	-	-	-	-
Pinch point/build-out	6.3	* to * * *	* to * *	* to * *	* * *	*	* *	* * *	* * *
Chicane									
Single lane	6.4	* * *	* *	* *	* *	*	*	* * *	*
Two-way	6.4	* *	*	* *	* *	* *	-	-	-
Gateway	7	* *	*	* *	* * *	* *	-	-	-
Mini-roundabout	8	* *	*	* *	* * *	*	* * *	* *	* *
Vehicle activated device									
Vehicle activated signs	9.1	* *	*	* *	* * *	-	-	-	
Speed cameras	9.2	* *	*	* *	* * *	* * *	-	-	
Road markings, traffic signs and furniture									
Roundels	10.2	*	*	*	* * *	* * *	-	-	-
Coloured surfacing	10.2	*	*	*	* * *	-	-	-	-

Figure 13: DoT Summary of Measures and Performance

4.2.3   Safety Cameras

The Safety Camera Scotland Partnership has a set criterion that needs to be met before a safety camera is likely to be considered. In summary the criteria are;

- Number of Collisions: The number of points required before a site can be considered is 9 per kilometre with 7 points attributed to a fatal collision, serious 4.5 points and slight 1 point. The weightings are doubled when a collision involves a pedestrian;

- Vehicle Speeds: The 85th percentile speed during free-flowing conditions must equal or exceed 35mph; and

- Engineering measures should be evaluated and exhausted before a speed camera is considered.

Safety cameras would therefore need to be considered on a case by case basis, however the strict criteria above is likely to severely restrict the implantation of cameras to all but the sites with extreme accident records and recorded excess speeds.

4.3   Alternative Speed Restriction Measures

While the traffic calming measures above including safety cameras can have site specific benefits, it can be difficult to implement these on a wider network due to various reasons, including:

- Parking and Driveway Access restricting available highway land;

- HGV and Bus Operations resulting in wear and tear to traffic calming measures, or noise pollution;

- Street Lighting or lack of street lighting making it unsafe to implement some measures;

- Drainage and potential for ponding or expensive design solutions to overcome;

- Surfacing/ Tie-ins with solutions dependent upon existing conditions and elements such as upstand heights; and

- Public Utilities can result in expensive design solutions.

When considering a wider area the above issues may prove prohibitive and therefore alternative measures may need to be considered such as speed restrictions as these would not be subject to the same limitations outlined above. This is discussed in Chapter 5 in further detail.

5.   Speed Reduction

5.1   Introduction

Higher inappropriate speeds contribute to around 11% of all injury collisions reported to the police, 15% of crashes resulting in a serious injury, and 24% of collisions that result in a death. This includes excessive speeds when the speed limit is broken. It also includes speeds which remain within the speed limit, however the conditions dictate that these are inappropriate at the time, for example: in poor weather, poor visibility, or high pedestrian activity.

Motorists who travel at higher inappropriate speeds are more likely to crash and their higher speed means that the crash will cause more severe injuries to themselves and/or to other road users. Inappropriate speed also magnifies other driver errors such as driving too close or driving when tired or distracted, multiplying the chances of these types of driving causing an accident

5.2   20mph Background

The Department of Transport issued Circular 'Roads 4/90' in 1990 which set out guidelines for the introduction of 20mph speed limits. At that time, Councils had to apply for consent from the Secretary of State to introduce a 20mph zone. The strategy was based on research and experience of implementation in other countries. Case studies demonstrated that lower speed limits when combined with traffic calming measures to ensure that vehicles maintained low speeds through the zone, could have amplified benefits over just traffic calming alone. Road safety publicity messages were used to highlight 20mph speeds as crucial to reducing the risks of injury and death in collisions.

In 1999, the law was changed by the Road Traffic Regulation Act (Amendment) Order 1999, which gave Highways Authorities more flexibility so they no longer had to apply for permission to introduce a zone. The updated legislation made two distinct types of 20mph speed limit possible:

- 20mph limits, which consist of just a speed limit change to 20mph which is indicated by the speed limit (and repeater) signs, and

- 20mph zones, which were designed to be "self-enforcing" due to the traffic calming measures that were introduced along with the change in the speed limit.

It suggested that 20mph limits were appropriate for roads where average speeds were already low (below 24mph) or along with traffic calming measures.

5.3   Scottish Guidelines

In January 2015 the Scottish Government published 'Good Practice Guide on 20mph Speed Restrictions' (updated 2016). The document provides clarity on the options available to local authorities in setting 20 mph speed restrictions. Whilst encouraging consistency across the country, local authorities have options to introduce them near schools, in residential areas and in other areas of towns and cities where there is a significant volume of pedestrian or cyclist activity. It aims to encourage local authorities to set 20 mph speed restrictions where appropriate.

Local authorities have a number of options when considering introducing a 20 mph speed restriction, including:

- 20 mph speed limit zones

- 20 mph limits

- Variable and part-time 20 mph limit

The information in the Good Practice Guide is not intended to override any of the provisions contained in the relevant road traffic legislation. The guidance is not be used in isolation, but rather, read in conjunction with the more comprehensive advice set out in the relevant legislation and guidance, including the Traffic Signs Regulations and General Directions 2016 (SI2016/362), DfT Circular 01/16 on the 2016 TSRGD, the Traffic Signs Manual and related Traffic Advisory Leaflets.

The Guide is intended for use by Scottish Local Authorities and replaces all previous guidance on 20 mph issued by the Scottish Executive including SODD Circular 13/1999; 2001 SEDD Circular No.6/2001; ETLLD Circular No. 1 /2004 (relating to schools) and Section 5.1 of ETLLD Circular No.1/2006

5.4 Higher Speeds

Higher speeds results in drivers having less time to identify and react to what is happening around them, and it takes longer for the vehicles to stop. Where speeding occurs, it can result in near misses becoming crashes. While the public may consider 30mph to be a lower speed road, around two-thirds of crashes in which people are killed or injured occur on roads with a speed limit of 30 mph or less. In good conditions, the difference in stopping distance between 30 mph and 35 mph is an extra 21 feet which is more than 2 car lengths. As discussed in Section 5.4.2, almost half of drivers will speed on a 30mph road.

According to the Royal Society for the Prevention of Accidents, if average speeds reduced by 1 mph, the accident rate would fall by approximately 5%. This varies slightly according to road type, so that a 1 mph reduction in average speed would reduce accident frequency by about:

- 6% on urban main roads and residential roads with low average speeds

- 4% on medium speed urban roads and lower speed rural main roads

- 3% on the higher speed urban roads and rural single carriageway main roads.

If an individual drives more than 10 - 15% above the average speed of the traffic around them, they are much more likely to be involved in an accident. Drivers who speed are more likely to be involved in collisions. They are also more likely to commit other driving violations, such as red-light running and driving too close.

5.4.1 Higher Speeds Cause More Serious Injuries

The risk of injury in any collision is influenced by a number factors including: Vehicle Speed, Occupant protection systems such as seat belts or air bags, the nature of the other vehicle(s) or object(s) struck, and the medical care received by those involved. The Royal Society for the Prevention of Accidents have also undertaken research on motorist speeds and have found that car drivers are much more likely to be injured in collisions at higher speeds. On average, in frontal impacts, belted drivers have a 17% risk of being fatally injured in impacts at 40 mph and a 60% risk at 50 mph. When cars are hit from the side, drivers are at a much greater risk: in a collision at 40 mph, the risk of a belted driver being killed is 85%.

The risk of a pedestrian who is hit by a car being killed increases slowly until impact speeds of around 30 mph. Above this speed, the risk increases rapidly as demonstrated in the table below which included research from the UK and Germany. Elderly pedestrians have a much greater risk of suffering fatal injuries than other age groups.

Country	Date	Risk of fatal injury at 30mph	Increased risk of fatal injury between 30mph and 40mph
UK	1970s	9%	5.5 times more likely
Germany	1999-2007	7%	3.5 times more likely
UK	2000-2009	7%	4.5 times more likely

5.4.2   Who Speeds?

- On 20mph roads, 81% of car drivers exceed the speed limit and 44% exceed 25mph.

- On 30 mph roads in built-up areas, 53% of car drivers exceed 30 mph and 19% exceed 35 mph.

- On single carriageway 60 mph roads in non-built-up areas, 8% of drivers speed but only 3% go over 70 mph.

- On motorways in non-built-up areas with 70 mph limits, almost half (46%) of car drivers exceed the speed limit, with 11% going faster than 80 mph.

Research suggests there are three types of drivers:

- Compliant drivers who usually observe speed limits (52% of drivers)

- Moderate speeders who occasionally exceed speed limits (33% of drivers)

- Excessive speeders who routinely exceed speed limits (14% of drivers)

However, even the moderate speeders exceed 30 mph limits regularly. Excessive speeders normally ignore the 30 mph limit, and often by a wide margin

5.4.3   Driver Attitudes and Behaviours

The RITS Drivers Attitudes and Behaviours Tracking Study has been running since 2010 and includes a sample of drivers across Scotland each year. The study was set up to provide a consistent monitor of driver attitudes and behaviours across Scotland in order to evaluate the impact of various road safety campaigns run by the Scottish Government and Road Safety Scotland. A continuous monitor of attitudes and behaviours allows the Scottish Government and its partners to assess longer terms trends and a selection of relevant graphical information relevant to this report have been extracted and reproduced below.

5.4.3.1   Speeding Behaviours
Drivers were asked a series of questions regarding speeding behaviours at varying speeds and situations and the following graph shows the results stretching from the initial year 2010 to the latest survey undertaken in 2020.
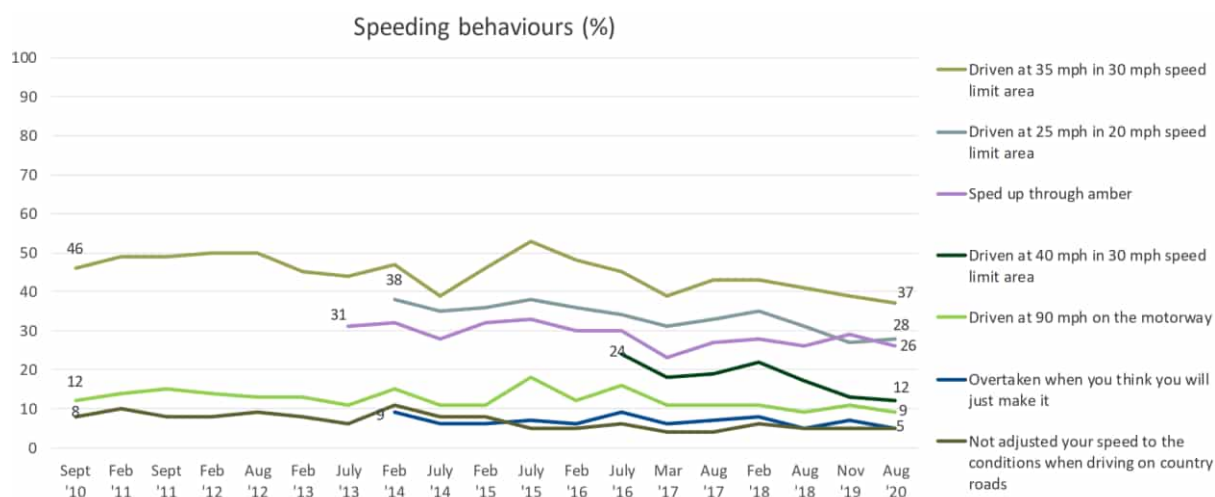
Figure 14: Speeding Behaviours

It can be seen that the results reinforce those obtained by The Royal Society for the Prevention of Accidents, whereby a large proportion of drivers will speed by up to 5mph in both 30mph and 20mph areas.

5.4.3.2 Built-up area Speed Behaviour

Drivers were then asked about their speed behaviour with regards to more built-up areas which could contain pedestrians and people on pedal bikes, with the following results recorded.
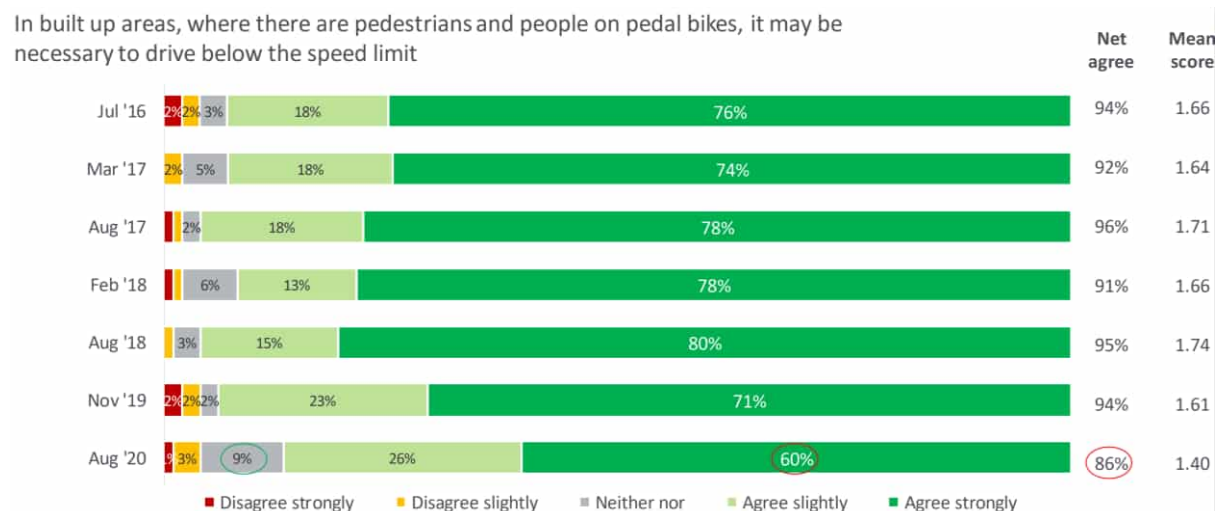
Figure 15: Built-up area Speed Behaviour

It can be seen that there was a marked decrease in those drivers who strongly agree with the statement that it may be necessary to drive below the speed limit in such areas. Indeed the net number of respondents agreeing was the lowest since the question was introduced in 2016 which would make it less conducive to encouraging walking and cycling in urban areas.

5.4.3.3 20mph Speed Limit Behaviour

Drivers were then asked about their speed behaviour with regards to 20mphs speed limits, with the following results recorded.
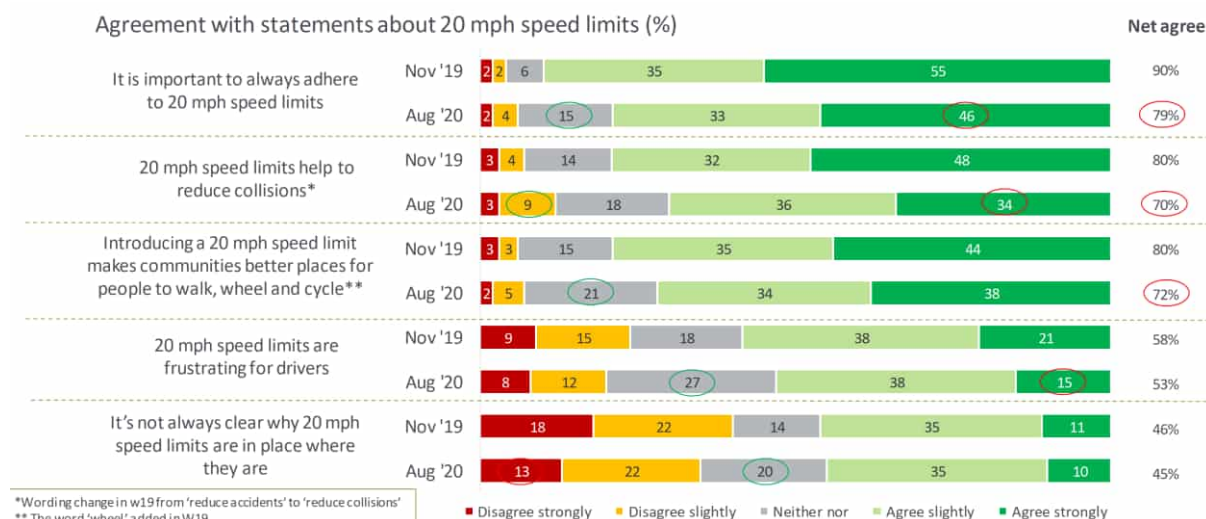
Figure 16: 20mph Speed Limit Behaviour

It can be seen that attitudes towards 20 mph speed limits are generally positive. Over half of drivers did however indicate that the speed limits are frustrating and almost half agree that it's not always clear why they are imposed. This would be important to Councils and officers considering 20mph limits, with public communication and reasons for being implemented being a key factor to the success.

5.5 Reducing Speed related Accidents

Speed related accidents can have a number of contributory factors and reducing the number of accidents and their severity can be achieved in a number of ways including:

- Driver Education
- Driver Training
- The Driving Test/ Post-Test
- Highway Design & Engineering
- 20 mph Zones and 20 mph Limits
- Vehicle Engineering/ Intelligent Speed Adaptation
- Vehicle Speed Warning/ Braking Technology
- Employers

From the above list, the main tools within a local authorities' ability to influence and reduce the number and severity of accidents would be Highway Design & Engineering along with 20mph zones and 20mph limits. As previously discussed in Chapter 4, it is likely that 20mph zones and 20mph limits would need to be supported by some highway design and engineering works.

Speed management is central to road safety. A number of local authorities in the UK have already introduced speed management strategies that have been successful in reducing casualties and average speeds. The measures that are most effective in reducing vehicle speeds which then results in reduced road death and injury are area-wide traffic calming schemes and 20 mph zones. Recent schemes which would be relevant, along with the outcomes and how these could translate to Midlothian Council, are discussed in Chapter 6.

6. Potential 20mph Limits and 20mph Zones

6.1 Introduction

The previous two Chapters have discussed the measures which can be introduced to improve road safety, including speed reduction. It is evident that despite 20mph and 30mph speed limits, a considerable proportion of drivers in the UK continue to speed, with many admitting they travel up to 5mph over the stated speed limits. Added to this, the risk of fatalities greatly increases with speeds greater than 30mph, it is clear that speed reduction in urban areas is key to improving road safety. This has been examined in further detail by a number of Universities working in conjunction with Local Authorities. The following Chapter will discuss some of the recent studies which have been undertaken, along with what this could mean for settlements within Midlothian should similar measures and results be achieved.

6.2 Edinburgh University 20mph Study in Edinburgh

Edinburgh University have been working with The City of Edinburgh Council to monitor a number of trial areas where 20mph speed limits were introduced. A report published in October 2019 indicated the key outcomes following the implementation of 20mph speed limits in the City of Edinburgh.

The study team were based at the University of Edinburgh and several other Universities around the UK. An evaluation of the public health impact of the 20mph speed limit policies in Edinburgh and Belfast was undertaken as part of the study. The published report provided an overview of changes in vehicle speed and volume and road traffic collision rates resulting in personal injury before and after the implementation of the 20mph speed limits. With this recent data from a neighbouring local authority, where driver characteristics will be similar, it is considered that the results will offer an excellent comparator for Midlothian.

6.2.1 The findings of the Edinburgh University Study are outlined below:

6.2.1.1 Vehicle speed and volume
The speed and volume data used in the analysis covered sixty-six 20mph streets. These streets were 30mph before the speed limit implementation and changed to 20mph afterwards.

- *There has been a statistically significant reduction in average vehicle speed of -1.34mph for all 66 streets combined.*

- *The largest reduction in average vehicle speed was -2.41mph and was observed in Rural West Edinburgh.*

- *A comparatively higher reduction in average speed, -2.03mph, was observed in streets where the average speed before the speed limits was greater than or equal to 24mph.*

- *The frequency of average speed observations which were less than or equal to 20mph was greater after the speed limit implementation.*

- *There was a reduction post speed limit introduction in the number of drivers exceeding 20mph at speeds over 20mph (10%), 24mph (25%) and 30mph (41%).*

6.2.1.2 Road traffic related collisions
- *Within the entire city of Edinburgh boundary, a reduction in collision rates has been observed on roads (with either 20mph and 30mph speed limits) after the speed limit implementation with a decrease of 371 collisions per year. Similarly, a reduction has been observed for collision rates in the following categories:*

Summary of Findings

Was there a change in speed of traffic in Edinburgh after the 20mph speed limit implementation?

Yes. The results in this report point to a statistically significant reduction in average vehicle speed, with the highest reduction observed for zone 1b, Rural West Edinburgh of -2.41mph. Additionally, we note a relatively larger reduction in average speeds on streets with higher speeds before the speed limit implementation.

Was there a change in volume of traffic in Edinburgh after the 20mph speed limit implementation?

No. There was no evidence of a change in the average volume of traffic after the 20mph speed limit implementation.

Was there any displacement of traffic from 20mph streets to 30mph streets?

No evidence of this. In terms of whether there was any displacement of traffic from 20mph streets to 30mph streets, the results for South Central/East provided an indication that there was none. Comparisons for the other implementation zones were not done due to lack of data on 30mph streets.

Was there a change in the rate of road traffic collisions (overall and by level of severity) in Edinburgh after the 20mph speed limit implementation?

Yes. This was observed for the city wide analysis. Preliminary models indicated that the decrease in road traffic collisions resulting in personal injury across the City of Edinburgh council boundary after the speed limit implementation.

6.3 University of West of England Analysis of Bristol's 20mph rollout

In July 2012, Bristol City Council voted to introduce 20mph speed limits throughout the city. This followed the completion of successful pilot schemes in South and East Bristol. The 20mph speed limit was introduced in six phases. The first area implemented on 20th January 2014 covers Central Bristol and borders the two pilot areas. The process of introducing 20mph limits across the city was completed in September 2015.

The roll-out of the 20mph speed limits in Bristol was about more than reducing road traffic casualties, although this was one of the aims. The roll-out sought to improve health and well-being across the city, taking a holistic perspective as to how slower traffic speeds might impact on people's lives. The research undertaken by the University of West of England is understood to be one of the biggest of its kind and again will provide a good backdrop and comparator for Midlothian.

6.3.1 Research Methods

The research took a holistic, public health approach to evaluation, using a variety of data sources to examine: changes in vehicle speeds; road traffic casualties; levels of walking and cycling; public perceptions and attitudes; and reported levels of health and wellbeing across the communities in Bristol before and after the introduction of 20mph speed limits across Bristol.

Summary of Findings

Speed

- On average, according to Automatic Traffic Count (ATC) speed data (with over 36 million vehicle observations analysed) there was a statistically significant 2.7mph decrease in vehicle speeds on roads where the 20mph speed limit was introduced, when controlling for other factors that might affect speed (areas, calendar year, time of day, season, type of road, and day of week). In the areas that stayed 30mph, there was a statistically significant negligible reduction in speed (0.04 mph)

- The largest reduction in speed was on 20mph A and B roads.

- Average speeds on 20mph roads were found to be below 24 mph in every area except for the Outer North and South areas of Bristol. On 30mph roads, average speeds are below 30mph in every area.

- Average speeds declined by a greater amount in the summer months and on weekends, where traffic volume (and congestion) is lowest.

- 94% of roads surveyed saw a reduction in average speeds. Average speed decreased on 100 roads out of 106.

- The greater reduction in speeds seen here when compared with previous studies may be due to the methodological differences in the approach taken in the Study, including analysis of individual vehicle speeds rather than daily average speeds, and inclusion of both residential and larger roads which may have a greater scope for speed reductions.

Casualties

- Annual rates of fatal, serious, and slight injuries following the introduction of the 20mph speed limits are lower than the respective pre-20mph limit rate, thus showing a reduction in the number of injuries. The estimated total number of injuries avoided across the city each year is 4.53 fatal, 11.3 serious, and 159.3 slight injuries.

- The estimated annual saving following the decrease in casualties is £15,256,309, based on Department for Transport formula for calculating the cost of road traffic casualties.

- The decrease in casualties has also benefitted some vulnerable groups. It is estimated that:

    - Two child lives will be saved every three years; 3 older adult lives will be saved every two years; and 3 pedestrian deaths will be avoided every year.

    - More than 4 child serious injuries will be avoided in just over three years; 4 older adult lives will be saved in three years; and 2 pedestrian severe injuries will be avoided every year.

    - The number of avoided slight child injuries per year is 7.68; 25.77 older adult slight injuries will be avoided each year; and 24.54 pedestrian slight injuries will be avoided each year.

Wider public health effects

- Clear majority support remains in Bristol for 20mph speed limits, with 62% supporting such limits on residential roads and 72% on busy streets.

- However, there is cynicism in Bristol about lack of enforcement of 20mph limits, a lack of compliance from "other drivers" and an increased readiness to report that it is sometimes okay to drive above the posted speed limit on residential roads.

- The number of people who walk or cycle to work in Bristol has increased between 2010 and 2015.

- More children in Bristol now walk or cycle to school following the introduction of the 20mph speed limits.

6.4 Napier University 20mph limits in the Scottish Borders

Reduced speed limits were initially introduced to over 90 settlements across the Borders area in October 2020 as part of the Spaces for People programme. Run in conjunction with Transport Scotland and Sustrans, the project's aim has been to encourage more active travel including walking and cycling throughout the COVID-19 pandemic. These 20mph limits were recently approved at committee as permanent measures and will be retained in order to continue to encourage a safer environment and promote walking and cycling as the primary modes of transport within the Local Authority area.

6.4.1 Evaluation

The trial has been run with input from experts from Edinburgh Napier University, who carried out an independent evaluation from 125 survey sites over 97 settlements. They found vehicle speeds have reduced in almost all settlements, in some instances by 6mph, with an average reduction closer to 3mph. As well as valuable feedback from 8,000 members of the public the Council sought the views of community councils to the trial and have worked with Police Scotland and Transport Scotland on recommendations.

Taking into account feedback and data, 20mph will be the default limit across towns and villages. However some settlements will have 30mph or 40mph buffer zones in place where suitable. These tend to be areas with no homes near the road or long stretches where it is felt driving at 20mph is difficult to justify and particularly challenging. It should be noted that amendments were made throughout the pilot scheme taking on board public feedback, which has included trialling buffer zones in a number of locations.

Summary of Findings

Speed

- There has been significant speed reductions after the introduction of the 20mph speed limit

- There has been a shift from mean speeds from 25mph to 22mph

- Speed reductions seem to be maintained over time (8 month period)

- Where speeds were higher pre-trial, these sites have seen the biggest reductions

Public Feedback

- Polarised response with some residents keen to retain the 20mph speed limits, while others were less so. Generally, there was an acceptance that outside schools and residential areas should have a form of 20mph speed limit in place.

6.5   Midlothian Council Potential 20mph Limits & 20mph Zones

As has been shown in the previous two Chapters, road safety and speed reduction are interlinked and it is likely that both would need to be considered in tandem to successfully implement an environment such as a 20mph zone which can be relatively self-enforcing, as Police Scotland have limited resources for continual monitoring given the vast road network they need to cover.

It is however apparent that the Scottish Government and the National Transport Strategy, with supporting documents such as the Road Safety Framework, are moving in a direction which is intended to be sustainable, inclusive, safe, healthier, and fairer. In terms of our road network and hierarchy, walking and cycling are the most sustainable modes of transport, however they are often overlooked in road and junction design, with most of our settlements having historic layouts which were designed primarily to facilitate private car travel. It can often be difficult to retrofit engineering solutions and many will retain required departures from standard as it is cost prohibitive to achieve fully compliant layouts.

Traffic calming measures including 20mph limits and 20mph zones are however a cost effective measure which have demonstrable results as shown in the three University case studies in this Chapter. Speed reductions of between 1.34mph and 3mph were achieved in Scottish Local Authority areas without significant heavy engineering works.

While this report has focused upon the road safety aspects of traffic calming and speed reducing measures, clearly making an environment which is more conducive to walking and cycling and encouraging people to be more active in their daily trips will have wider reaching benefits. Roads where people are more comfortable in using them, where accidents occur less, but more importantly when accidents occur they are not serious or life threatening, can only be of benefit to local communities and continue a trend of increasing trips by walking and cycling.

6.5.1   Midlothian Settlements Accident Rates

Should Midlothian Council wish to pursue a transport strategy where 20mph limits and 20mph zones are introduced across the local authority area then it is important to understand the type of benefits which could be anticipated.

In this Chapter three University studies have been examined which all experienced similar results from close to a 1% speed reduction on some roads, up to a higher end 6% speed reduction on other roads. When considering the average obtained in each of the three studies, Edinburgh achieved a 1.34% speed reduction, Bristol achieved a 2.7% reduction, and Scottish Borders achieved a 3% reduction.

The lower 1.34% speed reduction and higher average 3% speed reduction have been taken and applied to the base results obtained in Chapter 3 to determine the overall effect on accident rates per settlement. It should be borne in mind that most of the settlements contained a mixture of roads, including a significant number of accidents occurring in the 40mph speed range. Only 30s changing to potential 20mphs in settlements have been considered, with the results shown overleaf.
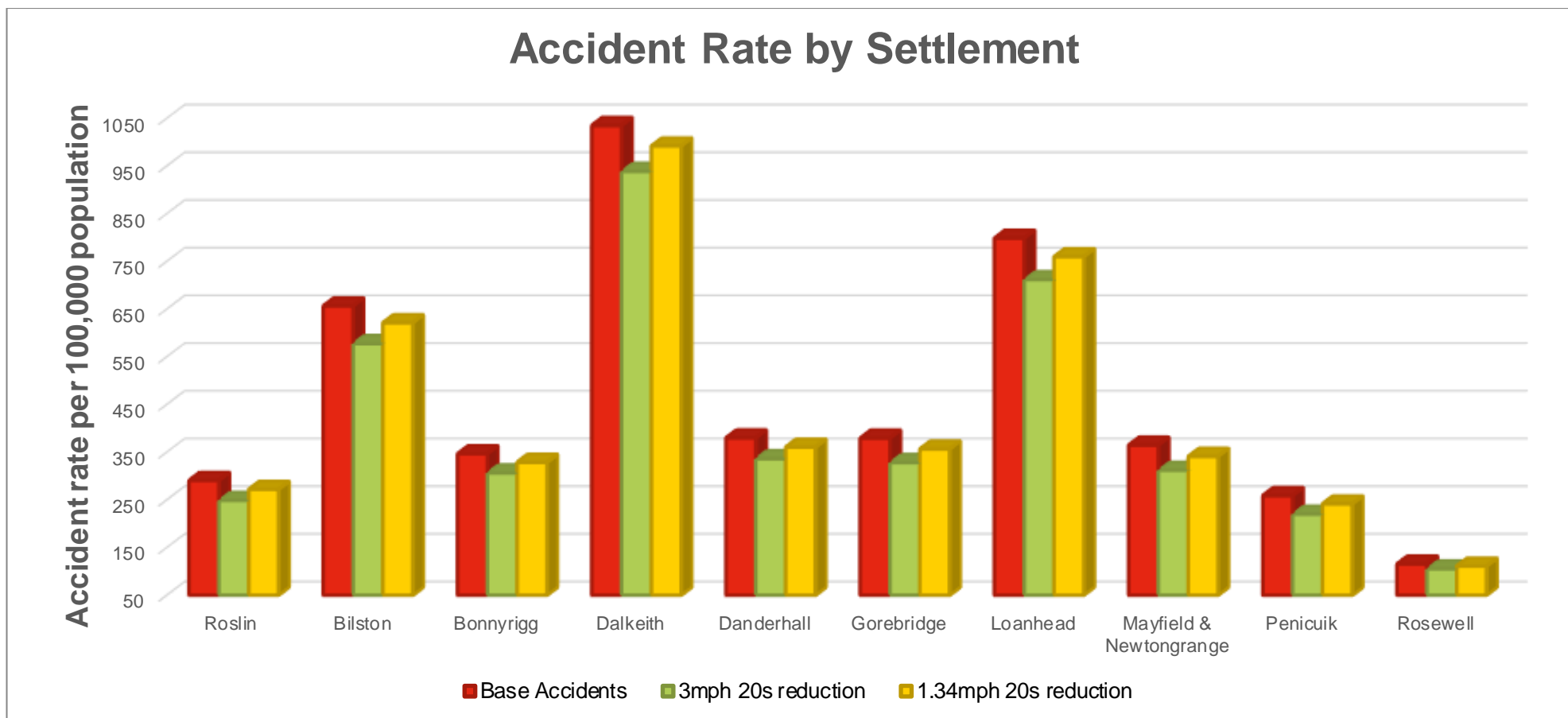
Figure 17: Accident rate by Settlement with 20mph Speed Scenarios

6.5.2   20mph Speed Reduction Summary Results

As the majority of accidents currently occur in the urban settlements with 30mph roads, a significant change in overall accident rates could be anticipated in some settlements with the introduction of 20mph limits and 20mph zones. With a predicted 1.34% and 3% speed reduction respectively, settlements could anticipate the following overall accident reduction rates:

Settlement	Collision Reduction Percentage (1.34mph speed reduction)	Collision Reduction Percentage (3mph speed reduction)
Roslin	6.4%	14.4%
Bilston	5.4%	12.0%
Bonnyrig	5.2%	11.6%
Dalkeith	4.1%	9.3%
Danderhall	5.1%	11.5%
Gorebridge	6.0%	13.5%
Loanhead	4.9%	10.9%
Mayfield & Newtonbrige	6.5%	14.5%
Penicuik	6.7%	15.1%
Rosewell	4.0%	9.0%

The above predictions are estimates based upon similar results occurring in Midlothian that have been experienced elsewhere. It would be recommended that trial areas be examined before a wider rollout as has been done in other local authority areas. This would then allow specific data to be collected on those settlements as well as a more detailed examination on any accident clusters and characteristics of various roads to ensure they are suitable and could be self-enforcing post implementation.

7. Summary and Conclusion

7.1 Introduction

The National Transport Strategy sets out the vision for Scotland over the next 20 years which is to, "have a sustainable, inclusive, safe and accessible transport system, helping deliver a healthier, fairer and more prosperous Scotland for communities, businesses and visitors". The following elements help to underpin this and are fundamental to achieving the vision:

- Reduce Inequalities
- Climate Action
- Economic Growth
- Health & Wellbeing

The supporting Road Safety Framework 2030 identifies five outcomes: Safe Road Use, Safe Roads & Roadsides, Safe Speeds, Safe Vehicles and Post-crash Response. Particularly pertinent to Local Authorities are Safe Roads/ Roadsides and Safe Speeds, as measures can be introduced to have an influence on both of these, i.e. physical traffic calming measures, and reduced speed limits/ zones to alert people to the characteristic of the road carriageway and how they should be driving appropriately. Creating a safer lower speed environment can contribute to achieving the National Transport Strategy vision and the four underpinning principles.

7.2 Safe Roads and Roadsides

Roads and roadsides can be designed to reduce the risk of collision and to mitigate the severity of injury should a collision occur. A combination of the design and maintenance supported by the implementation of a range of strategies can ensure that roads and roadsides are as safe as possible. One way in which this can be achieved is to both segregate different kinds of road users and the traffic moving in different directions or at different speeds. If this is not possible, promoting positive behaviours and safer sharing of spaces, as well as the appropriate use of speed limits and signage can be a much more affordable and sustainable way to protect the most vulnerable road users.

7.3 Safe Speeds

Speed limits contribute to avoiding collisions and reducing the speed at which impacts occur when they do happen. This in turn reduces the severity of the collision and can reduce severe and fatal accidents. Appropriate speed limits should be determined by the road characteristic, the function it serves, and the features of the road e.g. the physical speed at which vehicles can traverse bends, dips, or sections with poor road visibility. The key factors that should be taken into account in any decisions on local speed limits are:

- history of collisions
- road geometry and engineering
- road function
- composition of road users (including existing and potential levels of vulnerable road users)
- existing traffic speeds
- road environment

7.4 Midlothian Accident Statistics

The majority of Slight and Serious injuries occur in the 30mph bracket in Midlothian. The number of fatal accidents is however much higher in the 60mph bracket, demonstrating the link between higher speeds resulting in much higher chances of serious or fatal accidents. Potential contributory factors of Road Type, Weather Conditions, and Lighting Conditions have been examined and do not offer any obvious reasons for the overall accidents occurring in the local authority area. The majority of accidents occur on single carriageway roads where weather and lighting conditions were good at the time of the accidents.

7.5   Accident Reduction Measures

Traffic calming has traditionally been the main method used by local authorities to control problem areas and accident hotspots. There are many different forms of traffic calming measures although generally they can be categorised into the following three groups;

1. **Vertical Measures** – These traffic calming measures generally require a vehicle to overcome a physical object that is designed to influence the speed of the vehicle. The most common types of vertical traffic calming are speed humps, speed tables and speed cushions but there are other devices such as raised junctions and rumble strips that can also be used.

2. **Horizontal Measures** – Horizontal calming measures aim to reduce a vehicles speed by forcing a lateral movement or forcing vehicles to give way to each other. These measures can include chicanes, pinch-points and mini-roundabouts.

3. **Traffic Regulation, Signage and Enforcement** – A range of other traffic management measures can be utilised to slow traffic speeds, either by regulatory deterrents (speed limits and safety cameras) or softer psychological measures (signage, vehicle activated signs, road markings and coloured/ textured surfacing).

The range of measures which can be introduced above all have their individual benefits but they also come with associated initial capital budget costs and then ongoing maintenance costs. Often these can be prohibitive to rolling out the measures on a network wide basis, instead targeting available budgets on areas which have a demonstrable accident history record.

7.6   Speed Reduction

Scottish Government and the National Transport Strategy, with supporting documents such as the Road Safety Framework, are moving in a direction which is intended to be sustainable, inclusive, safe, healthier, and fairer. In terms of our road network and hierarchy, walking and cycling are the most sustainable modes of transport, however they are often overlooked in road and junction design, with most of our settlements having historic layouts which were designed primarily to facilitate private car travel. It can often be difficult to retrofit engineering solutions and many will retain required departures from standard as it is cost prohibitive to achieve fully compliant layouts and the ongoing maintenance burden.

20mph limits and 20mph zones are however a cost effective measure which have demonstrable results as shown in the three University case studies. Speed reductions of between 1.34mph and 3mph were achieved in Scottish Local Authority areas without significant heavy engineering works and could offer a solution to villages and towns within Midlothian.

7.7   20mph Limits and 20mph Zones

Road safety and speed reduction are interlinked and it is likely that both would need to be considered in tandem to successfully implement an environment such as a 20mph zone which can be relatively self-enforcing, as Police Scotland have limited resources for continual monitoring given the vast road network they need to cover.

While this report has focused upon the road safety aspects of traffic calming and speed reducing measures, clearly making an environment which is more conducive to walking and cycling and encouraging people to be more active in their daily trips will have wider reaching benefits. Roads where people are more comfortable in using them, where accidents occur less, but more importantly when accidents occur they are less serious and not life threatening. This can only be of benefit to local communities and continue a trend of increasing trips by more sustainable walking and cycling modes.

7.8   Midlothian Settlements Accident Rates

Should Midlothian Council wish to pursue a transport strategy where 20mph limits and 20mph zones are introduced across the local authority area then it is important to understand the type of benefits which could be anticipated.

Three University studies have been examined which all experienced similar results from close to a 1% speed reduction on some roads, up to a higher end 6% speed reduction on other roads. When considering the average obtained in each of the three studies, Edinburgh achieved a 1.34% speed reduction, Bristol achieved a 2.7% reduction, and Scottish Borders achieved a 3% reduction.

The lower 1.34% speed reduction and higher average 3% speed reduction have been taken and applied to the baseline Midlothian results obtained over the previous 5-year period to determine the overall effect on accident rates per settlement. It should be borne in mind that most of the settlements contained a mixture of roads, including a significant number of accidents occurring in the 40mph speed range. Only 30s changing to potential 20mphs in settlements have been considered.

The results vary by settlement but are potentially very positive, having a lower end 4% reduction but ranging up towards 15% in multiple Towns and Villages should higher speed reductions be achieved.

Appendix A - Accident Location Mapping

AECOM

PROJECT
ROADS HIERARCHY AND
ROAD SAFETY REVIEW

CLIENT
MIDLOTHIAN COUNCIL

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LEGEND
— A Roads
— B Road
— Other Roads
✳ Traffic Counters Site
⬠ Radar Sites

Speed Limit Zones
20
30
40
50
60
70

Accident Severity
● 1 - Fatal
● 2 - Serious
● 3 - Slight
▲ High casualties ≥ 5

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ISSUE PURPOSE
DRAFT

PROJECT NUMBER
60668229

SHEET TITLE
Roads Hierarchy Review

SHEET NUMBER
Figure 2A

Revision: Rev No.   Drawn: AM   Checked: NS   Approved: DM   Date: 25/11/2021

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Revision: Rev No.   Drawn: AM   Checked: NS   Approved: DM   Date: 25/11/2021

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LEGEND

— A Roads
— B Road
— Other Roads
✱ Traffic Counters Site
⬠ Radar Sites

Speed Limit Zones
● 20
● 30
● 40
● 50
● 60

Accident Severity
● 1 - Fatal
● 2 - Serious
● 3 - Slight
▲ High casualties ≥ 5

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PROJECT NUMBER
60668229

SHEET TITLE
Roads Hierarchy Review

SHEET NUMBER
Figure 2B

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PROJECT

ROADS HIERARCHY AND
ROAD SAFETY REVIEW

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LEGEND

— A Roads
— B Road
— Other Roads
✳ Traffic Counters Site
⬠ Radar Sites

Speed Limit Zones

- 20
- 30
- 40
- 50
- 60
- 70

Accident Severity

- 1 - Fatal
- 2 - Serious
- 3 - Slight
- ▲ High casualties ≥ 5

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PROJECT NUMBER

60668229

SHEET TITLE

Roads Hierarchy Review

SHEET NUMBER

Figure 2C

Overview Map

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km

Revision: Rev No.   Drawn: AM   Checked: NS   Approved: DM   Date: 25/11/2021

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AECOM

PROJECT

ROADS HIERARCHY AND
ROAD SAFETY REVIEW

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LEGEND

——	A Roads
——	B Road
——	Other Roads
*	Traffic Counters Site
⬠	Radar Sites

Speed Limit Zones

- 20
- 30
- 40
- 50
- 60

Accident Severity

- 2 - Serious
- 3 - Slight
- ▲ High casualties ≥ 5

NOTES

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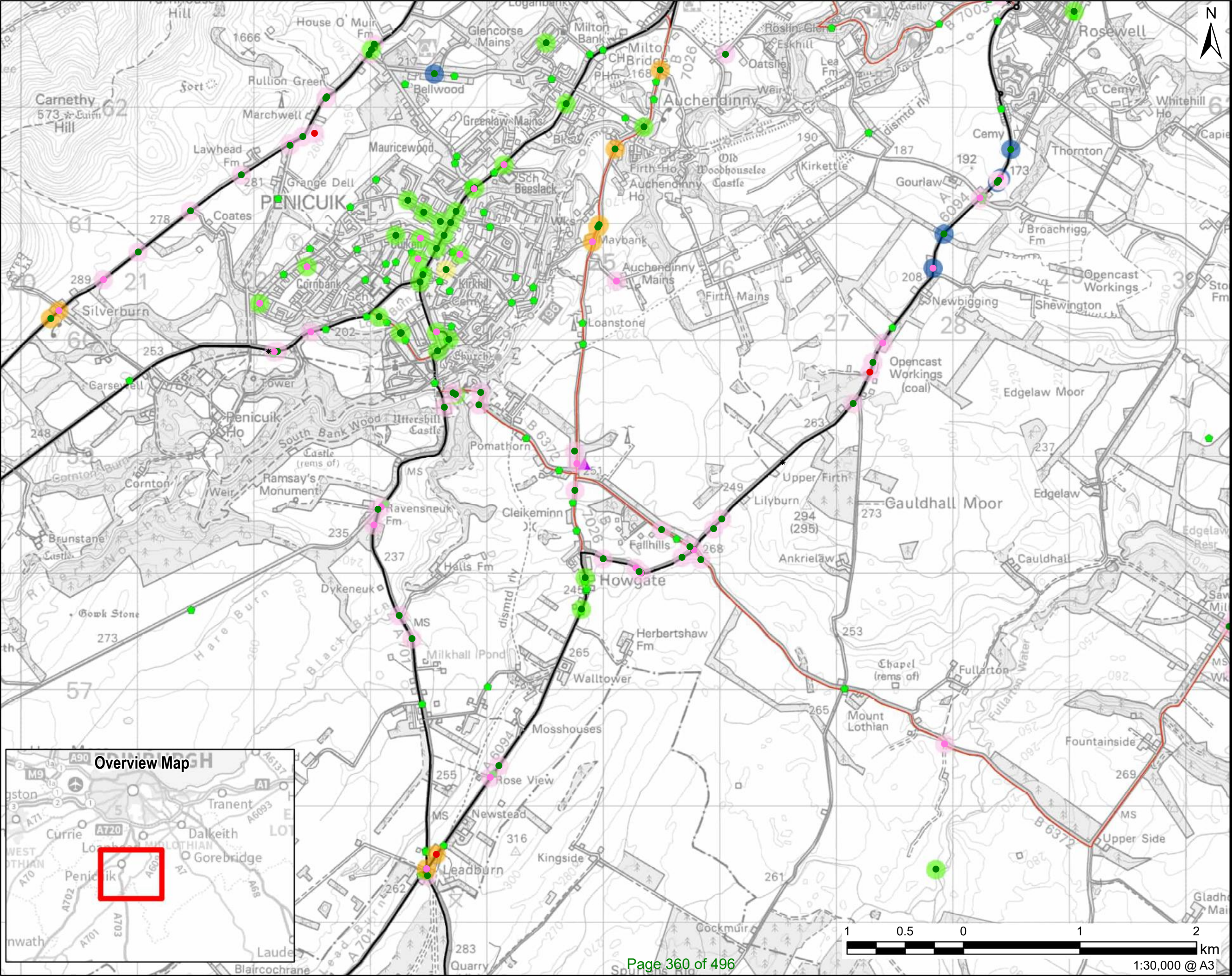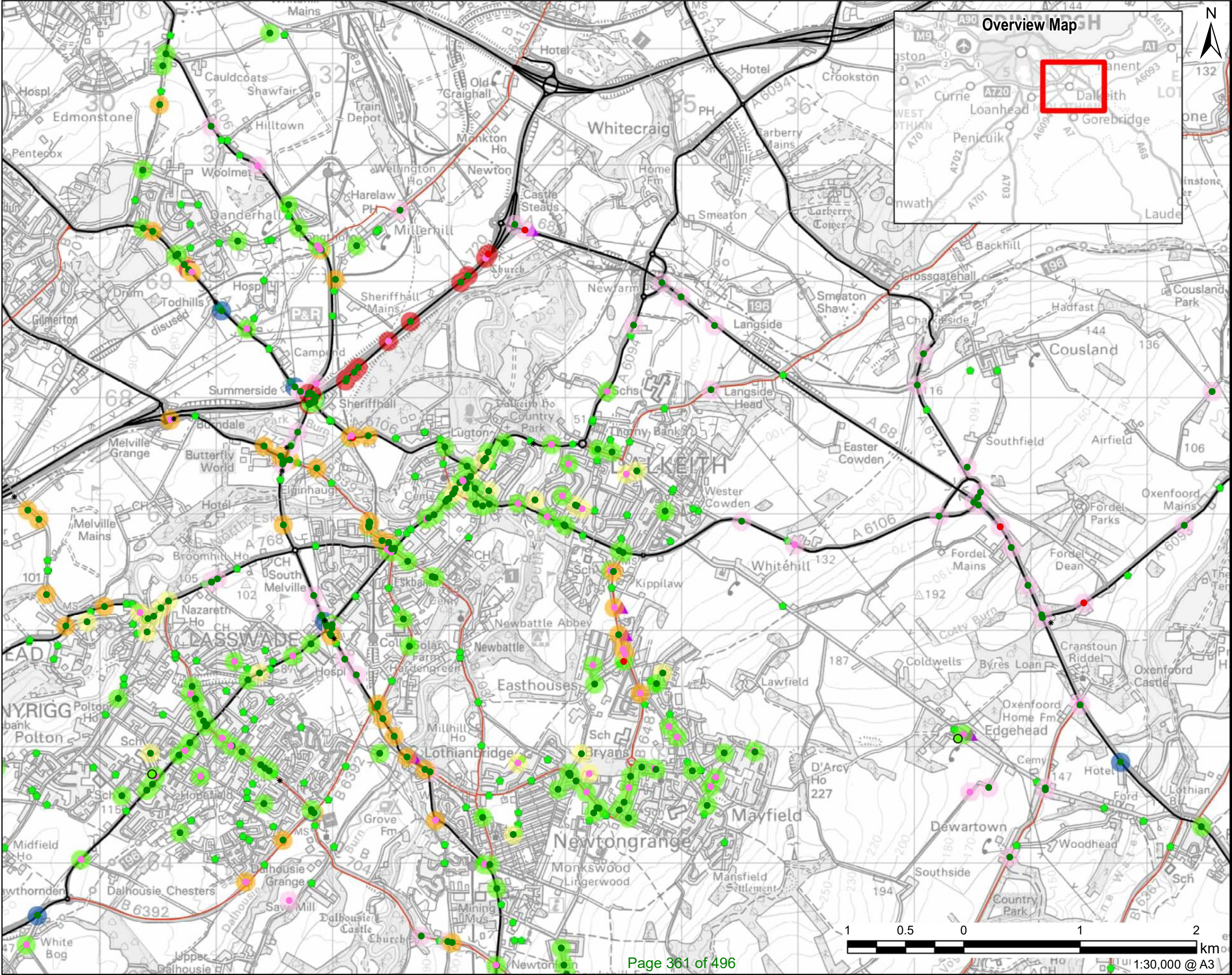All rights reserved.
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ISSUE PURPOSE

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PROJECT NUMBER

60668229

SHEET TITLE

Roads Hierarchy Review

SHEET NUMBER

Figure 2D

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Midlothian

Midlothian Council Speed Policy

March 2022

Table of Contents

1.   Purpose of the Speed Policy

1.1   Introduction

Scotland's National Transport Strategy (NTS2) published in February 2020 sets out a vision of the country's transport system for the next 20 years to address the key challenges we face. There are a number of overarching strategies and delivery plans being produced to support this at a national level, including the Road Safety Framework (2021),

To support the aims of these documents, Midlothian Council have undertaken a road safety and hierarchy review which has subsequently led to the production of this speed policy document. This will set out the Council's objectives, guidance which has been used to inform the policies, and how these will be implemented.

1.2   Background

The setting of national speed limits for different road types, and the identification of which exceptions to the general limits can be applied, is the responsibility of the UK Government. The three national speed limits for cars, motorcycles and light vans are:

- The 30mph speed limit on restricted roads (in Scotland Class A, B or C or unclassified roads with street lighting).

- The speed limit of 60mph on single carriageway roads.

- The 70mph limit on dual carriageways and motorways.

These national limits are not, however, appropriate to all roads. The responsibility for determining local speed limits lies with the Roads Authorities having regard to guidance issued by the Scottish Government together with relevant advice from the Department for Transport (DfT).

Transport Scotland is currently reviewing their approach as the most recent specific directive dates from August 2006, when the Scottish Executive published ETLLD Circular No.1/2006: Setting Local Speed Limits. This laid out recommendations on the setting of local speed limits, other than 20mph speed limits, on single or dual carriageway roads in both urban and rural areas. For 20mph speed limits, the Good Practice Guide on 20mph Speed Restrictions (June 2016 Version2) is applicable.

The setting of speed limits can be a sensitive issue for communities as residents and businesses can have conflicting views dependent upon their own experiences and how they primarily use the road space, i.e. a safe speed for drivers may differ from pedestrians or cyclists.

This document will therefore seek to provide some clarity as to what comprises an appropriate speed for various types of road and the environment in which the traverse through.

2. Policy Objectives & Legislation

2.1 Legislation and Regulations

Speed limits are covered by legislation set out in Part VI of the Road Traffic Regulation Act 1984. Local speed limits are made by Roads Authorities, by order, under section 84 of this Act. Local authorities must ensure speed limits meet the legislative process and the requirements.

In order to ensure compliance with a new limit, it is important that it is signed correctly and consistently in accordance with section 85 of the Act and must comply with The Traffic Signs Regulations and General Directions 2016 (TSRGD).

The current guidance, to which this policy makes reference, is as follows:

- Scotland's Road Safety Framework to 2030
- The Scottish Government Designing Streets: A Policy Statement for Scotland
- DfT 1/2013 - Setting Local Speed Limits
- ETLLD Circular No 1/2006 – Setting Local Speed Limits
- DfT Traffic Advisory Leaflet 1/04 – Village Speed Limits
- LTN 1/07 Traffic Calming
- Transport Scotland – Good Practice Guide on 20mph Speed Restrictions 2016
- The Traffic Signs Regulations and General Directions 2016 (TSRGD)
- DfT – Traffic Signs Manual
- LTN 1/20 Cycle Infrastructure Design
- Cycling by Design 2021

The Scottish Government is responsible for determining speed limits on the trunk road and motorway network. Midlothian Council, as Roads Authority for Midlothian, is responsible for determining local speed limits on the local road network.

2.2 Policy Objectives

The Midlothian road network needs to support a local transport system that is safe for all road users and improves the quality of life in our communities with the potential to encourage social and economic activity.

Effective vehicle speed management involves many components designed to encourage, help and require drivers to adopt appropriate and safe speeds. Speed limits are a key source of information and play a fundamental role in indicating the nature of, and risks posed by, a road to both motorised and non-motorised road users.

The Scottish Government's Designing Streets policy emphasises that building in active travel options can enhance the character of a place, improve public health and social interaction and help to tackle climate change from reduced carbon emissions. It stresses that roads are often part of a community, as well as being thoroughfares, and considerations of both 'place' and 'movement' are important in determining appropriate speed limits.

Cycling by Design indicates that where Streets have a mix use of traffic modes, limiting the speed differential between motor traffic and cycle users is key to safety and comfort of users and appreciation of cycle users space. Cycle users will normally travel between 10 and 15 mph and therefore maintaining traffic speeds at or below 20mph through design is an important aspect for mixed corridors.

Various guidelines all reach a consensus that speed limits should be self-enforcing to encourage compliance and not be seen by drivers as being a target speed at which to drive in all circumstances. This will be an aim of Midlothian Council taking cognisance of the limitations of the existing network and the level of retrofitting required to reach modern standards.

Scotland's Road Safety Framework to 2030 states that Speed limits in a Safe System are based on aiding crash-avoidance and reducing the speed at which impacts occur. This ensures the body's limit for physical trauma is not reached or exceeded. The Safe System aims to establish appropriate speed limits according to the feature of the road, the function it serves, and the physical tolerance of those who use it.

The key factors that should be taken into account in any decisions on local speed limits are:

- history of collisions
- road geometry and engineering
- road function
- composition of road users (including existing and potential levels of vulnerable road users)
- existing traffic speeds
- road environment

2.3   Underlying Principles

The underlying principles of Midlothian Council's speed limit policy are as follows:

- Determining the function of the road and it's characteristics in terms of movement and place when examining and considering the speed limit.

- The needs of all road users to be fully taken into account when considering the implications of speed limits.

- Alternative speed management options to be considered before a new speed limit is introduced, i.e. traffic calming (See Chapter 6).

- Mean (average) speeds will be referenced when determining local speed limits.

- The minimum length of a speed limit will generally not be less than 600m to avoid too many changes of speed limit along the route.

- Striking the right balance between the needs of communities and the needs of drivers passing through, particularly on those roads which perform a strategic function.

- New speed limits should not be introduced on roads where there is no realistic expectation that drivers will comply with the reduced speed limit.

- Midlothian Council will consult Police Scotland to work in partnership when considering and determining any changes to speed limits.

Circular 1/2006 states quite clearly that "Speed limits should not be used to attempt to solve the problem of isolated hazards, such as a single road junction or reduced visibility such as a bend".

A National Speed Management Review is being undertaken by Transport Scotland. It will look at what appropriate speeds mean in a Scottish context and recommend changes to national speed limits accordingly. Policy Drivers include better road safety and health outcomes as well as active travel, climate change, place making and economic growth.

The policies within this document will be monitored and adapted to suit the needs of Midlothian where national criteria may dictate it necessary.

3. Enforcement and Deterrence

3.1 Introduction

Police Scotland is responsible for the enforcement of speed limits on roads in the Council area. Enforcement can be carried out at specific locations by Police officers using hand-held equipment, or along routes using in-vehicle detection equipment.

Enforcement and Deterrence is an essential part of providing a safe road network. Drivers are more willing to comply with speed limits where they feel they are otherwise likely to be caught and punished.

To be effective, police controls will require a combination of visible and less visible activities. They will need to be unpredictable and difficult to avoid so that drivers continue to feel that all roads and areas can be monitored.

3.2 Police Scotland Enforcement

Prior to any new or altered speed limits being introduced, Police Scotland will be formally consulted to gather their views on the appropriateness of the measures, and adapt the proposals where necessary.

It is recognised that Police Scotland's resources are limited, and therefore dialogue will be undertaken at suitable intervals to discuss problem areas. This could be reports from members of the public or Midlothian Council officers ongoing monitoring of the local road network.

Despite the various measures that can be put in place, it is expected that there will remain a type of driver that will continue to disregard speed limits suggested by the surrounding environment or imposed through regulation. It is expected that Police Scotland will target this group of drivers as part of their enforcement effort.

Any changes to limits will be monitored, and where compliance levels are not at an acceptable level, consideration will be given to the addition of further measures.

4. Speed Limits on our Roads

4.1 Introduction

Unless otherwise signed, the national speed limit in areas with street-lighting is 30mph, and on single carriageways is 60mph for all cars, motorcycles and light vans.

4.2 20mph limits in towns

20mph streets within towns are mostly residential, or see high pedestrian and cyclist movements. They tend to be areas where motor vehicle movement is not deemed the primary function.

20mph areas should have the following characteristics:

- a clearly defined core, such as a central shopping area or community facility;
- several facilities generating active travel movements;
- notable development depth;
- almost continuous frontage;
- numerous junctions; and,
- significant pedestrian activity throughout the day.

4.3 30mph limits in towns

Typically, 30mph roads in towns demonstrate similar characteristics to 20mph roads and can be considered where motor vehicle movement is given a higher priority than the place function of the street.

4.4 40mph in towns

Roads within towns that are suitable for a speed limit of 40mph are generally on the outskirts of urban areas where there is little frontage development.

Where such roads pass through predominantly residential areas and there is significant vulnerable road user activity, then a lower speed limit should be considered.

The 40mph limits may be used as intermediate speed limits ('buffers') to prepare drivers on approach to a built-up area where a lower speed limit will apply.

4.5 20mph in villages or smaller settlements

A road will be considered for a 20mph speed limit if, in addition to the criteria for a 30mph limit above:

- there are more than 20 houses directly fronting the road (on one or both sides); and
- there is street lighting no more than 38m apart; and
- there is a continuous footway along at least one side.

4.6 30mph in villages or smaller settlements

A road will be considered for a 30mph speed limit if, in addition to the criteria for a 40mph limit above:

- there are more than 15 houses directly fronting the road (on one or both sides).

4.7 40mph in villages or smaller settlements

A road will be considered for a 40mph speed limit if:

- there are more than 10 houses directly fronting the road (on one or both sides); and
- there is a minimum density of 3 houses every 100m; and
- there is a community facility such as a school, shop or village hall within the settlement.

Roads with high approach speeds must have a 40mph 'buffer' or other visual marker to alert drivers to the upcoming settlement.

A minimum length of 600m is recommended so as to avoid too many changes of speed limit along a given road and because many drivers are unlikely to reduce their speed if it is over a very short distance, particularly if the end of the limit can be seen from the entry point. However, shorter lengths will be considered if they are 'buffered' by higher limits on all approaches, giving a total restricted length of 600m.

4.8   Rural Roads

The national speed limit on the rural road network is 60mph on single carriageway roads and 70mph on dual carriageways.

Where the primary function of a road is for motor vehicle travel between settlements, any accident history will be taken into account when setting speed limits.

In accordance with the guidelines, remedial measures and alternative speed management options will always be considered in detail before the introduction of a lower speed limit.

4.9   Quiet Roads

Quiet Roads are increasingly being implemented on rural roads across Scotland where there are high levels of use by pedestrians, cyclists or equestrians, and certain criteria are met. The presence of vulnerable road users in the carriageway is then highlighted to drivers through the use of signage to promote a shared environment. Where appropriate, Midlothian Council will consider the introduction of Quiet Roads across its network to develop safer movements for vulnerable road users.

Based on good practice from around the country, Midlothian Council have adopted the following characteristics for suitable Quiet Roads:

- Daily traffic volumes of less than 800 vehicles per day (two-way);

- Carriageway is no greater than 5.5 metres wide;

- Routes already used by pedestrians, cyclists and equestrians;

- Provide a link to existing infrastructure; and

- Has the support of the community, emergency services and elected members.

5. Midlothian Council Speed Management

5.1 Strategy

It is necessary to set appropriate and effective speed limits, which support the underlying principles, and achieve a reasonable level of driver compliance within those limits.

Where there is strong community support to lower the speed limit, this request will be considered in line with the procedure outlined below.

If, at any time, measures are deemed necessary to improve the effectiveness of a speed limit, consideration will be given to using additional speed management measures appropriate to each individual location.

5.2 Signing

The design of speed limits signs in Midlothian will be in accordance with the Traffic Signs Regulations and General Directions (2016) and the Traffic Signs Manual. Where possible, speed limit signs and town/village nameplates will be brought together at a single location, and accompanied by an appropriate carriageway roundel, forming a 'gateway' feature.

5.3 Requests for speed limit changes

Reviews of existing speed limits across the network shall generally be undertaken every few years, or where circumstances have changed.

It is essential that any changes to speed limits should have widespread community support and, as such, should there be any concerns between routine review periods, these should be highlighted through the Community Council, Area Partnership or Local Councillor/s of the area.

- To find your Community Council visit: https://www.midlothian.gov.uk/info/200284/your_community/534/community_councils

- To find your Area Partnership visit: https://www.midlothian.gov.uk/info/200284/your_community/214/community_planning_in_midlothian

- To find your local Councillor visit: https://midlothian.cmis.uk.com/live/Councillors.aspx

Upon receipt of a request, the following process shall be followed and reviewed at each stage. Should Council officers determine at any stage that it is not feasible to progress to the subsequent stage, the request would revert back to the originator with the reasons for the process ending given.

Initial Communication & Request

Assess Initial Request

Collect and Analyse Data

Consider Need for supporting/ additional traffic calming measures

Consult with Police Scotland

Draft Traffic Order

Assess Objections

Monitor Scheme pre and post Implimentation

Evaluation

Revert to Existing Speed Limit

New Speed Limit to be Implemented

New Speed Limit & Additional Measures

6.   Traffic Calming

6.1   Introduction

There will be locations where drivers' speeds are too high for the prevailing local environment and further intervention is required to achieve good compliance with the existing or a lower speed limit.

Other speed management measures include raising awareness (education), enforcement and engineering.

The table which follows, highlighting the performance of the various measures, has been produced utilising principles laid out in the Department for Transport (DfT) "Local Transport Note 1/07: Traffic Calming":

Definitions:

- Traffic Regulation Order (TRO) is a legal tool that allows permanent changes to restrict, regulate or prohibit use of a road. A TRO is also required to change speed limits.

- A Redetermination Order (RSO) legally alters or amends the way in which roads, footways and cycleways are used.

The measures shown in the table below would be considered by officers prior to processing a TRO speed limit change.

6.2   Traffic Calming Options

Intervention	Example	Cost	Impact on traffic speeds[1] +++ is largest reduction	Impact on traffic flows[1] +++ is largest reduction	Impact on injury accidents[1] +++ is largest reduction	Delays to emergency services[1] +++ is shortest delays	Requirements	Pros	Cons
Promotion	Poster Example	varies	Not reported	Not reported	Not reported	Not reported	• Evidence that existing speed limit is not being adhered to	• Changes in driver behaviour may reach further than a single community • Can be community-led	
Enforcement	Source: leeds.gov.uk	varies	Not reported	Not reported	Not reported	Not reported	• Police will prioritise areas where there is a unique road safety issue	• Changes in driver behaviour may reach further than a single community	• Reliant on Police resources
Signage	Source: Google Maps	£150-500 per sign depending on whether a new pole is required	+	+	+	+++	• Available mounting height • Available forward visibility	• Can be retrofitted to existing street furniture	• Can be visually unattractive in rural areas • Their use alone can have minimal impact on reducing speeds • Can contribute to sign clutter

[1] Parameters based on scoring from Department for Transport "Local Transport Note 1/07: Traffic Calming"

Intervention	Example	Cost	Impact on traffic speeds[1] +++ is largest reduction	Impact on traffic flows[1] +++ is largest reduction	Impact on injury accidents[1] +++ is largest reduction	Delays to emergency services[1] +++ is shortest delays	Requirements	Pros	Cons
Lining/road markings	SLOW Source: Google Maps	£100–2,000 Depending on type of marking and length of road	+	+	+	+++	• Road surface needs to be suitably adequate for road markings to be laid	• Can create advanced warnings to approaching hazards	• Require regular maintenance • Difficult to see in adverse weather
Intermediate speed limits / 'buffers'	Source: Google Maps	£300–600	+	+	+	+++	• TRO and subsequent consultation • Adequate length to create intermediate limit	• Creates advanced warning of approach to lower speed limit	• Limited situations where they can be used
Rumble strips/ countdown markers	Source: Google Maps,	£1,000– £3,000	+	+	++	+++	• Should be located away from dwellings to avoid noise disturbance • Consultation	• Can be used as a low-cost warning to alert drivers of changing environment	• Creates noise/vibration • Uncomfortable for cyclists and motorcyclists • Can become slippery when wet
Gateway: an entry treatment which highlights the change in speed limit to drivers	Source: Google Maps	£4,000 – 10,000	++	+	++	+++	• Available width in verge/footway • Suitable carriageway width to enable narrowing (where part of design)	• Change in speed limit is made more obvious to drivers • Can be combined with build-out to narrow carriageway	• May have limited impact where reduced impact when comprising solely signing and lining

Intervention	Example	Cost	Impact on traffic speeds[1] +++ is largest reduction	Impact on traffic flows[1] +++ is largest reduction	Impact on injury accidents[1] +++ is largest reduction	Delays to emergency services[1] +++ is shortest delays	Requirements	Pros	Cons
Vehicle Activated Signs	Source: Google Maps	£2,000 - £10,000	++	+	++	+++	• Access to power or in location where sign can be powered by solar energy	• Non-illuminated until activated, creating less visual impact	• These signs become less effective with familiarity so should be moved around to maximise impact
Road narrowing (build-outs)	Source: Google Maps	£2,500 - £12,000	+ to +++	+ to ++	+ to ++	+++	• RSA • Consultation • Street lighting • Carriageway space must be available to accommodate build out	• Can incorporate active travel crossings • Can span around junctions • Opportunity for cycle bypass • Emergency vehicles likely to be unaffected	• Where a cycle bypass isn't used, cyclists may feel unsafe
Footway widening / introduction of cycle infrastructure	Source: Google Maps	Dependent on length	+ to +++	+ to +++	+ to ++	+++	• RSA required for some measures • Consultation • Street lighting • Must be adequate room to widen footway/reduce carriageway width	• Can incorporate active travel crossings • Emergency vehicle speeds likely to remain unaffected • If allowances made for cyclists, can negate need for cyclists on carriageway	• Could reduce resilience of street, where width is reduced over a longer distance • May remove opportunities for informal parking

Intervention	Example	Cost	Impact on traffic speeds[1] +++ is largest reduction	Impact on traffic flows[1] +++ is largest reduction	Impact on injury accidents[1] +++ is largest reduction	Delays to emergency services[1] +++ is shortest delays	Requirements	Pros	Cons
Speed cushions	Source: Google Maps	£1,000 - £2,000 (per set)	++	+++	+++	++	• Consultation • Street lighting	• Buses likely to remain unaffected	• Design dependent, vehicles may be able to straddle the cushion to lessen impact
Road hump	Source: Google Maps	£1,000 - £3,000 (per hump)	++	+++	+++	++	• Consultation • Street lighting		• Less preferred for bus routes • Cyclists are affected • Can be obstructive to emergency service vehicles • Creates noise/vibration
Raised Table	Source: Google Maps	£6,000 – £20,000 (will vary depending on size)	+++	+++	+++	++	• Consultation • Street lighting	• Can incorporate active travel crossings • Can span across junctions • Makes road easier to cross for users with mobility impairments	• Drainage interventions may be required • Where used on bus routes or in shared spaces, they have to be designed accordingly • Cyclists are affected • Can be obstructive to emergency service vehicles • Creates noise/vibration

Intervention	Example	Cost	Impact on traffic speeds[1] +++ is largest reduction	Impact on traffic flows[1] +++ is largest reduction	Impact on injury accidents[1] +++ is largest reduction	Delays to emergency services[1] +++ is shortest delays	Requirements	Pros	Cons
'Give and go' chicane	Source: Google Maps	£5,000 - £12,000	+++	++	++	++	• RSO and subsequent consultation • Street lighting	• Opportunity for cycle bypass to allow cyclist continuity • Emergency vehicle speeds likely to remain unaffected	• Speeds can remain the same if there is no oncoming traffic • Vehicles may not slow down and may even increase speed to avoid having to give way
Pedestrian Refuge	Source: Google Maps	£5,000 - 10,000	+	+	+	+++	• RSO and subsequent consultation • Street lighting	• Can make it easier for pedestrians to cross the road, as they can cross one side at a time	• Priority to motor vehicles • Can make cyclists more vulnerable • Carriageway space must be available to accommodate island

Local Authority Covid Emergency Recovery Funds

Report by J Tranent, CSWO & Chief Officer Children's Services, Partnerships and Communities and D Oliver, Chief Officer Place

Report for Decision

1   Recommendations

Council are recommended to:

- Agree the division of LACER funds between the two Scottish Government recommended areas for support, Low Income Households 71% **£961,219** and Business Support 29% **£398,781**.
- To adopt the project proposals for the LACER funds which will support live well locally partnership models, support households on low income and stimulate economic activity in Midlothian.
- To agree to continue to fund the Trusted Partner model of distributing funds to those most in need at a local level. This has a primary focus on supporting local people to access food, as well as heating their homes, as part of mitigation towards the cost of living crisis.

2   Purpose of Report/Executive Summary

The purpose of this report is to outline the LACER Funds available, the criteria for the funds and associated actions to mitigate consequences of Covid19 and the Cost of Living Crisis.

Date: 6th June 2022
Report Contact: Annette Lang, Group Service Manager (CPP & CLLE) or Annie Watt Acting Economic Development Manager
Email: annette.lang@midlothian.gov.uk or annie.watt@midlothian.gov.uk

3   Background

3.1   Scottish Government announced late in 2021/22 an £80m Local Authority COVID Economic Recovery Fund ('fund') to be provided to Councils in 2021/22 with COSLA Leaders susequelty agreeing the basis for distribution between Council's. This funding is flexible and ultimately is designed to empower local authorities to utilise funding where they consider this necessary or justified based on local circumstances. **Midlothian's allocation is £1.360 million** and was carried forward at the financial year end as part of the earmarked reserves.

The guiding policy intent of this funding is to support local economic recovery and cost of living impacts on low-income households. It is acknowledged that Local Authorities are best placed to understand the needs of businesses and communities locally and therefore will need flexibility to design and deliver interventions that best meet that local need. Joint guiding principles to support flexible usage are set out below.

3.2   Joint Guiding Principles
This fund is provided to Local Authorities via General Revenue Grant, so that it can be used for appropriate interventions in Covid economic recovery based on individual local needs at Local Authority discretion. As such, Council's will retain flexibility on how and when they use these funds.

However, below are set out the draft high-level principles that could ***guide*** the usage of this fund by Local Authorities.

Overarching guiding principles:

- Interventions made under this fund should be based on a clear economic recovery and/or low-income household support rationale.
- A collaborative approach towards sharing of best practice and learnings from different interventions should be adopted to maximise benefits and positive effects while minimising risk and unintended consequences.
- Principles of spend (Local Authorities may wish to allocate funding based on one or more of the following):

  ➢ Support to low-income households that are disproportionately impacted by the pandemic and the current cost of living crisis, become more economically active.
  ➢ Interventions that support local economic recovery and contribute to businesses being able to move from surviving the period of trading restrictions towards recovery, growth, adaptation and building resilience.
  ➢ Projects that can rebuild consumer confidence and stimulate demand and economic activity in their specific contexts.

The principles of spend outlined above are to be used as a guide, with Local Authorities ultimately able to utilise this funding flexibly, as required. Local Authorities are able to decide on multiple interventions at different points as locally appropriate.

4. **Next Steps**

Over the last two years a number of funds and projects have been coordinated by the Council to support low income households and business support. These have included:

Low Income Households:

- Direct Payments
- Top ups to existing means tested payments
- An increase to the welfare fund
- Central distribution of food vouchers
- Trusted Model distribution of financial support to those on low income and suffering from food and fuel poverty from the winter flexible fund.

Business Support:

- Covid response funds targeting specific business types: Taxi operator and driver funds, Nightclub, Brewers, Hospitality, Leisure and Retail (2021/22), Soft Play and B&B's (2021 only).
- Newly Self Employed Hardship Funds (2020 lockdown funds).
- Discretionary Fund (Midlothian Allocation £1,561,947).
- Business Start up Fund £76k – ongoing.

The trusted partner's model to support low income families has been particularly successful. Local organisations applied to become a trusted partner, 10 were selected including development trusts, housing association, and CABx and grass root organisations. £124,000 was allocated to the 10 organisations.

From January to March 2022, excluding Penicuik and Dalkeith CAB, the remaining 8 organisations have distributed £91,494 providing 741 instances of support to Midlothian residents. 77% of the funding supported residents with food and fuel costs, including dealing with fuel poverty. Other costs included white goods, petrol, outdoor clothing for school camp, a bed, bedding, warm clothing, job related expenses and phone bills.

All residents receiving support have reported a relief of stress and anxiety and improved mental health and wellbeing.

We have received a number of positive statements from partners and recipients of the funding however two are highlighted below which are reflective of the overall comments.

Feedback from a trusted partner "99% of the money distributed was going to pay for increasing gas/electricity costs. One person said they were needing it to buy food, but everyone else for was energy costs. Even paying to charge electric devices in our home is becoming problematic financially."

Feedback from a local person receiving support "I currently pay £160 for my electricity bill per month but this is due to go up next month, all 5 of us need new winter coats and clothing. Thank you very much for this".

Low Income Households £961,219:

After analysis of the criteria of the funding, the needs of local communities, feedback from trusted partners and the clear intention of supporting people with solutions as close to the point of the issue/problem arising within their community the following project proposals are recommended. There needs to be a clear focus on supporting those on local income to be able to eat and heat their homes. The Live Well Locally approach has the potential to increase local access to services and support people in their communities whilst building relationships and trust, thereby supporting a more inclusive and accessible support model for those service areas supported by the Living Well Locally model, which in turn will help to lever in preventative support.

The Live Well Locally partnership model would retain the existing 10 trusted partners with the options for a small number of trusted partners to be included for example a YES fund for MC Housing Officers. Also for other providers if gaps in access are identified. To set up a robust partnership model a LACER development worker would be employed to develop the Live Well Locally Approach. This would require to be done in a sensitive, flexible way with partners.

The aim of the Live Well Local Partnership Approach would be to:

- Firstly help local people access food and heat their homes.
- Support poverty prevention work.
- Increase access to income maximisation support.
- Support local people to manage their debt.
- Link with partners to provide direct financial support to low income families.
- Provide local people with a council key worker to support them to access council services in localities.
- Increase information on council services for example housing.
- Provide practical support to secure alternative emergency support, for example, direct access in localities to support the completion of welfare fund applications.
- Secure support for employability and career advice in localities.
- Increase cross council and partnership working in local communities.

As this project would be a pathfinder we would wish support from an external provider to evaluate and track the impact and possible expansion of the model. The external partners would look to evidence and evaluate the following outcomes:

- Impact of having access to alternative emergency funds at the same time as having access to a food pantry membership.

- Impact of having locality support from the council through key workers to access council services
- Impact on locality partnership working and what is essential for success including practical elements.

The following staffing and funding has been provisionally identified to support the Live Well Locally Approach – Budget estimations further work is required to refine the budget:

- £54,219 - Grade 8 Live Well Locally LACER– Development Worker
- £500,000 - Trusted Partner Delivery Model to Tackle Financial Insecurity £104,500 - (3 months x4) £418,000 for full year. Inclusion of Council Housing Officers as trusted partner.
- £50,000 - management costs and hosting costs for Live Well Locally Approaches
- £122,000 2 Income maximisation and 2 key worker from the Live well Locally Approach x 4   £30,500
- £100,000 back fill council staff including housing officer, contact centre staff, employability staff and other staff as identified as the project progresses.
- £25,000 for external provider for evaluation and impact tracking (estimated cost).
- £50,000 Equipment (digital), materials, additional security and contingency (this requires further work to estimate costs dependent on model and security arrangements)
- £60,000 Development Fund/Barrier Free Funding

    Total £962,219 (a further review of the budget predictions is required).

Business Support £398,781:

Over the last two quarters' we have been working with businesses to increase local economic activity through developing a collaborative culture and we plan to step this up for 2022/23. The LACER funds proposal for business support is aimed at further supporting this collaborative approach by creating sectoral groups and cross sector collaborations to increase local B2B spend, developing a more localised supply chain and encourage peer learning and community support to strengthen Midlothian's local economy.

Social Enterprise Start and Grow fund £80k

£1500 - £4k staggered payments based on potential evidenced by business plan and projections.

Applications sources:
- o Community based social enterprise sessions
- o Clients approaching BG for business support unaware of the social enterprise model
- o Community Planning Partners, to promote awareness sessions with specific groups, for example over 50's & young people.

Outcomes:
- o Community capacity building / ownership
- o Jobs/placements/volunteering opportunities
- o Improved local services mindful of Net Zero & 20 Min Neighbourhoods

Example - The Wonderland Book Festival at Vogrie in July, influenced by Council Officers, set up May 2021 and now employing 15 staff.

Business Associations £15k:

Low value grant (£1500- governance, website and marketing) to help businesses come together, collaborate and make things happen, geographic and thematic groupings, opportunity to link to localising the supply chain, realise cost efficiencies and develop shared marketing. Business Associations will be able to access funds to develop initiatives in their locality, an example could be Place Based Investment Programme for a retail shop front improvement scheme.

Member of staff £25k:

Part time Officer (20hrs p/w) to develop and coordinate the trader associations and events working with the BG team.

Tourism Support £10k:

Financial support for Midlothian Tourism Forum, grant would cover cost of a part time worker and a website. The forum currently has space allocated on the Locate in Midlothian website with the ED Digital Officer managing this on their behalf; approval of this fund would relinquish Council resource and give them control over content and marketing. MTF has 55 members and they are recruiting for new board members; with a voluntary board, it is essential that they have paid resource to drive forward campaigns and membership. We supported MTF with £5.5k in 2021 to cover the part time post as they were not charging membership, fees will come into force within the next couple of months which means that Midlothian Council should not have to fund staffing again in the future.

Green Transition Fund £268,781:

Similar to the 3rd phase of the Discretionary Fund, this will be for businesses that have signed up to the Midlothian Pledge and have a Green project that requires financial support. Businesses will need to contribute 30% of the total project cost.

Total £398,781

5. Report Implications (Resource, Digital and Risk)

5.1 Resource

The LACER funds total £1,360 million, the proposals recommends **£961,219** to support low income households and **£398,781** for business support. LACER funds have only been allocated for 22/23. Therefore the impact of the projects would require to be evaluated in order to leaver funds on a "spend to safe" basis for future years where appropriate.

5.2 Digital

Further work would be required by the Development Officer to explore digital requirements and solutions for the Live Well Local Approaches.

5.3   Risk

Failure to deliver the project in a year is the highest risk alongside failure to secure the correct staffing and establish agreement with local partnership providers.

5.4   Ensuring Equalities (if required a separate IIA must be completed)

If in principle the proposed projects are approved an IIA will be developed.

APPENDIX A –   Report Implications

A.1   Key Priorities within the Single Midlothian Plan

The projects proposed span a number of the thematic priorities within the Single Midlothian Plan but it directly applies to the overarching vision to reduce poverty.

A.2   Key Drivers for Change

Key drivers addressed in this report:

☒ Holistic Working
☒ Hub and Spoke
☒ Modern
☒ Sustainable
☒ Transformational
☒ Preventative
☒ Asset-based
☒ Continuous Improvement
☒ One size fits one
☐ None of the above

A.3   Key Delivery Streams

Key delivery streams addressed in this report:

☒ One Council Working with you, for you
☒ Preventative and Sustainable
☒ Efficient and Modern
☒ Innovative and Ambitious
☐ None of the above

A.4   Delivering Best Value

A.5   Involving Communities and Other Stakeholders

The trusted partners have directly provided feedback on their data returns and reflected to Scottish Government on the experience of being a trusted partner and the successes and areas for improvement.

A.6   Impact on Performance and Outcomes

As outlined in the next steps section of this report an external provider will be secured to evaluate the impact of the projects in order to ascertain impact on performance in the following areas:

- Impact of having access to alternative emergency funds at the same time as having access to a food pantry membership.
- Impact of having locality support from the council through key workers to access council services which could result in a reduction to call to the contact centre and housing for example.
- Impact on locality partnership working and what is essential for success including practical elements.

A.7 Adopting a Preventative Approach

Midlothian Council is committed to adopting a 'Preventive approach'. Preventive work takes place at a variety of levels including universal and targeted. The projects outlined create a partnership approach to putting in place practical supports to assist with poverty prevention or escalation of an individual or family or businesses situation.

A.8 Supporting Sustainable Development

Locality working in our communities with existing and new partners can assist sustainable development on a number of fronts including working from shared premises, reduce travel for service users and other benefits still to be realised through the projects set out in this report.

Levelling Up Fund 2 and Shared Prosperity Fund

Report by Kevin Anderson, Executive Director - Place

Report for Decision

1   Recommendations

Council is recommended to

1. Agree applications for proposed projects as detailed within the report as the council's bids into the respective funds;

2. Delegates the Executive Director – Place to complete and submit applications by the respective deadlines and;

3. Delegates the Executive Director – Place to consider any external applications following the external applications process and ensure applicants are informed of the outcome.

2   Purpose of Report/Executive Summary

The purpose of this report is to seek Council's agreement for projects to be progressed as applications to the UK Government's Levelling Up Fund 2 and the Shared Prosperity Fund. The application deadline for the Levelling Up Fund 2 is on the 6ᵗʰ of July 2022. The application for the Shared Prosperity Fund is on 1st August, 2022 and a final outcome response from UKG for each of these funds is expected by Autumn 2022.

15ᵗʰ June 2022
Report Contact:
Kevin Anderson, Executive Director - Place

kevin.anderson@midlothian.gov.uk

3   Background/Main Body of Report

The first round of the UK Government's (UKG) Levelling Up Fund was announced at the 2020 Spending Review with a focus on capital investment in local infrastructure, building on and consolidating prior programmes such as the Local Growth Fund and the Towns Fund. The first round of the Levelling Up Fund supported £1.7 billion of projects in over 100 local areas across all corners of the UK, delivering over £170 million of funding in Scotland.

Levelling up is described as being at the heart of the UK Government's agenda to build back better after the pandemic and to deliver for citizens in every part of the UK. Levelling up requires a multi-faceted approach and the fund is delivered as part of a broad package of complementary UK-wide interventions including: The UK Community Renewal Fund, The UK Community Ownership Fund, the Plan for Jobs, the Freeports programme, the UK Infrastructure Bank, the Towns Fund, and the UK Shared Prosperity Fund (UKSPF).

The wider context for these projects are at a regional level. The Edinburgh and South East Scotland City Region Deal (ESESCRD) has adopted a Regional Prosperity Framework, setting out the 9 Big Moves this regional collective will be working to deliver. ESESCRD regional partners have collaborated successfully on the Edinburgh and South East Scotland City Region Deal as a mechanism for delivering transformational change and accelerating economic and inclusive growth in the City Region. Regional partners, working with UK and Scottish Governments, have developed a Regional Prosperity Framework which identifies key priorities where investment would make the best contribution to drive the region forward in a sustainable and inclusive manner.

Figure 1: Regional Prosperity Framework Big Moves
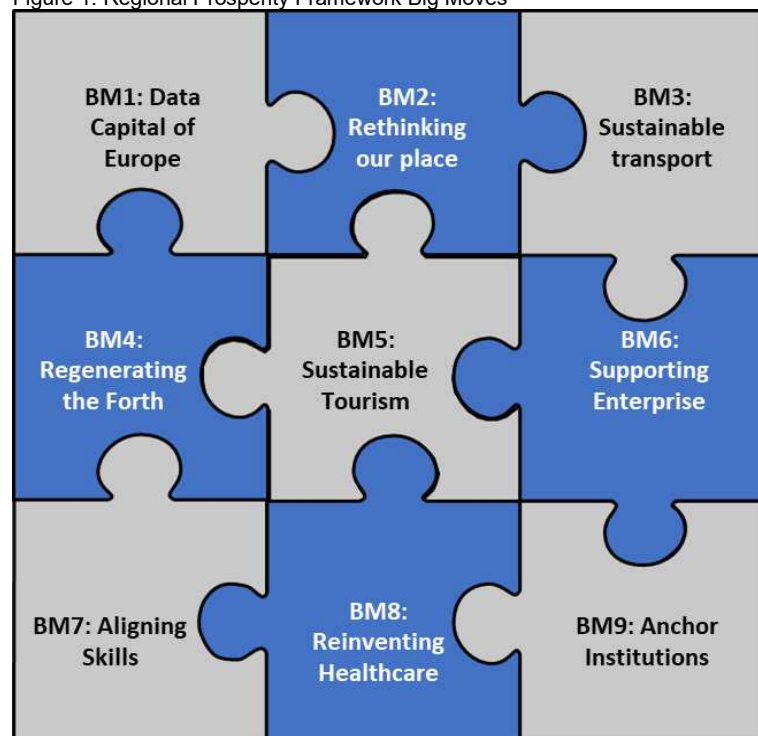
4 Investment themes

This second round of the Fund will focus on the same three investment themes as the first round: local transport projects that make a genuine difference to local areas; town centre and high street regeneration; and support for maintaining and expanding the UK's world-leading portfolio of cultural and heritage assets. In particular, the Fund will look to support:

4.1 Transport investments including (but not limited to) public transport, active travel, bridge repairs, bus priority, local road improvements and major structural maintenance, and accessibility improvements. UKG are requesting proposals for high-impact small, medium and, by exception, large local transport schemes to reduce carbon emissions, improve air quality, cut congestion, support economic growth, and improve the safety, security and overall experience of transport users.

Investment in local transport networks can revitalise local economies by boosting growth, improving connectivity, and making places healthier, greener, safer, and more attractive places to live and work. Almost all local journeys start and finish on local transport networks, so investment can make a real, tangible difference to local residents, businesses and communities. Local transport projects can play a pivotal role in enhancing local places and efforts to level up. This could be upgrading and improving the safety and security of bus and cycling infrastructure to improve access to jobs whilst supporting cleaner air and greener, healthier travel; targeting local road enhancements at congestion pinch points; and repairing bridges to ensure that communities are not isolated from key services.

UKG expect that any local road projects will also deliver or improve cycling and walking infrastructure and include bus priority measures, unless it can be shown that there is little or no need to do so. Proposals for investment in new and upgraded cycling infrastructure must meet the standards outlined in local transport note 1/20: cycle infrastructure design.

The first round of the Fund saw over £450 million invested in transport across the UK. From renewing links to isolated communities to reducing congestion in our cities, and from connecting residential areas with employment centres to widespread upgrades to electric vehicle charging networks, places will soon see these benefits realised.

4.2 Regeneration and town centre investment, building on the Towns Fund framework to upgrade eyesore buildings and dated infrastructure; acquire and regenerate brownfield sites; invest in secure community infrastructure and crime reduction; and bring public services and safe, accessible community spaces into town and city centres.

Town centres are a crucial part of our communities and local economies, providing both a focal point for retail and hospitality trade and a meaningful

centre of gravity for local communities. The UK government recognises that in recent years, changing consumer behaviour has made things tougher for retailers in our town centres and high streets, an issue made even more apparent by the impact of the COVID-19 pandemic. In addition, while some local areas have benefited from programmes such as the Towns Fund, others, such as smaller towns have not been able to access this investment and the purpose is to help communities transform derelict, vacant or poorly used sites into vibrant commercial and community hubs that local people can be proud of.

4.3 Cultural investment maintaining, regenerating, or creatively repurposing existing cultural, creative, heritage and sporting assets, or creating new assets that serve those purposes including theatres, museums, galleries, production facilities, libraries, visitor attractions (and associated green spaces), sports and athletics facilities, heritage buildings and sites, and assets that support the visitor economy.

Investment in cultural assets can rejuvenate places, leading to positive economic and social outcomes at a local level. It can help to retain and grow a highly skilled workforce, attract visitors to bolster local businesses and institutions, and provide opportunities to grow people and communities' connections with and pride in places. Additionally, supporting the development of a more positive relationship between people and place can have a positive impact on both mental and physical health. In short, culture and heritage are things that up and down the country bring people together and strengthen communities. So far, the Fund is supporting 31 places to achieve those goals.

Perception of place is an important 'pull' factor in investment and business location decisions and can affect a place's capacity to attract talent – especially young people – and retain workers. Many towns already have a strong cultural heritage and sense of place. These towns benefit from their cultural and civic assets both directly, from tourism and visitor revenue, and indirectly, by inspiring a sense of local pride and boosting community cohesion, making places more attractive to live and work in. Alongside towns, rural areas also often possess their own equally rich tapestry of local cultural and heritage assets.

Preserving heritage is not limited to simply attracting visitors; many town and city centres across the UK are historic and beautiful in their own right. Maintaining these assets, and protecting them from crime and anti-social behaviour, can be crucial for local business and supporting residents' pride in the places they live. The first round of the Fund exemplified this through investment in the creation of arts centres and cinemas, alongside upgrades to unique coastal attractions and improvements to valued historic sites.

Proposed investments should actively complement, rather than duplicate or compete with funding already delivering or set to deliver in a given area. Investments in cultural assets should be driven by an evidenced place-sensitive need or opportunity and have clear outcomes that align with areas'

vision for place-based economic and social development, as well as the health and wellbeing of local people.

Investment proposals should focus on supporting high priority and high impact projects that will make a visible positive difference to local areas. UKG recognise that what constitutes priority investment will vary across local authorities and geographies, including in rural areas of the UK.

The Levelling Up Fund remains a competitive fund for the second round, with funding distributed to places across the UK on the basis of successful project selection. In line with the Fund's goal to bring meaningful investment to every part of the UK, over the first and second round of the Fund at least 9% of total UK allocations will be set aside for Scotland, 5% for Wales, and 3% for Northern Ireland, subject to a suitable number of high-quality bids coming forward, with potential for total funding to exceed this amount.

As in the first round, funding will be targeted towards places in England, Scotland, and Wales that are most in need of the type of investment the Fund provides, as measured by an Index of Priority Places that takes into account the following place characteristics:

- need for economic recovery and growth
- need for improved transport connectivity and
- need for regeneration

The second round of the Fund will continue to use the Index of Priority Places for places in Scotland with the Index itself updated to use the latest available datasets. Midlothian is placed in Category 2.

4.4 Officers have considered unfunded capital projects and are recommending a major transport category bid for the Levelling Up Fund 2 application of the A701 Relief Road, A702 Spur Road project for £33.2M as detailed separately on the Council meeting agenda.

5.0   Shared Prosperity Fund

The UK Shared Prosperity Fund (UKSPF) is new £2.6 billion allocation which succeeds prior EU structural funds. This money will go straight to local places right across England, Scotland, Wales and Northern Ireland to invest in three local priorities; communities and place, support for local businesses and people and skills.

The UK Shared Prosperity Fund (UKSPF or the Fund) is a central pillar of the UK government's Levelling Up agenda and a significant component of its support for places across the UK. It provides £2.6 billion of new funding for local investment by March 2025, with all areas of the UK receiving an allocation from the Fund via a funding formula rather than a competition.

Places will be empowered to identify and build on their own strengths and needs at a local level, focused on pride in place and increasing life chances. Local places will be able to use the Fund to complement funding such as the Levelling Up Fund, and mainstream employment and skills provision to maximise impact and simplify delivery.

The Fund's interventions will be planned and delivered by councils. In Scotland it is expected to use existing strategic geographies and local authorities to draw on the insight and expertise of local partners, including businesses, the voluntary sector and Members of Parliament to target interventions where most appropriate.

The UKSPF will support the UK government's wider commitment to level up all parts of the UK by delivering on each of the levelling up objectives:

- Boost productivity, pay, jobs and living standards by growing the private sector, especially in those places where they are lagging
- Spread opportunities and improve public services, especially in those places where they are weakest
- Restore a sense of community, local pride and belonging, especially in those places where they have been lost
- Empower local leaders and communities, especially in those places lacking local agency

The primary goal of the UKSPF is to build pride in place and increase life chances across the UK. This aligns with Levelling Up White Paper missions, particularly: 'By 2030, pride in place, such as people's satisfaction with their town centre and engagement in local culture and community, will have risen in every area of the UK, with the gap between the top performing and other areas closing.'

Alongside economic pull and push factors, people's lives are shaped by the social and physical fabric of their communities. The local mix of social and physical capital gives local areas their unique character and shapes where people choose to live, work and invest. Recognising the acute challenges town centres and communities have faced during the pandemic, this Fund will improve the places people live in, and support individuals and businesses. It will drive noticeable improvements that matter to local communities, foster local pride in place and increase life chances including health outcomes. Further information can be accessed at: **UK Shared Prosperity Fund: prospectus - GOV.UK (www.gov.uk)**

5.1 Following the UKG announcement of Shared Prosperity Funding allocations the figures shown below are the sum totals for all three years. The amount awarded to Midlothian is £3,558,663. The Shared Prosperity fund consists of 4 elements:

- Community and Place
- Supporting Businesses
- People and Skills (Employability)

- Multiply (Numeracy and Maths Support for adults).

There are 60 set interventions as part of the Shared Prosperity Fund which can be prioritised. https://www.gov.uk/government/publications/uk-shared-prosperity-fund-interventions-outputs-and-indicators

Local Authority Totals	Core UKSPF	Multiply	Total
Midlothian	£2,944,115	£614,548	£3,558,663

5.2 Work continues on the Regional Prosperity Framework Implementation Plan with several delivery programmes, project and actions likely to feature in the final version of the plan. The UKSPF provides the opportunity to contribute funding towards the programme, projects, and actions in the plan subject to agreement by partners.

Partners recognise that in certain activities and policy areas it makes greatest sense to operate on a regional basis. This is in line with government (both Scottish and UK) policy and expectations. The individual autonomy of constituent councils does, however, remain paramount and any proposals for progressing a regional approach to UK Shared Prosperity Fund allocations will be for each constituent council to determine. The Investment plan submissions window runs from 30 June 2022 to 1 August 2022.

In terms of projected spend over Years 1- 3, available funding may contribute towards the delivery of the Regional Prosperity Framework.

Midlothian Council, in keeping with ESES regional partners, has provisionally identified £285K from our Year 2 allocation and £749K from our Year 3 allocation to pool regionally to progress priority regional activities that can be delivered in the short-term. Agreed short-term regional priorities are: Net Zero Green Skills Accelerator; Regional Energy Masterplan; Regional Tourism Development Programme; Regional Innovation Programme; Regional Community Wealth Building project; and Regional Transport Masterplan.

Regional partners will work with our DLUHC (UKG Department for Levelling Up, Housing & Communities) area lead in developing specific plans for any, or all, of these initiatives which are realistic, deliverable, provide maximum value for money and which would deliver for all stakeholders. Regional partners will also agree with government the governance arrangements for overseeing the regional dimension. Regional partners have written to UK ministers seeking agreement to finalise these plans for regional activity in Years 2 and 3 by November 2022.

5.3 Locally in Midlothian, officers established a SPF working group which has Third Sector Initiative and cross council services membership, to consider proposals informed by communities and other stakeholders. The SPF covers 4 themes, Business Support, Community and Place, People and Skills and the Multiply element.

The multiply element is specific to developing numeracy skills in the current and future workforce with a 3 year allocation that is not included in the core allocation and is therefore not subject to a regional contribution.

	22/23	23/24	24/25
Revenue	£320,136.32	£625,267.13	£1,537,099.19
Capital	£37,158.68	£89,323.88	£335,128.81
	£357,295.00	£714,591.00	£1,872,228.00

Separate Multiply funds:

Year 1 - £185,794
Year 2 - £214,377
Year 3 – £214,377

It is intended that Midlothian will be retaining the full allocation of the year one Shared Prosperity Fund with a contribution to the regional activity in years 2 & 3.

The SPF group has developed a prospective Midlothian Community Wealth Building Programme:

Business Support:

Recruit 2 members of staff
- o Procurement Officer and an
- o Economic Development Officer

Estimated salary costs in year one of £93,347 equates to 29.16% of the total year one allocation.

Council services scoping 2022-23 with projects commencing internally 2022/23 and preparatory engagement with local anchor organisations in preparation for year 2 activity.

2023/24 continuation of council Community Wealth Building (CWB) activities and joint activity with partner organisation to adapt and embed the CWB pillars into their strategic objectives and operational delivery in the way we deliver our services across Midlothian.

Tourism support:
Economic development is working with a social enterprise with a vision to create a destination based cycling project to include training and employment opportunities through the cycling and hospitality provision, attracting new visitors to the area and in the longer term supporting active travel for Midlothian residents through the development of trails across the county.

This project aligns to the Regional Tourism Destination programme of the Regional Prosperity Framework and as the facility development will take time,

we would recommend the capital element included in year one SPF allocation of £37,158.68 be allocated to this project, enabling the enterprise to launch with temporary facilities and bikes for hire to tourists as this will demonstrate a commitment from Midlothian Council to support this initiative over the longer term.

There is a need for a mapping exercise for the County to maximise the economic impact, we are working with our active travel colleagues to access Sports Development Scotland's cycling fund but there may be a shortfall that we could also support via intervention S11.

Tourism has been one of the hardest hit sectors since the pandemic and we have an opportunity in Midlothian to attract visitors from Edinburgh into the County. Working with Midlothian Tourism Forum members we would be keen to include an element of funding that would accelerate the delivery of new initiatives.

These initiatives support the following SPF interventions:
S14 will fund the development and promotion (both trade and consumer) of the visitor economy, such as local attractions, trails, tours and tourism products more generally.
S19: Strengthening local entrepreneurial ecosystems and supporting businesses at all stages of their development to start, sustain, grow and innovate, including through local networks.
S22: Support for growing the local social economy, including community businesses, cooperatives and social enterprises.
S28: Support for business resilience and Covid-19 recovery.
S29: Support for new and existing businesses and start-ups aligned with local, regional and Scottish policy.

People and Skills:

Grant funds for skills development, tackling in work poverty and providing a career pathway for the economically inactive that would begin with the Maths Multiply element at SCQF Level 5 to enable progress to higher level qualifications and high value jobs.

Green skills are required by every business, supporting employers to access skills development for their staff can realise increased pay for additional duties, promotion and career opportunities in the longer term, this would complement economic development's existing work on the carbon pledge and business carbon reductions through the LACER grants.

These initiatives support the following SPF interventions:
S35: tailored support to help people in employment, who are not supported by mainstream provision to address barriers to accessing education and training courses.

S37: Green skills courses to ensure we have the skilled workforce to support the Just Transition to a net zero economy and climate resilience, with a particular focus on vulnerable or low-income groups who will be disproportionately affected by climate change. Retraining support for those in high carbon sectors, providing career guidance and supporting people to seek employment in other sectors.

S41: Funding to support new partnership and project-based entrepreneurial learning between business and education to develop a culture that celebrates entrepreneurship

Communities and Place:

Each of the interventions in Communities and Place link into the business support element of this proposal but further work is required to define the projects that could be delivered.

The intervention (S2) could be delivered in year 2 and 3 to allow planning time particularly in respect of the capital elements which are more substantial in years 2 & 3.

These initiatives support the following SPF interventions:

S2: Support and improvement of community assets and infrastructure projects, including those that increase communities' resilience to natural hazards, and support for decarbonisation of facilities, energy efficiency audits, and installation of energy efficiency and renewable measures in community buildings (including capital spend and running costs).

S8: Funding for impactful volunteering and/or social action projects to develop social and human capital in local places.

S9: Investment in capacity building, resilience (including climate change resilience) and infrastructure support for local civil society and community groups.

S10: Community measures to reduce the cost of living, including through measures to improve energy efficiency, and combat fuel poverty and climate change

S11: Funding to support relevant feasibility studies.

6   Report Implications (Resource, Digital and Risk)

6.1   Resource

There are no additional resource requirements involved in submitting bids and sections 3 & 4 of the report set out the financial implications of the proposed bids.

6.2   Digital

None

**6.3	Risk**

Securing formal governance for the proposed bids will strengthen these bid applications.

There is potential risk in staff recruitment prospects and availability for projects for any suitable candidates or the duration of schemes. Also a risk in the award of funding to prioritised from the 60 intervention possible in a competitive process to track the impacts against outcome measures.

**7.0	Ensuring Equalities (if required a separate IIA must be completed)**

No assessment required at this stage. Proposals for any successful bids will be assessed as appropriate.

**7.0	Additional Report Implications (See Appendix A)**

See Appendix A

Appendices

Appendix A – Additional Report Implications
Appendix B – Background information/Links

APPENDIX A – Report Implications

A.1   Key Priorities within the Single Midlothian Plan

A.2   Key Drivers for Change

Key drivers addressed in this report:

☐ Holistic Working
☐ Hub and Spoke
☐ Modern
 X Sustainable
 X Transformational
☐ Preventative
 X Asset-based
☐ Continuous Improvement
☐ One size fits one
☐ None of the above

A.3   Key Delivery Streams

Key delivery streams addressed in this report:

☐ One Council Working with you, for you
☐ Preventative and Sustainable
 X Efficient and Modern
 X Innovative and Ambitious
☐ None of the above

A.4   Delivering Best Value

Investment through the available Improvement Programmes will generate benefits for Midlothian and wider Scottish economy.

A.5   Involving Communities and Other Stakeholders

A SPF working group has TSI and cross Council membership, to determine proposals that are informed by communities and other stakeholders.

Currently the working group is liaising with partners, stakeholders, representative groups and communities anchor organisations to work towards prioritising the 60 possible interventions in a local Midlothian context.

In LUF2 a stakeholder consultation process has been carried out as part of the STAG 2 process. Further consultation will be required as part of any planning application process.

A.6   Impact on Performance and Outcomes

N/A

A.7   Adopting a Preventative Approach

N/A

A.8   Supporting Sustainable Development

The A701 Improvement Programme is part of a range of investments in transportation infrastructure in Midlothian that will allow the creation of a better and more sustainable range of transport infrastructure to improve access to local services and communities by active travel and public transport.

APPENDIX B

Background Papers/Resource Links (insert applicable papers/links)

Levelling Up Fund Round 2: prospectus - GOV.UK (www.gov.uk)

UK Shared Prosperity Fund: prospectus - GOV.UK (www.gov.uk)

Environmental Crime Enforcement - Service Delivery

Report by Kevin Anderson, Executive Director - Place

Report for Decision

1   Recommendations

Council is recommended to approve the pilot service delivery for 12 months of a dedicated Environmental Crime Team by way of an external provider, to complement the implementation of the Environmental Crime Enforcement Strategy.

2   Purpose of Report

This report follows from the approved Council report in February, 2022 where the original costing proposals by the recommended provider were significantly increased prior to confirmation of any service implementation.

The purpose of this report is to therefore provide Council with revised options to implementing the Environmental Crime Enforcement Strategy, with the resource to undertake engagement, education and robust enforcement of environmental crime incidents, including fly-tipping, littering, dog fouling and other associated offences.

Date: 14 June 2022
Report Contact: Derek Oliver, Chief Officer - Place
Email: derek.oliver@midlothian.gov.uk

3 Background

3.1 Midlothian Council have approved a Notice of Motion on 29th June 2021 with regards to working with local groups and individuals to improve open spaces; provision of public space bins; and environmental enforcement using private companies; and requested that a report be presented. A report was presented at August 2021 Council meeting, where Council approved that officers develop a Midlothian Environmental Crime Strategy, led by Protective Services; and report to Council.

3.2 In February 2022, Midlothian Council approved the recommendation to appoint and extend the provision of the current parking attendant provider for environmental enforcement activities for a 12 month pilot period.

3.3 Following Council approval in February, the provider advised that there would be an increase of £80,000 to the proposal previously provided.

3.4 Given this material increase, it is necessary to return to Council to revisit the options prior to appointment and implementation of the environmental enforcement service provision.

4 Midlothian Environmental Crime Enforcement Strategy

4.1 The approved Strategy implements a visible enforcement service to tackle environmental crime.

5 Environmental Crime Enforcement Service Options

5.1 Options for the delivery of service are:

i) A newly created internal Environmental Crime Team, comprising a Team Leader and Enforcement Officers, embedded within the Protective Services staffing establishment.

ii) External Environmental Crime Team authorised by Midlothian Council, contracted on an agency basis.

iii) Parking Attendants service to be augmented with additional officers and authorised with relevant powers to tackle on-street parking offences and/or environmental crimes.

5.2 Internal Environmental Crime Team: a team structure would be created through service review and fixed term jobs created and evaluated for the specific role of undertaking environmental crime enforcement. Midlothian Council would authorise members of staff with the relevant powers under environmental protection, and associated, legislation. This would require a team leader and 4 officers. Indicatively, this structure would equate to approximately £192,000 of staffing costs.

Additional capital and revenue resource would be necessary for transport and operational devices, together with means to issue fixed penalty notices and administrative support. Non-staff costs have been estimated at £31,000. Additional back office support for fine payments would also be required, which would require specific software, requiring further analysis.

5.3   External Environmental Crime Team authorised by Midlothian Council, contracted on an agency basis: given the legislative limitations, external agencies are unable to be directly appointed by the authority to undertake environmental crime enforcement. Persons can be appointed by the authority on an agency/contractor basis. This would be charged at an hourly rate. Indicatively, a Team Leader and two enforcement officers, working 5 days from 7 (40 hours per week) would cost £187,200.

5.4   Although not able to be guaranteed, the prospective provider intimates that they would expect to generate an annual revenue of £218,400.00.

5.5   Mobilisation has been set by the provider at 4 weeks, however with Scottish legislation being different to the rest of the United Kingdom, there will be time required to implement relevant authorisations.

5.6   Additionality to the current Parking Attendants service contract: this comprises augmenting the existing 3.8 FTE Parking Attendants with a dedicated Environmental Enforcement team of 4 FTE wardens:

- This option consists of a team of staff fully focussed on enforcing environmental offences. This would be especially relevant at the commencement of the service.
- Increasing the headcount by 4 members of staff as well as the associated equipment, would increase the annual fixed Charge of the existing contract to the council by approximately £187,821. Back office notice issuance support would be delivered at a cost of £2,500 and £5 per each Fixed Penalty Notice (FPN) served. Forecasted Environmental FPN income stated at £105,000.
- The current front-line system used by the Parking Attendants has the functionality to produce Charge notices for environmental offences. This use of the system has been tried and tested in another local authority in England.
- Mobilisation 3-4 months.

	Contract Running Costs	Parking PCN Income	Parking Income	Environmental FPN Income	Total (Income Minus Cost)
Current	180,179	183,500	48,500	N/A	51,821
Projected	368,000	183,500	48,500	105,000	-31,000

Please note the following:

- The above Parking Income is based on year 2019/20.
- Costs are estimated figures based on current run rates. There could potentially be other associated costs that are unseen at this time.
- Forecasted Environmental Crime FPN income is based on an estimated successful payment rate of 60%.
- Forecasted costs have been based on back office costs of £5 per FPN on an average issuance rate of 3500 FPN per annum and an initial start-up cost of £2,500.

5.7   In all options, the Council would retain all income derived from Fixed Penalty Notices, which would offset costs. It is expected that income will decrease over time as engagement and education, together with deterrence, increases, and there is a positive behaviour change.

6   Performance Reporting

6.1   In the significant partnership working relations with both Police Scotland and the Scottish Fire and Rescue Service, with regards to environmental crime, reporting performance regularly to the Police and Fire & Rescue Board would provide the necessary governance structure, robust process and scrutiny to the operations and management of this regulatory function going forward.

7   Report Implications

7.1   Resource

The assessment and options appraisal for the creation of a dedicated environmental crime enforcement resource is detailed within the report. Utilising any of the options will require additional revenue budget. However, this cost will be offset by the income generated by the issuance and payment of fixed penalty notices. There is a potential for Midlothian Council to fully cover costs, with a potential surplus for reinvestment into strategy actions. As behaviour changes within the communities, income is likely to fall.

7.2   Digital

Not applicable at this stage.

7.3   Risk

Additional resource is required to target environmental crime. This will have a reputational and financial implication on the Council for environmental crime. Utilising an external provider to undertake environmental crime enforcement will require considered construct owing to legislative provision and constraints applicable in Scotland.

7.4   Ensuring Equalities

Having a robust response to environmental crime and the ongoing partnership working with communities is vital to Midlothian's community safety. The subject of this report has a positive impact in the environment and as such does not affect the wellbeing of the community or have a significant detrimental impact on equality, the environment or economy.

7.5   Additional Report Implications

See Appendix A

APPENDIX A – Report Implications

A.1   Key Priorities within the Single Midlothian Plan
The route map outlines the phases of service recovery and transformation which will underpin the Single Midlothian Plan.

A.2   Key Drivers for Change
Key drivers addressed in this report:

☐ Holistic Working
☐ Hub and Spoke
☐ Modern
☒ Sustainable
☐ Transformational
☒ Preventative
☒ Asset-based
☒ Continuous Improvement
☐ One size fits one
☐ None of the above

A.3   Key Delivery Streams
Key delivery streams addressed in this report:

☒ One Council Working with you, for you
☒ Preventative and Sustainable
☒ Efficient and Modern
☒ Innovative and Ambitious
☐ None of the above

A.4   Delivering Best Value
The report aims to deliver best value.

A.5   Involving Communities and Other Stakeholders
Consultation with communities, local groups, Police Scotland and SFRS will be imperative.

A.6   Impact on Performance and Outcomes
The report aims to measure progress through outcomes.

A.7   Adopting a Preventative Approach
The report is based on the creation of a wellbeing economy which prioritises prevention, fairness for people, the economy and the environment.

A.8   Supporting Sustainable Development
The improvement and enhancement of our environment.

Midlothian Integration Scheme Review

Report by Kevin Anderson, Executive Director, Place

Report for Decision

1   Recommendation

The Council are invited to

(a)   Approve the final draft revised Midlothian Integration Scheme; and

(b)   Agree to submit the revised Midlothian Integration Scheme to the Scottish Ministers.

2.   Purpose of Report/Executive Summary

In 2016 Midlothian Council entered into the Midlothian Integration Scheme with NHS Lothian to establish the Midlothian Integration Joint Board ('MIJB').

The Public Bodies (Joint Working) Scotland Act 2014 requires the Council and the NHS to carry out a review of the integration scheme within five years from the date the Scottish Ministers approved the scheme.

This report outlines work undertaken jointly to comply with this duty. The report seeks Council approval of the draft revised Midlothian Integration Scheme, and subject to approval of the Scheme by NHS Lothian, authority to submit the draft revised Integration Scheme to Scottish Ministers for their approval, as required by law.

Date: 15 June 2022
Report Contact: Alan Turpie, Legal and Governance Manager
Email: alan.turpie@midlothian.gov.uk

3 Background

3.1 Section 44 of The [Public Bodies (Joint Working) Scotland Act 2014](#) ("The Act") specifies a requirement to review Integration Schemes every five years from the initial formal approval of schemes granted by Scottish Ministers. The Act places a duty on Councils and Health Boards to do this (as the parties to the scheme). IJBs do not share that duty. The parties are required to identify whether any changes to the scheme are necessary or desirable, and if so, and with due public consultation, vary the scheme by jointly preparing a revised integration scheme.

3.2 For the Midlothian scheme, the review should have been completed by late May 2020. Plans initially considered in early 2020 to review the Midlothian Integration Scheme were halted and made unfeasible at that stage by the coronavirus pandemic. Scottish Government accepted this delay (which had affected many Board and Council areas), however in mid 2021 Scottish Government requested that the statutory reviews were taken forward without further delay. NHS Lothian, in coordinating the current joint review of schemes pan-Lothian, has continued to liaise with the Scottish Government policy team to both involve them and to communicate ongoing progress.

3.3 Initial consideration of the Integration Schemes with colleagues in NHS Lothian, other Local Authorities and Health & Social Care Partnerships, taken forward before the pandemic, did not identify a fundamental problem with the existing integration schemes.

3.4 Building on this in 2021 an Oversight Group was convened with participation of nominated senior officers representing all of the parties to the Lothian schemes. This group provided strategic guidance on the scope and focus for the necessary review to be undertaken. The review was duly remitted to essentially 'Tidy Up' the existing schemes, rather than to consider anything more transformational with regard to delegated functions, scope and the operations of Lothian IJBs. This scope was set in recognition of the emerging national policy landscape in Health and Social Care particularly arising from the Independent Review of Adult Social Care, and the consideration of a new National Care Service. The Oversight Group also recognised that operational management arrangements for hosted services had changed significantly since the initial Integration Schemes had been written, and therefore requested that the operational detail be removed from the revised schemes (as such was out of date and unnecessary).

3.5 The main areas reviewed in the 2021/22 review exercise are:

- A refresh of the Aims, Vision, Values, Outcomes of the IJB in line with current strategic plans

- A general refresh of all out of date text in the scheme - Operational Role of the IJB; Support for Strategic Planning; Professional Technical and Administrative support services; Performance Targets & Improvement Measures, Complaints processes, etc.

- The core Clinical and Care Governance element of schemes has largely been retained in the revised scheme in the existing form.

- An extensive update to the finance section of schemes has been completed collaboratively by finance leads across all of the parties, updating detail on Financial Governance; Payments to MIJB; Financial Reporting; Process for Addressing Variance; Redetermination of Payments; Redetermination of Set-aside Amounts; Use of Capital Assets; Financial Statements; and External Audit etc.

- An extensive update to the Information Governance and Data Sharing section has been completed collaboratively across Information Governance leads, to better reflect the current protocols and arrangements in place across Lothian.

- As necessary subject expert input from council teams, Health and Social Care Partnership Teams, and from within NHS Lothian was gained to inform review work. / etc.

- Legal review of the revised schemes was led by the Council's Legal and Governance Manager, working with the coordinating manager for the review in NHS Lothian. The NHS Scotland Central Legal Office nominated solicitor has also reviewed and inputted to the revision.

4   Consultation Process

4.1   The statutory duty to review the Integration Scheme jointly also requires a period of public consultation to determine and inform any changes to the scheme. As the parties agreed that it was necessary or desirable to change the Integration Scheme, Section 46 of the Act was followed to vary the scheme. Section 46 includes a consultation requirement on the proposed changes, and parties to the scheme must take into account consultation views when finalising the scheme. Consultation to support revision of the scheme was therefore carried out jointly in each area and requested both general comments on any aspect of the scheme, and comments on specific proposed changes to the text of the scheme.

4.2   Consultation exercises ran in Midlothian between 18/3/22 -10/4/22.

4.3 The consultation exercises were hosted on the council website, with a link also placed on the NHS Lothian Consultation Zone webpage. Council and NHS Lothian Communication Teams and Health and Social Care Partnership managers supported the consultation exercises. Efforts were made to reach all statutory consultees through direct email, staff communications, community councils, public forums and networks, commissioned providers, partner organisations and stakeholder representatives including services users and carers. IJB members were also invited to contribute views. Information about the consultation was published on Health and Social Care Partnership (HSCP) websites and via social media.

4.4 All views expressed have been considered during the review process, and in finalising the revised schemes, as required by the Act.

4.5 Following approval by both the Council and NHS Lothian, the next step is to jointly submit the revised scheme to the Scottish Ministers for approval under section 7 of the Act. A revised integration scheme takes effect upon the date of approval by the Scottish Ministers. The council and NHS Lothian must then publish the new scheme.

The final draft revised Midlothian Integration Scheme is appended as Appendix B to this report.

5. Report Implications (Resource, Digital and Risk)

5.1 Resource

There are no resource implications arising directly from this report.

5.2 Digital

There are no digital implications related to this report.

5.3 Risk

Failure to review the Midlothian Integration Scheme would contravene section 44 of the Public Bodies (Joint Working) Scotland Act 2014.

5.4 Ensuring Equalities

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

5.5 Additional Report Implications

See Appendix A

Appendix A - Additional Report Implications

A.1   Key Priorities within the Single Midlothian Plan

Not applicable

A.2   Key Drivers for Change

Key drivers addressed in this report:

☐ Holistic Working
☐ Hub and Spoke
☐ Modern
☐ Sustainable
☐ Transformational
☐ Preventative
☐ Asset-based
☐ Continuous Improvement
☐ One size fits one
☒ None of the above

A.3   Key Delivery Streams

Key delivery streams addressed in this report:

☐ One Council Working with you, for you
☐ Preventative and Sustainable
☐ Efficient and Modern
☐ Innovative and Ambitious
☒ None of the above

A.4   Delivering Best Value

There are no direct implications related to this report.

A.5   Involving Communities and Other Stakeholders

The Consultation process carried out as part of the review is outlined above.

A.6   Impact on Performance and Outcomes

Not applicable

A.7   Adopting a Preventative Approach

Not applicable

A.8   Supporting a Sustainable Development

Not applicable

Midlothian Integration Scheme

(Body Corporate)

Scheme Revision History:

June 21 2019

The Midlothian Integration Joint Board was established on 27 June 2015. The parties have reviewed and updated the integration scheme to incorporate new responsibilities arising from the Carers (Scotland) Act 2016 and associated regulations. Midlothian Council reviewed and approved this scheme for submission on 26 March 2019, and the NHS Board did so on 4 April 2019. The Scottish Government confirmed on 29 April 2019 that the Cabinet Secretary approved this revised scheme.

April 2022

The [Public Bodies (Joint Working) Scotland Act 2014](#) requires the parties to the integration scheme (NHS Lothian and Midlothian Council) to carry out a review of the integration scheme within five years from when the Scottish Ministers approved the original scheme (June 2015). Formally undertaking review within this timeframe was delayed in the context of managing the COVID-19 pandemic. However, in line with the requirement from Scottish Government the parties have undertaken work to review and revise the scheme. Revision to the scheme was informed by consultation undertaken from the 18th of March to the 10th of April 2022. This revision is a general update to the scheme, and there are no changes to the delegation of legal functions or associated services to the IJB.

Contents

Preamble, Aims & Outcomes of the Integration Scheme

Health and Wellbeing **Outcomes, and the Aims, Vision and Values of the Integration Joint Board**

The work of the IJB will be guided by the integration planning principles as stated in the Act and will contribute to the achievement of nationally agreed health and wellbeing **outcomes** prescribed by the Scottish Ministers in Regulations under section 5(1) of the Act. Namely:

1. People are able to look after and improve their own health and wellbeing and live in good health for longer.

2. People, including those with disabilities or long term conditions or who are frail are able to live, as far as reasonably practicable, independently and at home or in a homely setting in their community.

3. People who use health and social care services have positive experiences of those services, and have their dignity respected.

4. Health and social care services are centred on helping to maintain or improve the quality of life of people who use those services.

5. Health and social care services contribute to reducing health inequalities.

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 wellbeing.

7. People using health and social care services are safe from harm.

8. People who work in health and social care services feel engaged with the work they do and are supported to continuously improve the information, support, care and treatment they provide.

9. Resources are used effectively and efficiently in the provision of health and social care services.

The IJB will also contribute to the achievement of the national criminal justice outcomes because the Parties have elected to delegate criminal justice social work.

Our Vision and Values
Everyone in Midlothian will have the right advice, care and support; in the right place; at the right time to lead long and healthy lives.

We will achieve this ambitious vision by changing the emphasis of our services, placing more importance and a greater proportion of our resources on our key values.

4

Prevention: You should be supported to take more responsibility for your health and wellbeing. We want to deal with the causes rather than the consequences of ill health wherever possible.

Independence, Choice & Control: You should be able to manage your condition + control your support. We will support you to live independently at home and promote the principles of independent living and equality.

Support the person not just the condition: Your support/treatment should consider key issues affecting your life as well as supporting you to manage your condition.

Recovery: You should be supported to recover good health and independence as far as possible.

Coordinated Care: Everyone who provides your care should be working together.

Throughout all its work the Parties expect the IJB to be guided by the following ambitions:

- Provide the highest quality health and care services
- Always respect the dignity and human rights of Midlothian citizens in the planning of health and social care.
- Support people to live independently at home.
- Promote the principles of independent living and equality.
- Do everything we can to reduce health inequalities.
- Provide support and services so that people only have to go to hospital if they really have to.
- Listen to people who use our services, and the people who care for them, working together to develop the services that are right for them.
- Make sure that Midlothian people feel safe at home and in their communities.
- Support people to take more responsibility for their own health and wellbeing.

The terms of this preamble are not part of the Integration Scheme and are not intended to create legally binding obligations. They do, however, give the context within which the Scheme should be read.

5

1. Integration Scheme

Parties and Definitions and Interpretations

The Parties:
- **Midlothian Council,** established under the Local Government etc (Scotland) Act 1994 and having its principal offices at 40-46 Buccleuch Street, Dalkeith, Midlothian, EH22 1DN ("the Council");
and
- **Lothian Health Board**, established under section 2(1) of the National Health Service (Scotland) Act 1978 (operating as "NHS Lothian") and having its principal offices at Waverley Gate, 2-4 Waterloo Place, Edinburgh ("NHS Lothian")

(Together referred to as "the Parties", and each a "Party").

Background
The Parties are required to comply with either subsection (3) or (4) of section 2(2) of the Act, and have elected to comply with subsection (3) such that the Parties must jointly prepare an integration scheme (as defined in section 1(3) of the Act) for the Midlothian Area

In preparing this Integration Scheme, the Parties have had regard to the integration planning principles set out in section 4(1) of the Act and the national health and wellbeing outcomes prescribed by the Public Bodies (Joint Working)(National Health and Wellbeing Outcomes)(Scotland) Regulations 2014, and have complied with the provisions of section 6(2) of the Act (consultation); and in finalising this Integration Scheme, the Parties have taken account of any views expressed by virtue of the consultation processes undertaken under section 6(2) of the Act.

Under s.45(3) of the Act, the Parties are obligated upon the instructions of the Scottish Ministers in the exercise of their power conferred by s.1(3)(f) of the Act, to jointly carry out a review of the said Joint Board Integration Scheme for the purpose of identifying and formalising any necessary or desirable changes required by the Scottish Ministers.

The Scottish Ministers instructed the Parties to revise the said Joint Board Integration Scheme to reflect changes necessitated by provisions contained in the Carers (Scotland) Act 2016, in so far as such requires a relevant local authority and health board to delegate some of their duties in relation to adult carers to the IJB (hereinafter more specifically defined as "IJB"). The Parties therefore determined to delegate certain functions set out in the said Carers (Scotland) Act 2016 to the IJB and revised the said Joint Board Integration Scheme.

The Parties agreed to a new partially Revised Integration Scheme in accordance with the provisions set out in s.47 of the Act to reflect the instructions of the Scottish Ministers. This First Revised Integration Scheme was entered into in 2019.

Full review and subsequent revision of the Joint Board Integration Scheme as envisaged by s.44 of the Act has been carried out by the Parties in accordance with the provisions of s.44 (5) of the Act and it has been agreed that this agreement would constitute the new Revised

6

Integration Scheme. In implementation of their obligations under the Act, the Parties hereby agree as follows:

Definitions & Interpretation

1.1.   In this Scheme the following expressions have these meanings, unless the context otherwise requires:-

"**Act**" means the Public Bodies (Joint Working) (Scotland) Act 2014;

"**Chief Officer**" means the officer described in Section 7 of this Scheme;

"**Chief Finance Officer**" means the finance officer described in Section 9.1 of this Scheme;

"**Council**" means Midlothian Council

"**IJB Budget**" means the total funding available to the IJB in the financial year as a consequence of:

- The payment for delegated functions from NHS Lothian under section 1(3)(e) of the Act;
- The payment for delegated functions from the Council under section 1(3)(e) of the Act; and
- The amount "set aside" by NHS Lothian for use by the IJB for functions carried out in a hospital and provided for the areas of two or more local authorities under section 1(3)(d) of the Act

"**Integration Joint Board**" or "**IJB**" means the Integration Joint Board to be established by Order under section 9 of the Act;

"**Integration Joint Boards Order**" means the Public Bodies (Joint Working (Integration Joint Boards) (Scotland) Order 2014;

"**Integration Scheme**" or "**Scheme**" or "**Revised Integration Scheme**" means this Revised Integration Scheme

"**Lothian IJBs**" means the integration joint boards to which functions are delegated in pursuance of the integration schemes in respect of the local authority areas served by, City of Edinburgh Council, Midlothian Council, East Lothian Council and West Lothian Council respectively.

"**Neighbouring IJBs**" means the Lothian IJBs excluding the IJB;

"**Operational Budget**" means the amount of payment made from the IJB to a Party in order to carry out delegated functions.

7

"**Outcomes**" means the Health and Wellbeing Outcomes prescribed by the Scottish Ministers in Regulations under section 5(1) of the Act;

"**Parties**" means Midlothian Council and NHS Lothian

"**Regulations**" means the Public Bodies (Joint Working) (Integration Scheme) (Scotland) Regulations 2014;

"**Strategic Plan**" means the plan which the IJB is required to prepare and implement in relation to the delegated provision of health and social care services in accordance with section 29 of the Act.

1.2.   Words and expressions defined in the Act shall bear the same respective meanings in the Scheme unless otherwise defined in the Scheme.

1.3.   References to Sections are to the sections of the Scheme.

1.4.   Reference to annexes are to annexes to this Scheme and reference to Parts are the parts of the relevant Annex.

8

2.   The Model to be implemented

2.1   The integration model set out in section 1(4)(a) of the Act will apply in relation to the Midlothian area. This is the IJB model, namely the delegation of functions by each of the Parties to a **body corporate** that is to be established by order under section 9 of the Act.

2.2   The original Scheme came into effect on the date on which the IJB is established by order under section 9 of the Act.

2.3   This Revised Scheme comes into effect on the date on which it is approved by the Scottish Ministers.

3. Local Governance Arrangements

3.1 Membership

3.1.1.   The IJB shall have the following voting members:

    a)   **4** councillors nominated by the Council; and

    b)   **4** non-executive directors nominated by NHS Lothian, in compliance with articles 3(4) and 3(5) of the Integration Joint Boards Order.

3.1.2.   The Parties may determine their own respective processes for deciding who to nominate as voting members of the IJB.

3.1.3.   Non-voting members of the IJB will be appointed in accordance with article 3 of the Integration Joint Boards Order.

3.1.4.   The term of office of members shall be as prescribed by regulation 7 of the Integration Joint Boards Order.

3.2 Chairperson and Vice Chairperson

3.2.1   The IJB shall have a chairperson and vice-chairperson who will both be voting members of the IJB.

3.2.2   The term of office of the chairperson will be two years, with the Council appointing the first chairperson for the period from the date on which the IJB is established until the second anniversary of that date, and NHS Lothian appointing the second chairperson for the period from the second anniversary of the date on which the IJB is established until the fourth anniversary of that date.

3.2.3   As from the fourth anniversary of the date on which the IJB is established, the power to appoint the chairperson will continue to alternate between each of the Parties on a two-year cycle.

3.2.4   The term of office of the vice chairperson will be two years, with NHS Lothian appointing the first vice chairperson for the period from the date on which the IJB is established until the second anniversary of that date. The provisions set out above under which the power of appointment of the chairperson will alternate between the Parties on a two-year cycle will apply in relation to the power to appoint the vice chairperson, and on the basis that during any period when the power to appoint the chairperson is vested in one Party, the other Party shall have power to appoint the vice-chairperson.

10

3.2.5   The Parties may determine their own processes for deciding who to appoint as chairperson or vice-chairperson.

3.2.6   Each Party may change its appointment as chairperson (or, as the case may be, vice chairperson) at any time; and it is entirely at the discretion of the Party which is making the appointment to decide whom it shall appoint.

11

4. Delegation of Functions

4.1   The functions that are to be delegated by NHS Lothian to the IJB are set out in Part 1 Annex 1 (subject to the exceptions and restrictions also specified or referred to in Part 1 of Annex 1). The services currently provided by NHS Lothian in carrying out these functions are described in Part 2 of Annex 1.

4.2   The functions that are to be delegated by Midlothian Council to the IJB are set out in Parts 1a 1b of Annex 2 (subject to the exceptions and restrictions also specified or referred to in Parts 1a and 1b of Annex 2). For indicative purposes only, the services which are currently provided by the Council in carrying out these functions are described in Part 2 of Annex 2.

5. Local Operational Delivery Arrangements

The IJB membership will be involved in the operational governance of integrated service delivery via two particular arrangements: (1) directions issued by the IJB via the Chief Officer of the IJB; and (2) oversight of performance management by the voting members of the IJB.

5.1 Directions issued by the IJB via the Chief Officer

5.1.1   The IJB will issue directions to the Parties via its Chief Officer. The IJB must direct the Parties to carry out each of the functions delegated to the IJB. A direction in relation to a given function may be given to one or other of the Parties, or to both Parties. The primary responsibility for delivering capacity (that is to say, activity and case mix) in respect of the services associated with the carrying out of a given function shall lie with the IJB, and shall be reflected in the directions issued from time to time by the IJB. Subject to the provisions of the Act and the Scheme, the Parties are then required to follow those directions.

Oversight of performance management by the voting members of the IJB

5.1.2   The IJB shall oversee delivery of the services associated with the functions delegated to it by the Parties. The IJB is the only forum where health and social care functions for the Midlothian area are governed by members of both NHS Lothian and the Council. Accordingly the Parties agree that primary responsibility for performance management in respect of delivery of the delegated functions will rest with the IJB.

5.1.3   The Parties will provide performance information so that the IJB can develop a comprehensive performance management system

5.1.4   The IJB performance management reports will be available to both Parties for use in their respective performance management systems. However it is expected that the voting members of the IJB will take responsibility for performance management at the IJB, and will provide an account of highlights and/or exceptional matters to meetings of NHS Lothian and the Council.

5.1.5   In the interests of efficient governance, the relevant committees of NHS Lothian and the Council will continue to discharge their existing remits for assurance and scrutiny of the carrying out of the Parties' functions, regarding matters such as internal control, quality and professional standards, and compliance with the law. The IJB will not duplicate the internal operational oversight role carried out by the Parties other than in exceptional circumstances where the IJB considers that direct engagement by the IJB (or by a committee established by the IJB) is appropriate in order to secure the

13

proper discharge by the IJB of its statutory responsibilities or its duties under this Scheme.

5.1.6   Each of the Parties shall use reasonable endeavours to procure that in the event that one of its committees identifies an issue which is of direct and material relevance to the IJB, the chair of that committee will advise the Chair of the IJB and the Chief Officer of that matter and will co-operate with the IJB in supplying such further information and evidence in respect of that matter as the IJB may reasonably request.

5.1.7   The Parties shall ensure that their respective standing orders, schemes of delegation and other governance documents are amended (if required) to reflect the IJB's powers and remit, and its place as a common decision-making body within the framework for delivery of health and social care within the Midlothian Area.

5.1.8   The voting members of the IJB are councillors of the Council and non-executive directors of NHS Lothian (or other board members). In their capacity as councillors and non-executive directors, they will be engaged in the governance of their respective constituent bodies, and it is likely that they will be members of one or more committees of those constituent bodies.

5.1.9   Given the overall vision as outlined in the preamble of the Scheme, it is the intention that the operational governance functions of both Parties and the IJB should be integrated. In all matters associated with the work of the IJB, the voting members of the IJB will be expected by the Parties to play a crucial role in:

   a)   communicating, and having due regard to, the interests of NHS Lothian or (as the case may be) the Council in overseeing the carrying out of the integrated functions, but on the understanding that, in carrying out their role as a member of the IJB, their primary duties and responsibilities are those which attach to them in that capacity;

   b)   communicating, and having due regard to, the interests of the IJB in overseeing the carrying out of the integrated functions whilst discharging their role as a councillor or (as the case may be) as a non-executive director of NHS Lothian, but on the understanding that, in carrying out their role as a councillor or non-executive director, their primary duties and responsibilities are those which attach to them in that capacity.

5.1.10 This Scheme sets out detailed measures on the governance of integration functions throughout the text. Over and above these measures, the Parties will ensure that the IJB members are involved in overseeing the carrying out of integration functions through the following action:

14

a)   The terms of reference, membership and reporting arrangements of the relevant committees of the Parties will be reviewed and the IJB will be consulted within this process (and all future reviews).

5.1.11 Without prejudice to the role of the voting members of the IJB (as specified above) in relation to oversight of operational delivery of services in accordance with directions issued to either or both of the Parties by the IJB, the IJB will, through the Chief Officer, have an oversight role in the operational delivery of services by the Parties in the carrying out of integration functions. The Parties acknowledge that the Chief Officer's role in operational delivery will represent an important means by which closer integration of services, in accordance with the integration delivery principles specified in the Act, can be achieved. For the avoidance of doubt, the Chief Officer's role in operational delivery shall not displace:

(a) the responsibilities of each Party regarding compliance with directions issued by the IJB; or

(b) the principle that each Party's governance arrangements must allow that Party to manage risks relating to service delivery.

5.1.12 In addition to the specific commitments set out above and the obligations regarding provision of information attaching to the Parties under the Act, the Parties will provide the IJB with any information which it may require from time to time to support its responsibilities regarding strategic planning, performance management, and public accountability.

Support for Strategic Planning

5.1.13 The Parties will support the IJB in ensuring that the consultation process associated with the preparation of each Strategic Plan for the Midlothian Area includes other Integration Authorities likely to be affected by the Strategic Plan. The Integration Authorities that are most likely to be affected by the Strategic Plan for the Midlothian Area are:

a)   East Lothian IJB

b)   Edinburgh IJB

c)   West Lothian IJB.

5.1.14 NHS Lothian will procure that reciprocal provisions to those set out in sections 5.1 and 5.2 are contained in the integration schemes of the Neighbouring IJBs in Lothian.

5.1.15 In addition the Borders Integration Authority shares a border with Midlothian IJB and may be affected by the Midlothian Strategic Plan.

5.1.16 The Parties will ensure the IJB can:

15

- effectively engage in all of the planning process including contributing to the work of the Strategic Planning Groups for the neighbouring IJBs as required;
- provide such information and analysis as neighbouring IJBs reasonably require for the production of their Strategic Plans;
- inform neighbouring IJBs as to how the services, facilities and resources associated with the functions delegated to the Midlothian IJB by the Parties are being or are intended to be used with respect to carrying out of those functions in line with these planning processes;
  a) in a situation where Strategic Plans in one area are likely to have an impact on the plans in another area, ensure that these matters are raised with other relevant IJBs and resolved in an appropriate manner;
  b) in a situation where Strategic Plans in another area are likely to have an impact on the Midlothian Area, ensure that these matters are raised and any associated risks are mitigated for the benefit of service users.

5.2 Lothian Hospitals Strategic Plan and Lothian Strategic Development Framework

5.2.1 NHS Lothian have developed a plan (the 'Lothian Hospitals Strategic Plan') to support the IJBs to fulfil their duties. The Lothian Hospitals Strategic Plan does not and will not bind the IJB and the strategic plans of the Lothian IJBs have informed the Lothian Hospital Strategic Plan. The Lothian Hospitals Strategic Plan encompasses both functions delegated to the Lothian IJBs and functions that are not so delegated.

5.2.2 The Lothian Hospitals Strategic Plan was developed in partnership with the Lothian IJBs where integration functions are delivered by NHS Lothian in a hospital. It reflects the relevant provisions of the Strategic Plans prepared by the respective Lothian IJBs, as well as NHS Lothian plans for non delegated functions.

5.2.3 The purpose of the Lothian Hospital Strategic Plan is to ensure that planning for hospital functions and use of hospital facilities are:
(a) responsive to and supports each Strategic Plan prepared by the Lothian IJBs for delegated functions; and
(b) supports the requirement of NHS Lothian to deliver hospital services required by the IJB and other hospital services that are not the responsibility of the Lothian IJBs (e.g. tertiary, trauma, surgical, planned and children's services).

5.2.4 The Lothian Hospitals Strategic Plan will be a plan developed jointly by NHS Lothian and the Lothian IJBs. The elements of the Lothian Hospitals Strategic Plan addressing non delegated functions can only be agreed by the NHS Lothian Board after the four Lothian IJBs have been consulted and their views and requirements appropriately considered. Elements of the Lothian Hospitals Strategic Plan which cover functions delegated to the respective Lothian IJBs will be signed off by relevant Lothian IJBs in consultation with NHS Lothian and all Lothian IJBs.

16

5.2.5   NHS Lothian is continuing to work to refresh its strategy via development of the Lothian Strategic Development Framework. This work is being taken forward in collaboration with the Lothian Integration Joint Boards, in particular in those workstreams that cut across our organisational boundaries and where there are clear benefits in working together to determine priorities to achieve our collective vision.

5.3   Professional, technical or administrative support services

5.3.1   The Parties agree to provide the IJB with the corporate support services that it requires to discharge fully its duties under the Act.

5.3.2   The Parties and the IJB will regularly undertake review of the support services put in place pursuant to the agreement to ensure that the IJB has available to it all necessary professional, technical or administrative services for the purpose of preparing its Strategic Plan and carrying out the integration functions. This process will from part of the annual budget setting process for the IJB which is described in Section 9.2.

5.4   Performance targets, improvement measures and reporting arrangements

5.4.1   All national and local Outcomes, improvement measures and performance targets (including the Annual Performance Report (as defined and required under the Act) which are connected exclusively with the functions delegated by the Parties to the IJB under this Revised Integration Scheme will become the responsibility of the IJB to deliver; and the IJB will also be responsible for providing all such information regarding integration functions which is required by either of the Parties to enable each of them to fulfil its obligations regarding reporting arrangements in respect of those functions.

5.4.2   Where particular national or local outcomes, measures or targets (and associated reporting arrangements) relate to services which are associated with both integration functions and functions which are not delegated by a Party to the IJB, the responsibility for the outcomes, measures or targets (and associated reporting arrangements) will be shared between the IJB and the Party or Parties which exercise those functions, and the IJB will be responsible for providing all such information regarding those integration functions as is required by the relevant Party to enable it to fulfil its obligations regarding reporting arrangements.

5.4.3   A set of shared principles will be developed and agreed between the Parties for targets and measurement based on existing best practice and will be reviewed regularly as required.

5.4.4   A core group of senior managers and relevant support staff from each Party will continue to review and where necessary revise and further develop the performance framework for the IJB, taking account of relevant national guidance. The framework

will be underpinned by the Outcomes and will be developed to drive change and improve effectiveness. The framework will be informed by an assessment of current performance arrangements and the development of a set of objectives which the framework will be intended to achieve.

5.4.5   A core set of indicators and measures will be identified by the Parties from publicly accountable and national indicators and targets which relate to services delivered in carrying out the functions delegated to the IJB.

5.4.6   The national health and wellbeing outcomes which apply to integrated health and social care, and the associated national indicators which underpin the nine health and wellbeing outcome measures will be used by the Integration Joint Board. These outcomes and indicators will be used to assist in setting local priorities and monitoring performance, and will be reported per national and local reporting arrangements.

5.4.7   The outcomes and integration indicators will provide information for the performance framework developed.

5.4.8   Indicators will be aligned with the priority areas identified in the joint strategic needs assessment and the Strategic Plan and will be refined as these documents are reviewed and refreshed. These priority areas will be linked to the Outcomes to demonstrate progress in delivering these.

5.4.9   The Parties have obligations to meet targets for functions which are not delegated to the IJB, but which are affected by the performance and funding of integration functions. Therefore, when preparing performance management information, the Parties agree that the effect on both integration and non-integration functions must be considered and details must be provided of any targets, measures and arrangements for the IJB to take into account when preparing the Strategic Plan. Where responsibility for performance measures and targets is shared, this will be set out clearly for agreement by the relevant Parties.

5.4.10 The performance framework may require information on functions which are not delegated to the IJB. Either one of the Parties, or the IJB, will be able to reasonably require information of that nature to be included within the Integration Dataset.

The continuous development of an effective performance framework for the IJB, taking account of relevant national guidance, will be supported by the parties and the IJB. The framework will be underpinned by the national health and wellbeing outcomes, and national integration indicators, and will be developed to drive change and improve effectiveness.

6. Clinical & Care Governance

6.1 Introduction

6.1.1 This section of the Scheme sets out the arrangements that will be put in place to allow the IJB to fulfil its role with professional advice and with appropriate clinical and care governance in place. The Parties will expect the IJB to develop more integrated governance arrangements in Midlothian to complement the existing clinical and care governance arrangements.

6.1.2 The Parties have well established systems to provide clinical and care governance as well as assurance for professional accountabilities. Those systems will continue following the establishment of the IJB and the scope of these systems will extend to provide the IJB with the requirements to fulfil their clinical and care governance responsibility.

6.1.3 This section describes the relationship between the Parties' clinical and care governance systems and the IJB. The relationship between these systems and the Strategic Planning Group and delivery of services within localities will be via the Chair and Chief Officer of the IJB. The IJB non-voting membership includes the Chief Social Work Officer and three health professionals who are determined by NHS Lothian. These members will provide a further link between the Parties clinical and care governance systems and the IJB as described in section 6.2. It is for the IJB to ensure that the Strategic Planning Group has sufficient information to undertake its function and the Parties shall provide such information to the IJB as is necessary for it to do so. This is in line with the commitment in this scheme at 5.3.1 to provide the IJB with the corporate support services required to fully discharge its responsibilities under the Act, which includes support to the IJB, its Strategic Planning and localities.

6.1.4 Continuous improvement and the quality of service delivery (and its impact on outcomes) will be addressed through the development of the IJB's performance management framework (pursuant to Section 5.4 of this Scheme).

6.1.5 The Integration Joint Board will not duplicate the role carried out by the Parties existing governance arrangements other than in exceptional circumstances where the IJB considers that direct engagement by the IJB is appropriate in order to secure the proper discharge by the IJB of its statutory responsibilities.

6.1.6 The Parties agree that in the event that one of its committees within its governance arrangements identifies an issue which is of direct and material relevance to the Integration Joint Board, the chair of that committee will advise the chairperson of the Integration Joint Board and the Chief Officer of that matter and will co-operate with the IJB in supplying such further information and evidence in respect of that matter as the IJB may reasonably request.

19

6.1.7 The Parties shall ensure that its standing orders, schemes of delegation and other governance documents are amended (if required) to reflect the IJB's powers and remit, the IJB's place as a common decision-making body within the framework for delivery of health and social care within the Midlothian Area and the Parties role in supporting the IJB to discharge its duties.

6.1.8 The voting members of the Integration Joint Board are engaged in the governance of their respective Party, and it is likely that they will be members of one or more committees of the relevant Party.

6.1.9 The Parties will use reasonable endeavours to appoint voting members of the Integration Joint Board (regardless of which party nominated the voting members) onto NHS Lothian and Council governance arrangements with a remit relevant to the clinical and care governance of integration functions.

6.1.10 Within its existing governance framework, NHS Lothian has :
   a)   A healthcare governance committee, the remit of which is to provide assurance to the Board that the quality of all aspects of care in NHS Lothian is person-centred, safe, effective, equitable and maintained to a high standard and to provide assurance to the Board of NHS Lothian that NHS Lothian meets its responsibilities with respect to:-
   • NHS Lothian Participation Standards
   • Volunteers/Carers
   • Information Governance
   • Protection of Vulnerable People including children, adults, offenders
   • Relevant Statutory Equality Duties

And
   b)   A staff governance committee, the remit of which is to support and maintain a culture within NHS Lothian where the delivery of the highest possible standard of staff management is understood to be the responsibility of everyone working within NHS Lothian and is built upon partnership and collaboration. The Staff Governance Committee must ensure that robust arrangements to implement the (NHS Scotland) Staff Governance Standard are in place and monitored

6.1.11 The staff governance committee has the primary role on staff governance matters, but can and does refer matters of relevance to the healthcare governance committee.

6.1.12 The healthcare governance committee can request assurance from the staff governance committee on matters of direct relevance to its remit, e.g. quality of recruitment, learning and development, completion of mandatory training.

6.1.13 Within the Council, the Chief Social Work Officer has overall responsibility for the professional standards of the Council's social work and social care staff. The workforce is also regulated by the Scottish Social Services Council (SSSC), and all professional staff must by law be registered with the SSSC. This registration requirement will, in

20

due course, extend to all social care staff employed by the Council and the voluntary and independent sectors.

6.1.14 The Chief Social Work Officer reports annually to the Council on standards achieved, governance arrangements (including supervision and case file audits), volume/quantity of statutory functions discharged, the registration of the workforce and on training, including mandatory training and post-qualifying learning and development. These reports must comply with national guidance issued by the Scottish Government. The Chief Social Work Officer will also provide a copy of these annual reports to the integration joint board.

6.1.15 The intention of using the existing NHS Lothian and Council committees as a primary source of assurance is to recognise that the parties will have continuing governance responsibilities for both integration and non-delegated functions, and that the parties wish to minimise unnecessary bureaucracy. The integration joint board will be engaged through its membership being on these committees, and its relationship with the committee chairs. The integration joint board will be in a position to holistically consider the information/ assurance received from the parties, and arrive at a determination for all of its functions.   If the integration joint board is in any way dissatisfied with the information or assurance it receives from the parties, or the effectiveness of the parties committees, it may give a direction to the parties to address the issue, or revise its own system of governance.

6.2   Clinical and Care Governance Risk

There is a risk that the plans and directions of the integration joint board could have a negative impact on clinical and care governance, and professional accountabilities.   This section of the Scheme sets out the arrangements that will be put in place to avoid this risk.

Professional Advice

6.2.1   NHS Lothian has within its executive membership three clinical members (referred to below as '**Executive Clinical Directors'**); a Medical Director, a Nurse Director, and a Director of Public Health. Their roles include responsibility for the professional leadership and governance of the clinical workforce (medical, nursing, allied health professionals, healthcare scientists, psychology, pharmacy), as well as clinical governance within NHS Lothian generally. The creation of the IJB does not change their roles in respect of professional leadership, and they remain the lead and accountable professionals for their respective professions.

6.2.2   The Council has a Chief Social Work Officer who reports to the Chief Executive and councillors. The Chief Social Work Officer monitors service quality and professional standards in social care and social work, for staff employed in both adult and children's services, together with standards in relation to the protection of people at risk of harm. The Chief Social Work Officer role also includes quality assurance of decision-making with regard to adult social care, mental health criminal justice and

children's services, in particular in relation to public protection and the deprivation of liberty.

6.2.3   The creation of an IJB does not change the Chief Social Work Officer's role in respect of professional leadership and he or she will remain the lead and accountable professional for his or her profession.

6.2.4   The IJB may elect to appoint one or both of the Medical Director and the Nurse Director as additional non-voting members of the IJB.   The Order requires NHS Lothian to fill the following non-voting membership positions on the IJB:
- A registered medical practitioner whose name is included in the list of primary medical services performers prepared by NHS Lothian in accordance with Regulations made under Section 17P of the National Health Service (Scotland) Act 1978;
- A registered nurse who is employed by NHS Lothian or by a person or body with which NHS Lothian has entered into a general medical services contract; and
- A registered medical practitioner employed by NHS Lothian and not providing primary medical services.

6.2.5   NHS Lothian will consider the advice of the Executive Clinical Directors, and any other relevant officer it deems fit before making appointments to fill the membership positions referred to in section 6.2.4. The appointees will be professionally accountable to the relevant executive clinical director. NHS Lothian will develop a role description for the appointments referred to in section 6.2.4, to ensure that their role on the IJB with regard to professional leadership and accountability is clearly defined and understood.

6.2.6   The three health professional representatives referred to in section 6.2.4 will each also be:
   a)   A member of an integrated professional group (should it be established); and/or
   b)   A member of a NHS Lothian committee; and/or
   c)   A member of a consultative committee established by NHS Lothian.

6.2.7   The three health professional representative set out in section 6.2.4 and the Chief Social Work Officer will be expected by the Parties to play a lead role in:
   a)   Communicating and having regard to their duties to NHS Lothian or the Council as the case may be whilst discharging their role as a member of the IJB;
   b)   Communicating and having regard to the interests of the IJB whilst discharging their duties as professionals employed by NHS Lothian or (as the case may be) the Council.
   c)   The members will be expected to communicate regularly with the Executive Clinical Directors, and the Council's Chief Executive as and when appropriate.

22

6.2.8 The presence of these four members will ensure that the decisions of the IJB are informed by professional advice from within the membership of the IJB.

6.2.9 NHS Lothian includes a governance statement in its annual accounts, the content of which is informed by the annual reports of its governance committees (such as healthcare governance and staff governance) and certificates of assurance from its Executive Clinical Directors. The IJB may place reliance on these existing processes, and the Parties will provide any such reports from those processes as the IJB may require.

6.2.10 The Executive Clinical Directors shall be entitled to raise issues directly with the IJB in writing. The IJB shall be required to respond in writing when issues are raised in this way. The Chief Social Work Officer will be a non-voting member of the IJB, and can therefore raise any issues directly at the IJB.

6.2.11 The engagement of professionals throughout the process to develop and consult on the Strategic Plan, is intended to ensure that the IJB has all the required information to prepare a Strategic Plan, which will not compromise professional standards.

6.2.12 In the unlikely event that the IJB issues a direction to NHS Lothian, which is reasonably likely to compromise professional standards, then in the first instance, the relevant Executive Clinical Director will write to the IJB.

6.2.13 If the issue is not resolved to his/her satisfaction, he/she must inform the board of NHS Lothian before it takes action to implement the direction, and the following measures will apply:
   a) The relevant Executive Clinical Director must ensure that appropriate advice is tendered to the board of NHS Lothian on all matters relating to professional standards;
   b) The relevant Executive Clinical Director must set out in writing to NHS Lothian any objections he/she may have on a proposal that may compromise compliance with professional standards;
   c) The board of NHS Lothian will inform the IJB that it has received such objections, along with a statement of the views of the board of NHS Lothian on those objections;
   d) If board of NHS Lothian decides to proceed with a proposal despite those objections, the relevant executive clinical director will be provided with written authority from the board of NHS Lothian to act on the proposal. NHS Lothian must inform the Scottish Government Health and Social Care Directorate if a request for such a written authority is made. A copy of that authority must be sent to the appropriate regulatory body, e.g. General Medical Council;
   e) Once the relevant executive clinical director has received that written authority, he/she must comply with it;

6.2.14 Regardless of whether a written authority has been given, the executive clinical directors, in their capacity NHS Lothian members, should always vote against a

23

proposal that they cannot endorse as accountable officers.   It is not sufficient to abstain from a decision.

6.2.15   The three professional clinical members on the IJB (two medical practitioners, one nurse) are non-voting members. They will be expected by the Executive Clinical Directors to raise any concerns in relation to matters which may compromise professional standards with the IJB.

6.2.16   If any of the three professional clinical members becomes aware of a matter arising from the conduct of IJB business, which may compromise professional standards, he/she must immediately notify the relevant executive clinical director(s) of their concerns.

6.2.17   The Chief Social Work Officer must be a non-voting member of the Integrated Joint Board, and as such, will contribute to decision-making, and will provide relevant professional advice to influence service development.

6.2.18   In the event that the Integrated Joint Board issues an direction to the Council or NHS Lothian, which in the view of the Chief Social Work Officer compromises professional social work standards or the discharge of statutory functions, the Chief Social Work Officer must immediately notify the Chief Officer of his/her concerns and if his/her concerns are nor resolved by the Chief Officer to his/her satisfaction. Must then raise the matter with the Chief Executive of the Council.

6.3   Professionals Informing the IJB Strategic Plan

6.3.1   With regard to the development and approval of its Strategic Plan, the IJB is required to:
   a)   Establish a strategic planning group (which will review the draft Strategic Plan). This strategic planning group must include a nominee from both NHS Lothian and the Council in its membership, as well as representation from health professionals and social care professionals.   NHS Lothian and the Council will make recommendations to the IJB with regard to the representation from health professionals and social care professionals;
   b)   Consult both NHS Lothian and the Council on its Strategic Plan, and take into account their views before it finalises the Strategic Plan.

6.3.2   There will be three opportunities within these arrangements for professional engagement in the planning process;
   a)   At the IJB;
   b)   in the context of the work of the strategic planning group; and
   c)   as part of the consultation process with the Parties associated with the Strategic Plan.

6.3.3 The membership of the IJB will not be the only source of professional advice available to the IJB. In advance of the establishment of the IJB the Parties agree that the chairs of all appropriate committees and groups will be informed that they are able to, and expected to, directly provide advice to the IJB. Those committees and groups may also advise an integrated professional group that provides advice to the IJB. Those committees and groups include, but are not limited to:

     a)   Area Clinical Forum;

     b)   Local consultative committees that have been established under Section 9 of the National Health Service (Scotland) Act 1978;

     c)   Managed Clinical/ Care Networks;

     d)   East and Mid Lothian Public Protection Committee (adult and child protection, drug and alcohol, violence against women, offender management etc.).   The IJB will consult this committee on any plans that may impact on the protection of children or vulnerable adults or people who are assessed as posing a risk;

     e)   Any integrated professional group established.

6.3.4 NHS Lothian and the Council will ensure that the draft Strategic Plan is sent to the following senior professionals in order to secure their input and advice:

     a)   NHS Lothian Executive Medical Director;

     b)   NHS Lothian Executive Director of Nursing and Allied Health Professions

     c)   NHS Lothian Director of Public Health & Health Policy;

     d)   Chief Social Work Officer.

6.3.5 The engagement of the Council's professionals will not be limited to social work staff, but will extend to related professionals within social care, such as, but not exclusively, occupational therapists, home care and social care staff.

6.3.6 The approach to locality planning and delivery including the arrangements for clinical and social care governance will be developed through the strategic planning process in a collaborative manner for the IJB.

6.4 External scrutiny of clinical and care functions

6.4.1 NHS Lothian seeks assurance for internal control/quality through its Healthcare Governance Committee, which includes reports by external bodies such as Healthcare Improvement Scotland.

6.4.2 The Care Inspectorate (Social Care and Social Work Improvement Scotland) regulates, inspects and supports improvement of adult and children's social work and social care, and their reports feed into the Council's system of governance.

6.4.3 The IJB will consequently be informed of any relevant issues from external scrutiny, as a consequence of drawing from the systems already established by the Parties.

6.5   Service User and Carer Feedback

6.5.1   The Parties have a range of systems already in place to capture and respond to service users' experience, and these will continue to be used as the Parties implement the directions of the IJB.

7. Chief Officer

7.1   The Chief Officer will be appointed by the IJB; he/she will be employed by one of the Parties and will be seconded to the IJB.

7.2   The Chief Officer will provide a strategic leadership role as principal advisor to and officer of the IJB and will be a member of the senior management team of one or both of the Parties. The Chief Officer will lead the development and delivery of the Strategic Plan for the IJB and will be accountable to the IJB for the content of the directions issued to the constituent authorities by the IJB and for monitoring compliance by the Parties with directions issued by the IJB.

7.3   The Chief Officer will report directly to the Chief Executives of both Parties. There will be a joint process for the regular performance, support and supervision with both Chief Executives.. Annual objectives for the Chief Officer will be agreed and the process will involve the Chair of the IJB agreeing objectives with the Chief Officer relevant to his/her role with the IJB as well as the Chief Executives of the Parties. The Chief Officer's performance against those annual objectives will be monitored through an agreed Performance Management Framework established by the Party which is his/her employer.

7.4   If an interim replacement for the Chief Officer of the IJB is required, in line with a request from the IJB to that effect (on the grounds that the Chief Officer is absent or otherwise unable to carry out his/her functions), the Chief Executives of the Parties will initiate a joint selection process, identifying a list of potential replacements; and selection of a suitable candidate will be undertaken against a set of agreed criteria. The interim replacement will be employed by one of the Parties and will be seconded to the Integration Joint Board on an interim basis.

7.5   The Chief Officer will have operational responsibility for all of the functions delegated to the IJB with the following exceptions:
   ● The Chief Officer for NHS Lothian acute hospital services and directors responsible for the Western General Hospital, the Royal Infirmary of Edinburgh, St John's Hospital and the Royal Edinburgh Hospital will provide delegated services on these hospital sites that will not be operationally managed by the Chief Officer.
   ● Specific NHS Lothian functions which will be managed on a pan-Lothian basis as a 'hosted service' by one of the four Chief Officers in Lothian.

7.6   A group consisting of Directors responsible for hospital functions delegated to the IJB and the Chief Officers of the four IJBs in Lothian will be established to ensure close working arrangements between a) IJB Chief Officers, the Chief Officer, for NHS Lothian acute hospital services and the Hospital Site Directors and b) Chief Officers responsible for the management of a hosted service on behalf of the other three Lothian Chief Officers.

8. Workforce

8.1   The arrangements in relation to their respective workforces agreed by the Parties are:
   a)   For staff managed by a line manager who is employed on different terms and conditions, the manager will observe the contract of employment and apply the employer's employment policies and procedures. Guidance will be available to assist the line manager. In addition the Parties will establish professional leadership lines of accountability to ensure clinical and professional standards are monitored and maintained.
   b)   The Parties have agreed an Organisational Development Plan which is being implemented. There is a Human Resources and Organisational Group which includes Senior Managers and Trades Unions from both organisations.

8.2   The Parties have developed a Human Resources and Organisational Development plan which supports the workforce through the integration process. This is a comprehensive plan which covers staff communication, staff engagement, staff and team development, leadership development and the training needs for staff that will be responsible for managing integrated teams. This plan will be reviewed and updated annually to ensure that it takes account of the strategic plan of the IJB and the development needs of staff within the IJB.

8.3   The Human Resources and Organisational Development plan will be reviewed annually in April each year. The Parties will also support the IJB to prepare a joint Workforce Development and Support Plan through the provision of professional, technical and support services described in Section 6.4 of this scheme. This Plan will sit alongside and be informed by the IJB's Strategic Plan. The Workforce Development and Support Plan will be developed within six months of the approval of the Strategic Plan by the IJB.

9. Finance

9.1 Financial Governance

This section describes the arrangements in relation to financial management and monitoring of integrated resources. It sets out the method for determining the resources to be made available by the Council and NHS Lothian to the IJB. It also explains the financial governance and management arrangements, including budget variances, and the financial reporting arrangements between the IJB, the Council and NHS Lothian.

9.2 Finance Officer

In relation to the preparation of its accounts and their audit, the IJB is governed by the same legislation applying to local authorities and is required to make arrangements for the proper administration of its financial affairs; through a Chief Finance Officer with this responsibility. The Chief Finance Officer will be employed by the Council or NHS Lothian and seconded to the IJB. The holder of the post should be a member of a relevant professional accounting body, and the IJB should have regard to the current CIPFA Guidance on the role.

In the event that the Chief Finance Officer position is vacant or the holder is unable to act, the Chief Officer shall secure, in consultation with the IJB Chair, and through agreement with both the Council section 95 officer and the NHS Lothian Director of Finance, an appropriate interim dedicated resource to discharge the role.

9.3 Financial Management of the IJB

The IJB is responsible for determining its own internal financial governance arrangements; and the Chief Finance Officer will be responsive to the decisions of the IJB, and the principles of financial governance set out in this Scheme.

9.4 Principles of Financial Governance

The following principles of financial governance shall apply:
- NHS Lothian and the Council will work together in a spirit of openness and transparency
- NHS Lothian and the Council will work in partnership with the IJB with the objective of agreeing sufficient funding of delegated functions in line with the financial elements of the Strategic Plan

9.4.1 Financial Governance

The Parties will contribute to the establishment of an IJB budget. The Chief Officer will manage the IJB budget.

The Parties are required to implement the Directions of the IJB in carrying out the delegated functions in line with the strategic plan, provided that the IJB delegates the required level of resources to meet the anticipated cost of the delegated functions. The Parties will apply their established systems of financial governance to the payments

29

they receive from the IJB. The NHS Lothian Accountable Officer and the Council Section 95 Officer have legally defined responsibilities and accountability for the financial governance of their respective bodies.

The Chief Officer in their operational role within NHS Lothian and the Council is responsible for the financial management of any operational budgets (as defined in section 10 of this Scheme) that may be delegated to them by the Parties, and is accountable for this to the NHS Lothian Chief Executive and Council Section 95 officer.

The IJB will develop and maintain its own financial regulations. The Chief Finance Officer will periodically review these financial regulations and present any proposed changes to the IJB for its approval.

The Council will host the IJB Financial Accounts and will be responsible for recording the IJB financial transactions through its existing financial systems. The Integration Joint Board can hold reserves. It is a matter for the IJB to determine what its reserves strategy will be.

The Board's Chief Finance Officer is responsible for preparing the IJB's accounts and ensuring compliance with statutory reporting requirements as a body under the relevant legislation.

As part of the financial year end procedures and in order to develop the year-end financial statements, the Chief Finance Officer will work together with NHS Lothian and the Council to coordinate an exercise agreeing the value of balances and transactions with Council and NHS Finance teams. Each Party will provide information to this process on their recorded income, expenditure, receivable and payable balance with the IJB. The Board's Chief Finance Officer will lead with the Parties on resolving any differences.

The Chief Finance Officer will also be responsible for preparing a medium-term financial plan to be incorporated into the IJB's Strategic Plan. The Chief Finance Officer will liaise closely with NHS Lothian and the Council to develop integrated medium term financial planning and associated financial recovery plans taking account of assumptions around available funding and future service demands and service delivery models.

The Chief Finance Officer will also be responsible for preparing the annual financial statement that the IJB must publish under section 39 of the Act, which sets out what the IJB intends to spend in implementation of its Strategic Plan.

The Chief Finance Officer will be responsible for producing finance reports to the IJB, ensuring that those reports are appropriate for the needs of the IJB.

The Chief Finance Officer will liaise closely with the Council Section 95 officer and the NHS Lothian Director of Finance and their teams in order to discharge all aspects of their role.

9.5   Resources Delegated to the IJB

The resources delegated to the IJB fall into two categories: (i) payments for the delegated functions; and (ii) resources used in large hospitals that are set aside by NHS Lothian and made available to the IJB for inclusion in its Strategic Plan.

Section 1(3)(e) of the Act requires that the Scheme must set out a method of determining payments that are to be made in respect of (i) above. Section 1(3)(d) of the Act requires the Scheme to set out a method of determining the amounts to be made available by the Health Board for use by the IJB under (ii) above.

It is expected that the net difference between payments into and out of the IJB will result in a balancing payment between the Council and NHS Lothian which reflects the effect of the directions of the IJB. The balancing payment will be reviewed throughout the year and depending on the expected value for the adjusting payment, it will be either made one-off prior to year-end or on a quarterly basis. Such payments would incorporate values previously treated as resource transfer.

9.6   Annual Budget Payments to the IJB

The Council and NHS Lothian identify a core baseline operational budget for each function that is delegated to the IJB. This will be used as the basis to calculate their respective payments into the IJB budget each year. The previously agreed "resource transfer" payments from NHS Lothian will be part of the annual budget payment to the IJB

The Council and NHS Lothian have established financial planning processes which take into account the financial settlements they have received, and identified and assumed expenditure pressures, to arrive at opening annual budgets.   These same processes will be applied to the core baseline operational budgets for the delegated functions in order to arrive at the annual payments to the IJB.

The Council Section 95 officer and the NHS Lothian Director of Finance are responsible for preparing the budget contributions from their respective party. The amounts to be paid will be the outcome of the above processes.   They will consult with the Chief Officer and officers in both Parties as part of this process.
- The Council Section 95 officer and the NHS Lothian Director of Finance will each prepare a schedule outlining the detail and total value of the proposed payment from each party, and the underlying methodology and assumptions behind that payment. These draft schedules will identify any amounts included in the payments that are subject to separate legislation or subject to restrictions stipulated by third party funders.   The schedules will also contain the detail and total value of set aside resources for hospital services, made under section 1(3) (d) of the Act.
- The Council Section 95 officer and the NHS Lothian Director of Finance will refer the draft schedules to the Chief Officer so that they may have an opportunity to formally consider it.
- The Council Section 95 officer and the NHS Lothian Director of Finance will thereafter present the final draft schedules to the Parties.   This schedule must be agreed by the

Director of Finance of NHS Lothian, the Council Section 95 officer and the Chief Officer.

- The Council and NHS Lothian must approve their respective payments, in line with their governing policies

The Council Section 95 officer and NHS Lothian Director of Finance will liaise closely with the IJB Chief Officer and Chief Finance Officer on the assumptions to be used on annual budget contributions and will have due regard to the impact of any service re-design activities that have been a direct consequence of the IJB's Strategic Plan or Directions issued. Both the Council and NHS Lothian will provide indicative three year budget allocations to the IJB, subject to annual approval through their respective budget setting processes.

The Parties will ensure the Chief Officer and Chief Finance Officer are actively engaged in their financial planning processes. The Chief Officer will be expected to feed into the planning processes with any intelligence that is relevant, e.g. the aims of the Strategic Plan, the effect of previous directions on activity and expenditure, projected demand led changes in activity and expenditure. The Director of Finance of NHS Lothian, the Section 95 Officer of the Council and the IJB Chief Finance Officer will ensure a consistency of approach and consistent application of processes in considering budget assumptions and proposals.

9.6.1   **The set-aside of resources for use by the IJB under section 1(3) (d) of the Act**
In addition to the payments to the IJB, NHS Lothian will identify a set aside budget for delegated functions in large hospitals. The set aside budget for delegated hospital services will be based on an apportionment of the relevant Lothian NHS Board budgets for the delegated hospital services (excluding overheads).
The core baseline budget for the set-aside functions in each council area will be based on an appropriate methodology and agreed in partnership by the NHS Lothian and IJB.

9.6.2   **Hosted Services**
NHS Lothian carries out functions across four local authority areas. Some of the functions delegated to all four IJBs in the NHS Lothian boundary are currently provided as part of a single Lothian-wide service, commonly referred to as "hosted services".

The core baseline budget for the Hosted functions in each council area will be based on an appropriate methodology and agreed in partnership by the NHS Lothian and IJB.

9.7   Due Diligence

The Parties will share information on the financial performance over the previous two financial years of the functions and associated services delegated to the IJB. This will allow the Parties to undertake appropriate reviews to gain assurance as to whether the services are currently being delivered sustainably within approved resources, and that the anticipated payments will be sufficient for the IJB to carry out its integration functions.

If any such review indicates that the projected expenditure is likely to exceed the payments to the IJB, then the relevant Party will be notified. The relevant Party will be required to take action to ensure that services can be delivered within the available operational budget

32

The Parties recognise that of the functions which are to be delegated to the IJB, there are some where there is greater potential for the actual expenditure to vary significantly from projections. The Parties will identify what those functions are, and will ensure that information is provided to the IJB so that it is aware of the issues, and is able to focus on those functions within their systems for risk management and financial reporting.

This process of due diligence will be informed by, amongst other things, the intelligence within the financial performance reports covering all integration functions that the IJB will routinely receive.

9.8   Process to agree payments from the IJB to the Parties

The IJB will determine and approve, in accordance with the Strategic Plan, the payments to the Parties which will accompany its directions to them for carrying out functions delegated to the IJB. The Parties are required to implement the directions of the IJB in carrying out a delegated function in line with the Strategic Plan, having agreed with the IJB the resources required to deliver the said directions.

The Chief Finance Officer is responsible for providing the IJB with appropriate information and advice, so that it may determine what those payments should be.

Directions from the IJB to the Parties will take the form of a letter from the Chief Officer referring to the arrangements for delivery set out in the Strategic Plan and will include information on:

- the delegated function(s) that are to be carried out
- the outcomes to be delivered for those delegated functions
- the amount of and / or method of determining the payment to be made, in respect of the carrying out of the delegated functions.

Once issued, directions can be amended by a subsequent direction by the IJB.
Where amounts paid to the IJB are subject to separate legislation or subject to restrictions stipulated by third party funders, the IJB must reflect these amounts in full, in determining the level of the payments to be made to the Parties in respect of the carrying out of the relevant function or functions. However, the IJB is not precluded from increasing the resource allocated to the relevant services.

9.9   Financial Reporting to the IJB

Budgetary control and monitoring reports will be provided to the IJB as and when it requires. The reports will set out the financial position and forecast against the payments by the IJB to the Parties in respect of the carrying out of integration functions and against the amount set aside by NHS Lothian for hospital services. These reports will present the actual and forecast positions of expenditure compared to budgets for delegated functions and highlight any financial risks and areas where further action is required to manage budget pressures.

33

NHS Lothian will provide information on the set-aside budgets which will be contained in financial reports to the IJB.

Both Parties will provide the required information on budgetary performance from their respective finance systems, and this will be co-ordinated and consolidated by the Chief Finance Officer to provide reports to the IJB on all the Board's delegated functions.

It is expected that as a minimum there will be quarterly financial reports to the Chief Officer and the IJB.

9.9.1 **Process for addressing variance in the spending of the IJB**
The IJB is required to deliver its financial out-turn within available resources. Section 15 of this scheme sets out the arrangements for risk management, and financial risk (within the IJB and both Parties) will be managed in line with those arrangements.

The Parties will ensure that their respective budget monitoring and management systems will be applied to monitor and manage their expenditure in relation to delivery of integrated functions in accordance with directions issued to them by the IJB.

The manager leading this remedial action could be the Chief Officer in his or her operational capacity within the affected party.

In the event that such remedial action will not prevent the overspend, then Chief Finance Officer will, together with the relevant Party, develop a proposed recovery plan to address the forecast overspend. The Chief Finance Officer will then present that recovery plan to the IJB as soon as practically possible. The IJB has to be satisfied with the recovery plan, and the plan is subject to its approval.

9.9.2 **Additional Payments by the Parties to the IJB**
Where such a recovery plan is projected to be unsuccessful and an overspend occurs at the financial year end, and where there are insufficient available reserves held by the IJB to meet the overspend, then the Parties may make additional payments to the IJB.

The Chief Finance Officer and the Parties shall engage in discussion and negotiation about the amounts to be paid by each Party.

The Parties recognise that the delivery of delegated functions in accordance with the Strategic Plan depends on their co-operation between each other and with the IJB and that both Parties and the IJB must approach such discussions in good faith, recognising the pressures and constraints on their respective budgets and services. In such discussions the Parties recognise and accept that an overspend is at the risk of the Party incurring the overspend and the residual amount of overspend after usage of reserves must, in the absence of any other agreement, be met by that Party.

34

Recurring overspends will be considered as part of the following year's budget process. If a solution to the overspend cannot be agreed by the Parties, or is not agreed by the IJB, then the dispute resolution mechanism in this Scheme may require to be implemented.

9.9.3 Underspends

As part of their normal financial management systems, the Parties conduct in-year reviews of financial performance, and occasionally this may lead to a forecast of an underspend at the year-end on one or more budgets. In the event that this happens within the operational budgets then the following shall apply:

- if the underspend is fortuitous and unrelated to any IJB direction then the underspend should be returned to the affected Party (through an adjustment to the payments to the IJB)
- the IJB will retain all other underspends.
- The IJB can hold reserves, as determined by its Reserves Policy.

9.9.4 Treatment of variations against the amounts set aside for use by the IJB

A process will be agreed between NHS Lothian and the IJB to manage any variations within the set-aside budget. This process will reflect any variations in the activity that was used to establish the set-aside budget. Any cost variations will be managed in the same way as overspends and underspends within the Integrated payment as laid out above.

9.9.5 Redetermination of payments (made under section 1(3) (e)) to the IJB

Redeterminations of payments made by the Parties for the carrying out of integration functions would apply under the following circumstances:

- Additional one off funding is provided to a Party or Parties by the Scottish Government, or some other body, for expenditure in respect of a function delegated to the IJB
- The Parties, along with the IJB, agree that an adjustment to the payment is required to reflect changes in demand and/or activity levels

In all cases full justification for the proposed change would be required and both Parties and the IJB would be required to agree to the redetermination.   The Parties would apply the process used to calculate the payment to the IJB (described earlier) to the affected functions and the Strategic Plan would be required to be amended as necessary.

9.9.6 Redetermination of set aside payments (made under section 1(3) (d)) to the IJB

This process will reflect any variations in the activity that was used to establish the set-aside budget. Any cost variations will be managed in the same way as overspends and underspends within the Operational Budgets as specified above.

9.10 Use of Capital Assets

The IJB, NHS Lothian and the Council will ensure there is awareness of all capital assets which will be used in the delivery of the Strategic Plan.

Changes in use of capital assets will flow from the Strategic Plan and the directions issued by the IJB to the Parties. The Strategic Plan process will outline any implications or requirements for capital assets.

The Parties will ensure that their capital asset planning arrangements take due cognisance of the above implications and requirements.

The Chief Officer of the IJB will consult with the Parties to identify the specific need for improvements/changes to assets owned by each which may be required in connection with the carrying out of integration functions. Where a capital investment need is identified, a business case will require to be developed. Any business case will set out how the investment will meet the strategic objectives set out in the Strategic Plan and identify the ongoing revenue costs/savings associated with implementation of the proposals.

The IJB, the Council and NHS Lothian will work together to ensure assets required in connection with the carrying out of integration functions are used as effectively as possible and in compliance with the relevant legislation relating to use of public assets.

9.11 Audit and Financial Statements

9.11.1 Financial Statements and External Audit
The legislation requires that the IJB is subject to the audit and accounts provisions of a body under section 106 of the Local Government (Scotland) Act 1973 (section 13). This requires audited annual accounts to be prepared with the reporting requirements specified in the relevant legislation and regulations (section 12 of the Local Government in Scotland Act 2003, the Local Authority Accounts (Scotland) Regulations 2014 and other regulations under section 105 of the Local Government (Scotland) Act 1973). These will be proportionate to the limited number of transactions of the IJB whilst complying with the requirement for transparency and true and fair reporting in the public sector.

The Parties will agree a clear timetable for the preparation of the IJB's annual accounts which will incorporate a process to agree any balances between the IJB and the Parties.

As part of the financial year-end procedures and in order to develop the year-end financial statements, the Chief Finance Officer of the IJB will annually co-ordinate an exercise agreeing the value of balances and transactions with the Council and NHS Lothian finance teams. Each of the Parties will submit to the Chief Financial Officer their recorded income, expenditure, receivable and payable balance with the IJB. The Parties' respective finance representatives will then work to resolve any differences arising.

The IJB financial statements must be completed to meet the audit and publication timetable specified in the regulations (Regulations under section 105 of the Local

Government (Scotland) Act 1973). The Accounts Commission will appoint the external auditors to the IJB.

The financial statements will be signed in line with the governance arrangements for the IJB and as specified in the Local Authority Accounts (Scotland) Regulations 2014, made under section 105 of the Local Government (Scotland) Act 1973.

In all forms of audit the Parties are expected to comply with related requests and to aid the audit process.

37

10. Participation and Engagement

Participation and Engagement Strategy

10.1.1   The Parties will support the Chief Officer to produce a strategy for engagement with, and participation by members of the public, representative groups or other organisations in relation to the decisions about carrying out of integration functions as set out in section 4. The process to identify and provide support to the Chief Officer to develop the IJB's Participation and Engagement Strategy is described in section 5.3. As part of the process set out in section 5.3 the Parties will:

- Make available to the IJB arrangements that are already established for consultation by one or both of the Parties. The IB will consider a range of ways in which to connect with all stakeholders. The IJB will use existing consultation methods, for example (but not limited to), the Midlothian Citizens' Panel.
- Make available service/user participation and engagement teams to the IJB as this relates to function delegated within the Scheme.
- Make available communication support to allow the IJB to engage and participate.

10.1.2   The Parties expect that the IJB Participation and Engagement Strategy will be produced before the date the IJB approves the Strategic Plan. When the IJB approves the Strategic Plan the Parties expect that members must be satisfied that the Strategic Plan has had sufficient consultation and that the Participation and Engagement Strategy has been followed.

10.1.3   The development of the participation and engagement strategy will be achieved using a collaborative response, involving the membership of the Midlothian Strategic Planning Group.

10.1.4   The Strategic Planning Group is expected will take both an advisory and active role in the undertaking of future participation and engagement around the implications of service development and re-design.

Consultation on this Integration Scheme

10.1.5   A three stage approach was adopted to ensure sufficient involvement and consultation in the development of this Scheme:

- **Stage 1: Informing and Engaging:**
  Initial review was undertaken and revisions made by officers of the Parties with the involvement of a range of professionals within both Parties. This draft was approved for consultation by the Parties
- **Stage 2: Consultation**
  A formal internal and external stakeholder consultation was held from the 18th of March to the 10th of April 2022.

- **Stage 3: Response to the consultation**
  The revised integration scheme was further developed by officers, guided by the consultation, and submitted for approval by the Parties to submit to Scottish Government

Further details of the people and groups involved in the informing, engagement and consultation on the Midlothian Integration Scheme are set out in Annex 4.

39

11. Information Sharing & Data Handling

11.1   There is an existing and long standing Pan-Lothian and Borders General Information Sharing Protocol, to which NHS Lothian, City of Edinburgh Council, East Lothian Council, Midlothian Council, West Lothian Council, and Scottish Borders Council are all signatories, and had previous modifications to comply with the Integration Scheme Regulations. This Protocol will be subject to periodic review by a sub-group on behalf of the Pan Lothian Data Sharing Partnership, and any resulting update(s) agreed will form the Protocol in use to support this Scheme of Establishment. Any updated final Protocol, following consultation, will be recommended for signature by Chief Executives of respective organisations, and the Chief Officers of the Integrated Joint Boards, on behalf of the Pan-Lothian Data Sharing Partnership.

11.2   Procedures for sharing information between the Council, NHS Lothian, and the Integration Joint Board are available in Memorandum of Understanding document for the Sharing of information for the purposes of the integration of health and social care services. This Memorandum of Understanding will be subject to periodic review by a sub-group on behalf of the Pan Lothian Data Sharing Partnership to ensure that the detail, more granular purposes, requirements, procedures and agreements for each of the Lothian Integrated Joint Boards and the functions respectively delegated to them are kept up to date. This will also form the process for amending the Pan Lothian and Borders General Information Sharing Protocol.

11.3   The Council and NHS Lothian will continue to be Data Controller for their respective records (electronic and manual), and will detail arrangements for control and access. The Integration Joint Board may require to be Data Controller for personal data if it is not held by either by the Council or NHS Lothian.

11.4   Arrangements for Third party organisations access to records will be jointly agreed by both Parties and the IJB prior to access.

11.5   Procedures will be based on a single point of governance model. This allows data and resources to be shared, with governance standards, and their implementation, being the separate responsibility of each organisation. Shared datasets governance will be agreed by all contributing partners prior to access.

11.6   Following consultation, all periodically updated Information Sharing Protocols and procedure documents will be recommended for signature by the Chief Executives of respective organisations, and the Chief Officers of the Lothian Integrated Joint Boards.

11.7   Agreements and procedures will be reviewed annually by the sub group of the Pan-Lothian Data Sharing Partnership, or more frequently if required. This will follow the process described in 11.2.

12. Complaints

The Parties agree the following arrangements in respect of complaints:

12.1   Any person will be able to make complaints to either to the Council or to the NHS Board. The Parties have in place well publicised, clearly explained and accessible complaints procedures, which allow for timely recourse and signpost independent advocacy services, where appropriate. There is an agreed emphasis on resolving concerns locally and quickly; as close to the point of service delivery as possible.

Complaints can be made to:
The Midlothian Council by:
Telephone: 0131 561 5444
Email: feedback@midlothian.gov.uk
Online: www.midlothian.gov.uk/feedback
In writing to Midlothian Council feedback, Freepost SCO5613, Dalkeith, EH22 0BR

NHS Lothian by:
Telephone: 0131 536 3370
Email: feedback@nhslothian.scot.nhs.uk
In writing to NHS Lothian Patient Experience Team, Waverley Gate, 2 – 4 Waterloo Place, Edinburgh, EH1 3EG.

The IJB has also developed its own Complaints Handling Procedure which will be reviewed on a regular basis

12.2   There are currently different legislative requirements in place for dealing with complaints about health and social care. Complaints regarding the delivery of an integrated service will be made to, and dealt with by, the Party that delivers the integrated service, in line with their published complaints procedure, and consistent with any statutory complaints handling arrangements that apply. It is the responsibility of the Party initially receiving a complaint to make sure that it is routed to the appropriate organisation/individual, so that a service user only needs to submit a complaint once.

12.3   From 1 April 2017, the health and social work complaints handling procedures were aligned and therefore have the same stages and timescales, with the exception of timescale extensions. Additionally, complaints about Social Work functions were merged into the Local Authority Model Complaint Handling Procedure in 2020 (now reflected in the updated Midlothian Council Complaints Handling Procedure). Joint working protocols will be adopted so that the process of making a complaint is as simple as possible and complaints about integrated services are responded to clearly, thoroughly and timeously. These joint working protocols will identify the lead organisation for each integrated service and will include the contact details of officers responsible for managing any complaints received.

41

12.4   When a complaint covers both health and social care functions, responsible officers within the Council and NHS Lothian will, where necessary, work together to make sure all parts of the complaint are investigated and responded to within established time limits and the complainant is correctly signposted to the options open to them if they remain dissatisfied. Wherever possible, there will be a joint response from the identified Party rather than separate responses.

12.5   At the end of the process, complainants are entitled to take their complaint to the Scottish Public Services Ombudsman. Where appropriate, complainants will also be advised of their right to complain to the Care Inspectorate and information held by the Council may be shared with the Care Inspectorate.

12.6   Responsibility for responding to the Scottish Public Services Ombudsman lies with the Party who dealt with the original complaint. Where necessary, officers responsible for complaints handling within the Council and NHS Lothian will work together to provide a full response to any Scottish Public Services Ombudsman enquiry that covers both health and social care functions.

12.7   The Chief Officer will have an overview of complaints made about integrated services and subsequent responses. Complaints about integrated services will be recorded and reported to the Chief Officer on a regular and agreed basis. Regular trend analysis of complaints and outcomes will also be carried out as part of a wider quality assurance framework.

12.8   All independent contractors will be required to have a complaints procedure. Where complaints are received about the service provided by an independent contractor, the Party receiving the complaint will refer the complaint to the independent contractor in the first instance, either providing contact details or by passing the complaint on, depending on the preferred approach of the complainant. Complaints received about independent contractors will be recorded for contract monitoring purposes.

13. Claims Handling, Liability & Indemnity

13.1 The Parties and the Integration Joint Board recognise that they could receive a claim arising from or which relates to the work undertaken on behalf of the Integration Joint Board.

13.2 The Parties agree to ensure that any such claims are progressed quickly and in a manner which is equitable between them.

13.3 So far as reasonably practicable the normal common law and statutory rules relating to liability will apply.

13.4 Each Party will assume responsibility for progressing and determining any claim which relates to any act or omission on the part of one of their employees.

13.5 Each Party will assume responsibility for progressing and determining any claim which relates to any building which is owned or occupied by them.

13.6 Each Party will assume responsibility for progressing and determining any claim which relates to any heritable property which is owned by them. If there are any heritable properties owned jointly by the Parties, further arrangements for liability will be agreed upon in consultation with insurers.

13.7 In the event of any claim against the Integration Joint Board or in respect of which it is not clear which Party should assume responsibility then the Chief Officer (or their representative) will liaise with the Chief Executives of the Parties (or their representatives) and determine which Party should assume responsibility for progressing the claim.

13.8 If a claim is settled by either Party, but it subsequently transpires that liability rested with the other Party, then that Party shall indemnify the Party which settled the claim.

13.9 Claims regarding policy and/or strategic decisions made by the IJB shall be the responsibility of the IJB. The IJB may require to engage independent legal advice for such claims.

13.10 If a claim has a "cross boundary" element whereby it relates to another integration authority area, the Chief Officers of the integration authorities concerned shall liaise with each other until an agreement is reached as to how the claim should be progressed and determined.

13.11 The IJB will develop a procedure for claims relating to hosted services with the other relevant integration authorities. Such claims may follow a different procedure than as set out above.

13.12 Claims which pre-date the establishment of the IJB will be dealt with by the Parties through the procedures used by them prior to integration.

14.   Risk Management

14.1.1 A shared risk management strategy which will include risk monitoring and a reporting process for the Parties and Integration Joint Board will be established in the first year of the Integration Joint Board. In developing this shared risk management strategy the Parties and the Integration Joint Board will review the shared risk management arrangements currently in operation. This in turn will provide a list of risks to be reported on.

14.1.2 The Parties will provide to the Integration Joint Board sufficient support to enable it to fully discharge its duties in relation to risk management. This will be determined through the process describe in section 5.3.

14.1.3 The Parties anticipate that the IJB will also develop and agree its own Risk Management Procedure in relation to carrying out of integration functions including reports which will cover all of its activities.

14.1.4 The Risk Management Procedure will include:-
   a)   A statement of the IJB's risk appetite and associated tolerance measures.
   b)   A description of how the system of risk management will work in practice, including procedures for the identification, classification, recording and reporting of risk, and the respective roles of the IJB and its officers. This will explain how the output from the risk management systems within NHS Lothian and the Council will inform the IJB's system of risk management.
   c)   A description of how the IJB system of risk management is informed by other related systems of NHS Lothian and the Council, such as complaints management, health & safety, adverse events management, emergency planning and business resilience.
   d)   An agreement between the Parties on the resources to be made available to support risk management.

14.1.5 The IJB risk register will not duplicate the detail of risk registers within NHS Lothian and the Council. However, the IJB will update its risk register should there by any emerging themes/risks which have a bearing on its activities.

14.2 NHS Lothian and the Council

14.2.1 Both organisations will continue to apply their existing policies and systems for risk management, and will implement any required restructuring of their risk registers to recognise the creation of the IJB.

14.2.2 NHS Lothian covers four local authority areas, and there will be some 'hosted services' which one operational director manages on a Lothian-wide basis. The identification and management of risk for those hosted services will reflect the differing directions of the four IJBs.

15. Dispute resolution mechanism

15.1   The Parties will commit to working well together, listening to each other and will always work to resolve any issues before they require the Dispute Resolution process to be actioned.

15.2   Where either of the Parties fails to agree with the other on any issue related to this Scheme of any of the duties, obligations, rights or powers imposed or conferred on them by the Act (A **"Dispute"**) then they will follow the process described below:
(a) The Chief Executives of NHS Lothian and the Council, and the Chief Officer, will meet to resolve the Dispute within 21 calendar days of being notified of the issue;
(b) If unresolved, NHS Lothian, the Council, and the Chief Officer, will each prepare a written note of their position on the Dispute and exchange it with the others within 14 calendar days of the meeting in (a) above;
(c) Within 14 calendar days of the exchange of written notes in (b) the Chief Executives and Chief Officer must meet to discuss the written positions;
(d) In the event that the issue remains unresolved, representatives of NHS Lothian and the Council will proceed to mediation with a view to resolving the Dispute.

15.3   Scottish Government will be informed by the chairperson of the IJB of the Dispute, the mediation process being followed and the agreed timeframe to conclude the mediation process. A copy of this correspondence will be sent to the Chair of NHS Lothian and the Leader of the Council.

15.4   The mediator will be external to the Parties and will be identified and appointed with the agreement of the Chair of NHS Lothian and the Leader of the Council and failing agreement within 21 days shall be nominated by the Centre of Effective Dispute Resolution (CEDR) on the request of either Party.

15.5   The mediation will start no later than 21 days after the date of the appointment of the mediator.

15.6   The Parties agree that the cost of the mediator will be met equally by NHS Lothian and the Council.

15.7   The timeframe to resolve the issue will be agreed prior to the start of the mediation process by the Chair of NHS Lothian and the Leader of the Council.

15.8   Where the Dispute remains unresolved after following the processes outlined in section 15.2 above, the Parties agree that the chairperson of the Integration Joint Board shall write to the Scottish Ministers to provide notification that agreement cannot be reached. Scottish Government will then instruct the Parties how to proceed.

15.9   The Parties shall cooperate with each other to mitigate any adverse affect on service delivery pending resolution of the Dispute.

15.10   Nothing in this Scheme shall prevent the Parties from seeking any legal remedy or from commencing or continuing court proceedings in relation to the Dispute.

45

Annex 1: Part 1 – Functions delegated by NHS Lothian to the IJB

Set out below is the list of functions that are to be delegated by NHS Lothian to the IJB in compliance with the Public Bodies (Joint Working) (Prescribed Health Board Functions) (Scotland) Regulations 2014.

The National Health Service (Scotland) Act 1978

All functions of Health Boards conferred by, or by virtue of, the National Health Service (Scotland) Act 1978 except functions conferred by or by virtue of:

- section 2(7) (Health Boards);
- section 2CB([1]) (Functions of Health Boards outside Scotland);
- section 9 (local consultative committees);
- section 17A (NHS Contracts);
- section 17C (personal medical or dental services);
- section 17I([2]) (use of accommodation);
- section 17J (Health Boards' power to enter into general medical services contracts);
- section 28A (remuneration for Part II services);
- section 48 (provision of residential and practice accommodation);
- section 55([3]) (hospital accommodation on part payment);
- section 57 (accommodation and services for private patients);
- section 64 (permission for use of facilities in private practice);
- section 75A([4]) (remission and repayment of charges and payment of travelling expenses);
- section 75B([5])(reimbursement of the cost of services provided in another EEA state);
- section 75BA ([6])(reimbursement of the cost of services provided in another EEA state where expenditure is incurred on or after 25 October 2013);
- section 79 (purchase of land and moveable property);

([1])   Section 2CB was inserted by S.S.I. 2010/283, regulation 3(2)(as section 2CA) and re-numbered as section 2CB by S.S,I 2013/293, regulation 8(2).

([2])   Section 17I was inserted by the National Health Service (Primary Care) Act 1997 (c.46), Schedule 2 and amended by the Primary Medical Services (Scotland) Act 2004 (asp 1), section 4. The functions of the Scottish Ministers under section 17I are conferred on Health Boards by virtue of S.I. 1991/570, as amended by S.S.I. 2006/132.

([3])   Section 55 was amended by the Health and Medicines Act 1988 (c.49), section 7(9) and Schedule 3 and the National Health Service and Community Care Act 1990 (c.19), Schedule 9. The functions of the Secretary of State under section 55 are conferred on Health Boards by virtue of S.I. 1991/570.

([4])   Section 75A was inserted by the Social Security Act 1988 (c.7), section 14, and relevantly amended by S.S.I. 2010/283. The functions of the Scottish Ministers in respect of the payment of expenses under section 75A are conferred on Health Boards by S.S.I. 1991/570.

([5])   Section 75B was inserted by S.S.I. 2010/283, regulation 3(3) and amended by S.S.I. 2013/177.

([6])   Section 75BA was inserted by S.S.I. 2013/292, regulation 8(4).

- section 82([7]) use and administration of certain endowments and other property held by Health Boards);
- section 83([8]) (power of Health Boards and local health councils to hold property on trust);
- section 84A([9]) (power to raise money, etc., by appeals, collections etc.);
- section 86 (accounts of Health Boards and the Agency);
- section 88 (payment of allowances and remuneration to members of certain bodies connected with the health services);
- section 98 ([10]) (charges in respect of non-residents); and
- paragraphs 4, 5, 11A and 13 of Schedule 1 to the Act (Health Boards);
- and functions conferred by—
- The National Health Service (Charges to Overseas Visitors) (Scotland) Regulations 1989 ([11]);
- NHS Lothians (Membership and Procedure) (Scotland) Regulations 2001/302;
- The National Health Service (Clinical Negligence and Other Risks Indemnity Scheme) (Scotland) Regulations 2000/54;
- The National Health Services (Primary Medical Services Performers Lists) (Scotland) Regulations 2004/114;
- The National Health Service (Primary Medical Services Section 17C Agreements) (Scotland) Regulations 2004;
- The National Health Service (Discipline Committees) Regulations 2006/330;
- The National Health Service (General Ophthalmic Services) (Scotland) Regulations 2006/135;
- The National Health Service (Pharmaceutical Services) (Scotland) Regulations 2009/183;
- The National Health Service (General Dental Services) (Scotland) Regulations 2010/205; and
- The National Health Service (Free Prescription and Charges for Drugs and Appliances) (Scotland) Regulations 2011/55([12]).

([7])   Section 82 was amended by the Public Appointments and Public Bodies etc. (Scotland) Act 2003 (asp 7) section 1(2) and the National Health Service Reform (Scotland) Act 2004 (asp 7), schedule 2.

([8])   There are amendments to section 83 not relevant to the exercise of a Health Board's functions under that section.

([9])   Section 84A was inserted by the Health Services Act 1980 (c.53), section 5(2). There are no amendments to section 84A which are relevant to the exercise of a Health Board's functions.

([10])   Section 98 was amended by the Health and Medicines Act 1988 (c.49), section 7. The functions of the Secretary of State under section 98 in respect of the making, recovering, determination and calculation of charges in accordance with regulations made under that section is conferred on Health Boards by virtue of S.S.I. 1991/570.

([11])   S.I. 1989/364, as amended by S.I. 1992/411; S.I. 1994/1770; S.S.I. 2004/369; S.S.I. 2005/455; S.S.I. 2005/572 S.S.I. 2006/141; S.S.I. 2008/290; S.S.I. 2011/25 and S.S.I. 2013/177.

([12])   S.S.I. 2011/55, to which there are amendments not relevant to the exercise of a Health Board's functions.

47

Disabled person's (Services, Consultation and Representation) Act 1986

Section 7 - (Persons discharged from hospital)

Community Care and Health (Scotland) Act 2002

All functions of Health Boards conferred by, or by virtue of, the Community Care and Health (Scotland) Act 2002.

Mental Health (Care and Treatment) (Scotland) Act 2003

All functions of Health Boards conferred by, or by virtue of, the Mental Health (Care and Treatment) (Scotland) Act 2003 except functions conferred by:

- section 22 (Approved medical practitioners);
- section 34 (Inquiries under section 33: co-operation)([13]);
- section 38 (Duties on hospital managers: examination notification etc.)([14]);
- section 46 (Hospital managers' duties: notification)([15]);
- section 124 (Transfer to other hospital);
- section 228 (Request for assessment of needs: duty on local authorities and Health Boards);
- section 230 (Appointment of a patient's responsible medical officer);
- The Mental Health (Safety and Security) (Scotland) Regulations 2005([16]);
- The Mental Health (Cross Border transfer: patients subject to detention requirement or otherwise in hospital) (Scotland) Regulations 2005([17]);
- The Mental Health (Use of Telephones) (Scotland) Regulations 2005([18]); and
- The Mental Health (England and Wales Cross border transfer: patients subject to detention requirement or otherwise in hospital) (Scotland) Regulations 2008([19]).
- The Mental Health (Safety and Security) (Scotland) Regulations 2005([20]);

([13])   There are amendments to section 34 not relevant to the exercise of a Health Board's functions under that section.

([14])   Section 329(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003 provides a definition of "managers" relevant to the functions of Health Boards under that Act.

([15])   Section 46 is amended by S.S.I. 2005/465.

([16])   S.S.I. 2005/464, to which there are amendments not relevant to the exercise of the functions of a Health Board. Section 329(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003 provides a definition of "managers" relevant to the functions of Health Boards.

([17])   S.S.I. 2005/467. Section 329(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003 provides a definition of "managers" relevant to the functions of Health Boards.

([18])   S.S.I. 2005/468. Section 329(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003 provides a definition of "managers" relevant to the functions of Health Boards.

([19])   S.S.I. 2008/356. Section 329(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003 provides a definition of "managers" relevant to the functions of Health Boards.

([20])   S.S.I. 2005/464, to which there are amendments not relevant to the exercise of the functions of a Health Board. Section 329(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003 provides a definition of "managers" relevant to the functions of Health Boards.

48

- The Mental Health (Cross Border transfer: patients subject to detention requirement or otherwise in hospital) (Scotland) Regulations 2005([21]);
- The Mental Health (Use of Telephones) (Scotland) Regulations 2005([22]); and
- The Mental Health (England and Wales Cross border transfer: patients subject to detention requirement or otherwise in hospital) (Scotland) Regulations 2008([23]).

Education (Additional Support for Learning) (Scotland) Act 2004

Section 23- (other agencies etc. to help in exercise of functions under this Act)

Public Services Reform (Scotland) Act 2010

All functions of Health Boards conferred by, or by virtue of, the Public Services Reform (Scotland) Act 2010 except functions conferred by:

- Section 31 - (Public functions: duties to provide information on certain expenditure etc.);
- Section 32 - (Public functions: duty to provide information on exercise of functions).

Patient Rights (Scotland) Act 2011

All functions of Health Boards conferred by, or by virtue of, the Patient Rights (Scotland) Act 2011 except functions conferred by The Patient Rights (Complaints Procedure and Consequential Provisions) (Scotland) Regulations 2012/36([24]).

Carers (Scotland) Act 2016

Section 12 - (duty to prepare young carer statement)
Section 31 - (duty to prepare local carer strategy)

But in each case, subject to the restrictions set out in article 3(3) of the Public Bodies (Joint Working) (Prescribed Health Board Functions) (Scotland) Regulations so far as they extend to the services detailed in Part 2 of Annex 1 of this Scheme.

([21])   S.S.I. 2005/467. Section 329(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003 provides a definition of "managers" relevant to the functions of Health Boards.
([22])   S.S.I. 2005/468. Section 329(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003 provides a definition of "managers" relevant to the functions of Health Boards.
([23])   S.S.I. 2008/356. Section 329(1) of the Mental Health (Care and Treatment) (Scotland) Act 2003 provides a definition of "managers" relevant to the functions of Health Boards.
([24])   S.S.I. 2012/36. Section 5(2) of the Patient Rights (Scotland) Act 2011 (asp 5) provides a definition of "relevant NHS body" relevant to the exercise of a Health Board's functions.

49

Annex 1: Part 2 – Services Currently Provided by NHS Lothian which are to be delegated.

Interpretation of this Part 2 of Annex 1

In this schedule—

"Allied Health Professional" means a person registered as an allied health professional with the 'Health and Care Professions Council';

"General medical practitioner" means a medical practitioner whose name is included in the General Practitioner Register kept by the General Medical Council;

"General medical services contract" means a contract under section 17J of the National Health Service (Scotland) Act 1978;

"Hospital" has the meaning given by section 108(1) of the National Health Service (Scotland) Act 1978;

"inpatient hospital services" means any health care service provided to a patient who has been admitted to a hospital and is required to remain in that hospital overnight, but does not include any secure forensic mental health services;

"out of hours period" has the same meaning as in regulation 2 of the National Health Service (General Medical Services Contracts) (Scotland) Regulations 2004([25]); and

"the public dental service" means services provided by dentists and dental staff employed by a health board under the public dental service contract.

The functions listed in Part 1 of Annex 1 are delegated to the extent that they are exercisable in the provision of the following services:

Part 2 A

Provision for people over the age of 18

The functions listed in Part 1 are delegated to the extent that:
a) the function is exercisable in relation to the persons of at least 18 years of age:
b) the function is exercisable in relation to care or treatment provided by health professionals for the purposes of the health care services listed at numbers 1-6 in the list below: and
c) the function is exercisable in relation to the health services listed in this part 2A

> **1.** Accident and Emergency services provided in a hospital.
>
> **2.** Inpatient hospital services relating to the following branches of medicine—
>
> > (a) general medicine;

([25])   S.S.I. 2004/115.

(b) geriatric medicine;

(c) rehabilitation medicine;

(d) respiratory medicine; and

(e) Psychiatry of learning disability.

3. Palliative care services provided in a hospital.

4. Inpatient hospital services provided by General Medical Practitioners.

5. Services provided in a hospital in relation to an addiction or dependence on any substance.

6. Mental health services provided in a hospital, except secure forensic mental health services.

7. District nursing services.

8. Services provided outwith a hospital in relation to an addiction or dependence on any substance.

9. Services provided by allied health professionals in an outpatient department, clinic, or outwith a hospital.

10. The public dental service.

11. Primary medical services provided under a general medical services contract, and arrangements for the provision of services made under section 17C of the National Health Service (Scotland) Act 1978, or an arrangement made in pursuance of section 2C(2) of the National Health Service (Scotland) Act 1978([26]).

12. General dental services provided under arrangements made in pursuance of section 25 of the National Health (Scotland) Act 1978([27]).

13. Ophthalmic services provided under arrangements made in pursuance of section 17AA or section(26 of the National Health Service (Scotland) Act 1978([28]).

14. Pharmaceutical services and additional pharmaceutical services provided under arrangements made in pursuance of sections 27 and 27A of the National Health Service (Scotland) Act 1978([29]).

([26]) Section 2C was inserted by the Primary Medical Services (Scotland) Act 2004 (asp 1), section 1(2) and relevantly amended by the National Health Service Reform (Scotland) Act 2004 (asp 7), schedule 1, and the Tobacco and Primary Medical Services (Scotland) Act 2010 (asp 3), section 37.

([27]) Section 25 was relevantly amended by the Smoking, Health and Social Care (Scotland) Act 2005 (asp 13), section 15.

([28]) Section 17AA was inserted by the National Health Service (Primary Care) Act 1997 (c.46), section 31(2) and relevantly amended by the Smoking, Health and Social Care (Scotland) Act 2005 (asp 13), section 25. Section 26 was relevantly amended by the Health and Social Security Act 1984 (c.48), Schedule 1, and the Smoking, Health and Social Care (Scotland) Act 2005 (asp 13) section 13.

([29]) Section 27 was relevantly amended by the Health Services Act 1990 (c.53), section 20; the National Health Service and Community Care Act 1990 (c.19), Schedule 9; the Medicinal Products: Prescription by Nurses etc. Act 1992 (c.28), section 3; the National Health Service and Community Care Act 1997 (c.46), Schedule 2 and the Health and Social Care Act 2001 (c.15), section 44.

51

15. Services providing primary medical services to patients during the out-of-hours period.

16. Services provided outwith a hospital in relation to geriatric medicine.

17. Palliative care services provided outwith a hospital.

18. Community learning disability services.

19. Mental health services provided outwith a hospital.

20. Continence services provided outwith a hospital.

21. Kidney dialysis services provided outwith a hospital.

22. Services provided by health professionals that aim to promote public health.

Part 2B

NHS Lothian has also chosen to delegate the functions listed in Part 1 of Annex 1 in relation to the following services.

Provision for people under the age of 18

The functions listed in Part 1 are also delegated to the extent that:
a) The function is exercisable in relation to persons of less than 18 years of age; and
b) The function is exercisable in relation to the services listed in this part 2B

a) Primary Medical Services and General Medical Services (including GP Pharmaceutical services)

b) General Dental Services, Public Dental Services and the Edinburgh Dental Institute

c) General Ophthalmic Services

d) General Pharmaceutical Services

e) Out of Hours Primary Medical Services

f) Learning Disabilities

g) Health Visiting

h) School Nursing

52

Annex 2: Part 1A – Functions delegated by the Council to the Integration Joint Board

Set out below is the list of functions that must be delegated by the Council to the Integration Joint Board.

Functions prescribed for the purposes of section 1(7) of the Public Bodies (Joint Working) (Scotland) Act 2014

National Assistance Act 1948([30])

Enactment conferring function	Limitation
Section 48 (Duty of councils to provide temporary protection for property of persons admitted to hospitals etc.)	

The Disabled Persons (Employment) Act 1958([31])

Enactment conferring function	Limitation
Section 3 (Provision of sheltered employment by local authorities)	

([30])   1948 c.29; section 48 was amended by the Local Government etc. (Scotland) Act 1994 (c.39), Schedule 39, paragraph 31(4) and the Adult Support and Protection (Scotland) Act 2007 (asp 10) schedule 2 paragraph 1.

([31])   1958 c.33; section 3 was amended by the Local Government Act 1972 (c.70), section 195(6); the Local Government (Scotland) Act 1973 (c.65), Schedule 27; the National Health Service (Scotland) Act 1978 (c.70), schedule 23; the Local Government Act 1985 (c.51), Schedule 17; the Local Government (Wales) Act 1994 (c.19), Schedules 10 and 18; the Local Government etc. (Scotland) Act 1994 (c.49), Schedule 13; and the National Health Service (Consequential Provisions) Act 2006 (c.43), Schedule 1.

53

The Social Work (Scotland) Act 1968([32])

Enactment conferring function	Limitation
Section 1 (Local authorities for the administration of the Act.)	So far as it is exercisable in relation to another integration function.
Section 4 (Provisions relating to performance of functions by local authorities.)	So far as it is exercisable in relation to another integration function.
Section 8 (Research.)	So far as it is exercisable in relation to another integration function.
Section 10 (Financial and other assistance to voluntary organisations etc. for social work.)	So far as it is exercisable in relation to another integration function.
Section 12 (General social welfare services of local authorities.)	Except in so far as it is exercisable in relation to the provision of housing support services.
Section 12A (Duty of local authorities to assess needs.)	So far as it is exercisable in relation to another integration function.

([32])   1968 c.49; section 1 was relevantly amended by the National Health Service (Scotland) Act 1972 (c.58), schedule 7; the Children Act 1989 (c.41), Schedule 15; the National Health Service and Community Care Act 1990 (c.19) ("the 1990 Act"), schedule 10; S.S.I. 2005/486 and S.S.I. 2013/211. Section 4 was amended by the 1990 Act, Schedule 9, the Children (Scotland) Act 1995 (c.36) ("the 1995 Act"), schedule 4; the Mental Health (Care and Treatment) (Scotland) Act 2003 (asp 13) ("the 2003 Act"), schedule 4; and S.S.I. 2013/211. Section 10 was relevantly amended by the Children Act 1975 (c.72), Schedule 2; the Local Government etc. (Scotland) Act 1994 (c.39), Schedule 13; the Regulation of Care (Scotland) Act 2001 (asp 8) ("the 2001 Act") schedule 3; S.S.I. 2010/21 and S.S.I. 2011/211. Section 12 was relevantly amended by the 1990 Act, section 66 and Schedule 9; the 1995 Act, Schedule 4; and the Immigration and Asylum Act 1999 (c.33), section 120(2). Section 12A was inserted by the 1990 Act, section 55, and amended by the Carers (Recognition and Services) Act 1995 (c.12), section 2(3) and the Community Care and Health (Scotland) Act 2002 (asp 5) ("the 2002 Act"), sections 8 and 9(1). Section 12AZA was inserted by the Social Care (Self Directed Support) (Scotland) Act 2013 (asp 1), section 17. Section 12AA and 12AB were inserted by the 2002 Act, section 9(2). Section 13 was amended by the Community Care (Direct Payments) Act 1996 (c.30), section 5. Section 13ZA was inserted by the Adult Support and Protection (Scotland) Act 2007 (asp 10), section 64. Section 13A was inserted by the 1990 Act, section 56 and amended by the Immigration and Asylum Act 1999 (c.33), section 102(2); the 2001 Act, section 72 and schedule 3; the 2002 Act, schedule 2 and by S.S.I. 2011/211. Section 13B was inserted by the 1990 Act sections 56 and 67(2) and amended by the Immigration and Asylum Act 1999 (c.33), section 120(3). Section 14 was amended by the Health Services and Public Health Act 1968 (c.46), sections 13, 44 and 45; the National Health Service (Scotland) Act 1972 (c.58), schedule 7; the Guardianship Act 1973 (c.29), section 11(5); the Health and Social Service and Social Security Adjudications Act 1983 (c.41), schedule 10 and the 1990 Act, schedule 9. Section 28 was amended by the Social Security Act 1986 (c.50), Schedule 11 and the 1995 Act, schedule 4. Section 29 was amended by the 1995 Act, schedule 4. Section 59 was amended by the 1990 Act, schedule 9; the 2001 Act, section 72(c); the 2003 Act, section 25(4) and schedule 4 and by S.S.I. 2013/211.

Enactment conferring function	Limitation
Section 12AZA (Assessments under section 12A - assistance)	So far as it is exercisable in relation to another integration function.
Section 13 (Power of local authorities to assist persons in need in disposal of produce of their work.)	
Section 13ZA (Provision of services to incapable adults.)	So far as it is exercisable in relation to another integration function.
Section 13A (Residential accommodation with nursing.)	
Section 13B (Provision of care or aftercare.)	
Section 14 (Home help and laundry facilities.)	
Section 28 (Burial or cremation of the dead.)	So far as it is exercisable in relation to persons cared for or assisted under another integration function.
Section 29 (Power of local authority to defray expenses of parent, etc., visiting persons or attending funerals.)	
Section 59 (Provision of residential and other establishments by local authorities and maximum period for repayment of sums borrowed for such provision.)	So far as it is exercisable in relation to another integration function.

The Local Government and Planning (Scotland) Act 1982(³³)

Enactment conferring function	Limitation
Section 24(1) (The provision of gardening assistance for the disabled and the elderly.)	

(³³)　　1982 c.43; section 24(1) was amended by the Local Government etc. (Scotland) Act 1994 (c.39), schedule 13.

55

Disabled Persons (Services, Consultation and Representation) Act 1986([34])

Enactment conferring function	Limitation
Section 2 (Rights of authorised representatives of disabled persons.)	
Section 3 (Assessment by local authorities of needs of disabled persons.)	
Section 7 (Persons discharged from hospital.)	In respect of the assessment of need for any services provided under functions contained in welfare enactments within the meaning of section 16 and which have been delegated.
Section 8 (Duty of local authority to take into account abilities of carer.)	In respect of the assessment of need for any services provided under functions contained in welfare enactments (within the meaning set out in section 16 of that Act) which are integration functions.

The Adults with Incapacity (Scotland) Act 2000([35])

Enactment conferring function	Limitation
Section 10 (Functions of local authorities)	
Section 12 (Investigations.)	
Section 37 (Residents whose affairs may be managed.)	Only in relation to residents of establishments which are managed under integration functions.
Section 39 (Matters which may be managed.)	Only in relation to residents of establishments which are managed under integration functions.

([34])   1986 c.33. There are amendments to sections 2 and 7 which are not relevant to the exercise of a local authority's functions under those sections.

([35])   2000 asp 4; section 12 was amended by the Mental Health (Care and Treatment) (Scotland) Act 2003 (asp 13), schedule 5(1). Section 37 was amended by S.S.I. 2005/465. Section 39 was amended by the Adult Support and Protection (Scotland) Act 2007 (asp 10), schedule 1 and by S.S.I. 2013/137. Section 41 was amended by S.S.I. 2005/465; the Adult Support and Protection (Scotland) Act 2007 (asp 10), schedule 1 and S.S.I. 2013/137. Section 45 was amended by the Regulation of Care (Scotland) Act 2001 (asp 8), Schedule 3.

56

Enactment conferring function	Limitation
Section 41 (Duties and functions of managers of authorised establishment.)	Only in relation to residents of establishments which are managed under integration functions
Section 42 (Authorisation of named manager to withdraw from resident's account.)	Only in relation to residents of establishments which are managed under integration functions
Section 43 (Statement of resident's affairs.)	Only in relation to residents of establishments which are managed under integration functions
Section 44 (Resident ceasing to be resident of authorised establishment.)	Only in relation to residents of establishments which are managed under integration functions
Section 45 (Appeal, revocation etc.)	Only in relation to residents of establishments which are managed under integration functions

The Housing (Scotland) Act 2001([36])

Enactment conferring function	Limitation
Section 92 (Assistance to a registered for housing purposes.)	Only in so far as it relates to an aid or adaptation.

The Community Care and Health (Scotland) Act 2002([37])

Enactment conferring function	Limitation
Section 5 (Local authority arrangements for of residential accommodation outwith Scotland.)	
Section 14 (Payments by local authorities towards expenditure by NHS bodies on prescribed functions.)	

([36])   2001 asp 10; section 92 was amended by the Housing (Scotland) Act 2006 (asp 1), schedule 7.
([37])   2002 asp 5.

57

The Mental Health (Care and Treatment) (Scotland) Act 2003([38])

Enactment conferring function	Limitation
Section 17 (Duties of Scottish Ministers, local authorities and others as respects Commission.)	
Section 25 (Care and support services etc.)	Except in so far as it is exercisable in relation to the provision of housing support services.
Section 26 (Services designed to promote well-being and social development.)	Except in so far as it is exercisable in relation to the provision of housing support services.
Section 27 (Assistance with travel.)	Except in so far as it is exercisable in relation to the provision of housing support services.
Section 33 (Duty to inquire.)	
Section 34 (Inquiries under section 33: Co-operation.)	
Section 228 (Request for assessment of needs: duty on local authorities and Health Boards.)	
Section 259 (Advocacy.)	

The Housing (Scotland) Act 2006([39])

Enactment conferring function	Limitation
Section 71(1)(b) (Assistance for housing purposes.)	Only in so far as it relates to an aid or adaptation.

([38])   2003 asp 13; section 17 was amended by the Public Services Reform (Scotland) Act 2010 (asp 8), section 111(4), and schedules 14 and 17, and by the Police and Fire Reform (Scotland) Act 2012 (asp 8), schedule 7. Section 25 was amended by S.S.I. 2011/211. Section 34 was amended by the Public Services Reform (Scotland) Act 2010 (asp 8), schedules 14 and 17.
([39])   2006 asp 1; section 71 was amended by the Housing (Scotland) Act 2010 (asp 17) section 151.

58

The Adult Support and Protection (Scotland) Act 2007([40])

Enactment conferring function	Limitation
Section 4 (Council's duty to make inquiries.)	
Section 5 (Co-operation.)	
Section 6 (Duty to consider importance of providing advocacy and other.)	
Section 11 (Assessment Orders.)	
Section 14 (Removal orders.)	
Section 18 (Protection of moved persons property.)	
Section 22 (Right to apply for a banning order.)	
Section 40 (Urgent cases.)	
Section 42 (Adult Protection Committees.)	
Section 43 (Membership.)	

Social Care (Self-directed Support) (Scotland) Act 2013([41])

Enactment conferring function	Limitation
Section 5 (Choice of options: adults)	
Section 6 (Choice of options under section 5: assistances.)	
Section 7 (Choice of options: adult carers.)	

([40])   2007 asp 10; section 5 and section 42 were amended by the Public Services Reform (Scotland) Act 2010 (asp 8), schedules 14 and 17 and by the Police and Fire Reform (Scotland) Act 2012 (asp 8), schedule 7. Section 43 was amended by the Public Services Reform (Scotland) Act 2010 (asp 8), schedule 14.

([41])   2013 asp 1.

59

Enactment conferring function	Limitation
Section 9 (Provision of information about self-directed support.)	
Section 11 (Local authority functions.)	
Section 12 (Eligibility for direct payment: review.)	
Section 13 (Further choice of options on material change of circumstances.)	Only in relation to a choice under section 5 or 7 of the Social Care (Self-directed Support) (Scotland) Act 2013 .
Section 16 (Misuse of direct payment: recovery.)	
Section 19 (Promotion of options for self-directed support.)	

Carers (Scotland) Act 2016

Enactment conferring function	Limitation
Section 6 (Duty to prepare adult carer support plan)	
Section 21 (Setting of local eligibility criteria.)	
Section 24 (Duty to provide support)	
Section 25 (Provision of support to carers: breaks from caring)	
Section 31 (Duty to prepare local carer strategy)	
Section 34 (Information and advice service for carers)	
Section 35 (Short breaks services statements)	

Functions, conferred by virtue of enactments, prescribed for the purposes of section 1(7) of the Public Bodies (Joint Working) (Scotland) Act 2014

60

The Community Care and Health (Scotland) Act 2002

Enactment conferring function	Limitation
Section 4([42]) The functions conferred by Regulation 2 of the Community Care (Additional Payments) (Scotland) Regulations 2002([43])	

([42])   Section 4 was amended by the Mental Health (Care and Treatment) (Scotland) Act 2003 (asp 13), schedule 4 and the Adult Support and Protection (Scotland) Act 2007 (asp 10), section 62(3).

([43])   S.S.I. 2002/265, as amended by S.S.I. 2005/445.

Annex 2: Part 1B – Functions delegated from the Council to the Integrated Joint Board

In addition to the functions that must be delegated, the Council has chosen to delegate the following functions to the IJB.

Criminal Procedure (Scotland) Act 1995

Enactment conferring function	Limitation
Section 203 (Local authority reports pre-sentencing.)	
Section 234B (Report and evidence from local authority officer regarding Drug Treatment and Testing Order.)	
Section 245A (Report by local authority officer regarding Restriction of Liberty Orders.)	

Management of Offenders etc. (Scotland) Act 2005

Enactment conferring function	Limitation
Section 10 (Arrangements for assessing and managing risks posed by certain offenders.)	
Section 11 (Review of arrangements.)	

Social Work (Scotland) Act 1968

Enactment conferring function	Limitation
Section 27 (Supervision and care of persons put on probation or released from prison.)	
Section 27ZA (Advice, guidance and assistance to persons arrested or on whom sentence is deferred.)	

62

Annex 2: Part 2 – Services currently associated with the functions delegated by the Council to the IJB

Services currently associated with the functions delegated by the Council to the IJB
Set out below is an illustrative description of the services associated with the functions delegated by the Council to the Integration Joint Board as specified in Part 1A and 1B of Annex 2.

- Social work services for adults and older people
- Services and support for adults with physical disabilities and learning disabilities
- Mental health services
- Drug and alcohol services
- Adult protection and domestic abuse
- Carers support services
- Community care assessment teams
- Support services
- Care home services
- Adult placement services
- Health improvement services
- Aspects of housing support, including aids and adaptations
- Day services
- Local area co-ordination
- Respite provision
- Occupational therapy services
- Re-ablement services, equipment and Telecare
- Criminal Justice Social Work services

63

Annex 3: Operational Management arrangements

The provisions within this annex are not intended to create legally binding obligations. They are intended to be illustrative of the proposed management arrangements for the functions delegated to the IJB

The IJB will issue directions to the Parties via its Chief Officer.   Those directions will in the main require that the Chief Officer take forward the development of the IJB's Strategic Plan, and lead on ensuring that the plan is delivered.   As the Chief Officer will not be personally managing all of the integration functions, ensuring the Strategic Plan is being delivered will include getting assurance from other chief officers (for hospital acute services and hosted services – see below) and other managers in NHS Lothian and the Council.

The Chief Officer will have direct management responsibility for the following services:
- All Council services described in Annex 2, Part 2.
- All NHS Lothian services describe in Annex 1, Part 2 with the exception of the following:

Hosted Services
There are NHS Lothian services for which it would not be suitable for the Chief Officer to have operational management responsibility. The factors contributing to determining these services are the degree of medical specialism of the service and scale of the service required for it to be safe, efficient and effective.

NHS Lothian carries out functions across four local authority areas. Some of the functions delegated to all four IJBs in the NHS Lothian boundary are provided as part of a single Lothian-wide service. Where an IJB is nominated by NHS Lothian to 'host' such a service via one of the Chief Officers of the Lothian IJB's in their role as Joint Director of NHS Lothian, this is commonly referred to as a "hosted service".

Acute Hospitals
Services provided on the three acute hospitals in NHS Lothian (Western General Hospital, Edinburgh Royal Infirmary, St John's Hospital) will be managed by the Chief Officer for NHS Lothian acute hospital services and the relevant hospital site Director.

64

Annex 4: Integration Scheme Consultation

A three stage approach was adopted to ensure sufficient involvement and consultation in the development of this Scheme:

Stage 1: **Informing and Engaging:** A first draft was produced by officers of the Parties with the involvement of a range of professionals within both Parties

Stage 2: **Consultation**: A formal internal and external stakeholder consultation was held from December 17th 2014 to February 17th 2015.

Stage 3: **Response to the consultation:** A second draft guided by the consultation was produced by officers for approval by the Parties to submit to Scottish Government.

Further details of the people and groups involved in the engagement and consultation on the Midlothian Integration Scheme are set out below:

Public and Staff consultation from December 17th to February 17th with responses received from:
- Members of the public
- Members of staff in Midlothian Council
- Clinical and non-clinical staff in NHS Lothian
- Third Sector Organisations and representative bodies

The members and organisations on the following groups and committees were consulted on the Midlothian Integration Scheme.

- Midlothian Community Planning Partnership
- Midlothian Community Planning Working Groups
- NHS Lothian Board
- NHS Lothian Healthcare Governance committee
- NHS Lothian Corporate Management Team
- NHS Lothian Strategic Planning Group
- Midlothian Council
- Midlothian Audit Committee
- Midlothian Shadow Integration Joint Board
- Midlothian Older People's Management Group
- Midlothian Community Health Partnership
- Scottish Government
- Lothian Area Clinical Forum

65

Consultation for the amendment to the Integration Scheme in February 2019

The scheme has been updated to take account of the Carers (Scotland) Act 2016. There are no other substantive changes and in view of this there is considered no need to undertake a major consultation programme. However the document was published on the websites of both Midlothian Council and NHS Lothian for a four week period starting the week beginning the 11th February.

Consultation for the amendment to the Integration Scheme in April 2022

Again, a three stage approach was adopted to ensure sufficient involvement and consultation in the development of this Scheme:

Stage 1: Informing and Engaging:
Initial review was undertaken and revisions made by officers of the Parties with the involvement of a range of professionals within both Parties. This draft was approved for consultation by the Parties

Stage 2: Consultation
A formal internal and external stakeholder consultation was held from the 18th of March to the 10th of April 2022.

Stage 3: Response to the consultation
The revised integration scheme was further developed by officers, guided by the consultation, and submitted for approval by the Parties to submit to Scottish Government.

66

COMMUNICATING CLEARLY

We are happy to translate on request and provide information and publications in other formats, including Braille, tape or large print.

如有需要我們樂意提供翻譯本，和其他版本的資訊與刊物，包括盲人點字、錄音帶或大字體。

Zapewnimy tłumaczenie na żądanie oraz dostarczymy informacje i publikacje w innych formatach, w tym Braillem, na kasecie magnetofonowej lub dużym drukiem.

ਅਸੀਂ ਮੰਗ ਕਰਨ ਤੇ ਖੁਸ਼ੀ ਨਾਲ ਅਨੁਵਾਦ ਅਤੇ ਜਾਣਕਾਰੀ ਤੇ ਹੋਰ ਰੂਪਾ ਵਿੱਚ ਪ੍ਰਕਾਸ਼ਨ ਪ੍ਰਦਾਨ ਕਰਾਂਗੇ, ਜਿਨ੍ਹਾਂ ਵਿੱਚ ਬਰੇਲ, ਟੇਪ ਜਾਂ ਵੱਡੀ ਛਪਾਈ ਸ਼ਾਮਲ ਹਨ।

Körler icin kabartma yazilar, kaset ve büyük nüshalar da dahil olmak üzere, istenilen bilgileri saglamak ve tercüme etmekten memnuniyet duyariz.

اگر آپ چاہیں تو ہم خوشی سے آپ کو ترجمہ فراہم کر سکتے ہیں اور معلومات اور دستاویزات دیگر شکلوں میں مثلاً بریل (نابیناافراد کے لیے اُبھرے ہوئے حروف کی لکھائی) میں، ٹیپ پر یا بڑے حروف کی لکھائی میں فراہم کر سکتے ہیں۔

Contact 0131 270 7500 or email: enquiries@midlothian.gov.uk

67

Midlothian Council

28 June 2022

Voluntary Community Asset Transfer

Kevin Anderson, Executive Director, Place

Report for Decision

1. Recommendations

Council is recommended to consider the terms of this report to decide whether to adopt a Voluntary Community Asset Transfer process in addition to the existing statutory practice.

2.   Purpose of Report

The purpose of the report is to advise members that community asset transfers may be achieved by agreement between the Council and community groups without requiring such groups to submit a formal application in terms of the Community Empowerment (Scotland) Act 2015, subject to compliance with the Disposal of Land by Local Authorities (Scotland) Regulations 2010 and related Scottish Government Guidance.

Date: 9 June 2022
Report Contact:
William Venters, Principal Solicitor, 0131-271-3075

William.Venters@midlothian.gov.uk

3. **Background**

3.1 On 2 October 2018 Council agreed the arrangements for determining formal requests for community asset transfers made under the 2015 Act as follows:

(a) all members be notified when a formal application for an asset transfer had been made and be allowed to make representations should they wish to do so prior to a formal decision being made by the Asset Transfer Committee;

(b) officers (Community Management Assessment Group) would compile a report on any competent bid and the Director, Resources (now Place) who would make a recommendation to the Asset Transfer Committee for determination;

(c) an Asset Transfer Committee be established to consider those applications deemed competent by the relevant officers. The committee would then decide whether to accept, reject or modify the officer recommendations;

(d) an Asset Transfer Review Committee be established to consider any appeal received from an Applicant as a result of a decision by the Asset Transfer Committee;

(e) the Asset Transfer Review Committee comprise of 6 named Elected Members (1 from each Ward and who would not be a Member of The Asset Transfer Committee);

(f) the remaining six elected Members act as a potential Substitute for either of the aforementioned Committees; and

(g) the Community Asset Transfer Framework to be used for assessing competent bids in terms of Best Value themes.

The report to Council noted that Scottish Government Statutory Guidance on community asset transfer did not rule out the possibility of voluntary agreement between community groups and relevant authorities. Thus, despite the introduction of a statutory scheme, much of the previous best practice in relation to community asset transfer continues to apply.

3.2 The assessment framework approved by Council recognises that a community asset transfer will apply to all transfers of land or buildings from the Council to a community group at below market value and involves the transfer of responsibility for an asset from the Council to a community group by way of either a transfer of management responsibility, short or long term lease or outright ownership. The type of transfer will be dependent on the individual circumstances of the community group and their proposals. In many cases a phased approach to transfer will be appropriate and a community group may start out with a management agreement before moving to a longer term lease or alternatively could move from a lease to outright ownership.

3.3   Since October 2018 the Council's practice has been to consider all requests for community asset transfers under the 2015 Act thus requiring community groups to make a formal application. This is to ensure transparency in decision making. However, a more flexible approach is feasible in terms of the Council's Scheme of Delegation and the 2010 Regulations. Subject to compliance with the 2010 Regulations, if the Council and community group can agree to an asset transfer then it is unnecessary for the community group to make a formal request under the 2015 Act.

3.4   Officers met with counterparts from Dundee City Council on 8th September 2021 who confirmed their practice of undertaking voluntary community asset transfers in accordance with the 2010 Regulations without going through the formal process in the 2015 Act. However, in order to ensure transparency in the decision making process their officers reported on voluntary transfers to the Development Committee rather than their Community Asset Transfer Committee which only considered formal applications under the 2015 Act.

4. Scheme of Delegation

4.1   In terms of the Council's Scheme of Delegation, the Executive Director, Place has delegated authority for:

(a) negotiating, agreeing and signing all offers to let property where the length of lease is up to twenty five years and where the rent is no more than £25,000 per annum;

(b) negotiating and concluding terms to renew or extend leases where it is beneficial to the Council;

(c) authorising the assignation of leases where the Council is Landlord; and

(d) in conjunction with the relevant Cabinet portfolio-holder and Members within whose interest the land or property is held, for property authorised to be sold, market, negotiate and agree terms of sale up to a value of £750,000.

As can be seen, the Executive Director, Place has a wide remit to authorise the disposal of Council property (whether by lease or sale) which includes for less than the best consideration but in doing so must comply with the 2010 Regulations.

5. The Disposal of Land by Local Authorities (Scotland) Regulations 2010

5.1   The Regulations make provision for the disposal by local authorities of land and buildings for a consideration less than the best that can reasonably be obtained.

5.2   Disposals are permitted at less than best consideration where either:

(a) the best consideration that can reasonably be obtained is less than £10,000 (the threshold amount); or

(b) the proposed consideration is less than 25% of the best consideration (the marginal amount) ; or

(c) the local authority has carried out an appraisal of the proposed disposal and is satisfied that the disposal for that consideration is reasonable and it is likely to contribute in respect of the whole or any part of the area of the local authority or any persons resident or present in its area to the promotion or improvement of;

  (i) economic development or regeneration;
  (ii) health;
  (iii) social well-being; or
  (iv) environmental well-being.

It is important to note that whilst disposals within the 'threshold' and 'marginal amounts' do not require a detailed appraisal in terms of the 2010 Regulations it is considered this would still be required to meet Best Value and the general fiduciary obligations to council tax payers.

6. Best Value

6.1 It is well known that Best Value does not always mean the highest price and Councils can sell or lease land at less than market value where it can be shown that public benefits can be obtained.

6.2 The Scottish Government has provided guidance on the 2010 Regulations. This emphasises that local authorities are required to fulfil their statutory duties under Best Value as set out in the Local Government in Scotland Act 2003. The 2010 Regulations are consistent with the duty to secure Best Value, and relevant aspects include:

(a) making the best use of public resources, including land and property;

(b) being open and transparent in transactions;

(c) ensuring sound financial controls are in place to minimise the risk of fraud or error;

(d) assessing the full financial consequences of decisions at an appropriate level before major financial decisions are taken or commitments entered into; and

(e) demonstrating responsiveness to the needs of communities, citizens, customers and other stakeholders, where relevant.

6.3 The guidance advises that all local authorities should have arrangements in place, including schemes of delegation where appropriate, to deal with disposals of land at less than best consideration and that local authorities are expected to be open,

transparent and fair in all of their transactions and have regard to subsidy control rules (formely known as 'State Aid' pre–Brexit). Whilst a discounted price or rent can be regarded as a subsidy it is unlikely any rules would be breached given that such a form of subsidy to a community group would not affect international trade.

6.4 The guidance includes an example appraisal which can be used to assist in determining whether the Council should agree to a proposal in accordance with the Scheme of Delegation and 2010 Regulations. This is set out in Appendix C and can be aligned with the Council's Assessment Tool for community asset transfers which was approved in October 2018 and is in Appendix D for ease of reference.

6.5 As with formal requests for community asset transfers there needs to be transparency in decision making. It is considered that this can be achieved by detailed reporting on proposals to the Executive Director, Place for approval in terms of the Scheme of Delegation. This would be on the basis that reports and decisions will be disclosable under freedom of information rules given the public interest.

7. Process

7.1 Members will be aware that the 2010 Regulations and Best Value need to be considered as part of the consideration of formal applications for asset transfer under the 2015 Act. The same considerations will apply for voluntary community asset transfers.

7.2 Initial expressions of interest by a community group in an asset together with appropriate supporting information would be considered in the first instance by officers on the Community Management Assessment Group. If the Group considered that a voluntary transfer should be pursued then relevant officers would prepare a delegated authority report for the Executive Director, Place to consider under the Scheme of Delegation. The report would be based on the appraisal and assessment tool referred to in section 6.4 above and set out the terms and conditions of the asset transfer.

7.2 The Executive Director, Place would consult with the members in the ward in which the property is located in deciding whether or not to approve a proposed voluntary transfer. Once the proposal is approved Legal Services would be instructed to proceed with the asset transfer to the community group.

7.3 In order to aid transparency the reports and decisions in relation to voluntary asset transfers would be posted on the Council's website in the Community Asset Transfer section.

7.4 The existing resources and processes that are in place for consideration of applications made under the 2015 Act can adapted for the voluntary asset transfer approach.

8. Report Implications (Resource, Digital and Risk)

8.1   Resource

It is anticipated that consideration of potential voluntary asset transfers can be done within the existing resources and processes which are in place for formal applications under the 2015 Act.

8.2   Digital

None

8.3   Risk

None

8.4   Ensuring Equalities (if required a separate IIA must be completed)

This report falls within the scope of an existing IIA contained within Appendix 4 of the report to Council in October 2018 and supports the equalities outcomes of the Single Midlothian Plan.

8.5   Additional Report Implications (See Appendix A)

See Appendix A

Appendices

Appendix A – Additional Report Implications
Appendix B – Background information/Links

APPENDIX A – Report Implications

A.1 **Key Priorities within the Single Midlothian Plan**

Council decisions on asset transfers will be made in relation to the extent that the transfer supports the strategic priorities of the Single Midlothian Plan.

A.2 **Key Drivers for Change**

Key drivers addressed in this report:

☐ Holistic Working
☐ Hub and Spoke
☐ Modern
☒ Sustainable
☒ Transformational
☒ Preventative
☒ Asset-based
☒ Continuous Improvement
☒ One size fits one
☐ None of the above

A.3 **Key Delivery Streams**

Key delivery streams addressed in this report:

☒ One Council Working with you, for you
☒ Preventative and Sustainable
☒ Efficient and Modern
☒ Innovative and Ambitious
☐ None of the above

A.4 **Delivering Best Value**

Using the Scheme of Delegation and the 2010 Regulations to support community asset transfer is consistent with the duty to secure Best Value.

A.5 **Involving Communities and Other Stakeholders**

Using the Scheme of Delegation and the 2010 Regulations to facilitate community asset transfer can empower communities to be involved in utilising council assets.

A.6 **Impact on Performance and Outcomes**

The existing Scheme of Delegation and 2010 Regulations can be used to support community asset transfers which can have a positive impact on the performance and outcomes of the authority.

A.7   Adopting a Preventative Approach

The Scheme of Delegation and 2010 Regulations can be used to enable community groups to utilise the council's assets to deliver preventative programmes of activity.

A.8   Supporting Sustainable Development

A key part in assessing whether the Council can agree to a community asset transfer will be based on the extent to which the transfer contributes to sustainable development.

APPENDIX B

Background Papers/Resource Links

General Guidance by Scottish Government in relation to the Disposal of Land by Local Authorities (Scotland) Regulations 2010 dated May 2010.

Scheme of Delegation to Officials approved by Council on 27 September 2016.

Report on Community Asset Transfer Framework made to Council on 2 October 2018.

APPENDIX C

EXAMPLE OF THE CRITERIA FOR CONSIDERATION WHEN MAKING AN ASSESSMENT OF A PROPOSAL TO DISPOSE OF LAND FOR LESS THAN BEST CONSIDERATION THAT CAN REASONABLY BE OBTAINED.

Under Best Value obligations, local authorities are expected to demonstrate sound governance at a strategic, financial and operational level. The following criteria maybe of help to a local authority in drawing up their assessment of a proposed disposal at less than the best consideration that can reasonably be obtained. This is a guide only and the local authority will want to determine what is appropriate and proportionate in each case.

1. A plan and/or written description of the site and buildings, its physical characteristics, location and surroundings.

2. Details of the current use of the land.

3. The best consideration that can reasonably be obtained for the interest as assessed by a qualified valuer (i.e. a chartered Member of, or is authorised to practice by, the Royal Institution of Chartered Surveyors) and the date that this assessment was obtained.

4. Details (where applicable) of the key terms and any restrictions imposed by the authority regarding the disposal, including any clawback provisions.

5. Details about the purchaser: name of the person or organisation, aims and objectives, Board or governance structure, how it is funded and whether charitable status is held etc.

6. An outline of what the purchaser intends to do with the land and whether there has been involvement of local people/service users.

7. A copy of the most recent accounts (if available) or written evidence that the purchaser is financially able to maintain, renovate, etc. the land to be disposed of or leased.

8. Details of the options appraisal and cost benefit analysis carried out by the local authority including any alternative use for the land, (e.g. a copy of the options appraisal report and Committee/Council decision/Minute).

9. Details of the inclusion of the proposed land disposal within the authority"s asset management plan.

10. Details of how the disposal at less than best consideration that can reasonably be obtained, will contribute to one or more of the purposes set out in Regulation 4(2) of the Regulations.

11. An indication of the local demand for these services and details of any known opposition or support for the proposal and the measures (if applicable) taken by the authority to deal with the opposition.

12. Confirmation the disposal complies with the European Commission"s State aid rules.

13. When using arms length organisations to deliver services, information on there views and option appraisals taking account of the COSLA/Accounts Commission Code of Guidance on Funding External Bodies and Following the Public Pound.