



MINUTES OF THE MEETING OF THE CABINET

TUESDAY 13 MAY 2014
COUNCIL CHAMBER, TOWN HOUSE, HADDINGTON

1

Committee Members Present:

Councillor S Akhtar
Councillor T Day
Councillor D Grant
Councillor N Hampshire
Councillor W Innes (Convener)
Councillor J McMillan
Councillor M Veitch

Other Councillors Present:

Councillor D Berry
Councillor S Brown
Councillor J Caldwell
Councillor S Currie
Councillor J Gillies
Councillor J Goodfellow
Councillor P MacKenzie
Councillor F McAllister
Councillor J Williamson

Council Officials Present:

Mrs A Leitch, Chief Executive
Ms M Patterson, Depute Chief Executive – Partnerships and Community Services
Mr A McCrorie, Depute Chief Executive – Resources and People Services
Mr D Small, Director of East Lothian Health and Social Care Partnership
Mr J Lamond, Head of Council Resources
Mr R Montgomery, Head of Infrastructure
Mr T Shearer, Head of Communities and Partnerships
Mr J Coutts, Service Development and Support Manager (Housing)
Mrs M Ferguson, Service Manager – Legal Services
Dr R Gertz, Data Protection/FoI Compliance Officer
Ms C McCorry, Service Manager – Community Housing
Mr D Northcott, Senior Structures Officer

Clerk:

Mrs L Gillingwater

Apologies:

None

Declarations of Interest:

None

Order of business

The Clerk announced that two items (Items 5 and 7 as noted on the agenda) had been withdrawn from the agenda. A number of Members noted their dissent in relation to the withdrawal of Item 5.

1. MINUTES OF THE MEETING OF THE CABINET OF 11 MARCH 2014

The minutes of the meeting of the Cabinet of 11 March 2014 were approved.

2. SUMMARY OF CONTRACTS AWARDED BY EAST LOTHIAN COUNCIL, 7 JANUARY – 30 APRIL 2014

A report was submitted by the Depute Chief Executive (Resources and People Services) advising Members of all contracts awarded by the Council from 7 January to 30 April 2014 with a value of over £150,000.

Decision

The Cabinet agreed to note the award of contracts with a value of over £150,000 from 7 January to 30 April 2014, as listed in Appendix 1 to the report.

3. FREEDOM OF INFORMATION (SCOTLAND) ACT 2002 AND DATA PROTECTION ACT 1998 – COMPLIANCE STATISTICS

A report was submitted by the Depute Chief Executive (Resources and People Services) reporting on the Council's compliance with the 20 working day timescale laid down by the Freedom of Information (Scotland) Act 2002 for the period 1 October 2013 to 31 March 2014, and reporting on the Council's compliance with the 40 calendar day timescale laid down by the Data Protection Act 1998 for the period 1 October 2013 to 31 March 2014.

The Head of Council Resources, Jim Lamond, presented the report, summarising the key points and drawing comparisons with the statistics from the previous period.

In response to questions from Members in relation to Freedom of Information (Fol) requests, Dr Rena Gertz advised that the average cost to the Council of processing a Fol request was £98 and that 21% of requests in 2014 had been submitted by journalists. She also pointed out that changes to Council services and structures had been a factor as regards late responses.

Councillor McMillan paid tribute to Council staff for their efforts in dealing with increasing numbers of Fol requests.

Decision

The Cabinet agreed to note the report.

4. COUNCIL HOUSE ALLOCATIONS TARGETS FOR 2014/15

A report was submitted by the Depute Chief Executive (Partnerships and Community Services) seeking Cabinet approval of Council House Allocation targets for the period 1 April 2014 to 31 March 2015, seeking approval for a review of the targets within six months predicated on the development of local lettings plans, and explaining the context, legal position and rationale for the proposed targets.

The Service Manager – Community Housing, Caitlin McCorry, presented the report, advising that there were c.4500 applicants currently on the housing list, 3735 of whom were on the general needs list, and 763 on the transfer list. She drew attention to Appendix 1 to the report, which set out the allocations activity for 2013/14, advising that there would be no change to the targets for the first 6 months of 2014/15. She informed Members of the ongoing work to develop local lettings plans, noting that proposals would be presented to Cabinet in due course.

In response to questions from Members, Ms McCorry advised that, as part of the local letting plan process, criteria would be developed to ensure that people would not be favoured or discriminated against, and that anti-social behaviour issues would be addressed.

Councillor Currie suggested that tenants who have paid rent and have had no history of anti-social behaviour should be given the opportunity to apply to transfer to a new build home, as had been previous Council practice. He expressed concern that the Council would no longer be able to offer existing tenants this opportunity, and viewed this as a retrograde step. He urged the Administration to take this matter up with the Scottish Housing Regulator (SHR).

Councillor Hampshire accepted that housing allocations was a difficult matter when there was a shortage of housing, but welcomed the proposals for local lettings plans, which would take account of issues and demands relevant to each area. Referring to Councillor Currie's comments, he stated that there were a number of areas where there were very few transfer applications, but that if there was demand for transfers in a particular area, this could be considered when allocating homes in new build developments. Councillor Currie pointed out that the previous policy had been applied on a site-by-site basis.

Councillor Berry spoke in support of Councillor Currie's comments as regards questioning the SHR as to why higher transfer allocation targets for new build developments was disadvantageous to certain groups, arguing that the Council was being forced to comply with legislation that was not necessarily appropriate for East Lothian. He hoped that the local lettings plans would address difficulties as regards housing people with social difficulties together.

Councillor Innes pointed out that a more sophisticated approach to housing allocations was being developed that was concerned with developing balanced communities. He welcomed the development work undertaken by housing officers and tenant and resident groups, and noted that a further report would be presented to Cabinet in six months' time.

Decision

The Cabinet agreed:

- i. to approve the recommended targets detailed in Section 3.25 of the report;
- ii. to approve a review of the targets within six months, subject to the possible requirement for local lettings plans;

- iii. to note that performance against these targets was reviewed on a weekly basis and that such review would form part of the analysis in setting future targets in 2015/16 and beyond; and
- iv. to note that ongoing regular monitoring of performance was embedded within the Community Housing Performance Management Framework.

5. FLOOD RISK MANAGEMENT

A report was submitted by the Depute Chief Executive (Partnerships and Community Services) updating Cabinet on the implementation of the Flood Risk Management (Scotland) Act 2009 and specifically the Flood Risk Management Strategy procedure.

The Senior Structures Officer, David Northcott, presented the report, informing Members of the background to the development of the Flood Risk Management Strategy (FRMS). He advised that the FRMS would focus on vulnerable areas, and drew Members' attention to Appendix 2 of the report, which highlighted areas at risk. He noted that characterisation reports were required to be produced for coastal, river and surface water flooding. He pointed out that this report dealt only with coastal flooding and that further reports on river and surface water flooding would be presented to Cabinet for approval. He added that a cost/benefit analysis would then be undertaken with a view to securing Government funding.

In response to questions from Councillor Berry, Mr Northcott advised that the report produced by SEPA was a general appraisal of the Forth Estuary and that detailed information would be included in the flood risk management plans (FRMPs). He pointed out that flood risk information in relation to Blindwells would be included in a future report. As regards residential properties at risk, Mr Northcott noted that the SEPA flood maps provided more detailed information.

Councillor Currie asked what action the Council was currently taking to deal with flooding. Mr Northcott noted that flood risks were currently dealt with by way of the Council's Severe Weather Response Plan. He advised of a proposal to engage consultants to progress measures to deal with flood risks and protection in Musselburgh and Haddington, and that further information on this would be included in the flood risk management plans. He explained that FRMPs would be published in 2016 and that identified schemes could be considered for Scottish Government funding.

Councillor Hampshire expressed concern that the Scottish Reporter had recently granted permission for a housing development on an area considered a flood risk and asked why SEPA had not objected to this application. Mr Northcott noted that SEPA and the developer would ensure that engineering measures were put in place so that no properties would be at risk of flooding.

Responding to comments made by Members in relation to specific premises being identified as flood risk areas, Mr Northcott reiterated that detailed information would be included in the FRMPs.

As regards stakeholders, Mr Northcott pointed out that the Flood Risk Management (Scotland) Act 2009 referred to local authorities, Scottish Water, SEPA and the Scottish Government, but that other bodies may be included. He did not know if the Coal Authority was obliged to work with other authorities on flooding issues.

Councillor Berry voiced his concern that North Berwick had not been included as a potential vulnerable area, given that it had been affected by storms and flooding a number of times in recent years. He provided examples of areas in the town that he believed were at risk of coastal flooding.

Councillor Currie highlighted the need to ensure that the Local Development Plan process took account of areas at risk of flooding. He also spoke of the need for long-term investment in flood prevention measures and called on the Council to develop a cross-party approach in order to maximise opportunities for Scottish Government funding.

Councillor MacKenzie raised the issue of inland drainage problems, claiming that drainage systems had been compromised due to mining activity and complex hydrology. He suggested that a briefing on such issues would be helpful for Members.

Councillor Hampshire believed that it would not be possible to protect all flood risk areas from a cost perspective. He commented that more detailed information was required before any decisions could be taken as to how to resolve the issues.

Councillor Innes concluded the debate by proposing that SEPA should be invited to brief Members on all three characterisation reports. He welcomed the suggestion to take a cross-party approach in seeking assistance from the Scottish Government.

Decision

The Cabinet agreed to note the requirements of the Flood Risk Management (Scotland) Act 2009 and approve the Characterisation Reports as part of the ongoing Flood Risk Management Strategy process.

6. ROAD TRAFFIC REGULATION ACT 1984 – EXPERIMENTAL TRAFFIC REGULATION ORDER, 20 MPH SPEED LIMITS IN 3 AREAS IN COCKENZIE, NORTH BERWICK AND TRANENT

Members were advised that this report had been withdrawn from the agenda and would be considered by the Council at its meeting on 24 June 2014.

7. PUBLIC MINUTES OF THE MEETINGS OF THE LICENSING SUB-COMMITTEE HELD ON 13 MARCH 2014

The public minutes of the meeting of the Licensing Sub-Committee held on 13 March 2014 were approved.

8. MINUTES FOR NOTING

The minutes of the Sustainable Economy Partnership were noted.

Sederunt: Councillor Currie left the meeting.

SUMMARY OF PROCEEDINGS – EXEMPT INFORMATION

The Cabinet unanimously agreed to exclude the public from the following business containing exempt information by virtue of Paragraphs 3 and 6 (information relating to any particular applicant for, recipient or former recipient of a service provided by the Authority; information concerning the financial or business affairs of any particular person other than the Authority) of Schedule 7A to the Local Government (Scotland) Act 1973.

Sub-Committee Minutes

The private minutes of the meeting of the Licensing Sub-Committee held on 13 March 2014 were approved.

The private minutes of the meetings of the Homelessness Appeals Sub-Committee held on 20 March and 17 April 2014 were approved.

REPORT TO: Cabinet
MEETING DATE: 10 June 2014
BY: Chief Executive
SUBJECT: Corporate Risk Register 2014

2

1 PURPOSE

- 1.1 To present to Cabinet the updated Corporate Risk Register for 2014 (attached as Appendix 1) for discussion, comment and approval.

2 RECOMMENDATIONS

- 2.1 It is recommended that Cabinet approves the updated Corporate Risk Register for 2014.
- 2.2 In doing so, Cabinet is asked to:
- agree that the relevant risks have been identified
 - agree that the significance of each risk is appropriate to the current nature of the risk
 - agree that the total profile of corporate risk can be borne by the Council at this time in relation to the Council's appetite for risk¹
 - recognise that, although the risks presented are those requiring close monitoring and scrutiny throughout 2014, many are in fact longer term corporate risks for the Council that are likely to be a feature of the risk register over a number of years
 - note that the Council Management Team will review risks in the Corporate Risk Register on a regular basis.

3 BACKGROUND

- 3.1 In keeping with the Council's risk management strategy, the Corporate Risk Register has been updated following a review by the Corporate Risk Management Group on behalf of and in consultation with Council Management Team.

¹ How much risk the council can bear, or could be willing to take in pursuit of an opportunity (if it were judged to be (1) worthwhile pursuing and (2) the council was confident in its ability to achieve the benefits and justify the risk).

- 3.2 In presenting the proposed Corporate Risk Register 2014 to Cabinet for approval, the Council Management Team would wish to draw the Committee's attention to one specific matter. All risks have been evaluated using the standard (5x5) risk matrix which involves multiplying the likelihood of occurrence of a risk (scored 1-5) by its potential impact (scored 1-5). This produces an evaluation of risk as either 'low (1-4)', 'medium' (5-9), 'high' (10-19) or 'very high' (20-25).
- 3.3 The Council's response in relation to adverse risk or its risk appetite is such that:
- Very High risk is unacceptable and measures should be taken to reduce, transfer or treat the risk to a more tolerable position
 - High risk may be tolerable providing the Council is assured that adequate and effective control measures are in place
 - Medium risk is tolerable with control measures that are cost effective
 - Low risk is broadly acceptable without any further action to prevent or mitigate risk.
- 3.4 The 2014 Corporate Risk Register includes one Very High risk, eight High risks and five Medium risks. Following the planned additional risk control measures the Register shows that the Very High risk is reduced to a High risk and six of the High risks are reduced to Medium risks.
- 3.5 In accordance with the Risk Management Strategy 'Very High' and 'High Risks' identified in the Corporate Risk Register will be subject to closer scrutiny by the Council Management Team, the Cabinet and the Audit and Governance Committee.

4 POLICY IMPLICATIONS

- 4.1 In approving this report the Council will be ensuring that risk management principles, as detailed in the Corporate Risk Management Strategy are embedded across the Council.

5 EQUALITIES IMPACT ASSESSMENT

- 5.1 This report is not applicable to the well being of equalities groups and an Equalities Impact Assessment is not required.

6 RESOURCE IMPLICATIONS

- 6.1 Financial – The recurring costs associated with the measures in place for each risk are proportionate to the level of risk. The financial requirements to support the Corporate Risk Register for 2014 should be met within the proposed budget allocations. Any unplanned and unbudgeted costs that arise in relation to any of the corporate risks identified will be subject to review by the Corporate Management Team.

6.2 Personnel – There are no immediate implications.

6.3 Other – Effective implementation of this register will require the support and commitment of the Risk Owners identified within the register.

7 BACKGROUND PAPERS

7.1 None

AUTHOR'S NAME	Scott Kennedy Paolo Vestri
DESIGNATION	Emergency Planning and Risk Officer Service Manager - Corporate Policy and Improvement
CONTACT INFO	skennedy@eastlothian.gov.uk 01620 827900 pvestri@eastlothian.gov.uk 01620 827320
DATE	26 th May 2014

East Lothian Council Corporate Risk Register (V16: 27th May 2014)

Risk Ref.	Risk Description	Existing Risk Control Measures	Assessment of Current Residual Risk			Planned Additional Risk Control Measures	Assessment of Predictive Risk			Risk Owner	Timescale for Completion / Review Frequency
			Likelihood	Impact	Total		Likelihood	Impact	Total		
			L	I	L x I		L	I	L x I		
ELC CR 1	<p>Resourcing</p> <p>The Council is facing considerable financial pressures arising from the extended period of public finance constraint, at best "flat cash" revenue support grant awards and the freeze in Council Tax.</p> <p>Therefore, over the medium term it is highly likely that the Council's main funding income will remain static. At the same time it will have specific cost pressures to deal with. These include:</p> <p>(1) demographic change and social-economic pressures - increasing pupil and elderly numbers;</p> <p>(2) general inflationary pressures;</p> <p>(3) specific cost pressures such as the affordability of the increasing number of high-cost individual care packages; and</p> <p>(4) potential financial costs associated with legislative changes such as a number of environmental issues.</p> <p>Efficient Workforce Management, VERS, restructuring and budget restrictions could result in the services not being able to maintain a level of staff to allow the service currently provided to continue in its present form. Staff morale could be adversely affected because of increasing workload and unrealistic expectations.</p> <p>The shape of the work force will continue to change as greater efficiency, productivity and more streamlined ways of working are embedded.</p> <p>If the council's financial pressures were not to be successfully planned for and managed effectively over the medium to longer term (i.e. the next 3 and possibly up to 7 years), there would be a serious risk of unplanned/ reactive budget realignments with significant adverse impact on availability and quality of both front-line services and required investment in the Council's infrastructure and asset base.</p>	<p>The Council has well developed short to medium term financial planning arrangements. These include:</p> <ul style="list-style-type: none"> • Three year General Services revenue budgets; • Seven year General Services capital plan budgets; • Ten year Housing Revenue Account revenue and capital budgets. <p>In addition, it has cost control and financial management arrangements for managing in year budget performance. Both of which provide mitigating controls in terms of the immediate financial risk and pressures the Council is faced with.</p> <p>Partnership working with Midlothian Council and other partners is being developed to increase capacity to provide services within existing resources.</p> <p>Longer-term modelling is deemed to be of limited value as the public sector financial environment is unlikely to be stable in other than the short and medium term. The focus is on creating a programme of short and medium term organisational change that can be adapted to match the Council's position as that emerges.</p> <p>The Chief Social Work Officer also has a role to play in overall performance improvement and the identification and management of corporate risk in so far as they relate to social work services.</p> <p>Communication between CMT and all employees regarding the impact of change.</p> <p>All VERS decisions were made following business impact assessments, with support given only to those applications with minimum business impact. The impact of VERS and Efficient Workforce Management was reported to Audit & Governance Committee, 20th May</p> <p>CMT is working with Service Managers on service reviews to redesign services within resources.</p>	4	5	20	<p>CMT/Managers continue to follow the financial strategy i.e. cost control/ cost minimisation to ensure delivery of agreed savings. This is also being monitored closely through the Chief Executive's new Budget Review Group.</p> <p>Through the Corporate Asset Group, the Council implement will implement the approved Asset Management Strategy and related action plan.</p> <p>CMT will continue to monitor the impact of council restructuring and service re-design</p> <p>Further consideration will be given to increasing income where possible</p> <p>Staff communications is being reviewed to ensure that staff engagement improves</p> <p>The Workforce Development Plan is a key part of the Council's response to increasing financial pressures. It aims to support transformational change, build and sustain leadership and management capacity, sustain a skilled, flexible and motivated workforce and develop the workforce for the future.</p>	3	4	12	<p>Chief Executive</p> <p>Depute Chief Executive – Resources and People Services</p> <p>Head of Council Resources</p> <p>Council Management Team</p>	<p>Financial Pressures and VERS/restructuring risks combined to create this new risk in April 2014.</p> <p>Risk further reviewed by CMT in May 2014 and current score increased from 15 to 20.</p> <p>Further review planned throughout 2014.</p>

Risk Ref.	Risk Description	Existing Risk Control Measures	Assessment of Current Residual Risk			Planned Additional Risk Control Measures	Assessment of Predictive Risk			Risk Owner	Timescale for Completion / Review Frequency
			Likelihood	Impact	Total		Likelihood	Impact	Total		
			L	I	L x I		L	I	L x I		
ELC CR 2	<p>Duty of Care</p> <p>The Council has a responsibility to provide care and support for the people of East Lothian. Any breach of this duty of care may compromise health, safety and wellbeing, impacting on, for example, the protection of children and adults.</p> <p>Failure to fulfil the duty of care could also result in serious harm/death to an individual/s, prosecution, having to pay compensation and have a negative impact on the reputation of the Council.</p> <p>The duty of Care is at the heart of the Council's approach to risk management.</p> <p>The likelihood of this risk occurring is influenced by a range of factors including for example:</p> <p>(1) Complexity of partnership arrangements in the care sector; (2) Number of vulnerable people in East Lothian; (3) Levels of deprivation in East Lothian; (4) Increased population and more complex service demands presented by an increasing number of service users whilst resources have reduced.</p> <p>The introduction of Self Directed Care and the increased uptake of Direct Payments may present new challenges in relation to the service user choice and the application of PVG checks.</p> <p>Adult Wellbeing: More than half of the care provided is purchased from private and voluntary sector agencies. The risks associated with purchased care are well understood and monitored through contract compliance and monitoring of care providers in association with the Care Inspectorate.</p> <p>Children's Wellbeing: Duty of care operates in individual agency and partnership working with other universal and specialist agencies, some of which operate under contractual/service level agreements, all of which operate under defined professional standards of practice, policies and procedures and directly with families and carers all of which is monitored in association with Care Inspectorate and other inspection agencies.</p>	<p>Corporately</p> <p>There is an HR policy in place on procedures laid down by Disclosure Scotland and the Protecting Vulnerable Groups scheme and training sessions are in place for all managers and staff to make them aware of the policy and processes to be followed to comply with the PVG scheme.</p> <p>For Social Work and Health Services the Council follows safe recruitment procedures as described by the Care Inspectorate.</p> <p>Details of the posts which are subject to the Disclosure process are published on the Council intranet.</p> <p>Risk assessments and risk management are central to the care planning process.</p> <p>Frameworki and service specific systems are used to identify and record risk factors in a structured and consistent manner.</p> <p>E-Learning for all employees: GIRFEC, Child Protection and Adult Protection.</p> <p>Adult Wellbeing and Children's Wellbeing also have control measures in place</p>	4	4	16	<p>Implementation of Action Plans following on from Child Protection (single and multi-agency) and SWIA/Care Inspectorate inspections.</p> <p>Staged Assessment and Intervention practices continue to embed in multi-agency working practices. New obligations of the Children & Young People Bill introducing the 'Named Person' role will be further implemented during 2014/15.</p> <p>East and Midlothian Public Protection Committee (EMPPC) is being established (June 2014) There will be one standing sub-group which will focus on Performance and Quality across all areas and both partnerships and will have responsibility for developing and implementing a consistent framework for self evaluation, audit and scrutiny.</p> <p>Systems are being developed to take forward an integrated, "lifespan" approach to all aspects of public protection. This approach will provide innovative opportunities for a cohesive response and will support operational staff in partner agencies to safeguard and improve outcomes for the most vulnerable children and adults at risk of harm.</p> <p>Inspection of Services for Children took place in November 2013 and the Care Inspectorate's report on such was published on 10 April 2014. A multi-agency improvement plan will be developed by June 2014 and this will be reflected in the work of the Critical Services Oversight Group (CSOG), the ELP/RPP and also in the review of the Integrated Children's Services Plan.</p>	3	4	12	<p>Depute Chief Executive – Partnerships and Community Services</p> <p>Depute Chief Executive – Resources and People Services</p> <p>Director of East Lothian Health and Social Care Partnership</p> <p>Critical Services Oversight Group</p>	Risk reviewed and updated April/May 2014 with further review planned throughout 2014/15.

Risk Ref.	Risk Description	Existing Risk Control Measures	Assessment of Current Residual Risk			Planned Additional Risk Control Measures	Assessment of Predictive Risk			Risk Owner	Timescale for Completion / Review Frequency
			Likelihood	Impact	Total		Likelihood	Impact	Total		
			L	I	L x I		L	I	L x I		
ELC CR 3	<p>Information Security and Data Protection</p> <p>Failure to have comprehensive council wide Information Security Management measures in place will put at risk the availability, integrity and confidentiality of the councils information and may cause a Council wide failure of central I.T. systems (incl. Telephony) caused by a malicious attack by hackers, virus, trojan, disclosure of information or Fire/Flood event.</p> <p>The Cabinet Office has introduced zero tolerance for all LA's connected to the PSN network. All Scottish LA's use the PSN to register Births, Marriages & Deaths and connection to DWP for benefit provision. We have to re-accredit to this network every year and must meet stringent requirements. Failure to do so would mean disconnection from the PSN.</p> <p>Breach of the Data Protection Act, other confidentiality requirements, any relevant laws or duty of care through the loss or wrongful transmission of information (including information stored electronically) could result in</p> <ul style="list-style-type: none"> - harm to individuals; - legal action; - fines of up to £500,000. - requirement to pay compensation; - adverse publicity; - damage to reputation. 	<p>ISO 27001:2013 is the international standard for management of Information and I.T. Security. East Lothian Council uses this standard as the framework for its Information & I.T. Security Management system. This includes objectives, overall policy framework, internal audit, organisation and management support and treatment, training and awareness, risk assessment, measurement of effectiveness, management review, non-conformity management and continual improvement.</p> <p>As part of the security controls required by the standard to mitigate risks, several control areas are set out :</p> <p>Information security policy; Information security organisation; Human resources security; Asset management; Access controls and managing user access; Physical & Environmental security of all sites/equipment Secure communications, Data handling and Data Protection (including paper documents etc); Secure acquisition, development, and support of information systems; Security for suppliers and third parties; Information Security Incident management; Business continuity/disaster recovery (to the extent that it affects information security) – I.T. disaster recovery plan in place; Compliance - ELC takes measures to avoid breaches of law, statutory, regulatory or contractual obligations (incl. DP Act and Public Records Act).</p> <p>There is a Council IS Forum hosted by the IT Security Officer. IS, DP and Records Management Awareness training now forms part of our induction process for new employees. Data Protection and Information Security awareness training is mandatory for all employees and must be renewed every two years.</p>	4	4	16	<p>Information Security and Data Protection training now mandatorily part of induction completed August 2013 while existing employee roll out is to start July 2014 for IS training.</p> <p>Online system is being updated and allows for reporting on who has completed training and when.</p> <p>Regular IT health checks of PSN requirements on the existing infrastructure will be carried out quarterly commencing June 2014. New systems being introduced to our infrastructure will be risk assessed and security checked before introduction to ensure they meet criteria.</p> <p>The Data Protection Officer has started an ongoing series of "health checks"/audits with various Council departments to ensure compliance and to improve practice.</p> <p>The Council's Records Management Plan is to be adopted later in 2014 and will be a 5 year plan covering how the Council manages its records and will include links to our existing information security and data protection policies.</p>	3	4	12	<p>Information Security and Data Protection risks combined to create this new risk in April 2014.</p> <p>Risk to be reviewed in November 2014 following commencement of employee training roll out, PSN checks and adoption of Council Record Management plan.</p>	<p>Information Security and Data Protection risks combined to create this new risk in April 2014.</p> <p>Risk to be reviewed in November 2014 following commencement of employee training roll out, PSN checks and adoption of Council Record Management plan.</p>
ELC CR 4	<p>Climate Change</p> <p>As the incidence of flooding and coastal erosion increases as an impact of Climate Change, there is an increased risk of disruption to road and path networks, impact on public safety, damage to roads, property, harbours and natural heritage sites and an associated increase in claims against the Council.</p>	<p>Flooding and drainage issues are considered when processing planning applications. Inspection regimes and good housekeeping measures in place and working effectively.</p> <p>The Severe Weather Response Plan has been developed over the past few years and ensures a co-ordinated and consistent multi-agency response across the county. Emergency surface water, coastal and river flood procedures in place and have proven effective.</p> <p>Shoreline Management Plan has been produced and Flood Risk Management Strategy and Plans are being prepared to meet the requirements of the Flood Risk Management (Scotland) Act 2009.</p>	4	4	16	<p>The Council is working with the Community Councils to promote and progress "Resilient Communities" as per the Scottish Government initiative "Ready Scotland".</p> <p>Improved communication with vulnerable groups regarding access and assistance during severe weather events.</p> <p>ELC have commissioned Flood Studies for Haddington and Musselburgh and are to engage a consultant to further develop Flood Protection works on the River Tyne</p>	3	3	9	<p>Depute Chief Executive – Partnerships and Community Services</p> <p>Depute Chief Executive – Resources and People Services</p>	<p>Risk reviewed March 2014</p>

Risk Ref.	Risk Description	Existing Risk Control Measures	Assessment of Current Residual Risk			Planned Additional Risk Control Measures	Assessment of Predictive Risk			Risk Owner	Timescale for Completion / Review Frequency
			Likelihood	Impact	Total		Likelihood	Impact	Total		
			L	I	L x I		L	I	L x I		
		Flooding advice is given on the Council website and directs people to the relevant pages on the SEPA website.				and Esk, The implementation of Flood Protection Works is reliant on funding availability.					
ELC CR 5	<p>Duty of Care to Council Staff (Health & Safety)</p> <p>East Lothian Council has a duty of care to all its employees across the full range of services and those who can be affected by the Council's activities.</p> <p>Any breach of this duty of care may affect the health, safety and wellbeing of the Council's employees leading to increased sickness absence, pressures on service delivery with the added potential for claims against the Council for incidents involving employees or non-employees.</p> <p><u>Lone Working</u></p> <p>Failure of the Council to provide employees with an effective Lone Working Policy & Practice and the appropriate training could result in injury or death to those employees resulting in H&S prosecution, civil insurance liability, reputational risk, increased sickness absence, pressures on service delivery and also potential claims against the Council.</p> <p><u>Safe Driving at Work</u></p> <p>"Health and Safety Law applies to on the road work activities as to all work related activities and the risks should be managed within a health and safety management system". Failure to implement a Safe Driving at Work (SDAW) Policy and Guidance to ensure that the Council meets current Health & Safety guidelines and the Corporate Manslaughter and Corporate Homicide Act 2007 could result in the Council facing a significant fine and/or legal action if a serious road accident were to take place involving any driving operation undertaken by employees or Elected Members using personal, Council or hired vehicles, as well as any volunteers, agency workers or other authorised parties driving Council fleet vehicles, in connection with Council business.</p>	<p>Quarterly Joint Health and Safety Committees oversee the Health and Safety Agenda of Council. This is supported by Departmental committees examining health and safety at a department level.</p> <p>All Health and Safety Training needs identified from project plans and Risk Assessment Findings.</p> <p>Safety Management System is in place and is supported by audit and inspection programme across all areas of the Council.</p> <p>Managing attendance and Managing sickness Absence Policies in place. Training for managers in managing attendance and sickness absence in place.</p> <p>Quarterly reviews of Occupational Health Service referral levels take place. Monthly Occupational health contract and work level review takes place along with a review of service need and demands.</p> <p><u>Lone Working</u></p> <p>Information on Lone Working Policy is part of the Service Level Induction process. All employees have received training on the use of the ELC lone working system. Specific procedures are in place in services with a high level of lone working such as Children's Wellbeing and Revenues, including risk assessments and electronic diaries and signing in/out books.</p> <p><u>Safe Driving at Work</u></p> <p>A Safe Driving at Work policy and a Guidance Manual has been drafted by the SDAW Group to ensure that safe driving principles are embedded across the Council. The draft policy will be issued for consultation and once approved will be publicised to all staff and implemented.</p> <p>Arrangements in place to ensure the reporting and recording of all accidents and incidents arising from work related driving as well as identifying and implementing remedial actions following road traffic accidents.</p> <p>Council vehicles used in the course of Council activities properly maintained and fit-for-purpose. All Council vehicles to be maintained in accordance with VOSA publication "Guide to Maintaining Roadworthiness".</p>	3	5	15	<p><u>Duty of Care towards Council staff (including Health & Safety)</u></p> <p>H&S Policy, Management Arrangements, Approved Guidance and Training Suite being created which builds into a H&S competency framework which will then be audited.</p> <p>Training will be identified from Risk Assessments and delivered timeously and built into H&S competency framework.</p> <p><u>Children's Wellbeing</u></p> <p>Lone Working policy and procedures continue to embed within Children's Wellbeing managers and admin staff ensuring that front line employees adhere to Lone Working controls.</p> <p>Senior Management Group will take over functions of Lone Working Group in monitoring use and reviewing current procedures.</p> <p><u>Revenues</u></p> <p>Re-introduce mobile technology with GPS tracking.</p> <p><u>All</u></p> <p>The Council is working towards creating a Potentially Violent Clients Register which will enable the sharing of information relating to potentially violent clients across customer facing teams which in turn allows managers to identify and implement appropriate control measures protecting employees from harm.</p> <p>Safe Driving at Work</p> <p>Implement and continually review Policy and Guidance through the Safe Driving at Work Group.</p>	2	5	10	<p>Head of Children's Wellbeing</p> <p>Head of Adult Wellbeing</p> <p>Service Manager – Revenues</p> <p>SDAW Group</p> <p>Depute Chief Executive – Partnerships and Community Services</p>	<p>Risks on Lone Working, Safe Driving at Work and Duty of Care amalgamated into one Duty of Care (H&S of employees) Risk in May 2014 at the request of CMT.</p> <p>To be fully reviewed December 2014 following implementation of SDAW Policy and Guidance during 2014.</p>

Risk Ref.	Risk Description	Existing Risk Control Measures	Assessment of Current Residual Risk			Planned Additional Risk Control Measures	Assessment of Predictive Risk			Risk Owner	Timescale for Completion / Review Frequency
			Likelihood	Impact	Total		Likelihood	Impact	Total		
			L	I	L x I		L	I	L x I		
ELC CR 6	<p>Development Plan</p> <p>Failure to maintain an up-to-date Local Development Plan could lead to a shortfall in the effective 5 year housing land supply to meet the needs of our growing population and a lack of control over planning decisions due to planning by appeal. This could lead to unplanned development at odds with the Council's planning strategy for East Lothian, and consequent reputational damage. It could also contribute towards the Council not being able to achieve its Council Plan objectives – Growing our Economy and Growing our Communities – and related Single Outcome Agreement objectives.</p> <p>The Local Development Plan is also required to support and guide the provision of infrastructure required to meet the needs of our growing population and growing economy.</p>	<p>Staffing levels and other resources are stretched in fulfilling the task.</p> <p>Preparation of Main Issues Report and Local Development Plan is a Policy & Projects Business Plan objective (ongoing review). Details are set out in the Local Development Plan Scheme with timescales.</p> <p>ELC and SESplan Development Plan Schemes commit to a programme of Development Plan review (reviewed annually).</p> <p>SESplan Joint Committee, Project Board and Steering Group guide joint authority preparation of Strategic Development Plan for Edinburgh and SE Scotland.</p> <p>Community Planning Partnership liaison and involvement through East Lothian Strategic Land Use Planning Group.</p>	5	3	15	<p>Delay to the MIR will be contained by maintaining existing LDP timescale, achieved by shortening consultation timescales from 12 weeks to 6 (statutory minimum)</p> <p>Detailed timeline being drawn up for MIR/consultation/LDP key stages, including internal consultation and allocation of tasks to staff</p>	2	3	6	Planning Manager	<p>Monthly</p> <p>Fortnightly</p>
ELC CR 7	<p>Public Sector Reform</p> <p>Major elements of public sector reform have been or are being implemented including:</p> <ul style="list-style-type: none"> The creation of a national police force and a national fire service; Integration of Health and Social Care and creation of a new H&SC Partnership; Review of Community Planning; New legislative duties in relation to procurement, community empowerment, regulation, and children and young people. <p>These reforms create uncertainty, additional workload for senior staff, a requirement to restructure services and create new accountability, governance and partnership arrangements.</p> <p>There is continuing uncertainty about the future governance of Scotland, the future structure and governance of local government and the public sector and continuing pressure on public finances. The cost of implementing changes arising from legislation is not always fully reflected in Scottish Government funding.</p> <p>Whilst these risks are dealt with in detail in service risk registers there is a corporate level risk that the Council will not have the resources to fund these changes or the capacity to prepare for all these reforms simultaneously.</p>	<p>Effective working relations with key partners including Lothian & Borders Police, Lothian & Borders Fire and Rescue Service, East Lothian CHP and the voluntary sector are being further developed through regular meetings to prepare for public sector reform.</p> <p>The Council Management Team and Council / Cabinet receive regular reports on the implications of the reform proposals and on the Council's preparations.</p> <p>Planning processes are led by the Chief Executive.</p> <p>Responses to the Scottish Government on consultations around public sector reform are prepared and submitted as required. Financial and resource scoping is carried out as required.</p> <p>Systems for operational, performance and financial management and scrutiny are being prepared.</p> <p>The new Community Planning Partnership structure established in September 2013 provides a more strategic focus for the CPP.</p> <p>The Single Outcome Agreement Development Plan prioritises early intervention, tackling inequalities, joint resourcing, and joint asset management.</p> <p>The scrutiny and accountability arrangements for Police and Fire services, shared between Council and the Safe and vibrant Communities Partnership were established in April 2013.</p> <p>The Shadow Health and Social Care Partnership was established in April 2013 and work is progressing on developing the Integration Plan and Commissioning Strategy for the Partnership in line with the guidance and timetable.</p> <p>The milestones will be closely monitored by the HSCP Board and Officers of East Lothian Partnership on a</p>	4	3	12	<p>Continue to monitor developments in the Public Sector Reform agenda and Scottish Government's legislative programme and develop responses to exploit potential benefits from, or mitigate potential negative impacts of, different future scenarios</p> <p>CMT and elected members will work together to ensure that the Council is prepared for future public sector reform and the differing scenarios for future governance arrangements.</p>	3	3	9	Chief Executive	<p>Risk reviewed and refreshed April/May 2014.</p> <p>Ongoing action.</p> <p>Risk to be reviewed Feb 2015.</p>

Risk Ref.	Risk Description	Existing Risk Control Measures	Assessment of Current Residual Risk			Planned Additional Risk Control Measures	Assessment of Predictive Risk			Risk Owner	Timescale for Completion / Review Frequency
			Likelihood	Impact	Total		Likelihood	Impact	Total		
			L	I	L x I		L	I	L x I		
		monthly basis and effective action will be agreed to ensure any misalignment from the agreed milestone is addressed. This will be evidenced by the minutes of meetings which will include an action plan that identifies who is responsible, a timeframe for completion and details of remedial actions.									
ELC CR 8	<p>Welfare Reform</p> <p>The UK Government is introducing a range of measures to reform the welfare system and reduce the budget for welfare benefits by at least £11 billion annually. It has been estimated (Scottish Local Government Forum Against Poverty, Sept 2010) that the changes could result in the loss of £8m - £9.5m annually from welfare benefits paid to East Lothian residents.</p> <p>The changes could lead to:</p> <ul style="list-style-type: none"> • Increase in rent arrears from reduced Housing Benefits and possible increase in evictions • increased pressures on tenancy support and rent collection teams • increase in homeless presentations, placing even more pressure on already stretched resources for temporary accommodation • increase in Council Tax arrears and non-payment of Council Tax • increase in caseload for Adult Wellbeing and Children's Wellbeing staff dealing with vulnerable people affected by cuts in benefits • increase in caseload and demand for services from the Welfare Rights Service • loss of income the Council currently receives for administering Housing Benefits 	<p>The Council has received several update reports and will continue to be updated.</p> <p>The Council has established a Welfare Reform Task Group to plan for changes to the welfare system. The Task Group has a detailed action plan to ensure that the Council takes the necessary measures to prepare for welfare system changes.</p> <p>The work of the group has been based around communications; data sharing; training; and migration to the new benefits system such as the establishment of the Scottish Welfare Fund.</p> <p>The Task Group and workstreams are meeting regularly and will continue to report back to the Council Management Team and to the Council. Key actions that have been completed include:</p> <ul style="list-style-type: none"> • establishing processes and procedures for distributing the Scottish Welfare Fund • revising the Discretionary Housing Payments policy and distributing the additional allocation to tenants affected by the new single occupancy rules • providing training for Council staff on welfare reforms • providing information about welfare reforms to the general public through the Council website (e.g. the welfare reform videos), Living newspaper and Homefront magazine • successfully applying for funding from the Scottish Legal Aid Board for Tenancy Support Officers. 	4	3	12	<p>The Council's Welfare Reform Task Group is revising and updating its Action Plan and will continue to implement the plan to mitigate the impact of welfare reform.</p> <p>An action to mitigate the impact of welfare reform on rent arrears will be developed and progress will be monitored by a senior level task group chaired by the Depute Chief Executive – Partnerships and Community Services</p>	3	3	9	Depute Chief Executive – Resources and People Services Welfare Reform Task Group	<p>Risk reviewed April 2014. Current score reduced from 16 to 12 and predicted score reduced from 12 to 9.</p> <p>Risk is under constant review by the group.</p>

Risk Ref.	Risk Description	Existing Risk Control Measures	Assessment of Current Residual Risk			Planned Additional Risk Control Measures	Assessment of Predictive Risk			Risk Owner	Timescale for Completion / Review Frequency
			Likelihood	Impact	Total		Likelihood	Impact	Total		
			L	I	L x I		L	I	L x I		
ELC CR 9	<p>Public Protection</p> <p>East and Midlothian Public Protection Committee (EMPPC) is being established with effect from June 2014 to replace the current Adult Protection Committee, Child Protection Committee, Offender Management Committee and Violence Against Women Partnership and to ensure robust links with Midlothian and East Lothian Drug and Alcohol Partnership (MELDAP).</p> <p>A failure in this new committee or any problem caused by the increased complexity of its work or it being unable to fulfil its statutory duties/duty of care could result in a service user suffering harm or detriment. This would result in reputational damage to and increased scrutiny of the Social Work service.</p> <p>If a service area is given higher priority than another area then people may be left at risk of harm.</p>	<p>Policies and procedures are in place.</p> <p>Governance and scrutiny arrangements in place through Critical Services Oversight Group (CSOG).</p> <p>Established performance monitoring and reporting mechanisms.</p>	3	4	12	<p>Review all policies, procedures and governance arrangements in light of integrated Public Protection model.</p> <p>Develop co-ordinated approach across all areas,</p> <p>Implementation of revised Public Protection structure will strengthen governance and scrutiny.</p>	2	4	8	<p>Public Protection Team Manager</p> <p>Senior Manager Operations</p> <p>Head of Adult Wellbeing</p> <p>East and Midlothian Public Protection Committee</p>	Risk created May 2014 and to be reviewed following establishment of committee.
ELC CR 10	<p>Severe Weather</p> <p>There is a risk that an extended period of very cold weather or snow such as that which occurred in November to December 2010, will lead to a demand for gritting and clearing of footpaths in all areas which exceeds normal capacity and supplies of salt.</p> <p>This could result in travel disruption, difficulties for people in accessing services, failure to maintain refuse collection timetable and school closures at short notice as well as a possible increase in insurance claims related to pothole damage.</p>	<p>The Infrastructure Winter Maintenance Plan has been in place for some time and ensures that main transport routes are treated as priority.</p> <p>The Council Severe Weather Response Plan has been developed over the past few years and ensures a co-ordinated and consistent multi-agency response across the county.</p> <p>There is a claims protocol in place within the Insurance section.</p> <p>Council's Salt Barn has a capacity of 8,000 tonnes to meet demand arising from severe cold weather.</p> <p>Snow clearing equipment has been supplied to Primary Schools and Community Councils on request. A number of grit bins are provided to enable self-help gritting of adopted roads and footways.</p> <p>Winter Maintenance Duty officers trained as Winter Service Supervisors to City and Guilds level.</p>	3	3	9	<p>Training and awareness sessions for staff.</p> <p>The Council is working with the Community Councils to promote and progress "Resilient Communities" as per the Scottish Government initiative "Ready Scotland".</p> <p>Several Community Councils have started to create their own emergency response plans. A workshop, hosted by East Lothian Council, to further progress Resilient Communities, for the benefit of Community Councils, will take place in October 2014.</p>	3	3	9	Depute Chief Executive – Partnerships and Community Services	Risk reviewed March 2014

Risk Ref.	Risk Description	Existing Risk Control Measures	Assessment of Current Residual Risk			Planned Additional Risk Control Measures	Assessment of Predictive Risk			Risk Owner	Timescale for Completion / Review Frequency
			Likelihood	Impact	Total		Likelihood	Impact	Total		
			L	I	L x I		L	I	L x I		
ELC CR 11	<p>Energy and Carbon Management</p> <p>There is a risk of reputational harm (in terms of corporate social responsibility) and the potential for significant unbudgeted costs and financial penalties if the Council does not meet Climate Change (Scotland) Act 2009 (CC(S)A 2009) statutory obligations (increasing cost of Carbon Credits).</p> <p>Examples of this risk include:</p> <ul style="list-style-type: none"> • More expensive travel due to increase fuel costs and taxes • Rising energy costs due to oil and gas price increases and Carbon Reduction Commitment (CRC) • Less energy security due to potential UK and worldwide resource constraints for fuel and electricity. 	<p>A Carbon Management Plan (2009-14, extended to 2015) is in place, which aims to achieve emissions and cost reductions set out by the Scottish Government and the Council. Progress is reported annually, and includes a number of energy efficiency and management projects.</p> <p>The current carbon management plan covers the period 2009-14. It was agreed at the Carbon Management Board meeting in December 2012 that the current CMP would be extended to 2014/15.</p> <p>The Council is on target to meeting the 25% reduction target. However, the Climate Change (Scotland) Act interim carbon target is 42% reduction by 2020. It will become increasingly harder and more costly to meet the target, as the easy wins have been identified and implemented.</p>	3	3	9	Review and update the Carbon Management Plan 2016-2020	3	3	9	Depute Chief Executive – Partnerships and Community Services	Risk reviewed March 2014
ELC CR 12	<p>Standards in Public Life</p> <p>Failure of corporate governance or to meet standards in public life.</p> <p>Failure of the Council's corporate governance or of officer or members to meet standards in public life could result in reputational damage.</p>	<p>The main internal controls are the Council's Code of Corporate Governance, the Annual Governance Statement, Standing Orders, Scheme of Administration and Financial Regulations. Standing Orders (the Schemes of Administration and Scheme of Delegation) were extensively revised and approved by Council in August 2013. Other changes include the role of statutory officers and job outlines for senior officers.</p> <p>The conduct of elected members and employees is governed by Codes of Conduct. The Audit and Governance Committee also has a role in promoting good governance. The Council's Monitoring Officer and legal advisers provide advice as required.</p> <p>A programme of briefings for Elected Members has been established during 2013 with an event scheduled at least once every two months during the current committee session (2013/14). Briefing topics include: Code of Conduct, Health Inequalities and Suicide in East Lothian.</p> <p>The Council is developing its links with the Local Area Network of audit and inspection agencies and with its Auditors.</p>	3	3	9	<p>Dates have already been earmarked for briefings to Elected Members to continue during the session 2014/15. The majority of the briefings will be delivered by external professionals such as Audit Scotland and the Standards Commission.</p> <p>Elected Members will have a further opportunity to participate in the Improvement Service's CPD programme.</p>	2	3	6	Depute Chief Executive – Resources and People Services	<p>Risk reviewed March 2014.</p> <p>Actions ongoing through 2014/15.</p> <p>Risk to be reviewed March 2015.</p>
ELC CR 13	<p>Business Continuity</p> <p>Non availability of:</p> <ul style="list-style-type: none"> • premises, through fire, flood or other incident; • key staff or significant numbers of front-line staff for any reason including a Pandemic; and/ or • systems (IT, telephony, power failure etc) 	<p>Business Continuity Framework Plan in place and regularly reviewed. This corporate document reflects information from each service continuity plan and contains information required to prioritise relocation of council services and restoration of critical services.</p> <p>Business Continuity Plans are produced by all service areas, giving details of minimum levels of staff, alternate locations, exercise and review dates and version control.</p>	2	4	8	<p>An IT Disaster Recovery Plan to be written which will cover Disaster Recovery arrangements for the Council's main data centres (JMH & Penston House).</p> <p>Management Information software has been purchased and will assist in the maintenance and review process of all plans once fully</p>	2	3	6	<p>Depute Chief Executive – Partnerships and Community Services</p> <p>Depute Chief Executive – Resources</p>	Fuel shortages risk included within Business Continuity risk in April 2014 and new risk reviewed and updated with amended planned measures reducing predicted score

Risk Ref.	Risk Description	Existing Risk Control Measures	Assessment of Current Residual Risk			Planned Additional Risk Control Measures	Assessment of Predictive Risk			Risk Owner	Timescale for Completion / Review Frequency
			Likelihood	Impact	Total		Likelihood	Impact	Total		
			L	I	L x I		L	I	L x I		
	<ul style="list-style-type: none"> any form of transportation due to a fuel shortage <p>The occurrence of any of these will have an adverse effect on the Council to function fully and to carry out our statutory requirements.</p>	<p>IT –specific disaster recovery arrangements in place for the critical systems – e-mail and social care. These have duplicate services in place off site which can be brought into action if we lost the main data centre at JMH.</p> <p>For single server failure - there are over 100 systems now running on virtual servers which automatically fall over to another server if there are hardware issues.</p> <p>Controls that are in place to prevent and limit the effects of IT system unavailability including firewalls, anti-virus software, system/ data backup routines, and resilience in the form of a back-up generator for the main data centre at JMH.</p> <p>The Council has a Fuel Plan in place and is able to call a Fuel Group at anytime. Fuel supply held at our depots and can be sourced externally from local fuel service stations and through shared services with other Local Authorities.</p>				operational. Regular monitoring of current fuel stock and assessment of any weather predictions, political developments or industrial action etc that may affect fuel availability.				and People Services	from 8 to 6.
ELC CR 14	<p>Equality</p> <p>Failure to meet duties and legislative requirements of the Single Equality Act 2010</p> <p>The Single Equality Act 2010 and related guidance places a general duty on public authorities to be active in promoting equality, eliminating unlawful conduct and fostering good relations. It also places specific duties on public authorities to</p> <ul style="list-style-type: none"> report on mainstreaming the equality duty publish equality outcomes and report progress assess and review policies and practices gather and use employee information publish gender pay gap information publish statements on equal pay consider award criteria and conditions in relation to public procurement publish in a manner that is accessible. <p>There is a risk that the Council may not be able to meet its general or specific duties and in particular at a time when difficult budget decisions are having to be made that there will be cuts in services or increases in charges that have a disproportionate impact on people who may need those services most because of their equality background.</p> <p>The Council would be open to legal challenge of not meeting its duties and in particular of not carrying out adequate assessment of impact of policies and budget decisions.</p>	<p>ELC Equality Plan in place and available online</p> <p>A new Combined Impact Assessment Process has been developed with Midlothian Council and NHS Lothian to support the Council to meet its legal duties.</p> <p>HR is capturing the employment monitoring information required under the Act and reporting it appropriately.</p> <p>E Learning equalities modules are available on Learn Pro and 'Get in on the Act' guides to the Council's legal responsibilities are available for all employees and Elected members.</p>	2	4	8	<p>Embedding of new Combined Impact Assessment procedure across all Council services, including new online learning modules and face to face briefings.</p> <p>Equality Impact Assessment carried out as part of the budget preparation process.</p> <p>Equality indicators included as part of the Performance Framework and SOA indicator set</p>	1	4	4	Depute Chief Executive – Partnerships and Community Services	Risk reviewed and refreshed March 2014, to be further reviewed December 2014.

Original date produced (Version 1)	13 April 2011		
File Name	East Lothian Council Corporate Risk Register		
Original Author(s)	Scott Kennedy, Risk Officer		
Current Revision Author(s)	Scott Kennedy, Risk Officer		
Version	Date	Author(s)	Notes on Revisions
1	13/04/2011	S Kennedy	Original Version
2	05/12/2011	S Kennedy	2 nd version made available to BoD for review
3	23/08/2012	S Kennedy	Draft version updated
4	15/11/2012	S Kennedy	Updated following BoD meeting and Strategy update
5	07/12/2012	S Kennedy	Updates received from services following BoD recommendations
6	18/12/2012	S Kennedy	Updated with additional risks.
7	04/01/2013	S Kennedy	Updated following consideration by CMT
8	09/05/2013	S Kennedy	EP & BC Risks updated
9	31/07/2013	S Kennedy	Data Protection Risk Added
10	01/11/2013	S Kennedy	Welfare Reform Risk updated (no change to score)
11	04/03/2014	S Kennedy	New Corporate Risks added on Safe Driving at Work, VERS, Fuel Shortages and Lone Working
12	March/April 2014	S Kennedy	All risks reviewed, refreshed and scores updated where required.
13	11/04/2014	S Kennedy	New Corporate Risk on Integration of Health & Social Care and Adult Wellbeing added.
14	25/04/2014	S Kennedy	Amendments following consultation with CMT and Risk Authors
15	01/05/2014	P Vestri	Amendments following review of latest draft by Chief Executive and Depute Chief Executives.
16	27/05/2014	S Kennedy	Final amendments following consultation with CMT and Risk Authors including addition of Development Plan and Public Protection risks

Risk Score	Overall Rating
20-25	Very High
10-19	High
5-9	Medium
1-4	Low

REPORT TO: Cabinet
MEETING DATE: 10 June 2014
BY: Depute Chief Executive (Resources and People Services)
SUBJECT: Proposed Revisions to Managing Attendance Policy

3

1 PURPOSE

- 1.1 The purpose of this report is to seek approval from Cabinet for revisions to the Council's Managing Attendance Policy.
- 1.2 The purpose of these proposed changes is to:
- Further reduce sickness absence within the Council
 - Ensure consistency and fairness in the management of absence and application of the policy
 - Streamline the process for line managers in relation to managing absence and attendance
 - Ensure better clarity of individual and line management responsibilities in relation to absence and attendance, and create a more robust framework in which to manage attendance
 - Make financial savings by reducing the number of unnecessary referrals to the Council's Occupational Health provider.

2 RECOMMENDATIONS

- 2.1 It is recommended that Cabinet approve the revisions to the Policy (Attached as appendix A) which have been fully consulted upon with the Trades Unions and workforce and are endorsed by the Council Management Team.

3 BACKGROUND

3.1 Since the current Managing Attendance Policy was last updated in October 2011, sickness absence levels have been reducing, and compared well to those in other Scottish councils. However, more recent benchmarking information indicates that our absence statistics again do not compare favourably with those in the other 15 comparator councils involved and it is hoped that further revisions to the policy will help improve the situation.

3.2 Key changes to the Policy are highlighted in **yellow** within Appendix A:

- The introduction of an automatic 6-month monitoring period once the trigger for short-term absence has been reached and no referral to Occupational Health unless there is further absence.
- Extension of Stage 2 monitoring from 4 months to 6 months.
- Extension of Stage 3 monitoring from 2 months to 6 months.
- Long-term trigger increased from 2 weeks to 28 days.
- More discretion for line managers to determine the appropriateness (and benefit) of referring employees to Occupational Health whilst they are absent long-term.

3.3 A number of additions have been made to the Policy, to provide clarification of current practice and statutory requirements which are not clear within the existing policy. These are highlighted in **green** within Appendix A and include:

- The need for an employee who is absent from work to remain in regular contact with their line manager.
- The expectation that employees will attend all absence meetings and Occupational Health appointments that they are requested to.
- The expectation that employees will seek the appropriate help, advice and support in relation to any health condition impacting on their ability to attend work.
- The requirement for line managers to submit Occupational Health referrals timeously, at the point of these being required.
- The requirement for line managers to make employees aware of services provided to support and promote employee wellbeing.
- Clarification for employees and managers in relation to certified sickness during periods of annual leave.
- Clarification for employees and managers in relation to abatement of annual leave following long-term sickness absence.

- Clarification for employees and managers in relation to phased returns to work.
 - Clarification for employees and managers in relation to implementation of reasonable adjustments.
- 3.4 As part of an employee and Trades Union consultation exercise, the draft policy was made available to employees and Trades Unions from 19 December 2013 until 17 January 2014. This period was subsequently extended to 31 January 2014 to allow the Trades Unions to meet as a Joint Trades Union Side and to feedback their views.
- 3.5 Twelve employees/line managers provided 39 points of feedback, all of which were individually considered, and incorporated if considered appropriate. None of these points were substantive to the Policy but were generally about improving communication, particularly in relation to: maintaining contact with absent staff; the requirement of employees to attend meetings; monitoring periods. It was also requested that there be a separate short guide for employees on absence procedures.
- 3.6 The Joint Trades Unions provided no specific feedback on the draft Policy, but have since indicated that they would again wish to enter into a collective agreement with the Council on absence management. Prior to 2009 the Absence Management Policy was a collective agreement but the Joint Trades Unions wrote at that time to say they no longer wanted to be part of a collective agreement. It is the view of the Corporate Management Team and HR that it would not be possible to achieve an effective joint policy on absence management. In the vast majority of comparative councils, absence management policies are council policies and not collective agreements.
- 3.7 A managers' guidance document has been drafted to support line managers in implementing the Policy.
- 3.8 Once the Policy is approved, the HR Advisers will roll out a series of workshops to line managers to assist them in rolling out the Policy sensitively and effectively.
- 3.9 Following feedback from the consultation process, an additional employee guide has also been drafted. This sets out what employees are required to do in relation to absence procedures, as well as what they can expect from their line manager.

4 POLICY IMPLICATIONS

- 4.1 The changes to this Policy simplify the procedure for Managers and ensure compliance with current employment law and legislation. It has been made available for employee and Trades Union consultation and changes made accordingly.

5 EQUALITIES IMPACT ASSESSMENT

- 5.1 An Equalities Impact Assessment has been carried out for this Policy and no negative impacts identified.

6 RESOURCE IMPLICATIONS

- 6.1 Financial – There will be no additional costs to the Council.
- 6.2 Human Resources – The Policy will be made available on Elnet and additional support and training will be provided to line managers by the HR Operations team.
- 6.3 Other – none.

7 BACKGROUND PAPERS

- 7.1 Draft Managers Guidance
- 7.2 Draft Employee Guide
- 7.3 Equality Impact Assessment

AUTHOR'S NAME	Jim Lamond Zoe Thomson
DESIGNATION	Head of Council Resources HR Business Partner
CONTACT INFO	Ext 7278 Ext 6772
DATE	28 th May 2014

MANAGING ATTENDANCE POLICY

this policy applies to ALL employees

- 1. INTRODUCTION**
- 2. OBJECTIVES**
- 3. ROLES & RESPONSIBILITIES**
- 4. ABSENCE TRIGGERS**
 - 4.1 SHORT TERM ABSENCE
 - 4.2 LONG TERM ABSENCE
- 5. OCCUPATIONAL HEALTH**
- 6. SICK PAY AND ANNUAL LEAVE**
- 7. ABATEMENT OF LEAVE**
- 8. FIT NOTES**
- 9. PHASED RETURN TO WORK**
- 10. REASONABLE ADJUSTMENTS**
- 11. MEDICAL REDEPLOYMENT**
- 12. ILL HEALTH RETIREMENT**
- 13. ACCIDENTS AT WORK**
- 14. EMPLOYEES EMPLOYED ELSEWHERE**
- 15. GENERAL INFORMATION**
- 16. POLICY REVIEW**

1.0 INTRODUCTION

- 1.1 East Lothian Council recognises the need for a clear, fair and consistent policy and robust procedures for managing employee attendance.
- 1.2 This policy and the procedures contained in it apply to **ALL** employees of the Council. For the purposes of this policy Head Teachers (or other appropriate promoted teacher) will come under the heading of Line Manager.
- 1.3 All employees will be treated consistently in relation to sickness absence.
- 1.4 When an employee reaches the short-term trigger they will be placed in an automatic Stage 1 monitoring period of 6 months. The short-term trigger for sickness absence is 3 occasions in any rolling 12 month period.
- 1.5 The long-term trigger for sickness absence is any consecutive period of absence of 28 days or more.
- 1.6 It is the responsibility of all Line Managers to ensure that they are adhering to the Managing Attendance Policy and that appropriate action is being taken at the necessary times.
- 1.7 If employees are absent from work the Council will always try to provide support in times of genuine need. Each case will be fully explored, managed individually and decisions made based on facts and medical opinions.
- 1.8 Referral to the Council's Occupational Health Service is not a sanction: referrals are intended to provide professional information to managers to help them decide how to handle sickness absence. Guidance on when a referral to Occupational Health is required or advisable is given throughout this policy.
- 1.9 There is no doubt that absence puts colleagues under pressure and affects the quality of service the Council is able to provide. The procedures contained in this policy are therefore designed to provide employees with the support they require whilst minimising the disruption caused by absence.
- 1.10 Employees may be accompanied to all formal meetings under the procedure by a Trade Union representative, colleague, friend, or family member.

2.0 OBJECTIVES

- 2.1 The key objectives of this Policy are to:
 - Ensure employees are aware of their role in maintaining good attendance.

- Promote the health and wellbeing of our workforce, and reduce sickness absence.
- Provide a fair and consistent framework for managing sickness absence.
- Set out the standards expected and the process for monitoring them.
- Support employees who are absent to return to normal working as soon as possible.
- Ensure employees who are no longer able to fulfil their duties are treated fairly.
- To comply with the legal framework of employment legislation, Health and Safety, the Equality Act 2010.
- To ensure that Council resources are managed effectively.

3.0 ROLES AND RESPONSIBILITIES

3.1 ROLE OF EMPLOYEE

- 3.1.1 As soon as an employee knows that they cannot come to work because they are sick they should phone their Line Manager or the designated person in their section to inform them that they will not be at work. This phone call should be made within one hour of normal start times. (Local sickness notification procedures may apply in some business units which should be adhered to wherever possible.)
- 3.1.2 Notification of absence by e-mail or voicemail is acceptable in cases where the employee's manager is unavailable. However, the manager or appropriate representative should follow up with direct telephone contact with the absent employee as soon as possible, to clarify the circumstances of their absence.
- 3.1.3 If sickness absence continues the employee should phone their Line Manager on the 4th and 7th calendar day of their absence in order to give an update on their medical condition. If the 4th or 7th day falls on an ELC non working day, the next working day is acceptable. If the employee is unable to make contact themselves, they may appoint another person to to act on his/her behalf.
- 3.1.4 Certification from a GP is required from the 8th calendar day onwards. It is important that an employee sends the GP Statement of Fitness for Work (or "Fit Note") in to their Line Manager as soon as they receive it. Failure to do this without good reason, within one week of:
- the end of self certification, or
 - the end of the cover period of a "Fit Note"

will result in an absence being regarded as unauthorised and pay will be deducted. Disciplinary procedures may also be invoked.

3.1.5 Any employee who is absent from work will remain in regular contact with their Line Manager, at a frequency to be agreed between both parties.

3.1.6 When an employee is ready to return to work they should advise their Line Manager by telephone as soon as the date of return is known.

3.1.7 Employees must follow the reporting and certification procedures to be entitled to Occupational Sickness Allowance and Statutory Sick Pay. Failure to do so may result in the employee's pay being stopped and the absence being deemed as unauthorised. Disciplinary procedures may also be invoked.

3.1.8 Employees are required to attend all Return to Work meetings and other absence meetings as directed by their Line Manager, and to discuss any health issues that are likely to impact on their attendance or performance at work.

3.1.9 Employees are required to attend Occupational Health when requested to do so.

3.1.10 Employees should seek the appropriate help, advice and support in relation to any health condition impacting on their ability to attend work.

3.2 ROLE OF MANAGER

3.2.1 Managers have direct responsibility for managing sickness absence. It is essential that managers are familiar with and fully understand the Council's procedures for reporting, recording and monitoring sickness absence.

3.2.2 Managers will ensure that all staff are treated consistently in relation to sickness absence and that procedures are applied fairly to all employees.

3.2.3 Managers will ensure that all their employees are fully aware of the sickness absence procedures used in their Business Unit: e.g.

- When to phone in
- Who to phone
- How often to phone in
- The consequences of not following these procedures.

3.2.4 Managers will ascertain the following information:

- Why the employee is unable to attend work
- How long the employee expects to be absent
- Whether the employee intends to seek a GP appointment
- The date and time the absence was notified

3.2.5 Managers will monitor individuals' and Business Unit sickness absence records.

3.2.6 Managers will be sensitive and supportive to their employees, but will deal appropriately with unjustified or high levels of sickness absence in their Business Unit.

3.2.7 Managers will ensure that employees are made aware if they are approaching the trigger for short-term absence, and the implications for them should they reach this.

3.2.8 Managers will ensure that all employees who have reached the short-term trigger are aware that their attendance will be formally monitored for a period of 6 months, and that a 'Commencement of Absence Monitoring' form has been completed (Appendix 1).

3.2.9 Managers will ensure that referrals to Occupational Health are submitted timeously, at the point of these being required, in accordance with this policy.

3.2.10 Managers will be aware of services provided to support and promote employee wellbeing, such as the Employee Assistance Programme (EAP) and Midlothian Physiotherapy, and provide details of these to staff as and when required.

3.2.11 Managers will conduct a Return to Work meeting for even the shortest of sickness absence periods, even if this is for a portion of a working day, and ensure that a self certification form is filled out. Teachers are not required to complete a self certification form until the 4th day of absence. However, where an absence has been for less than four days, it may be helpful for the Head Teacher and employee to use the form as a means of keeping a record of any Return to Work discussion. Return to Work meetings should be supportive and held privately and informally.

3.2.12 Managers will ensure that at the Return to Work meeting the following points are noted:

- Reason for the employee's absence
- Agreement about any actions to be taken upon return to work
- The frequency/patterns of employee's absences (and triggers, if appropriate)
- Any problems/agreed actions that are highlighted
- If appropriate, identification of ways to assist the employee to improve their attendance in the future.

3.2.13 Managers will ensure that all recording of sickness absence is done confidentially and that all sickness absence returns are submitted promptly to ensure that absences are recorded and Sickness Allowance and Statutory Sick Pay is processed timeously.

4.0 SICKNESS ABSENCE TRIGGERS

It is the responsibility of all Line Managers to ensure that they are adhering to this policy and taking appropriate action when a trigger is reached.

4.1 SHORT TERM ABSENCE

4.1.1 Stage 1

- An employee will reach the short-term absence trigger when they have had 3 separate occasions of absence within a rolling 12 month period. An automatic 6-month monitoring period will apply to **all** employees who have reached the short-term trigger, regardless of the reasons for the absences. (N.B. Any absences which are pregnancy related will be exempt for the purposes of triggers and monitoring).
- The employee will be informed at their Return to Work meeting, following the third absence, that they are being placed on Stage 1 monitoring and the appropriate notification form will be completed and signed off at the meeting (see Appendix 1). The monitoring period will commence from the date of this meeting.
- If there are further absences during Stage 1 monitoring, the employee will progress to Stage 2 and be referred to Occupational Health. If, however, their level of attendance remains at an acceptable level they will be returned to normal monitoring **at the end of the 6 month period**.

4.1.2 Stage 2

- Where there have been further absences during Stage 1 monitoring, the Line Manager will refer the employee to Occupational Health to determine if an underlying medical condition is present and whether any adjustments are required.
- Once a medical report is received from Occupational Health, the Line Manager should arrange a Stage 2 Absence Meeting with the employee **as early as possible** to discuss the content of the report.

No Underlying Medical Condition

- If Occupational Health confirm that there is no underlying medical condition which would account for the absences, the matter should be regarded as a conduct issue. The employee should be advised that absence procedures will cease and an investigation will be instigated under the relevant Disciplinary Procedure which may/may not result in disciplinary action being taken.

Underlying Medical Condition

- If Occupational Health confirm that the employee does have an underlying medical condition that accounts for the absences, the employee should be advised that their level of sickness absence will be monitored for a further period of **6 months** from the date of the meeting. This will be confirmed to the employee in writing following the meeting.
- If the employee has any further absence during Stage 2 monitoring, they will progress to Stage 3. If, however, their level of attendance remains at an acceptable level they will be returned to normal monitoring **at the end of the 6 month period**.

4.1.3 Stage 3

- If an employee reaches Stage 3 in the procedure they should be re-referred to Occupational Health for updated medical advice (if no review is scheduled).
- A Stage 3 Absence Meeting should be convened to review the support mechanisms put in place and determine how effective these have been, and to discuss whether any further adjustments can reasonably be implemented.
- The employee should be advised that their level of sickness absence will be monitored for a further period of **6 months**. If the employee has any further absences during Stage 3 monitoring, a decision may be taken to hold a Capability Hearing which may result in the employee being dismissed on the grounds of capability due to ill health. If, however, their level of sickness absence remains at an acceptable level they will be returned to normal monitoring **at the end of the 6 month period**.

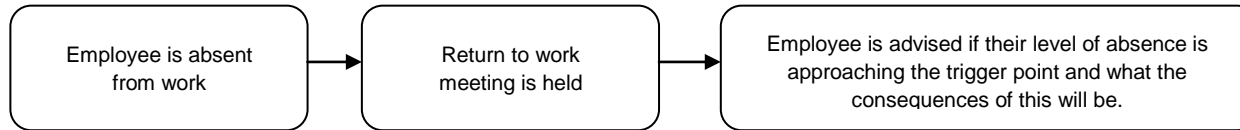
4.1.4 Further Absences

If an employee has returned to normal monitoring but their level of sickness absence is such that a Line Manager again has serious concerns about it then the Line Manager can choose to invoke the policy at the appropriate stage i.e. it may not necessarily be Stage 1. A Manager need not wait until the end of the appropriate monitoring period to meet with the employee to discuss their unacceptable level of absence but should always ensure that the employee is aware of the stage of the procedure that is being followed.

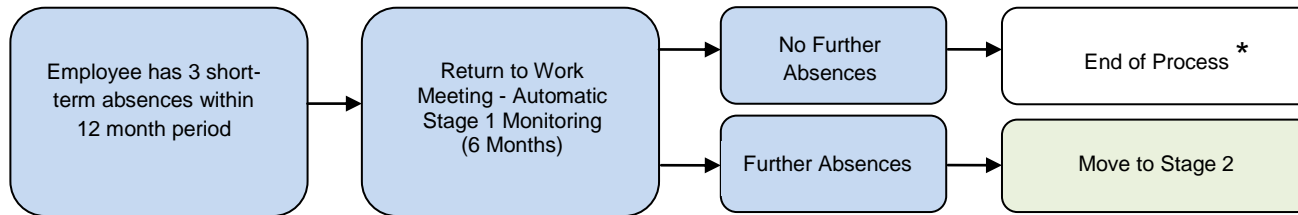
SHORT-TERM ABSENCE PROCEDURES

Short-Term Absence = any absence less than 28 days in duration

TRIGGER = 3 separate absences within a rolling 12 month period.



Stage 1 (6 months automatic monitoring)



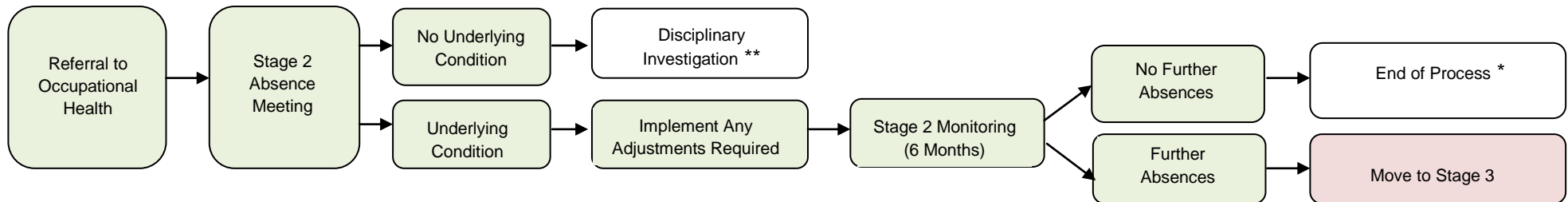
*

Further absences will be progressed accordingly, under the appropriate stage of the process.

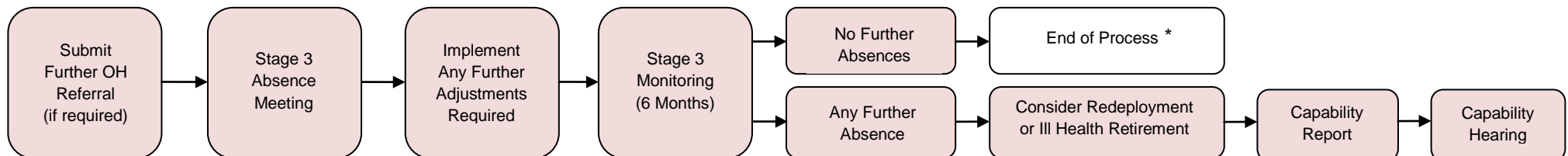
**

Absence procedures will cease and disciplinary procedures will commence. Where disciplinary action is taken as a result of sickness absence, any further absences within a live warning period will result in a further disciplinary investigation.

Stage 2 (OH referral, absence meeting, 6 months monitoring)



Stage 3 (Further OH advice, absence meeting, 6 months monitoring)



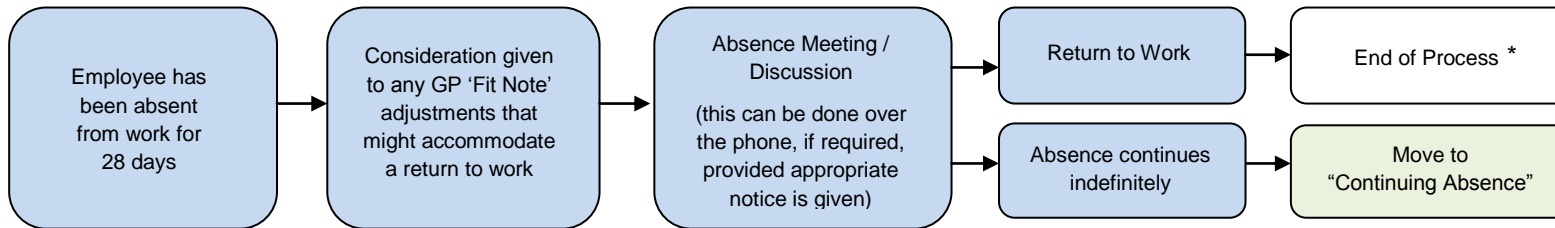
4.2 LONG TERM ABSENCE

- 4.2.1 The trigger point for long term absence is where an employee is off sick or is expected to be off, on a continuous basis, for a period of **28 days or more**.
- 4.2.2 In this situation the Manager should keep in touch with the employee at regular intervals, arrange to meet with them if appropriate, and consider whether a referral to Occupational Health would be of benefit. Further information is available from Human Resources.
- 4.2.3 **Referral to Occupational Health in relation to long-term absence is at the discretion of the Line Manager.** There may be situations where, depending on the reason for absence, it would not be beneficial to refer an employee who has met the long-term trigger e.g. if it is known that the employee is coming back to work and the cause of the absence has no implications in respect of the work they carry out, or if the absence is going to be prolonged and is not caused or impacted on by work-related factors.
- 4.2.4 If any long-term absence case is to progress to either Redeployment, Ill-Health Retirement, or a Capability Hearing, a recent Occupational Health report is required and a referral would require to be submitted.

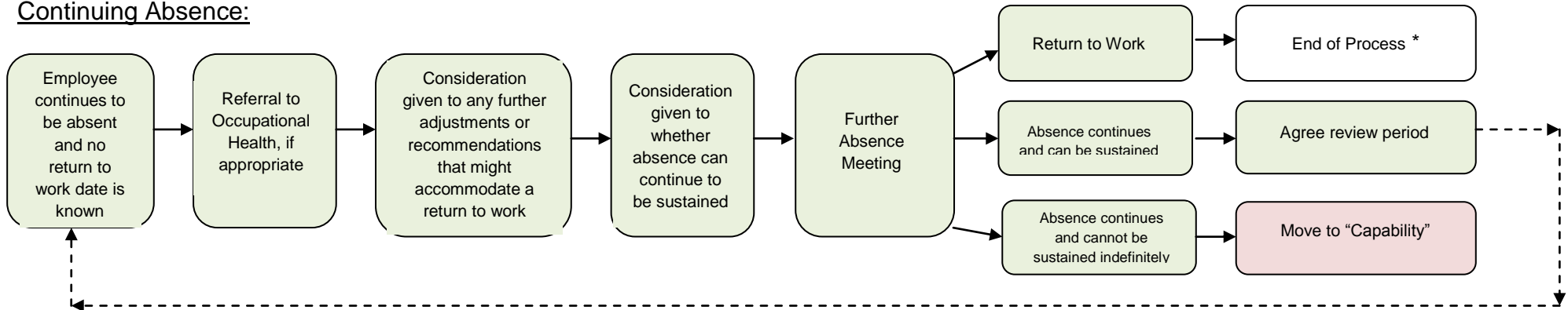
LONG-TERM ABSENCE PROCEDURES

Long-Term Absence = any absence of 28 days or more

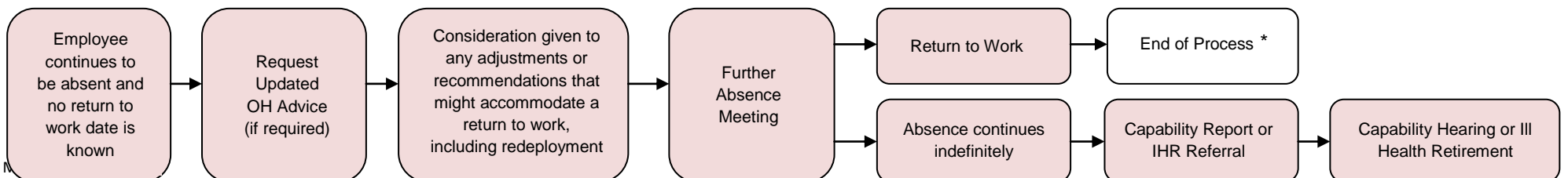
Absence reaches 28 days and no return to work date is known:



Continuing Absence:



Capability:



5.0 OCCUPATIONAL HEALTH

5.1 Occupational Health is a specific branch of medicine that deals with the impact of health on work and work on health. Occupational Health professionals are specialists in this field of medicine and are best placed to comment on work related health issues.

5.2 Referrals to Occupational Health are made to obtain professional and legally defensible management advice to Line Managers on issues such as:

- Sickness absence and return to work
- Fitness for work
- Workplace assessments and adjustments

5.3 Any employee who has been absent for work during Stage 1 monitoring, will require to be referred to Occupational Health. A further referral will be required at Stage 3, if no review is scheduled by Occupational Health.

5.4 In addition to this, an **immediate referral** to Occupational Health will be required when:

- An employee has reported sick with stress/anxiety/depression, or a related illness;
- An employee is not absent but has disclosed to their Line Manager that they are suffering from stress/anxiety/depression, or a related illness;
- An employee has sustained a musculoskeletal condition or injury (regardless of whether they are absent from work);
- An employee has raised concerns about a health issue impacting on their performance or capability at work;
- An employee has raised concerns about a work issue impacting on their health.

5.5 Once a medical report is received from Occupational Health, the Line Manager should arrange to meet with the employee **as early as possible** to discuss its content - including reasonable adjustments that could be made to facilitate the employee's return to work. Whilst Occupational Health may make recommendations on possible adjustments, it is the Line Manager's role to consider whether the adjustments are reasonable in the context of the service. Where appropriate, managers should consult HR as to the reasonableness of any recommended adjustments.

6.0 SICK PAY AND ANNUAL LEAVE

6.1 The amount of occupational sick pay an employee may be eligible for depends on their length of service. Information on entitlements to sick pay is contained in the Statement of Particulars sent to every employee on commencement of employment with the Council.

6.2 Periods of absence due to a work related injury or illness may result in the employee continuing to be paid an industrial injury allowance (calculated on the same qualifying criteria as sickness allowance) following expiry of sick pay.

6.3 **Teaching Employees only** – when a continuous period of sickness absence has resulted in at least 4 weeks falling within the summer holiday period, the employee will accrue credit of 2 days compensatory leave entitlement for each complete week of designated annual leave that has been lost (up to a maximum of 6 days). When a

continuous period of sickness absence has resulted in at least 1 week falling within any other holiday period, the employee will accrue credit of 2 days compensatory leave entitlement for each complete week of designated annual leave that has been lost. A maximum credit of 10 compensatory leave days may be accrued in any one leave year. Compensatory leave should normally be taken in the term that the employee returns to work, subject to the needs of the service.

- 6.4 **Non Teaching Employees only** – when a certified period of sickness absence falls within a period of annual leave, the annual leave will be superseded by the sickness absence and these days returned to the employee’s annual leave balance at their request. A GP “fit note” must be submitted to cover the days being claimed back, and the absence would have to have been reported through normal reporting procedures at the point of it occurring, even if the employee was not due to have been at work that day.

7.0 **ABATEMENT OF LEAVE FOLLOWING LONG TERM ABSENCE**

- 7.1 The National Agreements on pay and conditions of service state that ‘where an employee has been absent through illness for a period exceeding three months the Council will have the discretion to limit annual leave to an amount equal to the period of actual service given’.

- 7.2 Within East Lothian Council, the abatement of annual leave applies when an employee has been absent continuously for 13 weeks or more, even if this crosses leave years. Leave will be abated to service given, provided this meets the statutory minimum of 28 days (pro rata for part-time workers).

- 7.3 Abatement of leave does not apply to Teachers.

8.0 **FIT NOTES**

- 8.1 The Statement of Fitness for Work, or “fit note” has replaced the medical certificate. The purpose of a “fit note” is to focus on what an employee **may** be able to do at work rather than what they cannot do. The employee’s GP will advise one of two options:

Not fit for work - this means that the GP has assessed the employee as having a health condition that prevents them from working for the stated period of time.

May be fit for work taking account of the following advice - this means that the GP’s assessment of the employee is that their condition does not necessarily stop them from returning to work, if adjustments can be accommodated.

- 8.2 The “fit note” is intended as a guide for the employer. It is for the Line Manager to determine whether the advice can be accommodated, although every attempt should be made to try and accommodate any adjustments being recommended.

- 8.3 If GP recommendations cannot be accommodated to allow the employee to return to work, their absence would continue but they should be referred to Occupational Health for further advice.

- 8.4 A “fit note” must be submitted by the absent employee for any period of absence exceeding 7 days and will apply from Day 8 of the absence onwards. The “fit note” should be submitted by the employee to their Line Manager within 2 weeks of it being issued.
- 8.5 Failure to submit a “fit note” without good reason within 1 week of the end of self certification or the end of the cover period of an existing “fit note” will result in an absence being regarded as unauthorised and pay will be deducted. Disciplinary procedures may also be invoked.
- 8.6 **NB** If they feel well enough, an employee can return to work before their “fit note” expires provided that they have the agreement of their Line Manager. A risk assessment and/or Occupational Health assessment may be required before a return to work can be attempted. Further advice in relation to this is available from your HR Adviser.

9.0 PHASED RETURN TO WORK

- 9.1 Following a long-term sickness absence there will be times when a phased return to work is recommended by Occupational Health, which would allow the employee to return to work on less than their contracted hours for a definitive period of time. Line Managers will consider whether such an arrangement can be accommodated, and make the necessary adjustments. Phased returns to work will not normally exceed a period of four weeks.
- 9.2 When working hours are reduced to accommodate a phased return, the employee’s pay will be adjusted accordingly. Payment will only be made for hours worked. If an employee has accrued annual leave available, they may choose to use this leave to accommodate any reduction in hours. If an employee has no accrued leave available to facilitate a recommended phased return the line manager should contact their HR Adviser for guidance. When a phased return is being undertaken, the Line Manager will complete and submit a “Temporary Change to Working Hours” form to HR and Payroll (Appendix 2).
- 9.3 When an employee has undertaken a phased return to work and does not feel able to resume their substantive hours at the end of a four week period, further advice should be obtained from Occupational Health. Consideration should be given to whether the employee wishes to reduce their working hours on a substantive basis, if redeployment to an alternative role is required, or whether a further period of absence is necessary.

10.0 REASONABLE ADJUSTMENTS

- 10.1 Where an employee’s health condition falls within the remit of the Equality Act (2010), Line Managers will need to seek medical advice from Occupational Health on how they can best support their employee in the workplace. This may include reasonable adjustments to the employee’s existing post, such as provision or modification of certain equipment or tools.
- 10.2 Reasonable adjustments may also be required on a short-term basis, in order to facilitate a period of recovery following illness or injury.

10.3 Any recommendations made by a GP or Occupational Health in relation to reasonable adjustments do not need to be followed if it is not operationally possible to do so, but they must be considered. If recommended reasonable adjustments cannot be accommodated, the reasons for this must be justified and recorded.

11.0 MEDICAL REDEPLOYMENT

11.1 There will be occasions when Occupational Health will advise that an employee is not fit to return to their substantive post, but may be able to carry out alternative duties in another role. In these cases, the employee would be considered to be in a redeployment situation and four weeks would be allowed to allow for identification of a suitable alternative post.

11.2 If a suitable alternative post is identified, the employee will be offered the post on a trial basis for four weeks. Following the four week trial period, if both parties are in agreement, the redeployment will be confirmed on the terms and conditions of the new post.

11.3 During the four week trial period, the employee will remain on the grade and terms and conditions of their substantive post, funded by their substantive Business Unit. If the redeployment becomes permanent, they would transfer to the new Business Unit on the grade and terms and conditions of the new post.

11.4 If no suitable alternative post is identified, or a trial period is unsuccessful, the employee will revert to Stage 3 of the absence procedures and a Capability Report will be submitted.

11.5 If the decision is taken to dismiss the employee on the grounds of capability due to ill health, the employee has a right to appeal. Any appeal must be submitted in writing to the Head of Council Resources within 10 days of receipt of the letter confirming their dismissal, and should clearly set out the grounds for appealing. Further details in relation to the appeals process are contained within the Council's Disciplinary Procedures.

12.0 ILL HEALTH RETIREMENT

12.1 Ill Health Retirement will not be pursued as an option unless the employee is in agreement with this. This can be instigated by the employee at any time during the managing attendance process, but would not normally be explored by management unless the employee was absent long-term or had reached Stage 3 of the absence procedures.

12.2 **Non Teaching Employees** – Occupational Health may recommend that an employee meets the superannuation criteria for ill health retirement. If this is the case, and the employee wishes to pursue this option, the Line Manager must submit a Referral for Ill Health Retirement to allow the employee to be assessed by an OH Physician. If the employee meets the criteria, The OH Physician will issue the Council with a Certificate of Permanent Ill-Health and the Line Manager will thereafter meet with the employee to advise that their employment is being terminated. The employee will receive pay in lieu

of notice (up to a maximum of 12 weeks) and will receive payment for any accrued leave not taken.

12.3 **Teaching Employees** – must apply directly to the Scottish Public Pensions Agency for consideration to be given to ill-health retirement.

12.4 Further information in relation to both schemes is available from www.lpf.org.uk (Non-teaching) and www.sppa.gov.uk (Teaching).

13.0 ACCIDENTS AT WORK

13.1 If an employee suffers an injury at work or during the course of their duties they, or someone acting on their behalf must report the accident to their Line Manager immediately. It is essential that details of the accident are recorded on the Council's electronic health and safety incident recording system, RIVO. Each business unit should ensure that there is an employee/employees responsible for inputting information into this system.

13.2 If an employee is injured during the course of their employment, or is off sick with an Industrial Illness, the employee may be entitled to payment of Industrial Injury Allowance. This is separate from Occupational Sickness Allowance and does not count against this entitlement. (Further advice is available from your HR Adviser).

13.3 **NB** These absences will be taken into account for sickness absence triggers.

14.0 EMPLOYEES OFF SICK WHO ARE EMPLOYED ELSEWHERE

14.1 It should be noted that employees who have second jobs outside the Council may be subject to investigation under the appropriate Disciplinary Procedure and may be subject to Disciplinary action under the Council's Disciplinary Code if they work for financial gain whilst receiving sick pay from the Council. The employee may also be referred to Occupational Health to determine whether the other employment is impacting on their fitness for work at East Lothian Council.

15.0 GENERAL INFORMATION

15.1 Employees, if they wish, can be accompanied to all formal sickness absence meetings (Stages 2 and 3) by a person of their choice, including a Trade Union representative. They will normally be given five working days' notice, of the meetings. In addition, after each meeting, the Line Manager will write out to the employee, within 10 working days, confirming what has been discussed at the meeting.

15.2 Employees who fail to attend a medical appointment with the Council's Occupational Health provider without good reason may be deemed to be in breach of their terms and conditions of employment and the relevant Disciplinary Procedure may be invoked which could therefore lead to disciplinary action.

16.0 POLICY REVIEW

- 16.1 The Policy will be reviewed and amended from time to time by the Head of Human Resources following appropriate consultation with the recognised Trades Unions.

Head of Council Resources
February 2014



Managing Attendance Policy – Stage 1 Commencement of Absence Monitoring
--

Employee Name:	
Job Title:	
Employee Number:	
Business Unit:	

Date of Meeting:	
-------------------------	--

Details of all absences within last 12 months:

	Date From:	Date To:	No. of Days:	Reason:
1.				
2.				
3.				
4.				

Summary of Discussion:

Start Date of Monitoring:		End Date of Monitoring:	
----------------------------------	--	--------------------------------	--

I acknowledge that my attendance at work will be monitored for a period of 6 months and that further absences from work will result in a referral to Occupational Health and progression to Stage 2 of the Council's Absence Procedures which may result in disciplinary or capability procedures commencing.

Signed (Employee):		Date:	
Signed (Manager):		Date:	

A scanned copy of this form should be emailed to HR@eastlothian.gov.uk on completion



Temporary Change to Working Hours

To be completed on commencement

Employee Name	
Job Title	
Employee Number	
Business Unit Code	

Date Range of Temporary Working Hours					
		Substantive Hours	Temporary hours worked	Hours taken as Holiday	Hours to be unpaid
Week 1	S				
	M				
	T				
	W				
	T				
	F				
	S				
Week 2	S				
	M				
	T				
	W				
	T				
	F				
	S				
Week 3	S				
	M				
	T				
	W				
	T				
	F				
	S				
Week 4	S				
	M				
	T				
	W				
	T				
	F				
	S				

Managers Name			
Managers Signature		Date	
Employees Signature		Date	

PLEASE TAKE 2 COPIES – 1 TO BE SENT TO HR, 1 TO BE SENT TO PAYROLL
 (Payroll and HR to be notified of amendments) (Manager to keep copy)

REPORT TO: Cabinet

MEETING DATE: 10 June 2014

BY: Depute Chief Executive (Resources and People Services)

SUBJECT: East Lothian Council Retention Schedule

4

1 PURPOSE

- 1.1 To approve the East Lothian Council Retention Schedule required by the Public Records (Scotland) Act 2011, in advance of the submission of the Records Management Plan of which it will form a significant part.

2 RECOMMENDATIONS

- 2.1 That Cabinet approves the Retention Schedule for adoption as the position of East Lothian Council in relation to its Records Retention. The Retention Schedule has been published in the Members' Library Service Ref: 91/14 (June 2014 Bulletin).
- 2.2 That Cabinet delegates authority to the Head of Council Resources to approve any further adjustments to individual entries within this Schedule. This is to reflect its status as a working document that represents the sometimes rapidly changing needs of the organisation.

3 BACKGROUND

- 3.1 In January 2013 the Public Records (Scotland) Act 2011 came into force and placed an obligation on all named public authorities including East Lothian Council to produce a Records Management Plan outlining their methods for managing their records effectively.
- 3.2 The proposed submission date for the Records Management Plan (RMP) for East Lothian Council is October 2014, and the Retention Schedule is one element required within the RMP.
- 3.3 The Freedom of Information (Scotland) Act 2002 also recommends the creation and adoption of a Retention Schedule as an aid to compliance and following best practice.

- 3.4 A draft retention schedule has been in existence for some time, and has been improved and updated but has not been formally adopted by the Council. Given the enhanced requirement outlined in 3.2 it is proposed that the current version, as published in the Members' Library Service, be formally adopted

4 POLICY IMPLICATIONS

- 4.1 This work follows on from and is in line with Information and Records Management Policy.
- 4.2 It is a precursor to the Records Management Plan that will be completed later and will expand from this area of work into wider Records Management principles and place this retention schedule in a more holistic management framework.

5 EQUALITIES IMPACT ASSESSMENT

- 5.1 An Equalities Impact Assessment has been completed and no negative impacts have been found.

6 RESOURCE IMPLICATIONS

- 6.1 Financial – No direct implications
- 6.2 Personnel - Implementation will require staff time, but should be achieved within existing staffing complement.
- 6.3 Other - none

7 BACKGROUND PAPERS

- 7.1 Retention Schedule - published in Members' Library, Ref: 91/14 (June 2014 Bulletin)

AUTHOR'S NAME	Alex Fitzgerald
DESIGNATION	Records Manager
CONTACT INFO	8223
DATE	29/05/2014

REPORT TO: Cabinet

MEETING DATE: 10 June 2014

BY: Depute Chief Executive (Resources and People Services)

SUBJECT: Children's Wellbeing - Payments to Partners and Voluntary Organisations (Service Level Agreements) 2014-2015

5

1 PURPOSE

- 1.1 To seek approval for the payments to partners and voluntary organisations providing services for service users of Children's Wellbeing for the amounts specified, for the financial year 2014-2015.
- 1.2 A report presented by the Depute Chief Executive (Partnerships and Community Services) on the One Council Approach to Partnership Funding 2014-15 and proposed funding was agreed by Council on 22 April 2014. Three organisations previously funded by Children's Wellbeing, Adoption UK, Birthlink and Family Mediation have been moved to this funding stream with £12,080 funding transferred from Children's Wellbeing to the Partnership Funding budget.

2 RECOMMENDATIONS

Cabinet is asked to agree to award payments, for 2014-2015, as shown in Appendix 1.

3 BACKGROUND

- 3.1 Section 10 of the Social Work (Scotland) Act 1968 allows local authorities to make grants to voluntary organisations whose sole purpose is to promote social welfare.
- 3.2 The Council also has the power to purchase certain services, which it is obliged to provide, from the independent sector using other funding streams. Under certain circumstances the council can tender for such services, for example Aberlour provide residential respite care and outreach to support children and young people with severe and complex disabilities. A summary of the organisations to be funded for 2014/15 is attached in Appendix 1, along with the amount allocated.

- 3.3 Cabinet should note that the approved Children's Wellbeing budget for payments to voluntary organisations has reduced from £768,231 in 2013/14 to £723,230 in 2014/15. A sum of £12,080 has been transferred to the One Council Partnership Funding budget, in respect of Adoption UK, Birthlink and Family Mediation. During the exercise to agree which payments were within the scope of the One Council Approach it became apparent the majority of Children's Wellbeing partners are out of scope as they are providing specific services on behalf of Children's Wellbeing. The remaining Children's Wellbeing partnership funding budget for 2014/15 is £711,150.
- 3.4 Last year, in order to meet the required efficiencies in this budget it was agreed that a £90,000 reduction would be made to our contract with Children 1st and as a result we agreed to amalgamate the two separate contracts operating at that time, Family Group Conferencing and Young Families Outreach Project. Over the last 12 months we have worked closely with our colleagues from Children 1st to monitor our revised contract and review the development of the new service they are providing that supports our Signs of Safety approach to child protection concerns. After one full year of implementation, the multi-agency evaluation of the Signs of Safety approach, and commentary from the findings of the recent Services for Children inspection, indicate that this has been a favourable move in the eyes of professionals and clients alike.
- 3.5 Our partnership with Children 1st is strong. Various models have been considered to meet the budget efficiencies for 2014/15. In recognition of the redefinition and focus of the Children 1st service provision, described above and in preference to a % cut to all our partner agencies it is recommended that to reach the £45,000 efficiency target set within the partnership budget for 2014/15, a further reduction of £45,000 is made to the Children 1st budget from £141,240 to £96,240. In reaching this recommendation it has been necessary to take account of changes to service priorities and staffing resulting from the recent Children's Wellbeing Service Review and Redesign and in particular the joint development of the role of Children's Wellbeing and Partner Agency's Family Support Workers e.g. externally funded workers from Circle, Mentor UK, Rock Trust, in supporting East Lothian's vulnerable families with young children. The ongoing partnership working and deployment of our Commissioning Plan from within this budget allocation will focus entirely on supporting our most vulnerable families within the child protection arena.
- 3.6 We recognise the additional service and capacity building benefits a partner like Children 1st can bring to East Lothian. For example, they contribute a 20% financial contribution to the refreshed contract operating and funded under this budget allocation, a real added-value benefit within the funding mechanism. Additionally, in late 2013 Children 1st co-ordinated a successful Public Service Partnership bid to the

Scottish Government for an East Lothian based project offering intense 12 weeks of support to young vulnerable families affected by drugs and alcohol misuse and are jointly delivering this with Circle, another Children's Wellbeing partner. This project, which is being evaluated by Stirling University, commenced in February 2014. It brought significant Government funds into 3rd sector service delivery in East Lothian, resulting in 4 FTE new Family Support Workers operating and located within Children's Wellbeing. It will run until March 2015. Children 1st and Children's Wellbeing have also jointly funded an Early Years Outreach Worker post in Olivebank Child and Family Centre for a year using drug and alcohol misuse allocated funding.

- 3.7 In the current economic climate it is with strong, trusted partners like, e.g. Children 1st, Circle, Rock Trust, Mentor UK, that we seek to attract additional targeted funding to develop services for children, young people and their families in East Lothian. We are grateful to Children 1st for noting the Public Social Partnership (PSP) development opportunity and within a tight deadline, co-ordinating the East Lothian partnership bid with Circle, Children 1st and ELC. Children 1st are committed to continue to work in partnership with us and remain co-located with us in Randall House. We will continue to seek external funding opportunities in partnership, to further support the services available to the county's most vulnerable children and families.
- 3.8 The opportunity has also been taken during 2013/14 to refresh the service level agreement operating with Aberlour, which now sees their total funding proposed to be £294,000, inclusive of outreach services. There is no longer a separate funding stream allocated to them for 'outreach' work. This partnership arrangement may be subject to market-testing before March 2016.
- 3.9 Funding to With Scotland, is a payment of £2,171 negotiated through a COSLA national funding agreement similar to that of the Children's Hospice Association Scotland, CHAS.
- 3.10 All other organisations have been allocated the same levels of funding that were provided last year 2013/14.

4 POLICY IMPLICATIONS

- 4.1 The Social Care (Self Directed Support) (Scotland) Act 2013 and supporting regulations were implemented on 1st April 2014 and have particular relevance in Children's Wellbeing to disabled children, their families and young carers. This legislation and national guidance outlines a person centred approach with participation and dignity, involvement, informed choice and collaboration with the service user, the core principles. Until now support plans have been assessed on the child's and family's needs and allocated in terms of the number of hours

of support. From 1st April new referrals are assessed and allocated a budget for their support.

Families eligible for a service may:

- Receive a direct payment and commission services for their children themselves
- Decide and direct how they wish to spend their allocated budget but choose not to take responsibility for the financial management of it
- Have East Lothian Council arrange the chosen support
- Experience a mix of options 1-3

4.2 Self Directed Support is now in year four of a ten year Scottish Government strategy. It represents new challenges for East Lothian Education and Children's Wellbeing Commissioning Plan. We are informing service users about Self Directed Support and seeking their vision for future services in East Lothian. We are engaging with partners and providers in East Lothian to ensure more disabled children have access to the services on offer for all children (the universal offer) and that the services we are commissioning from providers and the voluntary sector meet the specific needs of the disabled children and families we support.

4.3 The development of Self Directed Support in the coming year will include attaching a cost to some specialist support services e.g. Share the Care, family based respite care for disabled children and proposing what should be out of scope e.g. universal playschemes. For this reason we have taken advice from the Procurement Team and are extending the contract with Aberlour Childcare Support, provider of our residential childcare provision at 5 Bankfoot, Prestonpans, until 31st March 2016. This enables the young people and their families currently receiving this service, who have the most complex and severe conditions, assurance of continued provision, whilst giving service users, their parents and carers time to consider how they may choose to develop the young person's support plan in the future, when Self Directed Support is rolled out to disabled children and young people already receiving a support service.

4.4 It is recommended that funding of the East Lothian Playschemes continues to be paid from this budget whilst we assess the implications of Self Directed Support on this specialist provision and develop a refreshed service level agreement in the coming year.

4.5 During 2014/15, Children's Wellbeing intend to review the provision of respite and 'inclusion' opportunities for children and young people with disabilities and communication difficulties on the autistic spectrum and who are known to the service. Early consideration for the development of such services indicates potential to work in partnership with the 3rd sector to submit service proposals and funding bids to available sources e.g. Big Lottery etc. There is a budget allocation within this budget of £16,200

which will be available to enable these new opportunities to be commissioned and sourced.

- 4.6 Children’s Wellbeing needs the support of Council colleagues and partners in the voluntary sector to develop support services for children and their families in East Lothian. It will be by maintaining a shared vision and strong partnership with the voluntary sector that we will be able to attract funds required to develop the marketplace for specialist children’s services.

5 EQUALITIES IMPACT ASSESSMENT

- 5.1 An Equalities Impact Assessment is not required.

6. RESOURCE IMPLICATIONS

- 6.1 Financial - This report proposes awards of funding to voluntary organisations for 2014-2015, at a total cost of £711,150. We have monitored budgets closely with partners. The actual amounts payable to specific voluntary organisations may differ from the figures detailed at Appendix 1 as discussions are continuing with regard to partners’ year end positions. Resources to support the recommendations in this report are contained in the Children’s Wellbeing budget for 2014-2015.
- 6.2 Personnel -There are no personnel implications arising from this report.
- 6.3 Other - None

7. BACKGROUND PAPERS

- 7.1 Summary of financial assistance provided to voluntary organisations and sources of funding (Appendix 1)

AUTHOR’S NAME	Sharon Saunders Celia Borland
DESIGNATION	Head of Children’s Wellbeing Group Services Manager – Longterm Care and Support
CONTACT INFO	ssaunders@eastlothian.gov.uk Ext: 7632 cborland@eastlothian.gov.uk Ext: 7930
DATE	28 May 2014

Grants to Voluntary Organisations 2014/15 – Children’s Wellbeing – Summary Position

Organisation and Service Description	2013/14 Award	2014/15 Award Sought	Recommended for 2014/15	Notes	Funding Source
ADOPTION					
<p>Scottish Adoption Association Scottish Adoption provides expertise in this complex aspect of family placement work. The agency focuses on the recruitment of prospective adoptive parents. They also provide Post Adoption Support. The independence they offer in some cases is extremely helpful. They provide adoption placement for 1 child, 0-8 years, per annum at a reduced rate to the current ‘spot purchase’ price of £27,000. Adoption Counselling for adopted adults. Staff feedback positively on the service provided.</p>	£25,000.00	£25,000	£25,000	Propose another annual Service Contract letter starting April 2014.	S10 - Children Ext Prov (5036)
<p>St Andrew’s Children’s Society St Andrew’s Children’s Society recruits Roman Catholic and non-Roman Catholic adopters and provides post adoption support. There is a legal requirement to give consideration to birth parent’s views regarding the religious upbringing of the child.</p> <ul style="list-style-type: none"> • Provide adoption placement for 1 child 0-8 years per annum at reduced rate to spot purchase price. • Post placement support after one year is covered in placement price • Pre Adoption work with relinquishing women/parents with Roman Catholic heritage • After Adoption Support/Adoption Counselling can be spot purchased • Service Manager is one of our Adoption Panel chairs providing valuable independence 	£21,000.00	£21,000	£21,000	<p>Propose a Service Level Agreement for 2 years starting April 2014.</p> <p>The cost of spot purchasing an adoption placement (BAAF Interagency Fees) is £27,000.00.</p>	Payments to Voluntary Organisations
LOOKED AFTER CHILDREN - ACCOMMODATED					
<p>Who Cares? Scotland Original 3 year Service Contract to 2011 has been extended year on year following agreement with Corporate Procurement. Who Cares? provide advocacy and support to children and young people who are Looked After away from home, in foster care or residential care. Who Cares? Scotland</p>	£33,817.50	£33,818	£33,818		SLA - CCSF (5036)

Organisation and Service Description	2013/14 Award	2014/15 Award Sought	Recommended for 2014/15	Notes	Funding Source
provides 365 day cover and contact for these young people. They obtain feedback from service users about services offered, including exit interviews when young people have a placement ending using a range of consultation methods. They facilitate focus groups of Young People and ensure the 'voices' of our young people are heard e.g. Corporate Parenting event, involvement of young people in recruitment and selection of professional staff. Very positive feedback from Children's Wellbeing staff and service users about the service provided.					
CARE LEAVERS					
Places for People A Voluntary Housing Support Agency providing support to young people aged 16-25 with care background or mental health issues, to develop skills in independent living including how to manage a tenancy (a number of these are in Edinburgh and demand for these tenancies continues to grow) They provide one to one support to 2 East Lothian young adults and Group support via Drop in Centre and planned activities. The service receives very positive feedback from staff and young adults using the service and the interface it provides for the Throughcare Service with our Looked After Young Adults.	£9,500.00	£9,500	£9,500		S10 - Children Ext Prov (5036)
CHILDREN AND FAMILIES					
Children 1st - Family Group Conference/Signs of Safety Project The original 3 year service contract in place until March 2012 has been renegotiated and extended year on year in consultation with the Corporate Procurement Team. Children 1 st are established, professionally integrated and co-located within Children's Wellbeing. Children 1st makes contribution towards this service of an additional 20%.	£141,240	£141,240	£96,240	2014//15 reduction of £45,000.	SLA – Partnership funding (5041)
Homestart Established in East Lothian in August 2000 and located at Sanderson's Wynd Early Years Centre, Tranent. The Council provides accommodation and Homestart provides regular parenting support to parents of children 0-8 years old in East Lothian via volunteer befrienders. Currently they work with 57 families, 144 children with 82 being under the age of 5 years. There is a strong demand for service via other agencies and self referral, with strong community links operating. There is ongoing recruitment, training and support of volunteers. The service enjoys positive feedback from parents	£56,370	£56,370	£56,370		Payments to Voluntary Organisations

Organisation and Service Description	2013/14 Award	2014/15 Award Sought	Recommended for 2014/15	Notes	Funding Source
and Children's Wellbeing staff.					
<p>With Scotland A national resource supporting professionals working with children and adults at risk of harm and abuse. With Scotland connect research with practice, exchange knowledge and ideas and co-ordinate activities across child and adult protection communities. The principle of improving outcomes for children in need of care and protection and adults of risk of harm is at the heart of our work with them. This National funding agreement was established through COSLA, which determines ELC's 'share'. The service has its origin in The Eilan Siar Inspection recommendation. With Scotland are key 'independent' partners in our implementation locally of 'Signs of Safety' as our practice model for Child Protection work in East Lothian.</p>	£2,171	£2,171	£2,171	COSLA national funding agreement regarding local authority contributions.	
DISABILITY					
<p>East Lothian Special Needs Playscheme The Playschemes provide specialist school holiday playschemes (Easter, Summer, October) for about 70 East Lothian disabled children with a broad range of complex and enduring needs. Some children are referred directly by Children's Wellbeing, many are not. Providing social recreation for the children and respite for their families, the Playschemes are located at North Berwick, Prestonpans and The Hub, Tranent. The service engages over 100 volunteers each year recruited from local secondary schools and further education colleges. The Playschemes operate with significant waiting lists.</p> <p><i>NB: This sum comprises a Grant of £62,995 and a maximum of £39,905 to support transport of young people through services provided by ELC Transportation Service.</i></p>	£102,860	£102,860	£102,860 Inclusive of maximum £39,905 Transportation Costs	Service Level Agreement to be refreshed during 2014/15, reflecting implications of self Directed Support on service delivery.	Children Ext Prov (5036)
<p>Star Youth Club A weekly youth club at North Berwick Community Centre for disabled young people aged 12 – 18 years, transport is provided and the facility is valued by families. There is positive feedback from young people and Children's Wellbeing staff. A residential weekend is provided for young people to encourage independence – video evidences enjoyment of all who attend. Run by experienced workers and 15 volunteers per session. The Youth Club operates with a significant waiting list.</p>	£1,180.00	£1,180.00	£1,180	Service Level Agreement to be refreshed during 2014/15, reflecting implications of self Directed Support on service delivery.	S10 Children Ext Prov (5036)

Organisation and Service Description	2013/14 Award	2014/15 Award Sought	Recommended for 2014/15	Notes	Funding Source
<p>Bankfoot, Aberlour Bankfoot provides residential respite places and limited outreach support to children and young people with disabilities in a small unit in Prestonpans. The children referred have the most complex needs, for example children with physical disabilities who need specialist equipment for moving and handling and sleeping arrangements, children on the autistic spectrum who present with challenging behaviour. Bankfoot provides a Small outreach service, which this year, has been renegotiated to form an integral part of their core funding allocation. Placements are usually provided at weekends plus a holiday respite week. Packages of support are agreed and reviewed at our Multi-Agency Respite Support Panel. There is flexibility to spot purchase placements midweek when crises have arisen with known children or young people. The feedback from Service User's families and Children's Wellbeing is positive.</p> <p>The existing contract has been varied from April 2014 onwards to include outreach service provision within the proposed funding allocation and to extend until 31st March 2016. This will allow further consultation with service users and their families regarding their future wishes post Self Directed Support implementation.</p>	£294,000.00	£294,000.00	£294,000	<p>Service Level Agreement to 31 March 2016.</p> <p>Actual allocation may vary upon conclusion of discussions with regard to partner year end position.</p>	Partnership Funding (5041)
<p>Action for Children – Gilmerton Road, Edinburgh This provider operates within a Service Level Agreement: 50% Health, 50% East Lothian, Midlothian, West Lothian and Edinburgh. The SLA was recently updated with partners to run until March 2017. They provide respite for children with complex needs and challenging behaviour. They offer an Outreach Service. East Lothian children are identified and reviewed for this service via our Multi-Agency Respite Support Panel using a Vulnerability Tool. A Clinical Psychologist is linked via the Learning Disability CAMHS team and offers training to carers and parents which has been greatly appreciated.</p>	£41,000.00	£41,000.00	£41,000	<p>Service Level Agreement with Health concluded May 2014 and extended to March 2017.</p>	Partnership Funding (5041)
<p>Children's Hospice Association Scotland CHAS provide comprehensive professional care, help and support to children and young people under 16 years of age and their families and who have a terminal illness or condition. They have hospices: Rachel House in Kinross and Robin House in Balloch. They offer support from referral to the death of the child and beyond. They provide bereavement support, through one to one counselling, support groups, siblings group, spiritual and religious support, and Remembering Days. The feedback from parents and Children's</p>	£11,000.00	£11,000.00	£11,790	<p>COSLA national funding agreement regarding local authority contributions.</p>	S10 Children's Ext prov (5036)

Organisation and Service Description	2013/14 Award	2014/15 Award Sought	Recommended for 2014/15	Notes	Funding Source
Services staff rate the service very highly. CHAS provide support to families not known to Children's Wellbeing. They operate under a National Funding Agreement negotiated and approved by COSLA, which determines East Lothian's contribution rate.					
Children's Wellbeing Partnership Development Funds allocated to the development of new partnership working arrangements and service provision for leverage-in of additional 3 rd Sector etc partnership funding to support specialist 'inclusion' services for children and young people with autism.	NA	NA	16,200		
2014/15 Total Budget Available for Allocation: £711,150	£768,231	£739,139	£711,150		



**MINUTES OF THE MEETING OF THE
LICENSING SUB-COMMITTEE OF THE CABINET**

**THURSDAY 8 MAY 2014
COUNCIL CHAMBER, TOWN HOUSE, HADDINGTON**

6

Committee Members Present:

Councillor D Grant (Chair)
Councillor J Caldwell
Councillor J McMillan

Council Officials Present:

Mr I Forrest, Legal Adviser
Ms M Winter, Licensing Administration Officer

Others Present

Insp A Harborow, Police Scotland
PC H Bowsher, Police Scotland

Clerk:

Mrs F Stewart, Committees Assistant

Apologies:

Councillor J McNeil
Councillor F McAllister
Councillor J Williamson

Declarations of Interest:

None

SUMMARY OF PROCEEDINGS – EXEMPT INFORMATION

The Licensing Sub-Committee unanimously agreed to exclude the public from the following business containing exempt information by virtue of Paragraph 6 (information concerning the financial or business affairs of any particular person other than the Authority) of Schedule 7A to the Local Government (Scotland) Act 1973.

1. Applications for Grant of Taxi/Private Hire Car Driver's Licence

The Sub-Committee had received four applications for grant of a licence; two were granted and two were refused.

2. Application for Late Hours Catering Licence

The Sub-Committee had received one application for grant of a licence and Members were advised that the applicant had since amended his application to the hours of business requested by the Licensing Office. As objections had been withdrawn, the Sub-Committee agreed to grant the licence.

**MINUTES OF THE MEETING OF THE
SAFE AND VIBRANT COMMUNITIES PARTNERSHIP
HELD ON 10TH FEBRUARY 2014**

7

Partnership Members Present:

Monica Patterson, ELC (Chair)
Councillor Tim Day (Vice-Chair)
Chief Inspector Colin Brown, Police Scotland (PS)
James Bruce, Head of Organisational Development, STRiVE
Julie Hayward, East Lothian Tenants and Residents Panel (ELTRP)
Peter Heath, Scottish Fire and Rescue Service (SF&RS)
Dean Mack, Scottish Fire and Rescue Service (SF&RS)
Councillor Jim Gillies
Councillor Peter MacKenzie
David Rose, Association of East Lothian Community Councils (ELCC)

Others Present:

Colin Baird, Roads Network, ELC
Kenneth Black, Safer Communities Team Leader, ELC
Claire Goodwin, Policy Officer, ELC
Maureen Heron, PA, ELC (Minute Taker)
Graham Jones, Police Scotland (PS)
Patsy King, Development Officer, East Lothian Tenants and Residents Association (ELTRP)
Assistant Chief Constable Mike McCormick, Police Scotland (PS)
William McQueen, Board Member Scottish Fire and Rescue Service (SF&RS)
Neil Pirie, Board Member Scottish Fire and Rescue Service (SF&RS)
Paolo Vestri, Service Manager, Corporate Policy and Improvement, ELC

Partnership Members Apologies:

Steve Cairns Lothian and Borders Community Justice Authority (L&B CJA)

1. WELCOME/APOLOGIES

M Patterson welcomed everyone to the meeting and introductions were made round the table.

2. MINUTES OF THE PREVIOUS MEETING

The minutes of the S&VCP meeting of 11th November, 2013 were discussed. J Hayward from ELTRP asked that Item 4 be amended to reflect that they would be consulted on both the Local Housing Strategy and Area Partnership proposals.

D Rose asked that the minute be amended to reflect that he is not Chair of the Association of East Lothian Community Councils.

The minute has been amended and is attached.

3. MATTERS ARISING

3.1 Item 5b – Unwanted Fire Signals

- Noted that Fire Service could contact STRiVE if any ongoing issues with false fire alarms in third sector organisations' premises.
- Noted that 19 Stage 1 letters had been issued. No progression to Stage 2.

3.2 Item 5a – Information Sharing

- Noted that short-life working group set up to identify single occupancy households and other potentially vulnerable households / individuals. Focus of group at the moment is to address any data protection issues. It is hoped that the work of the group will be complete by the end of March 2014.

4. FEEDBACK FROM THE EAST LOTHIAN PARTNERSHIP MEETING – 21ST JANUARY 2014

4.1 a – SOA Development Plan Update

Paolo Vestri spoke to the report which had been considered at the EL Partnership meeting on 21st January 2014. It had been agreed to distribute this to the other three Partnerships for comment.

Key points

- 12 Key Actions in the Development Plan
- Prioritise 3 Actions for the Coming Year
 - i) Development of Area Partnerships
 - ii) Development of a Joint Asset Management Strategy
 - iii) Piloting a 'Total Place' Resource Mapping Exercise
- Area Partnerships – Briefing sessions have taken place in each area involving Elected Members, Community Councils, Parent Councils, etc.
- Progressing with establishment of the Area Partnerships which should be complete by the end of June
- Key role of the Area Partnerships is to develop Local Plans

Points raised

- ELTRP asked if team / capacity building support would be available and this was confirmed.
- Councillor MacKenzie asked how exemplars from 'How Good is Our School' could be used in in the Total Place pilot. P Vestri advised that it was not planned to be as detailed as this. A broad brush approach is being considered but more detailed work will be done on the model and further proposals brought forward to the Partnerships in due course
-

Decision on the Recommendations/Action

The Partnership agreed to note the content of the report.

4.2 b) SOA Strategic Assessment and Strategic Outcome Indicators

P Vestri spoke to the report which had been considered and approved by the ELP. It was noted that there is a detailed East Lothian wide profile as well as individual ward profiles.

Key Points

- ELP had considered the number of SOA Indicators and agreed to consider a similar number?
- Officers from partner organisations have contributed to a high level assessment of the key trends, issues, challenges and opportunities that arise out of the profile
- Officers have already begun work to refine and finalise the indicators
- P Vestri would welcome any comments on strategic assessment / indicators

Points Raised

- M Patterson asked whether planned new housing (under the Local Plan) should be reflected in the S & VCP Outcomes
- Councillor MacKenzie queried the removal of the 15% Deprivation rate from the Profile and it was agreed he would speak to P Vestri outwith the meeting.
- ACC McCormick (PS) felt that there was a good alignment with the Local Police Plan
- P Heath (SF&RS) agreed to provide composite figures on the reduction of calls across Scotland.
- M Patterson asked ACC McCormick (PS) if similar information could be provided by Police Scotland. ACC McCormick suggested that a composite crime figure can be difficult to interpret and that in some crime types an increase in number may reflect policing initiatives. P Vestri to liaise with CI Brown (PS) re defining the indicator.
- **Indicator 8** – it was noted that a number of Indicators are already in place for the national environment but discussion needed to take place on whether there was a single Indicator that could be used.
- **Indicator 9** – It was noted that information might be identified within the recent tenant satisfaction survey - P King to contact P Vestri with info. M Patterson will ask Esther Wilson to include consideration of housing indicators in her report to the next S&VCP meeting.
- D. Ross (CC) suggested the environment indicator should reflect the number of new houses which are planned to be built. J Hayward (ELTRP) said she felt there was an opportunity to comment on the SESplan MIR which is available for consultation.
- **Indicator 10** – It was noted that a pilot Support from the Start project was being carried out by Queen Margaret University looking at people's resilience to coping with change. P Vestri undertook to send information on the project to Councillor MacKenzie.
P Heath (SF&RS) suggested looking to set up a pilot project to support communities to develop local resilience and identifying a community where this might take place. G Jones (PS) felt this could be very useful and P Vestri (ELC) undertook to identify a strategic indicator where this could be reflected. – not sure what this last bit means

Decision on the Recommendations/Action

*P Heath, SF & RS to provide composite figures on reduction of calls across Scotland
P Vestri to look at Indicator 8
M Patterson to invite E Wilson to next week of the S & V CP
P Vestri to send information on Support from the Start to Councillor Mackenzie
P Heath / P Vestri to consider identifying and setting up pilot project to assist communities to develop local resilience*

5. Safe and Vibrant Communities Partnership Priorities

5.1 P Vestri advised that the East Lothian Partnership had asked each of the supporting partnerships to identify key priorities for the forthcoming year. He referred to the last meeting where it was agreed that the three main issues were:

- Development of Area Partnerships
- Development of Local Police Plans
- Development of an information sharing system between partner organisations to identify and assist vulnerable people

Key Points

- P Vestri asked for agreement that these should be the key priorities for the Partnership for the coming year or if there were any other priorities that could be identified.
- Some discussion followed on including affordable housing targets as a key priority but it was agreed that the priorities should reflect what the Partnership can achieve over the next year to meet the SOA.

Decision on the Recommendations/Action

The Partnership agreed the key priorities for the Partnership for the coming year.

6. Delivery Framework for Safe and Vibrant Communities Partnership's Outcomes

6.1 P Vestri explained this is work in progress. 10 Outcomes have been identified in the SOA, four of which the S&VCP has responsibility for. P Vestri spoke about each of the priorities and the suggested lead officer. M Patterson asked that the Partnership feed back any comments to P Vestri.

Key Points

- CI C Brown referred to the lead officer in connection with domestic violence (Murray Leys) and suggested it would be helpful if M Leys was invited to join the S&VCP. A brief discussion followed and it was agreed that a separate discussion would take place outwith the meeting on this topic.

Decision on the Recommendations/Action

It was agreed that the Partnership would feed back any comments on the draft Delivery Framework to P Vestri

Murray Leys to be invited to join S&VCP

The East Lothian Plan (SOA) 2013 - This Partnership's Outcomes

7. Outcome 7 - East Lothian is an Even Safer Place

a) *Draft Local Fire and Rescue Plan for East Lothian 2014-17*

P Heath provided background to the production of the Draft Local Fire and Rescue Plan. It was noted that public consultation was taking place on the draft and comments from the Partnership would be welcome.

Key Points

- Delivery of local priorities to contribute to national plan
- Requirement to publish equality outcomes
- Five key priority areas have been identified including:
 - i) Reduction in Dwelling Fires
 - ii) Reduction in Fire Fatalities and Casualties
 - iii) Reduction of Deliberate Fire Setting
 - iv) Reduction in Road Traffic Collisions
 - v) Reduction of Unwanted Fire Alarm Signals
- Local Operational Assessment
- Discussion regarding the reason for the higher instances of house fires in particular areas of the county
- Discussion on the management of Unwanted Fire Signals
- Once consultation is complete, the responses will be collated and the final Plan will be presented to the first available Council meeting in April for approval
- P Heath will bring the Local Plan back to the S&VCP annually for review

b) *East Lothian Fire and Rescue Performance Report, Quarter 3 2013-14*

D Mack spoke to the report.

Key Points

- Higher incidence of fire in single occupancy households
- Work underway to identify vulnerable Individuals/households to try and reduce number of fires over the next few years – will be targeted with the service's free fire & home safety checks
- Number of fire casualties has increased
- All properties where fires occurred had smoke detectors installed and operational
- Road traffic collisions only reported where SF &RS attend the incident
- Special Services – difficult to see how these could be reduced as these are random events
- Other primary fires – increase in incidents of car fires and outbuilding fires
- Deliberate secondary fires – Work ongoing with local farmers regarding hay bale fires
- Fire safety visits ongoing to hospitals, B&Bs etc.

Points Raised

- Query regarding old mine workings – noted that joint specialist training and working arrangements in place with Police and Mountain Rescue colleagues – P Heath identified he was not aware of any recent local incidences
- M Patterson thanked P Heath and D Mack for their reports

Decision on the Recommendations/Action

Once consultation on Local Fire and Rescue Plan 2014-17 is complete, it will be considered and approved by the Council at its meeting on 22nd April 2014

Any queries on the Performance Report welcomed by D Mack and P Heath.

c) **Local Policing Plan for 2014-17**

ACC McCormick provided background to the report advising that it was proposed to bring forward a draft plan for comment and anticipated that the final plan would be considered by the Council at its meeting on 22nd April 2014.

CI C Brown identified that there is to be a 2014-17 Local Police Plan and that consultation has already been carried out both nationally and locally.

Key Points

- Priorities identified:
 - i) Reducing anti-social behaviour
 - ii) Tackling substance abuse
 - iii) Reducing violence
 - iv) Protecting people
 - v) Tackling serious and organised crime
 - vi) Making our roads safer
 - vii) Reducing theft by housebreaking
- Production of Multi-Member Ward Plans

Points Raised

- Noted that Community and Police Partnership (CAPP) meetings are continuing
- Removal of the traffic warden service – impact on communities
- T Day identified that parking and road safety had been identified as key priorities by local people in recent consultations
- T Day suggested changes to parking in North Berwick will be disruptive. ACC McCormick said in the main, parking was not a road safety issue and would need to be seen in the context of other demands
- Parking and road safety has been identified as priority by local people. Assurance from Police Scotland that road safety issues would still be addressed by local police officers
- Road safety on country roads
- ‘Reducing theft by Housebreaking’ now included as a priority – J division has dedicated team – detection rates have increased in last few months

- Incidents of elderly people being targeted by criminals through scamming, bogus workmen etc. – Police Scotland working closely with Trading Standards Officers to highlight the problem
- Work ongoing to inform and advise young drivers on driving safely
- Suggested use of Community Council and local Tenant and Resident Groups' newsletters to inform residents of local policing initiatives etc.

Decision on the Recommendations/Action

It was agreed that comments should be forwarded to Police Scotland as soon as possible

The final version of the Local Police Plan will be sent out to members of the Partnership when complete

Broaden priority 6 to include targeting causes of accidents beyond drink / drug driving offences

d) East Lothian Policing Performance – Local Authority Scrutiny Report – April – December 2013

Cl Brown spoke to the report.

Key Points

- Reduction in the number of ASBO incidents linked to strong partnership working with Community Wardens and the Council's ASB Team
- Increase in detection rates for hate crimes
- Police Scotland will continue to prioritise road safety following the recent fatal accidents in East Lothian
- It was noted that there had been a reduction in the number of people detected for supplying drugs but that a number of initiatives were planned and it was hoped this would lead to a rise over the next few months.
- Try to ensure that all areas get some funding from the cash seizures through the Proceeds of Crime Act

e) Police Scotland – Funded Officers Report

M Patterson asked that this topic be discussed offline to look at the type of information that is produced by funded officers in East Lothian and what is produced in other local authorities. Cl Brown advised that the report is similar to that produced in West Lothian but agreed to discuss the matter outwith the S & VCP.

Decision on the Recommendations/Action

It was agreed to discuss this issue offline with Police Scotland to review the type of information produced

f) **Road Safety in East Lothian - Update**

C. Baird (ELC) spoke to the report advising that he had been asked to update a report on road safety originally produced in 2009.

Key Points

- Statistics show a significant reduction in the number of accidents between 1996 and 2013
- Outlined what partners will support to increase road safety
- Establishment of a Road Safety Working Group to report to the S & VCP

Points Raised

- M Patterson asked if any questions and confirmed that road safety remained a high priority for the Partnership
- Request from health visitors for road safety training
- The Road Safety Working Group (RSWG) is to be reconvened and should include partner reps along with other Council services, including Education
- The RSWG to bring an Action Plan back to the S&VCP
- Membership of the Road Safety Working Group to involve partner organisations to promote safety and education
- The Road Safety Working Group will be required to produce a Road Safety Plan

M Patterson thanked C Baird for his report and attendance at the meeting.

Decision on the Recommendations/Action

The Partnership confirmed that road safety continues to be a high priority for all partners

The Partnership recommended that the Road Safety Working Group (RSWG) be re-established as soon as practicable with decision makers from the Partnership organisations involved

RSWG (once established) actioned to bring Road Safety Action Plan to the S&VCP

Items 8, 9 and 10 were deferred to the next meeting of the S & VCP

11. Any Other Business

Key points

- It was agreed to move the start time of future meetings to 2pm wherever possible
- P Heath advised that Kevin Blair had been awarded the Queen's Fire Medal this year
- ACC McCormick reported that Chief Superintendent Jeanette McDiarmid was leaving her post and that a new appointment would be made shortly
- P Vestri proposed to change the date of the next meeting from 12th May and discussion followed on the next most appropriate date

12. Date of Next Meeting

The next meeting will be held on **Monday, 26th May 2014 at 2pm in the offices of STRiVE, Tranent.**

East Lothian Partnership

MINUTES OF THE MEETING OF THE RESILIENT PEOPLE PARTNERSHIP

Wednesday 19 February 2014
Doughty Centre, Herdmanflat, Haddington

Partnership Members Present:

Mike Ash, Chair, Health & Social Care Partnership (RPP Chair) (MA)
Alex McCrorie, Depute Chief Executive-Resources & People Services, ELC (AMcC)
Alison Meiklejohn, Non Executive Board Member, NHS Lothian (AM)
Councillor Donald Grant, Health & Social Care Spokesperson, ELC (DG)
Councillor Shamin Akhtar, Education & Children's Services Spokesperson, ELC (SA)
Councillor Stuart Currie, SNP Group Leader, ELC (SC)
Danny Harvie, Director ELCAP, Coalition of Community Care & Support Providers (DH)
David Small, Director of Health and Social Care (ELC&ELCHP), Health & Social Care Partnership (DS)
Jackie Philip, Regional Manager, Good Companions, Scottish Care (JP)
Linda Jardine, Assistant Director Children 1st (LJ)
Sally Egan, Associate Director & Child Health Commissioner, NHS Lothian (SE)

Others Present:

Brian Currie, Volunteer, Scottish Care (BC)
Carol Grandison, ELC (minute taker)
David Milne, Team Leader, Community Planning and Empowerment Team, Scottish Government (DM)
Kate Betchley, Community Planning and Empowerment Team, Scottish Government (KB)
Sharon Saunders, Head of Children's Services, ELC (SS)
Veronica Campanile, Policy Officer, ELC

Partnership Members Apologies:

Eliot Stark, Chief Executive, STRIVE/VAEL

1. MINUTES OF THE PREVIOUS MEETING

The minutes of the RPP of 20 November 2013 were approved.

2. MATTERS ARISING

Introductions /partners contributions

- All received and the complete document to be circulated after the meeting (VC)

Mental Health

- Briefing on mental health/suicide to the Health & Social Care Partnership and then on to this Partnership – information to be included from health (SE)
- Briefing to Elected Members arranged for 18 March on Suicide in East Lothian will now cover Mental Health Issues. Shamin Akhtar arranging with Murray Leys.

Young People in Transition

- A strategic management group has been set up with Murray Leys, Sharon Saunders, Steven Wray and Alison Macdonald and this work will now sit within the Integrated Children's Service Plan.

MELDAP

- Accountability and reporting to the Health & Social Care Partnership and this Partnership to be clarified (DS/ML)

3. FEEDBACK FROM EAST LOTHIAN PARTNERSHIP MEETING 21 JANUARY 2014.

a. JOINT RESOURCING

Mike Ash spoke to this item.

Key points

- Chief Finance Officer Working Group now established
- Partners were asked to provide details of their 2014/15 budget preparations, to date written responses have been received from five partners.
- Partners that had not yet submitted written responses were asked to provide verbal feedback at the Partnership meeting.
- Joint resourcing will be difficult to implement in its entirety due to different budget setting timetables and procedures followed by partners which will make sharing budget, investment and resource planning information at an early stage in the decision making process difficult.
- This has positive implications for the Resilient People Partnership and will help to show the resources used within our remit.

Points raised

- As partners set budgets at different times it may be more productive to have discussions after all budgets are set (AMcC)
- This time was a confidence building exercise and next year will bring significant changes e.g. integration of health and social care (MA)

- Total place will provide a trial run for sharing resource information across the county (AMcC)

Decision on the Recommendations/Action

2.1 That Resilient People Partnership notes the contents of the report - **Noted**

b. SOA DEVELOPMENT PLAN UPDATE

Mike Ash spoke to this item

Key points

- Six Area Partnerships based on Elected Members Wards were approved. The rollout of all six Area Partnerships should be completed by the summer.
- A Project Team is being established to develop the Joint Asset Management Plan. The public sector partners with assets in East Lothian have been asked to nominate the relevant official to participate in the Project Team.
- Total Place resource mapping exercise pilot in one area of East Lothian to be undertaken. This will be in Musselburgh East due to the growing level of deprivation evident and will focus on vulnerable families (VC)

Points raised

- Edinburgh is doing similar work in Craigroyston and may wish to make contact (SE)
- The Sustainable Economy Partnership is also focusing on the economy in Musselburgh and specifically youth employability/positive destinations (SC and VC)
- The RPP will need feedback from the Project Board to inform our work (MA)

Decision on the Recommendations/Action

That the Resilient People Partnership note the content of the appended report, in particular:

2.2 Progress in relation to the six Area Partnerships - **noted**

2.3 Work to develop a Joint Asset Management Plan - **noted**

2.4 The development of a Total Place resource mapping exercise in Musselburgh East - **noted**

c. EAST LOTHIAN STRATEGIC ASSESSMENT AND OUTCOME INDICATORS

Veronica Campanile spoke to the report

Points raised / Strategic assessment

- Should the life-stage age groups change to correspond with national policy on Early Years 0-8?
- Dementia is a growing problem and is this sufficiently addressed?

- Is Mental Health sufficiently addressed- consider all age groups?
- The Inspection of Services for Children asked: what were the strategic needs/priorities. This will help drill down and identify cross-cutting priorities, for example the concern about mental health in adults starts at pre-birth (SS)
- Add in opportunities section - integration of services for all ages - children/young people and adults (DS/MA)

Points raised / strategic outcome indicators

- Question on the measure of hospital admissions for older people which doesn't cover the importance of people being discharged to other locations outwith East Lothian or their own communities (DH)
- Question on whether the Children are Safe outcome needs a strategic measure (SE)
- Need data on opportunity gaps and not solely attainment (LJ)
- Note that the content for the strategic assessment has to derive from the data in the East Lothian data profile (VC)

Decision on the Recommendations/Action

The Resilient People Partnership was asked to:

2.1 Noted the content of and comment on the high level strategic assessment - **noted and comments were made. Remitted for further comment from members.**

2.2 Commented on the draft strategic outcome indicators – **comments were made. Remitted for further comment from members.**

Action - timescale within two weeks / send to Veronica Campanile

- *All to go through the strategic assessment and feedback ideas (ALL)*
- *Linda Jardine to send a form of words for indicator re opportunity gaps (LJ)*
- *David Small to send rewording of the measure for older people and hospital admissions/destinations (DS)*
- *All to consider the strategic outcome indicators and send comments with alternatives (ALL)*

4. SOA DEVELOPMENT PLAN – PRIORITY AREAS OF ACTION

Shamin Akhtar spoke to this item

Key points

- Two priorities proposed: A refresh of the Integrated Children's Services Plan (ICSP) and of the planning groups to drive its implementation and a refresh of the Older People Strategy.

- Consider a half day workshop bringing together both the members of this Partnership and the Lead Officers to consider the data and different models available, including the possibility of moving to a life stages approach.
- The priorities will cover a lot of the issues identified in the previous discussion and the workshop should pick up on the gaps identified in the strategic assessment.

Points raised

- Information from pan Lothian strategies, including mental health, needed (AM)
- Happy to see that mental health is included in the document (SC)
- Need to enhance the role of organisations from this partnership in this work (AMcC)

Decision on the Recommendations/Action

The Resilient People Partnership:

2.1 To consider two priority actions presented in section 3.4:

- A refresh of the Integrated Children’s Services Plan and of the GIRFECYP Group
- A refresh of the Older People’s Strategy - **Approved**

2.2 To consider the proposal for a half day workshop of future priorities and approaches for members of this Partnership and the lead officers presented in 3.5 - **Approved**

Action

- *David Small and Sharon Saunders to progress the two priority actions agreed (DS and SS)*
- *Shamin Akhtar and David Small to convene a group for the workshop (members of this Partnership and Accountable Officers (SA and DS))*

5. DRAFT OUTCOME DELIVERY FRAMEWORK

Veronica Campanile spoke to this report.

Points raised

- Approve the lead officers, but these are really Accountable Officers (AMcC)
- Lead Officers should be renamed Accountable Officers (MA)
- Further work needed to finalise some of the accountable officers and delivery leads – ideally these should be key players from each Partnership member.

Decision on the Recommendations/Action

The Resilient People Partnership was recommended to consider the Outcome Delivery Framework and:

- 2.1** Comment on the content of the sections and propose amendments as necessary - comment was made and this was **remitted** for further action by members – see below
- 2.2** Approve the officers named with lead responsibility for each contributory outcome for this Partnership – **approved in part**. Health and social care leads - **remitted** for further action
- 2.3** Approve the officers named to carry out this work (delivery leads) on behalf of this Partnership – **approved in part**. Health and Social Care section - **remitted** for further action

Action

- *All to feedback on any gaps within the framework within two weeks (All)*
- *David Small to review the health and social care accountable officers and delivery leads (DS)*
- *Veronica Campanile to amend with Jon Turvill as co-delivery lead for physical activity and rename lead officers as accountable officers (VC)*

6.a. HEALTH AND SOCIAL CARE PARTNERSHIP PROGRESS

David Small spoke to the report

Key points

- Draft Integration Scheme to be submitted to NHS Lothian and East Lothian Council in December 2014.
- Submission to Scottish Government early 2015.
- Integration Board to be established April 2015.
- The Strategic Plan should identify at least two “localities” for the area and outline separately how the integrated services will be delivered in each.
- Need to ensure correct involvement of local professionals, elected members, service users, carers third and independent sector representatives.
- A representative from each of the new six Area Partnerships could become members of the strategic group and a mechanism for selection would be needed
- This will be one of the main items for discussion at the next Shadow Board Meeting.

Decision on the Recommendations/Action

The Partnership is recommended to:

- 2.1** Note the key issues identified in the report – **Noted**
- 2.2** Discuss the issue of locality plans and engagement with the six area partnerships - **Discussed** – however a conclusion was not reached.

7.a. EAST Lothian INSPECTION OF SERVICES FOR CHILDREN'S WELLBEING UPDATE

Sharon Saunders spoke to this report.

Key points

- Inspection Team are in the process of concluding their draft report detailing their findings and evidence in respect of each of the quality indicators. The Draft report should be available to us end of February/March 2014.
- Work will progress through the RPP sub group "Getting It Right For Every Child and Young Person (GIRFECYP) to develop an improvement plan taking account of the findings of the inspection.

Points raised

- Once this plan is ready this Partnership will need to take ownership of it (MA)

Decision on the Recommendations/Action

The RPP was asked to note this update report and to amend and/or approve the items to be taken forward as proposed in section 4.

Noted and approved. All confirmed full support for this approach

Action

- Sharon Saunders to bring forward the final report and improvement plan to the next meeting **(SS)**

8. ANY OTHER BUSINESS

Family Nurse Partnership (FNP) / Sally Egan

- FNP is a preventive programme for vulnerable young first time mothers.
- Since rollout within Edinburgh CHP, teenage pregnancy rates have reduced.
- Plan is to roll out and test in Midlothian, then roll out in East Lothian by August 2015.

9. ITEMS FOR INFORMATION

The items were noted

10. NEXT MEETING

Wednesday 21 May 2014 2.00pm – 4.00pm in STRIVE Organisational Development, 56 High Street, Tranent.

