

21 January 2019

# Edinburgh Tram York Place to Newhaven

Edinburgh Tram York Place to Newhaven

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**Project Execution Plan**  
**City of Edinburgh Council**

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### **Controlled document distribution**

The PEP is a controlled document and shall be reviewed, approved and distributed under controlled conditions.

Turner & Townsend as the project managers are the holders of the PEP and shall be responsible for updating the document during the projects lifecycle.

The PEP is to be formally issued to the Project Board, members of the project Senior Management Team, Atkins and Ashursts.

## 1 Introduction

### 1.1 Scope of the Project Execution Plan

The Project Execution Plan (PEP) is a core approved document that defines the strategy for the management of the Edinburgh Tram York Place to Newhaven project and the procedures for its successful implementation and completion.

The PEP defines the proposed methodology adopted in order to satisfy the client requirements highlighted in the Project Initiation Document (PID). It acts as a singular strategy for the delivery of the scope of services, between the City of Edinburgh Council, Turner & Townsend, Anturas Consulting, Atkins and Ashursts.

By using a comprehensive methodology, that defines how the project will be executed, monitored and controlled, the aim is to ensure successful delivery of the project scope in line with the objectives of the City of Edinburgh Council.

### 1.2 Issue Status

The Project Manager has prepared the PEP and will ensure the proper administration of the document through revision and controlled re-issue.

Recipients of documents will be required to confirm that current issues are held and that relevant people are holding applicable information. The status of the PEP and appendices will be identified within each revision.

## 2 Project Overview

### 2.1 Project Name

Edinburgh Tram York Place to Newhaven.

### 2.2 The Employer

The City of Edinburgh Council.

### 2.3 Project Acronyms

The acronyms for the project are detailed in Appendix A.

### 2.4 Key Milestones

The Key milestones are:

Milestone Activity	Milestone	Status
Consultation Strategy Agreed	22 <sup>nd</sup> December 2017	Complete
Siemens ITN Issued	19 <sup>th</sup> January 2018	Complete
I&S/SPC PQQ Evaluation Complete	28 <sup>th</sup> February 2018	Complete
Pre Engagement Complete	26 <sup>th</sup> January 2018	Complete
Board approval of contractor shortlist(s)	28 <sup>th</sup> February 2018	Complete
Public Consultation Commence	19 <sup>th</sup> March 2018	Complete
Siemens Sub Contract Agreed	13 <sup>th</sup> April 2018	Complete



Public Consultation Complete	27 <sup>th</sup> April 2018	Complete
I&S ITT Issued	20 <sup>th</sup> April 2018	Complete
SPC ITT Issued	10 <sup>th</sup> May 2018	Complete
SPC Bids Returned	6 <sup>th</sup> August 2018	Complete
Complete SPC Tender Evaluation	24 <sup>th</sup> August 2018	Complete
I&S Bids Returned	10 <sup>th</sup> September 2018	Complete
Complete I&S Tender Evaluation	23 <sup>rd</sup> November 2018	Complete
Finalise FBC Update	January 2019	
Board approval	January 2019	
Political Briefings Complete	February 2019	
Full Council Meeting	March 2019	
Appoint Contractor(s)	March 2019	
Formal TRO Process Commence	January 2019	
Formal TRO Process Complete	October 2019	

The Project Master Programme is included in Appendix B.

## 2.5 Project History

### 2.5.1 Edinburgh Tram York Place to Newhaven Project Background

The Edinburgh tram system presently operates between Edinburgh Airport and a temporary terminus at York Place in the city centre. Passenger services commenced on 31 May 2014 and passenger numbers have grown consistently over the first three years of operations, reaching 5.6m in 2016. The Edinburgh Tram York Place to Newhaven route is 4.69km long and includes a mix of shared and segregated running on-street. The junctions at Picardy Place and London Road are reconfigured to allow for the safe operation of tram and general traffic movements. The existing temporary terminus at York Place is de-commissioned and replaced by a new tram stop at Picardy Place. A further seven tram stops are provided along the route.

On 11 December 2014, the Council approved the recommendations presented in the report 'Future Investment in Public Transport – Potential Tram Extension', which were that the Council:

- noted that investment in public transport and active travel is a key enabler in supporting and sustaining the anticipated growth in the capital city, and is a catalyst in driving economic development and employment opportunities in Edinburgh
- noted against this background and context that it may be appropriate at this time to consider the implications of extensions to the current Edinburgh Tram network and further integration opportunities with other public transport companies; including bus and rail operators
- noted the expiry dates associated with certain powers as set out in the Edinburgh Tram (Line One) and (Line Two) Acts (2006); and

- acknowledged the requirement for further design work and ground investigation survey work to integrate any further extensions to the tram network with the St James Quarter redevelopment and the Leith Programme projects.

The Council authorised officers to prepare a detailed assessment of the economic, financial, business case, procurement and programme implications of extending the tram network. This work was completed and the findings were set out in an Outline Business Case, which was considered by Council at its meetings in November and December 2015.

In December 2015, the Council approved in principle the option of extending the existing tram line to Newhaven, and approved the commencement of Stage 1 of the project, including mobilisation of internal and external resources, preparation of an updated Outline Business Case, the carrying out of site investigations and the preparation of some outline procurement documentation for the project. The updated Outline Business Case was submitted to Council in September 2017 (see below).

A public inquiry is underway into the original Edinburgh Trams project. The updated Outline Business Case recommends that a gateway approval process is put in place to ensure recommendations from the Edinburgh Tram Inquiry final report will be incorporated into the project plans and governance arrangements before contracts for the main construction works are signed.

### **2.5.2 Updated Outline Business Case – Stage 1**

The updated Outline Business Case issued to the Council in September 2017 concluded that extending the tram line to Newhaven would benefit the city's economy, employment, population growth, social inclusion and economic regeneration. As the city continues to develop, the tram can provide a high capacity public transport spine from the Airport to Newhaven that will support sustainable growth while also serving the most densely populated corridor in Edinburgh, along Leith Walk. The OBC was prepared in accordance with Transport Scotland guidance, areas that were developed included:

- the transport modelling and economic appraisal were updated in line with Scottish Transport Appraisal Guidance (STAG) to take account of the most up-to-date available travel and planning data, and new transport schemes such as Edinburgh Gateway rail/tram interchange and the 20mph programme.
- the cost estimates were updated based on the outcome of the Stage 1 design and site investigation activities, and detailed quantitative cost and schedule risk assessments were carried out.
- the financial modelling was updated to incorporate the updated cost estimates and the performance of the tram system in 2016. Possible funding solutions were also updated following discussions with potential lenders.
- the commercial case was updated following development work on the procurement strategy with the project advisers, and consultations with the market.

The updated Outline Business Case includes lessons learned from the previous tram planning and construction phases, and was overseen by the cross party Transport Projects Working Group, in conjunction with an officer led Project Board to monitor progress and the approved project budget for Stage 1.

### **2.5.3 The Leith Programme**

The Leith Programme is a six phase project that covers work being carried out on Constitution Street, Leith Walk and surrounding streets. Phases 1 – 4, from the Foot of the Walk to McDonald

Road have been completed, with the final two phases from Annandale Street to Picardy Place now subsumed into the tram project together with any residual budgets.

## 2.6 Project Constraints

### 2.6.1 Financial

The project budget is as follows:

Description	(£)
Tram Stage 1 Costs (now complete)	3,186k
Tram Stage 2 Costs (now complete)	2,034k
Tram Stage 2a Budget (including contingency and fees)	329k
Total	5,549k

### 2.6.2 Physical

#### Location

The full route starts at the current York Place temporary stop and runs for 4.69 km to a planned new terminus stop at Newhaven as shown schematically on figure 1 below.

A site plan is included in Appendix C.

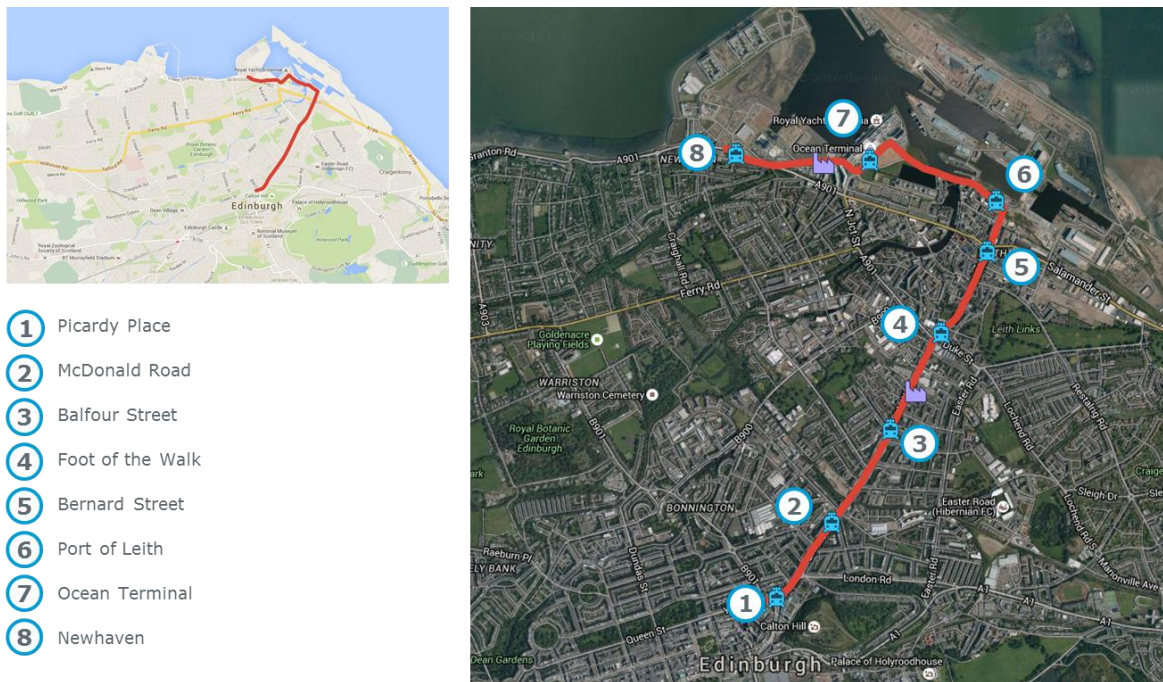


Figure 1: Schematic showing the proposed route from the York Place temporary Stop to Newhaven Stop.

### 2.6.3 Quality

Turner & Townsend and Atkins are to implement a quality system that complies with the requirements of ISO 9001:2015. This requirement is to be passed down through the differing supply chains.

The quality management of specific work packages is detailed within the Scope of the contracts including the I&S Contract, the Siemens Sub-Contract and the SPC Contract.

### 2.6.4 Environmental

Turner & Townsend and Atkins will ensure that all contractors working on the Edinburgh Tram York Place to Newhaven project adhere to a documented Environmental Management System (EMS) in accordance with ISO 14001:2015 and comply with the Environmental Statement (ES) and Code of Construction Practice (COCP).

The environmental management of specific work packages is detailed within the Scope of the contracts including the I&S Contract, the Siemens Sub-Contract and the SPC Contract.

### 2.6.5 Legal

The legal powers for the project are conferred through the following Acts and Orders:

- Edinburgh Tram (Line One) Act 2006
- Edinburgh Tram (Line Two) Act 2006
- Edinburgh Tram (Line One) Act 2006 (Extension of Time for Land Acquisition) Order 2011
- Edinburgh Tram (Line Two) Act 2006 (Extension of Time for Land Acquisition) Order 2011

The following are the key Third Party Agreements entered into by the Council to remove objections to the Edinburgh Tram Act (Line One) 2006:

- |                                 |  |
|---------------------------------|--|
| ▪ ADM Milling                   | ▪ Royal Yacht Britannia  |
| ▪ British Transport Police      | ▪ Scotrail   |
| ▪ British Telecom               | ▪ Scottish Water   |
| ▪ Cable Wireless                | ▪ Scottish Power   |
| ▪ Vodafone                      | ▪ Thus   |
| ▪ Easynet Telecoms Limited      | ▪ Telewest   |
| ▪ Forth Ports                   | ▪ NTL  |
| ▪ Historic Environment Scotland | ▪ Transco  |
| ▪ Network Rail                  | ▪ Scottish Gas Networks  |
| ▪ Virgin Media                  | ▪ The council are progressing a third party agreement with Genting Casino. |
| ▪ Ocean Terminal                |  |
| ▪ Royal Mail                    |  |

The Council is currently seeking to amend the third party agreements with the third parties still in existence via an assignation document which amends the parties to which the agreement is between, and the revised project timescales.

## **2.6.6 Statutory Planning**

### *2.6.6.1 Roads*

All road works will be governed by the Traffic Regulations Order (TRO) and the Roads Scotland Order (RSO) process, in order to minimise disruption to road users, pedestrians and the general public.

### *2.6.6.2 Prior Approval*

Prior Approvals are a specialist form of planning approval, developed specifically for the Tram Project.

The extents to which planning powers can be applied are restricted to the Limits of Deviation (LOD) as defined in the Edinburgh Tram Acts 2006.

The grounds on which the public can object are also limited, in that the principle of development is established through the Edinburgh Tram Acts 2006.

Planning Permissions or other forms of approval may still be necessary for proposed works outside the LOD.

### **3 Project Brief and Objectives**

#### **3.1 Project Objectives**

In broad terms the Council require the following key project objectives to be delivered successfully:

- Project delivered safely
- To deliver the project on time and within budget
- Enhance the Council's reputation as a promoter of major infrastructure projects
- To promote the integration of bus, tram and other modes of transport
- To enhance the quality of the environment and public realm within the city centre in line with CEC's ambition to enhance the overall quality of the city centre environment which includes a reduction in the number of buses running through the city centre, and along Princes Street in particular. Tram offers a high quality, high capacity and zero emission (at point of use) mode that forms part of a range of measures to enable an enhanced city centre environment
- To deliver high capacity public transport where it is needed most, linking places where people live, with employment and other opportunities along the current tram line by providing improved accessibility to residents along the corridor to the city centre
- To support the long term strategic development aspirations of the Council, and to align with the Local Development Plan

##### **3.1.1 Stage 2 Objectives**

The agreed objectives for Stage 2 are as follows:

- Procurement of contractors for the Infrastructure and Systems contract and Swept Path Contract
- Allow affordability to be tested based on tender prices
- Provide a further 12 months of evidence of tram patronage build up
- If received ahead of Council project approval, the project shall ensure the recommendations of the Edinburgh Tram inquiry are incorporated into the project plan and governance arrangement through a gateway approval process, before contracts for the main construction works are signed
- Allow the project to develop options for financing the funding gap in the worst-case sensitivity case
- Complete extensive project consultation process

#### **3.2 Project Scope**

##### **3.2.1 Edinburgh Tram York Place to Newhaven**

The York Place to Newhaven route is 4.69km long commencing at York Place and crossing Broughton Street Junction to an island Stop adjacent to the existing Picardy Place Roundabout. The alignment from York Place through Picardy Place has been determined through discussions with the Council's project team responsible for the Edinburgh St James Quarter development.

From Picardy Place the line heads north east passing over London Road Junction which will be reconfigured to a fully signalised junction from what is currently a roundabout. The line then continues along Leith Walk in dedicated public transport lanes (inbound and outbound) with a

central reserve accommodating the overhead line poles. There are tram stops at McDonald Road and Balfour Street, both with island platforms.

The line then passes over Great Junction Street to a side platform tram stop at the Foot of the Walk in Constitution Street. The next Stop is located at Bernard Street before the line swings west at the casino to the Port of Leith tram stop on Ocean Drive. The Bernard Street and Port of Leith stops both have island platforms.

The line then runs along Ocean Drive in a shared running corridor over Tower Place Bridge and Victoria Dock Entrance Bridge before turning south to an island platform stop at Ocean Terminal. From Ocean Terminal the alignment stays on Ocean Drive until it reaches North Leith Sands where it rises to meet Lindsay Road. It then travels along a tram only corridor adjacent to Lindsay Road until reaching Newhaven tram stop (side platform) located just before Sandpiper Drive.

Two new sub-stations and eight new tram stops are constructed under the scheme and the existing temporary York Place tram stop is de-commissioned and replaced by the Picardy Place stop. The tram stops to be constructed are at:

- Picardy Place                      Island Platform (replaces York Place)
- McDonald Road                    Island Platform
- Balfour Street                    Island Platform
- Foot of the Walk                 Side Platform (bespoke arrangement)
- The Shore                         Island Platform
- Port of Leith                      Island Platform
- Ocean Terminal                 Island Platform
- Newhaven terminus             Side Platform

### 3.2.2 Supplementary Projects

The project team are progressing a series of supplementary projects which, while not dependent on tram, would enhance the tram design and specific issues that may result from its construction, i.e. cycle safety, traffic flow, etc.

#### **Foot of the Walk to Ocean Terminal Cycleway – Turner & Townsend Project Managing**

The team have engaged with AECOM to carry out an options appraisal to provide a direct active travel route, for cycling and walking, from the Foot of the Walk to Ocean Terminal.

#### **Easter Road / Duke Street junction – Management by CEC with oversight from Turner & Townsend**

The change from a roundabout to a permanently signalised junction has already been considered by the Councils Roads team. Completion of this project will have a positive impact on traffic flow ahead of the Leith Walk traffic diversions.

#### **Brunswick Road - Management by CEC with oversight from Turner & Townsend**

Review the option of making Brunswick Road a 1-way street with the inclusion of a segregated cycleway. Brunswick Road is already designated as a 'Quiet Street' and has known air quality issues. This project would mitigate against the potential increase in traffic as a result of the ban on right turns from London Road onto Leith Walk and would further enhance the city's cycling network.



### **3.3 Project Procurement Strategy**

#### **3.3.1 Infrastructure & Systems Contract**

The updated Outline Business Case for the Edinburgh Tram, York Place to Newhaven Project recommends the use of a standard form NEC4 (Option C) Engineering and Construction Contract as the basis for the appointment of a contractor to carry out the Infrastructure & Systems works and provide the communications and control systems for the Project.

The main reasons for that choice of contract are that it:

- will be familiar to and is generally seen as an acceptable contract form of contract by the UK construction industry;
- has been used successfully on a range of projects including the Olympics, Crossrail and Thames Tideway Tunnel; and
- is commonly accepted as offering the parties the most effective means of incentivising best practice and facilitating the management of project risk when using a Target Price procurement structure (which has been recommended for the Infrastructure Contract, primarily as a result of market appetite and value for money considerations).

The scope of the Infrastructure and Systems Contract will include the Construction of all tram infrastructure and systems to meet the requirements of the performance specification and the operator, including:

- Set-up and management of all traffic management infrastructure;
- All site clearance works;
- Construction of all tram infrastructure;
- Construction of roads, public realm including footways and any soft/hard landscaping;
- Street lighting;
- Traffic signals
- Construction of tram stops;
- Construction of substations, and
- All works associated with Siemens scope of works, including system integration

The Infrastructure & Systems Contract will include the provision of scope to be supplied by Siemens, the current supplier and maintainer of the proprietary systems. Those works and services are likely to relate to certain of the mechanical and electrical elements of the Contract including:

- the configuration and extension of the existing proprietary tram communications and control systems which includes tram signalling, points and points indicators, automatic vehicle location systems, central control system, fixed equipment and power supply SCADA, passenger information systems, public address system, closed circuit TV, timing, radio transmission, cable transmission network, telephone system and emergency telephone system; and
- the installation, testing and commissioning of traction substation equipment which has already been supplied as part of the original tram project



The Edinburgh Tram, York Place to Newhaven Project Board has also approved the adoption of an Early Contractor Involvement process for the procurement of the Infrastructure & Systems Works. This approval is based on the objective of procuring an integrated approach to the design and value engineering of the Infrastructure Works in advance of the Council committing itself to a formal target price for the Infrastructure Works.

Accordingly, pursuant to the terms of the Infrastructure & Systems Contract, the I&S Contractor will initially only be appointed, for an agreed period of time, to carry out a limited scope of design services necessary to develop elements of that design will allow the scope of the swept path contractors works to be further defined, and to develop a more closely defined target price for the Infrastructure Works.

The Council will then have an unfettered discretion (exercisable at the end of the first stage and without penalty) whether to instruct the I&S Contractor to carry out the remainder of the Infrastructure Works or, if the Council is unable to agree an acceptable target price with the I&S Contractor, to enter into negotiations with the second placed, or other bidder for the Infrastructure Contract with a view to concluding an acceptable target price with that bidder.

### **3.3.2 Swept Path Contract**

The project delivery team has also recommended that the risks associated with below ground obstructions (and in particular utilities) should be removed from the scope of the Infrastructure Contract and included within a separate contract (NEC4 Option E), pursuant to which the contractor will be obliged to clear a "swept path" of utilities and below ground obstructions ahead of the I&S Contractor.

The reasons for this recommendation are set out more fully in the report on "Contracting Strategy" submitted to the Board in August 2017, but can be broadly summarised as follows:

- the lessons learnt on Phase 1 of the Project, including the adoption of a "one dig" approach to groundworks in order to minimise disruption to road users;
- facilitating the most effective management of key project design interfaces;
- maximising competition for the Infrastructure Contract ITT (a need identified from market consultation feedback received by the project delivery team);
- optimising the programme for the Project; and
- delivering value for money, principally by avoiding unrealistic risk allowance being priced in by the IC Contractor as a result of its inability to properly assess and price the risk of below ground utilities and obstructions.

The scope of the Swept Path Contract (SPC) is as follows:

- Excavation of tram infrastructure clearance zone (TICZ) and disposal off site of any materials resultant from those excavations;
- Design and completion of utility diversions, removal of any archaeology and other below ground obstructions from the TICZ;
- Design and completion of utility diversion, removal of any archaeology and other below ground obstructions from defined manhole locations and OLE bases;
- Design and construction of drainage manholes;
- Completion of Scottish Water legacy works, and

- Provide a watching brief to the I&S Contractor to resolve any below ground conflicts at locations other than those noted above.

### **3.3.3 Project Bank Account**

It has been identified that the use of a Project Bank Account (PBA) would be of benefit for both Infrastructure & Systems and Swept Path Contracts.

A PBA is a bank account that is opened for a construction project for the purposes of holding money in trust for the benefit of named beneficiaries and dispersing payment direct to those named beneficiaries. The account would be opened in the joint names of the Council and the Infrastructure & Systems contractor or Swept Path contractor in the capacity of trustees.

Provided a trust is created under Scots law, once the money is deposited in the account, the Council and the main contractor would hold the money as trustees for the benefit of named beneficiaries. If the Main Contractor become insolvent the money in the PBA would not form part of the insolvent estate, and would therefore be protected for the benefit of the named beneficiaries.

Whilst the opening of a PBA is not mandatory for a local authority such as the City of Edinburgh Council, there is strong encouragement from within the Scottish Government to use a PBA in this type of project.

Transport Scotland have operated a PBA on some of their recent projects, though these projects have been of a relatively low value. Crossrail operated a PBA where they acted as the lead. Both Transport Scotland and Crossrail have reported to us that the PBA has been used successfully.

The PBA is highly advantageous as it is a tool available to mitigate the impact of a contractor insolvency.

### **3.3.4 Contractor solvency strategy**

Further to the liquidation of Carillion plc and due to the risk inherent in the construction industry, a number of protections are being put in place to protect the Council in the event of contractor failure for this project.

If the I&S and/or the SPC contractor on the tram project were to fail, the consequences could include:

- Reputational Damage
- Unsafe work site
- Unpaid subcontractors refusing to work
- Unrectified defects
- Traffic management chaos
- Delays to programme
- Significant cost overruns
- No cover for latent defects
- Difficulty in procuring a replacement contractor

A number of financial and contractual as well as project management protections are proposed to be put in place to mitigate the impact of contractor insolvency.

#### 3.3.4.1 *Financial and Contractual Protections*

The project's commercial strategy is to protect the Council from risks it is unable to manage. The following protections are built into proposed contractual and financial arrangements:

**Regular financial checks** – Contractors will undergo financial checks during procurement and the project will only contract with organisations that meet the Council's criteria for a high-risk contract of this size. However, these checks are based on historic data and can rapidly become out of date. To counteract this, desktop checks will be performed at six monthly intervals during the contract so that the Council can put contingency plans in place which will include convening a meeting with the contractor's senior management to discuss any concerns.

Consideration is also being given to including financial distress provisions in the contracts obliging the contractor to provide early warnings.

**Performance bond** – The draft contracts require contractors put in place a performance bond for between 10-20% of contract value. This would be paid out to the Council in the event of contractor failure, and can be used to help offset additional costs associated with re-procurement, inflation and defects remediation

**Parent Company Guarantee** – Where the contractor is not the parent company itself, then a parent company guarantee is required. This means that if the subsidiary company fails, the parent will be obliged to undertake the subsidiary's obligations. This measure gives no protection if the ultimate parent fails.

**Joint & Several Liability** – With regards to the I&S contract any formally constituted joint venture will be joint and severally liable, this is a requirement set out in the I&S contract. In the event of one member of the joint venture becoming insolvent, the other joint venture members would be obliged to complete the works at no additional cost to the Council. It should be noted that bidders may not form joint ventures and may rely on sub-contract arrangements between the key participants.

**Collateral warranties** – The contract requires the key subcontractors to provide collateral warranties, enabling the Council to step in and directly manage all key subcontracts.

**Insurance** – The OCIP includes cover for delay in start-up, which would help the Council pay for the borrowing costs it would incur prior to the eventual opening of the tram line. In addition, as the Council would be controlling the policy, claims relating to the contractor would continue to be met, avoiding further reputational damage.

**Project Bank Account** – The senior management team is considering the use of a project bank account to make payments. This enables the Council to pay subcontractors directly, rather than paying them through the main contractor. This means that if the main contractor does go into administration, named subcontractors under the project bank account arrangement will have already been paid. A separate paper on this agenda assesses the potential benefits of using a project bank account.

#### 3.3.4.2 *Project Management Protections*

In addition to the contractual protections, the project team needs to be in a position to mobilise quickly in order to directly manage contracts while reprocurring a replacement

contractor and managing stakeholder expectations. The following project management protections will be put in place:

**Large experienced client team** – The client team required to deliver this project will be substantial, with extensive experience in delivering large scale infrastructure projects including key individuals from the recovery phase of the Airport to York Place tram project. This experience will allow the client to take all required actions including instructing traffic management works, making safe the site and reprocurring another contractor to complete the works with minimal disruption and programme impacts. The experienced client team will have the ability to take a hand on approach to delivery of the project and take control of key subcontractors when required. While on a smaller scale, these are the same actions and issues that the client’s team managed to undertake in order to maintain progress on Leith Programme Phase 4 following the administration of the principle contractor for that project.

**Contracting Strategy** – through the existing contracting strategy the Council would have either an SPC contractor or the Infrastructure & Systems contractor on site. In such a circumstance the Council would utilise the remaining contractor to make the site is safe, maintain safe and operational traffic management and continue works where possible to mitigate delays.

**Procurement** – A number of measures will be put in place to streamline the process for procuring a replacement contractor.

An “Award to Runner-Up” clause will be included in the Invitation to Tender, reserving the right for the Council to make a direct award to the next ranked tenderer in the event of contractor failure. This should allow the award of a new contract in the shortest possible timescale, but this is still likely to take a number of months in negotiations and contractor mobilisation.

There is a risk that the runner-up would seek to materially revise their tender, particularly in the knowledge of the events that led to the original contractor failing. Any such renegotiation could rule out the chance of a direct award. In these circumstances, the Council could avail of the national SCAPE framework agreement for general civil works to directly award a contract. Again, this is likely to take a number of months in negotiations and contractor mobilisation.

**Stakeholder Engagement** - A client-first approach, where the Council remains ultimately responsible for the overall management and delivery of this portion of the project is being considered. This would ensure consistency in messaging, control over responses to contractor failure and an ability to seamlessly maintain communication and relations with the community and stakeholders.

### 3.4 External Advisers - Scope of Services

#### 3.4.1 Overview

Role	Organisation	Responsibilities
Project Director	<b>Anturas Consulting</b>	Client lead role in relation to the project and specialist procurement advice during Stage 2
Project & Commercial Services Advisor	<b>Turner &amp; Townsend</b>	Overall Project and Commercial Management for the project

Technical Services Advisor	<b>Atkins</b>	Input to Volume 3 Works Information Specifications Traffic Management Scope Ad Hoc Technical Advice Assistance with Tender Evaluations
Legal Services Advisor	<b>Ashursts</b>	Specialist Legal Advice Drafting of Legal Documents for Tender Siemens Legal Agreement

Terms of Reference for all advisers are available from the Council’s Procurement Team.

### 3.5 Stage 2 Success Factors

- Preparation of the pre-qualification and tender documents for the project under an NEC4 Design & Build contract.
- Preferred bidders selected for both the I&S Contract and SPC Contract
- Final Business Case presented to Council and approval of project to proceed
- Feeling of inclusion and consultation with local residents, businesses and interest groups.

## 4 Project Governance and Organisation

### 4.1 Governance Overview

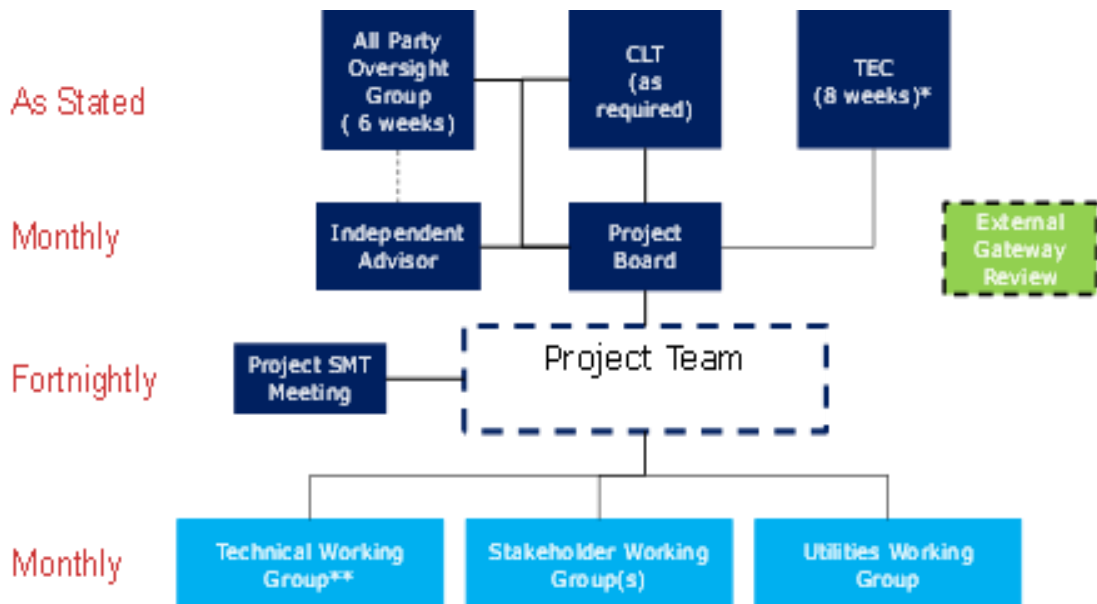
In December 2015 the Council agreed the high level governance structure as set out in the OBC and authorised immediate implementation. This was further developed during Stage 1 of the project.

A key lesson learned from the first phase of tram delivery related to the project governance and contract management structures. Following mediation, revised governance structures were put in place that served the project well through to passenger service. The key principles underpinning any project governance structure are:

- Strong leadership from the top of the client body, key stakeholders and the Contractor(s) selected to carry out the works
- Strong political support and regular reporting by officers on risks, issues and costs
- Clearly defined roles and responsibilities within the client organisation with clear reporting lines
- Clear management information used to report at all project levels
- Professional project management support within the client organisation

#### 4.1.1 Governance Structure

Set out below is the governance structure for Stage 2 of the project based on lessons learned from phase 1, post mediation. The day to day responsibility for the project will reside with the Project Directorate (see figure 3) with core decisions being taken on the project by the Project Board and/or the Council’s Corporate Leadership Team (CLT). Political oversight will reside with the All Party Oversight Group. The governance structure for Stage 2 is shown below:



\*A detailed "mid-term" report will also be provided to TEC in Spring 2018

\*\*Close working relationship with CityWide Traffic Group

Figure 2: Edinburgh Tram York Place to Newhaven Governance Structure

#### 4.2 Required Approvals and Approving Authorities

Approving Authority	Required Approvals
Council Roads	Traffic Regulation Order (TRO)
Council Planning	Prior Approval
Council Roads	City Wide Traffic Management
Selected Third Party	Third Party Agreement

#### 4.3 Gateways

The main project gateway is March 2019, for the final business case and selected contractors. At this gateway the council will be asked to make a decision whether to proceed with the project.

#### 4.4 Delegated Authority

To ensure suitable flexibility within agreed governance arrangements it has been agreed that:

- a) The project Senior Responsible Officer (SRO) is given authority from the Board to manage the project budgets.
- b) The Project Director will seek approval from the SRO for all strategic decision making in regard to contract award, expenditure and change management including any variation to external consultancy contracts.

Expenditure will be formally reported to the Board on a monthly basis and any risk of overspend will be highlighted to the Board as soon as is reasonably practicable.

#### 4.5 Record of Equality and Rights Impact Assessment (ERIA)

The outline business case submitted to the Council in September 2017 was submitted for an Equalities and Rights Impact Assessment (ERIA).

This was reviewed in August 2018 by the ERIA team members which include the Project Director and the Executive Director of Place.

## 5 Project Team

### 5.1 Overview

The various parties to the project, their roles, responsibilities and relationships are described below.

The main purpose of this section is to clarify who is responsible for which project activities and to ensure no duplication or gaps.

All parties should make a concerted effort to ensure that continuity of personnel is maintained for the full duration of the project. Every organisation appointed by the Council shall designate a specific senior contact, who is to take responsibility for the proper discharge of their own organisation’s services.

### 5.2 Project Team

#### 5.2.1 Core Project Organisation Structure

A comprehensive organisation structure is included in Appendix D.

The Key Roles can also be identified in the below team organisational structure to carry out the Edinburgh Tram York Place to Newhaven activities:

Project Directorate HR/RL/DW/SJ					
Procurement & Contracts	FBC & Approvals	SfB & Consultation Close Out	Design & Technical	Comms & Stakeholder	Stage 3 Readiness
KF	RL	MA	DW	DW	MM
SJ/TW	HR/RA/SP	RG/Comms	MM	SJ/LD/Comms	SJ
<ul style="list-style-type: none"> <li>OCIP</li> <li>Preferred Bidder Strategy</li> <li>Bidder Management</li> <li>Siemens SSA</li> <li>Preparing Contracts for Execution</li> <li>PBA Preparation</li> <li>F&amp;R Papers</li> </ul>	<ul style="list-style-type: none"> <li>Finalise FBC Drafting</li> <li>Finance Workshop                             <ul style="list-style-type: none"> <li>Cost Plan</li> <li>Risk &amp; OB</li> <li>Finance Model</li> </ul> </li> <li>Lothian Buses Finance</li> <li>FBC Briefings</li> <li>Data Room</li> <li>T&amp;E/FC Papers</li> <li>FBC Approvals</li> </ul>	<ul style="list-style-type: none"> <li>Support for Business Implementation Plan</li> <li>Consultation Impact Report</li> <li>TRO Consultation Preparation</li> </ul>	<ul style="list-style-type: none"> <li>Technical Working Group</li> <li>Active Travel Forum</li> <li>Utilities</li> <li>TMRP</li> <li>Supplementary Projects</li> <li>FoW to OT Active Travel</li> <li>Structures, Planning, Archaeology</li> <li>Finalise Designs (Atkins)</li> <li>RSA Update</li> <li>TRO Strategy</li> </ul>	<ul style="list-style-type: none"> <li>Legal &amp; Land</li> <li>THRE Picardy Place</li> <li>Dock Area Working Group</li> <li>Key Stakeholders                             <ul style="list-style-type: none"> <li>Businesses</li> <li>Residents</li> <li>Active Travel</li> <li>Access Panel</li> <li>Public Transport</li> </ul> </li> <li>CCTT</li> <li>Newsletter</li> <li>Website</li> <li>Comms to March</li> <li>Lothian Buses Technical</li> </ul>	<ul style="list-style-type: none"> <li>Construction Phase Plan</li> <li>ECI Initiation Plan</li> <li>ECI Office</li> <li>Stage 3 Resourcing</li> <li>Stage 3 PEP</li> <li>Stage 3 Comms Plan</li> <li>Stage 3 Readiness Workshop</li> <li>Maintenance Position</li> <li>Advanced Enabling Works scoping</li> <li>Public Art Scoping</li> <li>Stage 3 CDE</li> <li>BIM Base Model</li> </ul>
<ul style="list-style-type: none"> <li>RAD Log</li> <li>Commercial</li> </ul>	<ul style="list-style-type: none"> <li>Programme</li> <li>Board Papers</li> </ul>	PMO (SJ)		<ul style="list-style-type: none"> <li>Audit</li> <li>Office Logistics</li> </ul>	<ul style="list-style-type: none"> <li>CDE</li> <li>Risk Management</li> </ul>

Figure 3: Edinburgh York Place to Newhaven Organisation Chart



### 5.2.2 Key Roles & Responsibilities

The table below lists the key personnel involved with the project and their key roles and responsibilities:

Role	Name	Responsibilities
Project Sponsor	<b>Paul Lawrence</b>	Client sponsor responsible for vision, governance, value and benefits as described more fully below.
Senior Responsible Officer (SRO)	<b>Hannah Ross</b>	Client project lead providing direction and authorisation to the Project Director (see table below).
Project Director	<b>Rob Leech</b>	Management of the full project team. Authorised by the SRO to provide client direction and instructions (see table below).
Project Lead	<b>Steven Jackson</b>	Overall responsibility for day to day management of the project. Also deputise for Project Director as required with all Project Director responsibilities delegated as appropriate.
Senior Interface Manager (Deputy SRO)	<b>Darren Wraight</b>	Responsible for leading technical workstream including client lead on internal and external stakeholder management. Also deputise for SRO as required with all SRO responsibilities delegated as appropriate.
Commercial Manager	<b>Tammy Wong</b>	The Management of budgets, change control, cost reporting and provision of strategic commercial advice
Procurement Leads	<b>Kelly Faulds</b> <b>Rory O'Connor</b>	Overall responsibility for delivering the procurement processes for the Infrastructure Contract, the Swept Path Contract and the Siemens Subcontract.
Legal Lead	<b>Laurie Anderson Spratt</b>	Management of all legal issues in relation to the project.
Finance Leads	<b>Sat Patel</b> <b>Rebecca Andrew</b>	Management of all finance issues in relation to the project including the production of the FBC.
Technical Project Management Lead	<b>Michael Motion</b>	Responsible for all technical project management aspects of the project including technical documentation drafting, evaluation, traffic management and support with technical consultation duties.

Role	Name	Responsibilities
Community Engagement Manager	<b>Rory Garriock</b>	Management of community engagement and communications for the project.
Project Controls Manager	<b>Barry McKeown</b>	The establishment and maintenance of the project master schedule. The production of project progress information and data to support the project decision making process.
Technical Advisor Lead (Atkins)	<b>Stephen Lindsay</b>	Responsible for the Technical Delivery of the project to the client's requirements. Named person as Principal Designer Role under CDM2015 Regulations.
Risk Manager	<b>Craig Forson</b>	Establish and maintain the project Risk Management Plan.
Legal Advisor Lead	<b>Michael Smith</b>	External legal advice and contract drafting

With regards to the responsibilities of the Project Sponsor, SRO and Project Director these are set out in more detail below.

### **Responsibilities of the Project Sponsor**

Responsible for initiating, ensuring, approving, and establishing a series of key aspects in relation to the project as follows:

#### ***Vision***

- Ensure the validity of the business case and the viability of the business proposition,
- Ensure ongoing alignment to Council objectives,
- Informally interact with the project team and other key stakeholders to stay informed of trends and events within the project (and ensure the project remains viable), and
- Define project success criteria that align with the Council's objectives.

#### ***Governance***

- Prioritise the project and ensure it is launched and initiated properly,
- Serve as a voice for the project and ensure appropriate organisational and political priority is given to it throughout,
- Assemble and provide on-going support for the project organization,
- Identify roles and reporting structure,
- Serve as an escalation point for issues and other matters and obstacles that are beyond the control of the SRO,
- Provide financial resources for the project and approval on go/no go decisions regarding progress and phases;
- Ensure that other Council initiatives that may impact the Project are properly resourced and fully aligned; and

- Convene and chair the Project Board.

**Value and Benefits**

- Ensure risks and changes are managed properly and sufficiently and make associated decisions;
- Ensure control mechanisms and reviews are in place;
- Ensure the project delivers the intended value and benefits;
- Approve deliverables in line with agreed project governance arrangements;
- Make go/no go decisions; and
- Ensure that project strengths are identified so they can be utilised in other Council programmes.

The project sponsor is also responsible for recognising, addressing (proactively or reactively), and initiating appropriate action if and when business conditions and circumstances significantly change throughout the lifecycle of the project to maintain project viability, and so the project directorate can continue to carry out the job of leading the project.

**Roles of the Project SRO and Project Director**

The SRO and Project Director will work closely in delivering a range of responsibilities as set out in the table below.

SRO Responsibilities	Project Director Responsibilities
Be a visible, engaged and active project leader, not a figurehead;	Provide leadership support to the project SRO and be a visible, engaged and active project leader in day to day management of the project, and not a figurehead.
Create an open, honest and positive culture committed to delivering at pace;	Working with the SRO create an open, honest and positive culture committed to delivering at pace;
Act as lead Council officer for the procurement processes;	Provide management support to the SRO through the procurement processes;
Challenge consultants, senior officers and Councillors when appropriate and escalate matters in a timely manner utilising the agreed governance structures;	Provide information and support to the SRO to challenge consultants, senior officers and Councillors when appropriate and work with the SRO in identifying key issues and providing any necessary information and/or materials to support the escalation of matters in a timely manner utilising the agreed governance structures;
Ensure the project team is managing the project on time and on budget, and meeting all relevant targets and milestones;	Ensure the project team is managing the project on time and on budget, and meeting all relevant targets and milestones;

City of Edinburgh Council  
Project Execution Plan

Build strong and effective relationships with key stakeholders across the project and lead stakeholder communications for the Council at officer level;	Build strong and effective relationships with key stakeholders across the project and provide support to the SRO in leading stakeholder communications for the Council;
Coordinate and link in with other Council activities and co-ordinate all officer work on the project, ensuring a 'joined up' approach;	Work closely with the SRO to coordinate and link in with other Council activities and co-ordinate all officer work on the project, ensuring a 'joined up' approach;
Support the role of elected Members and in particular the Transport and Environment Convener;	Provide information and support to the SRO in supporting the role of elected Members and in particular the Transport and Environment Convener;
Comply with Council policies and procedures;	Comply with Council policies and procedures;
Implement robust, appropriate and transparent project governance;	In conjunction with the SRO implement robust, appropriate and transparent project governance;
Monitor and control the progress of the project at a strategic level, being honest and frank about project progress, risks and issues;	Support the SRO in monitoring and controlling the progress of the project at a strategic level, being honest and frank about project progress, risks and issues;
Ensure that any changes to agreed project benefits are flagged appropriately within project governance and that, if appropriate, the business case is updated accordingly;	Ensure that any changes to agreed project benefits are flagged to the SRO and that, if appropriate, the business case is updated accordingly;
Ensure that communication processes are effective and that the project objectives and deliverables continue to be consistent with the Council's strategic direction;	Support the SRO in ensuring that communication processes are effective and that the project objectives and deliverables continue to be consistent with the Council's strategic direction;
Ensure that the programme is subject to review at appropriate stages and take a lead role to ensure the outcomes of the Hardie inquiry are addressed in the final business case;	Support the SRO in ensuring that the project is subject to review at appropriate stages and assist the SRO to ensure the outcomes of the Hardie inquiry are addressed in the final business case;
Report project progress to Board and escalate matters for decision to board in a timely fashion ensuring the board has sufficient information to inform robust decision making.	Support the SRO in reporting project progress to Board and escalating matters for decision to board in a timely fashion ensuring the board has sufficient information to inform robust decision making.
Support the Project Sponsor in ensuring that project strengths are identified so	Support the Project Sponsor and SRO in ensuring that project strengths are

that they can be utilised in other Council programmes.	identified so that they can be utilised in other Council programmes.
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### 5.3 Project Directory

A full Project Directory is included in Appendix E.

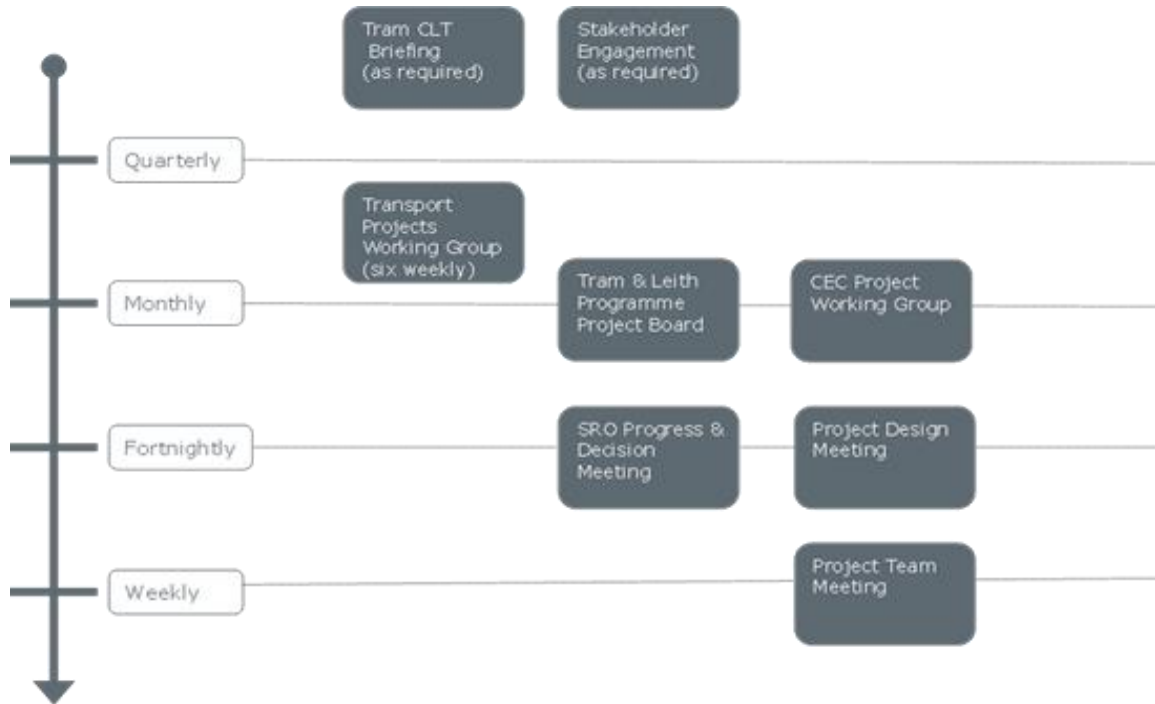
### 5.4 Key Stakeholders

The Stakeholder Management Plan described in section 16 has identified the following internal & external key stakeholders to be communicated with.

- ADM Milling
- British Telecom
- Vodafone
- Forth Ports
- SusTrans
- Edinburgh Tram
- Historic Environment Scotland
- Network Rail
- Virgin Media
- Ocean Terminal
- Royal Yacht Britannia
- Scottish Water
- Scottish Gas Networks
- Lothian Buses
- Police Scotland
- Edinburgh St James
- Omni Centre
- Edinburgh Playhouse
- Scottish Power
- CityFibre
- General Public
- Living Streets Edinburgh
- RNIB
- Spokes
- Joint Access Panel
- Taxi Operator Working Group
- Broughton & Newtown Community Council
- Leith Central Community Council
- Leith Harbour & Newhaven Community Council
- Greener Leith
- McDonald Road Library
- SFRS
- Pilrig St Paul's Church of Scotland
- South Leith Parish Church
- St Mary's Star of the Sea
- Leith Walk Primary School
- Lorne Primary School
- Pilrig Park School
- Genting Casino
- Council Internal Stakeholders
- Places for People (Shrub Hill Housing Development)
- Media
- NHS Lothian

## 6 Communication

### 6.1 General Communication



The Project Lead shall be the focus of all communication for the project.

It is recognised that direct contact between the project team will take place and suitable records should be kept as necessary by the relevant project team member.

The Project Lead shall be copied in on all correspondence relating to key aspects of the project, which shall include correspondence to/from the Council and parties outside of the project team.

### 6.2 Written Communication

All items of written communication such as reports, email and letters will be referenced according to the criteria set in the scope requirements document.

### 6.3 Verbal Communication

Generally verbal communication is promoted as it is the quickest, most efficient method of communication. However where necessary, verbal communication should be recorded via written communication and copied to the whole team.

### 6.4 Meetings

To ensure the above governance structure is managed appropriately the following key meetings will be required:

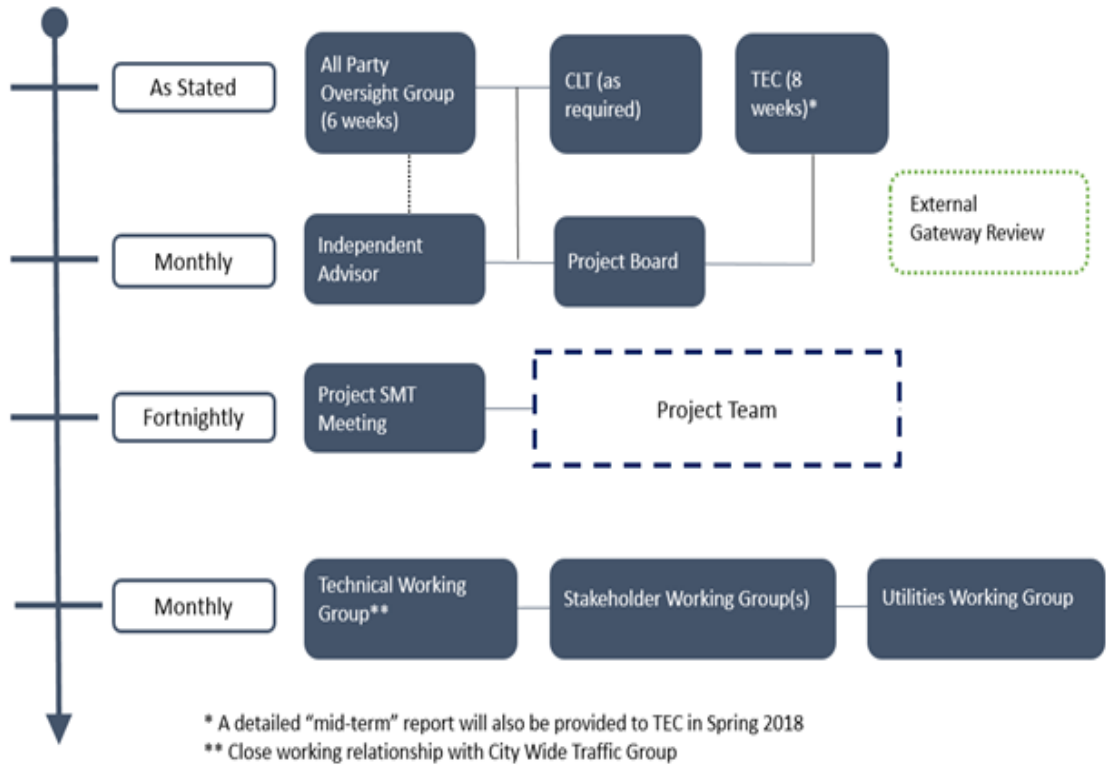


Figure 4: Key Meetings Structure

**6.4.1 CLT Meeting**

<b>Chair</b>	CEO	<b>Membership</b> CLT Members Project Director Project SRO
<b>Location</b>	Waverley Court	
<b>Frequency</b>	As Required	
<b>Duration</b>	As Required	
<b>Purpose</b>	To provide oversight of all areas of the Project and to highlight and resolve key issues that remain unresolved at Tram Project Board	
<b>Standard Agenda Items</b>	Progress & Financial Update	
<b>Decisions</b>	No specific decisions	
<b>Escalation</b>	N/A	
<b>Reporting Route</b>	N/A	

**6.4.2 All Party Oversight Group**

<b>Chair</b>	Council Leader	<b>Membership</b> Council Leader Deputy Leader Convener & Vice Convener Transport & Environment Convener & Vice Convener Finance & Resources Convener Housing & Economy (As required) Opposition Transport Spokespersons Executive Director of Place Chief Executive – Transport for Edinburgh Senior Manager Transport Networks Tram – Project Director Tram – Project SRO Tram - Senior Interface Manager Communications Lead
<b>Location</b>	City Chambers	
<b>Frequency</b>	Six Weekly	
<b>Duration</b>	1 Hour	
<b>Purpose</b>	To receive updates on the project progress, finances and current issues including interfaces with key stakeholders such as Edinburgh St James, local businesses & residents, Community Councils, and Lothian Buses.	
<b>Standard Agenda Items</b>	Presentation by Project Director Questions & Answers	
<b>Decisions</b>	No specific decisions	
<b>Escalation</b>	N/A	
<b>Reporting Route</b>	N/A	



### 6.4.3 Project Board

<b>Chair</b>	Executive Director of Place	<b>Membership</b> Executive Director of Place Senior Manager Transport Networks Tram – Project Director Tram – Project SRO Head of Communications Head of Procurement Head of Legal & Risk Head of Finance Chief Executive – Transport for Edinburgh Managing Director – Edinburgh Trams Independent Advisor Head of Strategy & Insight Chief Internal Auditor
<b>Location</b>	City Chambers	
<b>Frequency</b>	Monthly	
<b>Duration</b>	1.5 Hours	
<b>Purpose</b>	To provide clear operational oversight of all areas of the Project as client, to provide challenge to issues and change requests and to be the client sign off point for change requests.	
<b>Standard Agenda Items</b>	Minutes of Last Meeting Presentation by Project Director of Monthly Progress Report including financial reporting Questions & Answers	
<b>Decisions</b>	Identification of issues for escalation. Confirmation of potential changes to be actioned through formal change process Client agreement of Change request applications	
<b>Escalation</b>	CLT	
<b>Reporting Route</b>	CLT	

### 6.4.4 Senior Management Team

<b>Chair</b>	Lead Project Manager	<b>Membership</b> Project SRO Project Director (Chair) Lead Project Manager CEC Interface Manager (DSRO) Procurement Lead(s) Legal Lead Finance Lead(s) Community Engagement Manager
<b>Location</b>	Waverley Court	
<b>Frequency</b>	Fortnightly	
<b>Duration</b>	1.5 Hours	
<b>Purpose</b>	To review workstream actions, progress and key decision requirements To agree strategic decisions requiring escalation to Project Board	

<b>Standard Agenda Items</b>	Workstream Progress Update Key Decisions & Issues Resolution Commercial Update Programme Update	Commercial Manager Council Communications Lead
<b>Decisions</b>	Identification of issues for escalation & decisions to be made. Escalation of potential changes to be actioned through formal change process	
<b>Escalation</b>	Project Board	
<b>Reporting Route</b>	Project Board	

#### 6.4.5 Technical Working Group

<b>Chair</b>	Technical Lead Project Manager	<b>Membership</b> Lead Project Manager Technical Lead Project Manager Senior Interface Manager Community Engagement Manager Senior Manager – Transport Networks Planning Lead Estates Lead City Archaeologist Lothian Buses Lead
<b>Location</b>	Waverley Court	
<b>Frequency</b>	As required	
<b>Duration</b>	1.5 Hours	
<b>Purpose</b>	To review technical project issues and agree technical solutions.	
<b>Standard Agenda Items</b>	Health & Safety Technical Issues Design Issues Construction Traffic Management Road Layouts	
<b>Decisions</b>	Identification of issues for escalation. Technical solutions & agreement	
<b>Escalation</b>	Senior Management Team	
<b>Reporting Route</b>	Senior Management Team	

#### 6.4.6 Stakeholder Working Group(s)

<b>Chair</b>	Senior Interface Manager	<b>Membership</b> Senior Interface Manager Project Director Project SRO Lead Project Manager Community Engagement Manager <b>Note:</b> Geographic split and invitees currently being established but likely to include key stakeholders including Forth Ports, POLHA, St James Developer and Ocean Terminal. Consideration being given to role of Community Councils and Elected Members.
<b>Location</b>	Waverley Court	
<b>Frequency</b>	As required	
<b>Duration</b>	1.5 Hours	
<b>Purpose</b>	To review stakeholder actions, required inputs to design, programme and procurement process. Management of interface with other projects and key stakeholders along with communications requirements	
<b>Standard Agenda Items</b>	Project Update Key Stakeholder Issues for discussion Communications Planning	
<b>Decisions</b>	Identification of issues for escalation.	
<b>Escalation</b>	Senior Management Team	
<b>Reporting Route</b>	Senior Management Team	

#### 6.4.7 Utilities Working Group

<b>Chair</b>	Lead Project Manager	<b>Membership</b> Lead Project Manager Senior Interface Manager Scottish Water SGN BT Scottish Power Virgin Media Council HAUC (TBC)
<b>Location</b>	Waverley Court	
<b>Frequency</b>	As required during initial phase of Stage 2 ramping up to monthly	
<b>Duration</b>	As required	
<b>Purpose</b>	To review key utility issues, design, construction, approvals processes and interfaces with other utility works.  To finalise and agree working protocols during construction	
<b>Standard Agenda Items</b>	Health & Safety Project Update Key issues for discussion	
<b>Decisions</b>	Identification of issues for escalation.	

<b>Escalation</b>	Senior Management Team	
<b>Reporting Route</b>	Senior Management Team	

**6.4.8 Dock Development Area Construction Working Group**

<b>Chair</b>	Lead Project Manager	<b>Membership</b> Lead Project Manager Technical Project Manager Senior Interface Manager Community Engagement Manager Senior Manager – Transport Network Forth Ports Ocean Terminal S1 Developments - Skyliner Waterfront Plaza - Cala Homes MV Fingal - Royal Yacht Brittania Port of Leith Distillery - Muckle Brig Ltd. Ocean Point Hotel - S Harrison Developments
<b>Location</b>	TBC	
<b>Frequency</b>	Monthly plus as required	
<b>Duration</b>	1.5 Hours	
<b>Purpose</b>	To communicate between each of the projects and review technical and construction related project interface issues between each of the various projects and agree best solutions and way forward.	
<b>Standard Agenda Items</b>	Individual Project Updates Integrated Programme Traffic Management Design Issues Construction Issues	
<b>Decisions</b>	Identification of issues for escalation. Technical solutions & agreement between the various parties	
<b>Escalation</b>	Senior Management Team/ Project B	
<b>Reporting Route</b>	Senior Management Team	

#### 6.4.9 Active Travel Forum

<b>Chair</b>	Senior Interface Manager	<b>Membership</b> Senior Interface Manager – D Wright Project Lead – S Jackson Project Manager – M Motion Active Travel Lead – P Noble Sustrans – A Keba Transform Scotland – N Bagshaw Spokes – M McDonnell Edinburgh Access Panel – J Ballantyne Living Streets – D Hunter
<b>Location</b>	Waverly Court	
<b>Frequency</b>	Bi-Monthly plus as required	
<b>Duration</b>	1.5 Hours	
<b>Purpose</b>	To review active travel issues through detailed design and construction and agree technical solutions.	
<b>Standard Agenda Items</b>	Welcome / Introductions Health & Safety Project Update Project Tracker AOB	
<b>Decisions</b>	Identification of issues for escalation. Technical solutions & agreement	
<b>Escalation</b>	Senior Management Team, Traffic Management Review Panel and Technical Working Group	
<b>Reporting Route</b>	Senior Management Team	

#### 6.5 Reporting

A structured reporting process is essential and it will be used as a key formal communication tool on the project.

Throughout the project the following reports will be used to inform decision making and provide a progress update to the Council SRO and board:

- Risk, Action & Decision Log (RAD)
- Monthly Board Report and supporting supplementary papers

#### 6.6 Contact with the Press / Published Material

All contact with the media in any format will be under authority of the City of Edinburgh Council and will be managed by the communications team in consultation with the Project SRO, the Project Director and the Community Engagement Manager.

## 7 Project Programme

### 7.1 Programme Management Roles & Responsibilities

The following personnel from Turner & Townsend will be responsible for the update and issue of the project programme:

- Barry McKeown Project Controls Manager

### 7.2 Programme Overview

The schedule has been built using Primavera R8.3.2.

After meeting with the project lead to identify the tasks to add to the schedule, logic was added and agreed. The schedule also contains activities which are the responsibility of the Technical Advisor Atkins.

Once the contractor has been appointed and their detailed schedule has been agreed, these durations and logic will be further developed in the master schedule. The activities will then be mapped and controlled between the detailed schedule and the master schedule.

Once this process has been agreed it will be captured in this document and in the Basis of Schedule v2 Report.

#### 7.2.1 Master Programme

The latest master programme and basis of schedule v2 report are included in Appendices A and F respectively.

### 7.3 Programme Update Procedure

The project programme will be updated once a month. All associated reporting will be issued prior to the Board meeting and a monthly primary baseline will be saved for reporting purposes

### 7.4 Programme Baseline Review Procedure

The project baseline v1.0 has been approved by the board at the board meeting on 11<sup>th</sup> August 2016.

Baselines will be saved each month and version controlled as follows:

P6 Baseline	Baseline Title	Baseline Revision	Data Date
Baseline	Approved Edinburgh Tram Extension & Leith Programme Master Schedule Baseline	V1.0	22 June 2016
Baseline 1	August 2016 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.1	19 August 2016
Baseline 2	September 2016 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.2	23 September 2016
Baseline 3	October 2016 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.3	21 October 2016
Baseline 4	November 2016 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.4	18 November 2016

City of Edinburgh Council  
Project Execution Plan

Baseline 5	December 2016 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.5	mid-December 2016
Baseline 6	January 2017 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.6	mid-January 2017
Baseline 7	February 2017 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.7	4 February 2017
Baseline 8	March 2017 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.8	11 March 2017
Baseline 9	April 2017 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.9	7 April 2017
Baseline 10	May 2017 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.10	12 May 2017
Baseline 11	June 2017 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.11	24 June 2017
Baseline 12	September 2017 Edinburgh Tram Extension Master Schedule Update	V1.14	2 September 2017
Baseline 13	October 2017 Edinburgh Tram Extension Master Schedule Update	V1.15	11 October 2017
Baseline 14	December 2017 Edinburgh Tram Extension Master Schedule Update	V1.17	December 2017
Baseline 15	January 2018 Edinburgh Tram Extension Master Schedule Update	V1.18	January 2018
Baseline 16	March 2018 Edinburgh Tram Extension Master Schedule Update	V1.18	March 2018
Baseline 17	April 2018 Edinburgh Tram Extension Master Schedule Update	V1.21	April 2018
Baseline 18	June 2018 Edinburgh Tram Extension Master Schedule Update	V1.23	June 2018
Baseline 19	July 2018 Edinburgh Tram Extension Master Schedule Update	V1.24	July 2018
Baseline 20	August 2018 Edinburgh Tram Extension Master Schedule Update	V1.25	August 2018
Baseline 21	October 2018 Edinburgh Tram Extension Master Schedule Update	V1.26	October 2019
Baseline 22	November 2018 Edinburgh Tram Extension Master Schedule Update	V1.27	November 2018
Baseline 23	January 2019 Edinburgh Tram Extension Master Schedule Update	V1.28	January 2019

	*Note – preferred bidders programme has been used to reschedule design and construction activities*		
Baseline 24	February 2019 Edinburgh Tram Extension Master Schedule Update	V1.29	February 2019
Baseline 25	March 2019 Edinburgh Tram Extension Master Schedule Update	V1.30	March 2019

Folders will be added to the 'master programme folder' E:\Infra\1. Live Jobs\inf12754 - Edinburgh Tram Ext - Newhaven\6.0 Programme.

The programme will be updated to represent each baseline and its associated reports. A copy of the P6 file will also be kept as a historical record.

It is anticipated that a formal re-baseline of the project may be required once the contractor has signed the design and build contract and contract dates are required to be met.

## 7.5 Maintenance and Schedule Change Control

The monthly project updates will be carried out by the Project Controls Engineer in collaboration with the Project Lead. All aspects of schedule change will be captured in the change control document. This document is owned and controlled by Tammy Wong.

## 7.6 Project Schedule Assessment and Analysis

### 7.6.1 Critical Path Analysis

Critical activities are those defined with Float equal to 0 that are not 100% complete. The critical path in baseline v1.0 runs mainly through the procurement of technical advisors. It also includes the committee report preparation, submission and council meeting. The critical path will develop as the master schedule is updated and refined.

## 7.7 Progress Reporting Formats

PDF reports will be produced after each monthly programme update meeting. These reports will be run directly from P6 and will include (but are not limited to):

- **Edinburgh Tram York Place to Newhaven Master Programme Full Programme** – Activity ID, Activity Name, Duration, Start, Finish, Physical % Complete, Float
- **Edinburgh Tram York Place to Newhaven Master Programme Variance Programme** – Activity ID, Activity Name, Duration, Baseline Start, Baseline Finish, Start, Finish, Finish Variance, Physical % Complete, Float
- **Edinburgh Tram York Place to Newhaven Master Programme Critical Path** - Activity ID, Activity Name, Duration, Start, Finish, Physical % Complete, Float. Filter: All activities with 0 total slack & not 100% complete
- **Edinburgh Tram York Place to Newhaven Master Programme Month Year Look Ahead** – Activity ID, Activity Name, Duration, Start, Finish, Physical % Complete, Float. Filter: Date range for next month's tasks.



## 8 Cost Management

### 8.1 Cost Management Procedures

The principal focus of the cost management process is vested in the roles and responsibilities defined in Table 8.1.1 below.

#### 8.1.1 Cost Management Roles & Responsibilities

Role	Name	Responsibilities
Commercial Director	<b>Richie Hales</b>	Policy decisions on commercial issues Peer review / QA of Cost Reports and Valuations and QCRA/QSRA
Commercial Manager	<b>Tammy Wong</b>	Council cost reports Attendance at the working group and client progress meetings Cost Reporting & Valuations Contractor valuations Change management Peer review and QA of Utilities diversions cost reports Input to QCRA/QSRA
Principal Accountant/ Senior Accountant	<b>Rebecca Andrew</b> <b>Sat Patel</b>	Ensuring cost management is carried out in line with Council requirements, including: Advising on financial risks and commercial issues Peer review of cost reports, valuations and QCRA/QSRA Ensuring costs are properly recorded on the Council's financial systems Ensuring costs are properly reported to the board and to elected members

### 8.2 Budget/Cost Management Overview

#### 8.2.1 Baseline Budget

The budget for Stage 1 and Stage 2 was £5.25m, the projected outturn cost is £5.22m leaving a residual amount of £0.03m. As a result of the BAFO process, there is a delay of 3.5 months to Stage 2. The Tram Board has approved further expenditure of £0.3m to cover client team costs during this time utilising land acquisition budget. The residual £0.03m from Stage 1 & 2 will be rolled into the budget for Stage 2a as a contingency sum and will be reported accordingly. Budget for Stage 2a is therefore £0.33m.

The total budget approved for land acquisition was £1.75m for acquisitions cost and associated legal fees. As approved by the Board, £0.3m out of this budget will be utilised to cover the Stage 2a expenditure as stated above, therefore leaving a budget of £1.45m.

### 8.2.2 Cost Management and Control

Based on the established baseline budget, financial reviews at key decision points will be carried out to ensure the project can be delivered within the approved budget and funds are available for planned expenditure.

Costs will be recorded on the Council's financial system and monitored by Turner & Townsend. Costs will be reported back to the project board on a monthly basis and reported to elected members at key decision points.

All the expenditures will be closely monitored including the internal costs to ensure they are in line with the project budget. It is expected for any internal cost to be booked against the project finance code, prior discussion and agreement with the Commercial Manager for the project is required.

### 8.2.3 Project Cash Flow

A cash flow will be produced at the start of the project. This cash flow will be monitored on a monthly basis and will be used to understand and manage the financial aspects of the project. Any changes to the cash flow will be agreed by the project team prior to implementation and a record made of the changes made and why.

### 8.2.4 Management of Commercially Sensitive Cost Information

Access to commercial folders and sensitive cost information is restricted to the individuals within the Turner & Townsend commercial team who have been involved in the Tram project and the project lead. Further access to individuals will be granted on case by case basis subject to review of necessity of access requirements

## 8.3 Budget Update Procedure

A budget will be produced at the start of the project, which will be consistent with the Full Business Case. This budget will be monitored on a monthly basis and will be used to understand and manage the financial aspects of the project. Any changes to the budget will be reported to the project team and a record made of the changes and reason as to their implementation.

## 8.4 Budget/Cost Reporting

Cost reporting will be performed as noted in the table below:

Report Title	Frequency	Circulation	Owner
Cost Reports	Monthly	Included in monthly board report	Tammy Wong
Financial Reports to Elected Members	To be determined	Transport and Environment Committee or other relevant Council Committee	Rebecca Andrew

## 8.5 Value Management

### 8.5.1 Value Management Overview

The table below details how Value Management is intended to be implemented at different stages of the project:

Project Stage	Value Management Method	Workshop Objectives and Functional Content
Outline Design	Value Planning	To confirm objectives and parameters To rank options by benefit, cost, value & risk To select then optimise the chosen concept
Detailed Design	Value Engineering	To optimise the outline design for functionality & buildability while eliminating unnecessary cost, to ensure delivery of the project business case.
Construction	Value Review	Monitor the works and determine if elements of the design could be value engineered without causing a negative impact on the programme, cost, quality and safety.
Post Project	Value Audit <i>Did the project deliver?</i> <i>And if not, why not?</i> <i>Could it be done better?</i>	- Confirm delivery of the Project business case in terms of cost, time and quality - To confirm the nature and value of the asset - To learn lessons for the future

Value management will be undertaken at key stages in the project delivery to determine the proposals which best fit the project and the wider requirements of the main development and the Council. Any opportunities will be highlighted and assessed in the first instance by the project management team to determine if the opportunity is to be pursued. Should this be the case a process will be agreed, implemented and followed and the output recorded and actioned as appropriate.

## **9 Quality Management**

### **9.1 Quality Management Overview**

This section of the PEP relates to quality assurance with respect to the design of the Edinburgh Tram project.

### **9.2 Quality Management Requirements**

#### **9.2.1 General**

The requirements of the contract are for the main contractors and suppliers to implement a quality system that complies with the requirements of ISO9001:2015. This requirement is passed down through their supply chain.

## 9.2.2 Quality Management Hierarchy

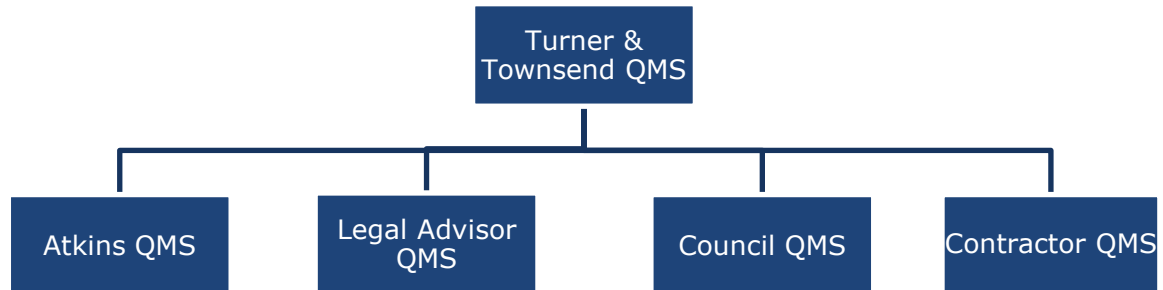


Figure 6: Edinburgh Tram York Place to Newhaven Quality Management Hierarchy

## 9.2.3 Project & Commercial Management Quality Management – Turner & Townsend

### 9.2.3.1 Turner & Townsend Quality Statement

The Turner & Townsend Quality Policy Statement can be found in Appendix G.

### 9.2.3.2 Turner & Townsend Quality Standards

The Edinburgh Tram York Place to Newhaven project is managed under the Turner & Townsend BMS, which has third party certification by BSI (certificate number FS540334) to ISO 9001: 2015 for the following scope.

*"The provision of services relating to cost and commercial management, project management, management consultancy, safety and sustainability consultancy."*

The project will be subject to internal audit by the Quality Assurance Representative for the Scottish region.

## 9.2.4 Technical Lead Quality Management – Atkins

### 9.2.4.1 Atkins Quality Statement

The Atkins Quality Policy Statement can be found in Appendix H.

### 9.2.4.2 Atkins Quality Standards

The Edinburgh Tram York Place to Newhaven project is managed under the Atkins Business Management System (BMS) which brings together all business processes in one place, providing a single source of reference and information. The BMS provides assurance through the certification of ISO 9001:2015 (OHSAS 18001 and ISO 14001, and forms a key part of the Atkins Governance Framework.

**Group**

- Strategy
- Quarterly Business Reviews
- Group Authority Matrix
- Service Delivery Process
- Design Principles
- Support Function Manuals

**Region / Business**

- Local Legislation
- Industry Requirements
- Project Controls
- Budgets
- Systems

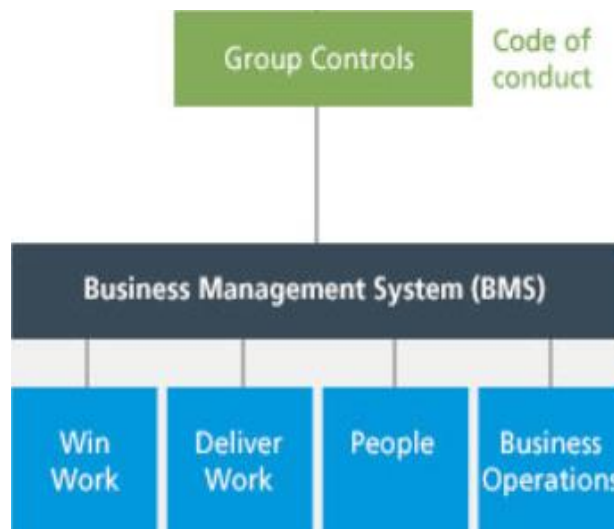


Figure 7: Atkins Quality Management Governance Framework

The table below defines the roles and responsibilities for the quality management of the technical advisor role.

Role	Name	Responsibilities
Atkins Project Manager	<b>Stephen Lindsay</b>	Accountable for the process and facilitates the Quality Assurance and Control process as a whole
Atkins Design Manager	<b>Steven McDonald</b>	Leads the quality process on product/project deliverables i.e. engineering drawings, specification and construction installation and/or materials & equipment
Project Team Members		Participate and comply with the quality process
Technical Reviewer	<b>Crawford Currie</b>	Review of the Project from an independent perspective

9.2.4.3 Atkins Technical Assurance

To ensure Technical Assurance is embedded in the delivery team Atkins operates in accordance with seven technical assurance requirements:

1. Client requirements and relevant standards are fully understood and information supplied is appropriate for use (Client critical interaction)
2. Technical services are carried out by competent people using effective processes and tools
3. Technical Assurance is an integral part of the project
4. Technical Assurance roles are defined and communicated
5. Change, risk and information flow is managed (Client critical interaction)

6. Errors identified are corrected and deliverables are reviewed to ensure client’s requirements have been satisfied (Client critical interaction)
7. Lessons learnt are captured and communicated and the effectiveness of Technical Assurance is monitored.

Technical Assurance will be ensured by the Originate, Check, Review and Authorise (OCRA) process.

In addition, competencies, roles and responsibilities will be held within a project matrix to ensure the process is effective and nominated individuals are competent to carry out the role required of them.

The table below sets out key responsibilities for each role.

Role	Responsibilities
Originator	<p>Ensure the scope of involvement in the deliverable is understood including interfaces and dependencies.</p> <p>Self-check the deliverable for errors including technical, spelling, punctuation, language and format.</p>
Checker	<p>Check that the technical content of the deliverable is sound and complies with industry standards and relevant legislation.</p> <p>Carry out checks at appropriate times during the development of the deliverable.</p>
Reviewer	<p>Carry out an independent review of the deliverable against the client’s requirements and ensure the relevant standards and processes have been applied.</p> <p>Where applicable ensure integration of deliverables has been considered.</p>
Authoriser	<p>Assure themselves that the Technical Assurance Standard has been applied correctly in order to sign on behalf of Atkins to release the deliverable to the client.</p> <p>Ensure appropriate caveats have been applied to any deliverable that is issued to the client before full application of the requirements of the Technical Assurance Standard.</p>

Each role has a responsibility to feedback to the previous stage during the development of the deliverable to a fully comprehensive product.

## 9.2.5 Client Quality Management – City of Edinburgh Council

### 9.2.5.1 Council Quality Statement

The City of Edinburgh Council uses external accreditation to help improve services by using best practice and guidance from recognised professional bodies, including the ISO 9001 Quality standard. The council departments below, which are all involved with the Edinburgh Tram York Place to Newhaven project, have ISO 9001 accreditation:

- Planning & Building Services
- Transport
- Road Services

**9.2.6 Construction Quality Standard**

Any contractor appointed to undertake construction work as part of the project shall comply with the Quality standard outlined in ISO 9001:2008.



## 10 Risk Management

### 10.1 Risk Process

The risk management process has been developed in a manner that will facilitate the ongoing management of risk throughout the life of the project and does not solely focus on risks applicable to the current Stage. The diagram below summarises the risk management process which has been adopted:

This represents common best practice steps to identify and understand the range of risks faced by a project and set out actions to manage them:

- **Identification** – new risks are identified and incorporated into a risk register;
- **Analysis & Evaluate** – Each risk is assessed and analysis is undertaken to facilitate prioritisation;
- **Treatment** – Actions are identified to actively manage risk to the benefit of the project;
- **Review** – Monitor progression of risks over the life of the project.



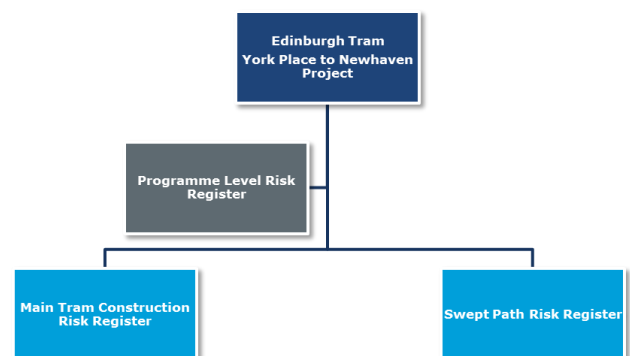
This is supplemented by the ongoing monitoring, review, management, reporting / communication and improvement of the risk process and its deliverables against the project requirements throughout the life of the project.

This assists with establishing and maintaining the process, creating a risk management culture, assigning accountability/ allocation of risk and allows the potential for risk activity/ reporting requirements to adapt to emerging changes to the project.

### 10.2 Risk Register Structure

The chart below illustrates the live risk register structure for the Edinburgh Tram York Place to Newhaven Project:

- **Programme level register** – contains risks which are strategic in nature, associated with the overall co-ordination of the project, not specific to individual packages and/or have the potential to directly impact the overall project objectives
- **Project/ package registers** - contain risks which are localised and specific to the individual project/ package deliverables.



Where risks are identified at the project level there is the option to escalate them to the programme risk register when appropriate. The registers are constructed in way which allows them to be rolled up into a single master risk register for the project.

The risk register structure has changed as the project has evolved with the previous enabling works registers closing and the Swept Path Register being introduced. The register structure will continue to be reviewed as the project progresses.

### 10.3 Risk Management Interventions

In order to maintain continuous review the project is subject to a schedule of risk activities such as risk register reviews and Quantitative Risk Assessments (QRA).

#### 10.3.1 Risk Register Review

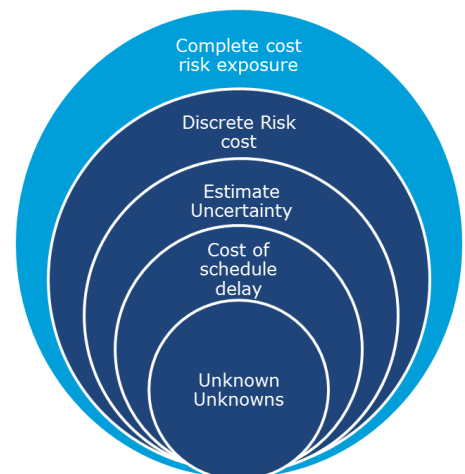
The regular risk register reviews provide an ongoing assessment of the risks in the light of project development and the impact of control actions taken.

The current risk registers were initially developed in Stage 1 based on the contents of the OBC risk register and from the outputs of a Joint Risk workshop (with City of Edinburgh Council, Turner & Townsend and Atkins) held in September 2016. Following this they have been regularly reviewed (usually once a month) and amended with the project team.

Each risk review is attended by the project team and focus is placed on the inner circles of the Risk Management Process; *Review, Identify, Assess and Treat*. The project team provide updates to existing risks in terms of; progress since the last review, tracking and close out of mitigation actions, update on risk assessment scores and if the risk has been closed out (impacted or mitigated). Any new risks are documented and incorporated into the registers.

The general structure of the risk register reviews are as follows:

- Review the risks associated with any key emerging developments ;
- Review of the previous top 5 risks;
- Review of risk treatment actions which have been selected as targeted or are approaching their completion dates;
- Capturing of new risks;
- Review of the remaining risks in order of current risk score.



#### 10.3.2 QRA

QRA's are undertaken for projects on assessed cost and time impacts to provide a higher level of granularity to the basis of the risk assessment giving rise to more advanced analysis. Once risks have been subject to a detailed impact assessment, QRA modelling can be used to evaluate the expected impacts of risk in terms of cost (QCRA) and schedule (QSRA), at any given confidence level.

For the Edinburgh Tram York Place – Newhaven project the project team have developed an integrated QRA approach to provide a Complete Cost Risk Assessment. This incorporates assessments of the main sources of uncertainty to a project as illustrated below:

- **Discrete cost risks** - events that may occur and have cost impact to the project. This is built from the contents of the regularly maintained risk register;
- **Estimate Uncertainty** – assessment on uncertainty within the cost plan;
- **Cost of schedule delay** - outputs of QSRA (inputs are the regularly maintained risk register, assessment of programme uncertainty and project's programme) linked to estimated milestone delay costs;
- **Unknown Unknowns** – allowance made for events which are currently unforeseen.

At the early stages of a project complete QRA's are usually undertaken following significant change / introduction of key elements or in line with key approval gateways. As the project progresses into contract award / project delivery stage QRA's will become more regular in line with the project's specific requirements.

#### 10.4 Risk Management Roles and Responsibilities

The table below outlines the key roles and responsibilities of the management of risk across the project.

Role	Responsibilities
Project Lead	<p>Establishing and taking overall ownership of the project's risk management process. Is ultimately accountable for identifying and managing all risk to the project whilst ensuring it is managed throughout in line with the process.</p> <p>As owner of the programme level risk register, is responsible for;</p> <ul style="list-style-type: none"> <li>▪ Its monthly review</li> <li>▪ The quality of the information within the register</li> <li>▪ Ensuring that workshops are suitably attended by appropriate disciplines (e.g. commercial, project controls, technical etc.)</li> <li>▪ For assigning risk and risk treatment owners and ensuring their effectiveness in managing risk.</li> </ul> <p>Manages the risk escalation process in terms of deciding which risks are to be managed at programme level.</p> <p>Escalation of "showstopper" risks or risks not manageable at programme level to the Council.</p> <p>Attendance and allocation of the attendees at risk forums.</p>
Risk Specialist	<p>Responsible for the technical direction and effectiveness of the risk management process, duties include;</p> <ul style="list-style-type: none"> <li>▪ Facilitate monthly risk reviews for risk registers</li> <li>▪ Updating &amp; maintenance of risk registers</li> <li>▪ Provision of all Quantitative Risk Analysis activities</li> <li>▪ Report concerns regarding risk levels and risk management to the project manager/ project lead as appropriate or at risk forums</li> <li>▪ Produce monthly risk reports and register archives</li> <li>▪ Build and maintain a risk management culture within the project through communication and close working relationships</li> </ul>

Role	Responsibilities
Project / Package Managers	<p>Is responsible for identifying and managing all risk on a day-to-day basis applicable to their project/ package.</p> <p>Will be assigned as owner of their respective project/ package level risk register therefore responsible for;</p> <ul style="list-style-type: none"> <li>▪ Its monthly review</li> <li>▪ The quality of the information within the register</li> <li>▪ Ensuring that workshops are suitably attended by appropriate disciplines (e.g. commercial, project controls, technical etc.)</li> <li>▪ For assigning risk and risk treatment owners and ensuring their effectiveness in managing risk</li> <li>▪ The identification of risks to be nominated for escalation to the programme level risk register, via the Project Lead.</li> </ul> <p>Attendance at risk forums as appropriate.</p>
Council/ Technical Leads / Contractors	<p>Are responsible for informing the Risk Specialist or risk register owner of any risk they believe to be associated with the project and any subsequent updates as required including providing supporting risk treatment actions.</p> <p>Attendance at risk workshops/ forums as appropriate.</p>
Risk Owners	<p>Risk Owners are accountable for managing individual risks assigned to them and are therefore responsible for:</p> <ul style="list-style-type: none"> <li>▪ Agreeing responses to manage risk levels</li> <li>▪ Monitoring risk treatment owner performance</li> <li>▪ Reporting progress on a regular basis/at monthly review workshops</li> <li>▪ Escalating risks to a project manager where they feel they have insufficient authority or ability to effectively manage a particular risk</li> <li>▪ Attendance at risk workshops/ forums as appropriate.</li> </ul>
Risk Treatment Owners	<p>Treatment action owners are accountable for delivering the individual actions assigned to them. This includes:</p> <ul style="list-style-type: none"> <li>▪ Delivery of assigned actions to reduce threat or realise opportunity</li> <li>▪ Maintaining awareness of and meeting action “due dates”</li> <li>▪ Informing the Risk Specialist and/or Project/Planner Manager of any situation where dates will not be met and providing updated delivery timescales.</li> </ul>

## 10.5 Risk Activities/ Reporting

In order to maintain continuous review and communication, once the risk process is fully established the project will be subject to a schedule of risk activities and reporting as shown in the table below:

Activity/ Report	Frequency
Risk Register Reviews	Monthly
Risk Register QCRA's	Monthly
Risk Dashboard report	Monthly
Full QRA	Early Stages - Significant change / introduction of key elements / key approval gateways. Project Delivery – Quarterly or following significant change
QSRA	Early Stages - Significant change / introduction of key elements / key approval gateways. Project Delivery – Quarterly or following significant change
Risk Forum	ad-hoc
Board Reporting	Monthly

### 10.5.1 Risk Register Reviews

The risk registers are key project documents which provide full details in relation to the description, classification, assessment, and mitigation of all risks to the project. The development of the risk registers is an iterative process and requires sustained effort to fully capture; clear actions, action owners, completion dates and modelling inputs.

The current risk registers were initially developed in Stage 1 based on the contents of the OBC risk register and from the outputs of a Joint Risk workshop (with City of Edinburgh Council, Turner & Townsend and Atkins) held in September 2016. Following this they have been regularly reviewed and amended with the project team.

The registers remain as live documents, subject to regular amendment as new risks are documented and current risks are managed out. The regular risk register reviews provide an ongoing assessment of the risks in the light of project development and the impact of control actions taken.

Risk registers are reviewed on a monthly basis. Each risk review is attended by the project team and focus is placed on the inner circles of the Risk Management Process; *Review, Identify, Assess* and *Treat*. The project team provide updates to existing risks in terms of; progress since the last review, tracking and close out of mitigation actions, update on risk assessment scores (including quantification in terms of cost and time) and if the risk has been closed out (impacted or mitigated). Any new risks are documented and incorporated into the registers.

The general structure of the risk register reviews are as follows:

- Review the risks associated with any key emerging developments ;
- Review of the previous top 5 risks;
- Review of risk treatment actions which have been selected as targeted or are approaching their completion dates;
- Capturing of new risks;

- Review of the remaining risks in order of current risk score.

### 10.5.2 Risk Dashboard Reporting

The results of the monthly risk review and any other risk activity in the month will be summarised in a monthly risk dashboard report. This will summarise details of the top risks to the project and provide an overview of the current estimated risk exposure. The contents of this will be used to populate other key project reports.

### 10.5.3 QRA

QRA's are undertaken for projects on assessed cost and time impacts to provide a higher level of granularity to the basis of the risk assessment giving rise to more advanced analysis. Once risks have been subject to a detailed impact assessment, QRA modelling can be used to evaluate the expected impacts of risk in terms of cost (QCRA) and schedule (QSRA), at any given confidence level.

#### 10.5.3.1 Risk Register QCRA's

Quantitative Cost Risk Analysis (QCRA) will be carried out on the contents of risk registers. It will involve scoring individual risks in terms of probability of occurrence and minimum, most likely and maximum risk cost. This will allow for a cost risk exposure to be identified and this process will form part of the risk register reviews, allowing tracking of risk register exposure along the timeline of the project. This method also allows for prioritisation of risks from a financial impact perspective for mitigation actions.

#### 10.5.3.2 Integrated QRA

For the Edinburgh Tram York Place – Newhaven project the project team have developed an integrated QRA approach to provide a Complete Cost Risk Assessment in a QCRA model.

This incorporates assessments of the main sources of uncertainty to a project, as illustrated below, and allows for a more robust overview of the cost risk profile of the project:

- **Discrete cost risks** - events that may occur and have cost impact to the project. This is built from the contents of the regularly maintained risk register;
- **Estimate Uncertainty** – assessment on uncertainty within the cost plan;
- **Cost of schedule delay** - outputs of QSRA (inputs are the regularly maintained risk register, assessment of programme uncertainty and project's programme) linked to estimated milestone delay costs;
- **Unknown Unknowns** – allowance made for events which are currently unforeseen.

This will enable effective contingency & schedule planning to be developed and will provide an insight into the confidence in the base estimate and programme.

At the early stages of a project complete QRA's are usually undertaken following significant change / introduction of key elements or in line with key approval gateways. As the project progresses into contract award / project delivery stage QRA's will become more regular in line with the project's specific requirements.

#### 10.5.3.3 QSRA

Quantitative Schedule Risk Analysis (QSRA) will be undertaken on the project's master programme using the risk register. The main objective of a QSRA is to review the programme of works, discuss the uncertainty surrounding activities, setting sensitivities to activity durations and introducing risks from the risk register by attaching them to appropriate activities in the

plan. Risks are analysed for probability of occurrence and minimum, most likely and maximum schedule impact. Using Primavera Risk Analysis software the analysis will identify the confidence of meeting milestones and the expected end date when risks are taken into account on top of the master schedule.

At the early stages of a project complete QSRA's are usually undertaken following significant change to the programme or in line with key approval gateways. As the project progresses into contract award / project delivery stage QSRA's will become more regular e.g. quarterly or in line with the project's specific requirements.

#### **10.5.4 Risk Forum**

A risk forum would be arranged on an ad-hoc basis to discuss and obtain a quick resolution to key risk(s) to the project or table key risk findings. It would be a short session which could be incorporated into an existing regular meeting when required. It would be called by the project lead or the risk specialist with the attendance requirements allocated based specifically to the topic being discussed.

Its objectives are:

- To inform stakeholders of key risk developments
- Prevent extensive delay of outstanding issues
- Provide the ability to resolve any emerging issues quickly
- Target key concerns/ actions for immediate focus and treatment in the coming period.

As the project progresses there may be a requirement to hold a regular risk forum.

#### **10.5.5 Board Reporting**

The project currently reports risks to the project board in the format of the Top 5 risks to the project. The risks are identified along with their mitigating actions and RAG status. The risks selected for the Top 5 overview are based on the Top 5 risks/ groups of risks on the register at the time of reporting. The RAG status is based on the current scoring of the risk based on the current risk exposure incorporating mitigating actions already taken place. The mitigations identified are shown as mitigations that would reduce the risk score and as such the risk status.

### **10.6 Risk Management Overview**

The last QRA was undertaken in March 2017 to inform the production of the Outline Business Case, this QRA was carried out with the risk register in the status at that time. Since then the project team continue to carry out the regular risk review and register updates involving managing the risks, mitigation actions and closing out where appropriate.

In line with the current project programme and activities it is forecasted that QRA assessments will be carried out at the following interventions to inform any updates to the Cost Forecast and Cost Plan:

- Receipt & Agreement of Siemens Sub Contract
- Preferred Bidder Selection & FBC production

There may also be a requirement to carry out QRA assessments during the tender assessment stage to establish risk exposure between the tenderers.

## 11 Change Management

### 11.1 Roles & Responsibilities

Role	Name	Responsibilities
Project Director	<b>Rob Leech</b>	<ul style="list-style-type: none"> <li>Seek approval of Changes at Council Board level</li> </ul>
Project Lead	<b>Steven Jackson</b>	<ul style="list-style-type: none"> <li>Establish and agree that works are a change</li> <li>Clearly identify what the change is</li> <li>State the reasons for the change</li> <li>Compile supporting documentation</li> <li>Identify Change Originator &amp; Change Owner</li> <li>Monitor and identify potential Changes</li> </ul>
Commercial Manager	<b>Tammy Wong</b>	<ul style="list-style-type: none"> <li>Prepare a budget cost for Works changes</li> <li>Review and agree costs once submitted by the Contractor</li> <li>Confirm funding source and availability of funding</li> <li>Review the change to establish validity</li> <li>Monitor and identify potential Changes</li> </ul>
Change Control Manager	<b>Tammy Wong</b>	<ul style="list-style-type: none"> <li>Monitor and identify changes / potential changes</li> <li>Prepare and number the change documents</li> <li>Update the change control register</li> <li>Establish who authorises and obtain appropriate authorisation</li> <li>Issue Change Paperwork</li> <li>Control and report status of changes</li> </ul>

### 11.2 Change Management Procedure

Change Control relies upon accurate identification and assessment of the proposed changes at the earliest possible stage. The implications of Changes must be considered relative to the Project.

There is delegated authority in place for approval of Changes, in line with the process outlined in section 4.4. A Change Register will be maintained and used for Board approval in advance of committed expenditures.

The steps of the internal change procedure adopted is as follows:



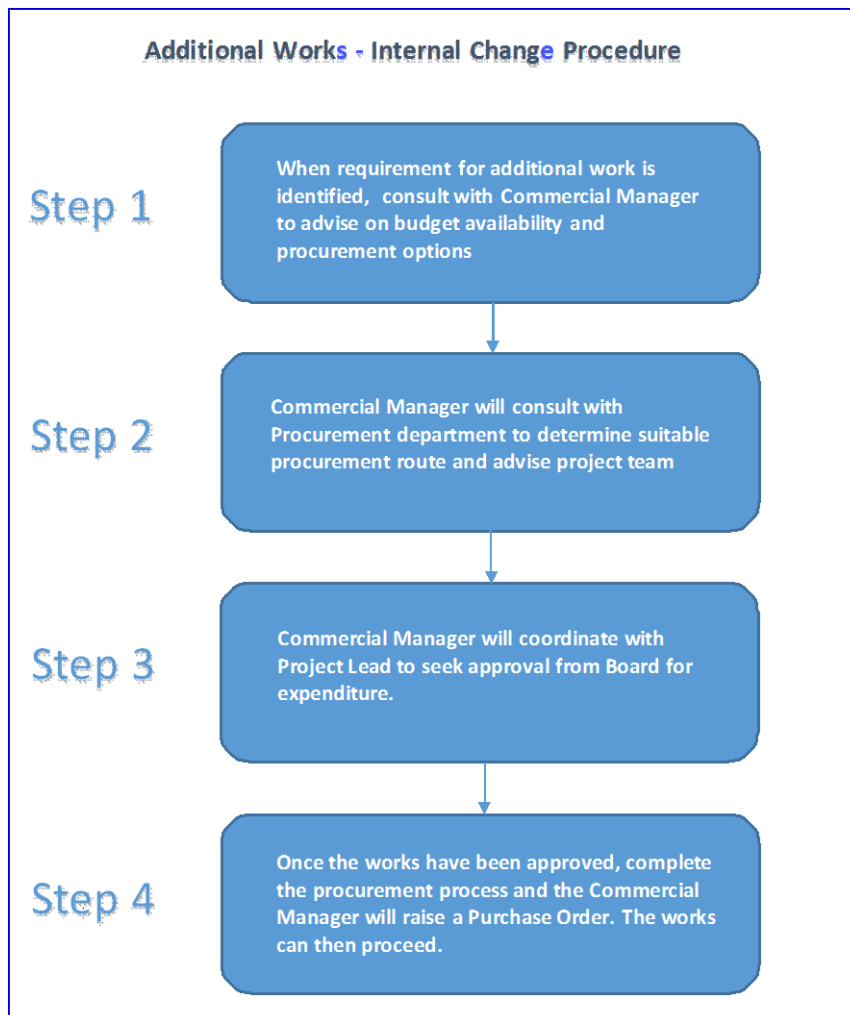


Figure 10: Change Management Procedure

## 12 Finance

In addition to the roles included in section 8 (above), the Finance team will

- assess the affordability of the project's business case,
- work with the procurement, legal and commercial team to ensure financial risks are minimised,
- develop and monitor the funding package for the project,
- ensure the project complies with good financial governance, and
- ensure transparent reporting to elected members on all financial matters.

The following table details the roles and responsibilities of the key members of the finance team involved in Edinburgh Tram York Place to Newhaven project:

Role	Name	Responsibilities
Principal Accountant / Senior Accountant	Rebecca Andrew Sat Patel	<ul style="list-style-type: none"> <li>▪ Providing financial support to the commercial aspects of the project</li> <li>▪ Quantify and monitor financial risks</li> <li>▪ Ensure contractual arrangements minimise financial risk to the Council</li> <li>▪ Represent Finance at the Senior Management Team</li> <li>▪ Monitor project income including s75 contributions and income from extraordinary dividend payments.</li> <li>▪ Lead on funding discussions with institutional lenders</li> <li>▪ Peer review of financial model</li> <li>▪ Assess affordability of business case for tram to Newhaven</li> <li>▪ Report to elected members on financial aspects of the project</li> </ul>
Accountant	Rachel Henderson	<ul style="list-style-type: none"> <li>▪ Build and maintain Financial Model</li> <li>▪ Provide figures on affordability</li> </ul>

The following table provides an outline of the upcoming financial activities on the project:

Action	Timing
Financial model to be revised in January to take into account 2017 Tram actuals (both financial and patronage). Other inputs and methodology also to be checked through this process to ensure it all remains accurate. Ensure 2018 output aligns with budget.	Late January - February 2018
SDG to be asked to confirm or update their patronage forecasts and state what assumptions they have made or used in generating these.	Meeting TBA in January 2018
Once Preferred Bidder selected: Construction costs to be updated in financial model.	July-August 2018
Quantify affordability based on updated costs.	August 2018
Update Financial Chapter in FBC, based on updated financial model and input into reports to Council and elected member briefings	August-October 2018
Ensure income to the project is recorded appropriately in the Council's finance system and reported to board on a quarterly basis	Ongoing
Financial monitoring and reporting of the project and its underlying business case	November 2018 onwards

## 13 Procurement

### 13.1 Regulatory environment

The procurement of all contracts for the delivery of the project will be conducted in accordance with Directive 2014/25/EU of the European Parliament coordinating the procurement procedures of entities operating in the water, energy, transport and postal services sectors (the Directive), as implemented into Scottish law by The Utilities Contracts (Scotland) Regulations 2016.

All interpretation of the procurement regulations shall be made by the Council's Procurement Department, supported as necessary by in-house and external legal advice. Where any person involved in any aspect of the procurement process is unclear about the Council's obligations under the regulations, they must seek clarification from the Council's Procurement Department.

### 13.2 Procurement roles and responsibilities

The roles and responsibilities in relation to procurement are set out in the following table:

Role	Responsibility
Project Board	Approval of procurement strategy and any amendments to the strategy Approval of applicants to be shortlisted for invitation to tender Approval of award of contracts
Procurement Lead	Overall responsibility for delivering the procurement processes for the Infrastructure Contract, the Swept Path Contract and the Siemens Subcontract. Ensuring compliance with EU law as transposed by the Utilities Contracts (Scotland) Regulations 2016. Drafting and publication of OJEU notices, Procurement Information Documents/ESPDs; and Invitation to Tender documents. Overall responsibility for evaluation of prequalification submissions and notification of unsuccessful applicants. Overall responsibility for evaluation of tender submissions and notification of unsuccessful bidders; conclusion of contracts and drafting and publication of Award notices.
Technical Lead	Delivery of the complete Infrastructure & Systems Works Information, and SPC Works Information.
Legal Lead	Delivery of Conditions of Contract for Infrastructure & Systems Contract, Swept Path Contract and Systems Subcontract
Evaluators	Evaluating prequalification submissions and tender submissions in a timely manner and in accordance with the procedures and guidance set out by the Procurement Lead.

### 13.3 Procurement stages

The procurement process leading to the award of the Infrastructure and Systems Contract will comprise three main stages: the qualification stage, the award stage, and the early contractor involvement stage.

### **13.3.1 Qualification stage**

All Applicants responding to the contract notice will be given the opportunity to complete a prequalification questionnaire/ESPD which shall be evaluated by an Evaluation Panel to identify a short list of Applicants who will be invited to tender.

Based on the Evaluation Panel's assessment the four highest scoring suitable Applicants will be shortlisted for Invitation to Tender, providing at least four meet the minimum requirements. However, the Council reserves the right to invite more than four Applicants to tender at its sole discretion.

### **13.3.2 Award stage**

Tender documentation will be issued to the shortlisted Applicants.

Following the submission of completed tenders an Evaluation Panel will assess the respective submissions considering both quality and price with a view to selecting the most economically advantageous tender. Details of the award criteria and weightings to be applied will be provided in the tender documents.

The Council reserved the right to enter into a 'Best And Final Offer' (BAFO) stage of procurement, to ensure it receives the best tender submissions both in terms of price and quality.

### **13.3.3 Early Contractor Involvement stage**

On conclusion of Stage One, the preferred tenderer will carry out the following tasks during the in the ECI stage:

1. Unite the full team including consultants engaged by the Council, the Contractor, the sub-contractor for the tram communications and control systems and traction substation equipment and the Swept Path Contractor
2. A fully dimensioned final TICZ setting-out plan and cross sections;
3. Provide the in-situ testing and preparation requirements at formation level, such as ground bearing capacity;
4. Provide the detail of the protection measures required for the formation and excavation to prevent degradation of the TICZ upon completion of the SPC works;
5. Provide approved track slab bridging details to suit the following locations:
  - a. Scottish Power 275Kv cable at the Dalmeny Street and Arthur Street junctions;
  - b. Scottish Power tunnel between McDonald Road and Picardy Place, west side of Leith Walk;
  - c. Leith Walk Network Rail structure;
  - d. Old dock wall and fortifications in accordance with S 205.12, located at Ocean Terminal and Timber Bush as shown within the archaeological information provided in Volume 5;
  - e. Constitution Street Scottish Water sewer, and
  - f. Jane Street to Manderston Street 500mp gas main.
6. Confirmation of OLE pole locations and foundation design;
7. South Leith Parish graveyard wall foundation design and associated OLE bases to inform clearance of below ground obstructions and utilities;

8. Provision of a fully approved traffic management design in accordance with the contract no later than sixteen weeks after commencement of Stage One;
9. Site clearance design;
10. Stakeholder management plan in accordance with S 245;
11. A programme and time chainage diagram fully integrated with Siemens and SPC in accordance with S 210.1.2 and the work breakdown structure detailed in S 500;
12. Document management plan in accordance with S 810.5.3;
13. A post-contract Information Modelling execution plan in accordance with S 320.8, and
14. Finalise Target Cost (Target Price 2).

Upon finalisation of Target Price 2, the Council reserves the right to continue with the Preferred Tenderer to the construction stage, or to terminate the agreement with the Preferred Tenderer and revert to a reserve tenderer. Detailed rules for the award of the contract will be included in the ITT.

## **14 Health and Safety**

On any major capital project, the management of Health & Safety performance can make a significant difference to the commercial success of the programme. In order to optimise performance improvement, it is essential that measurable and meaningful Health & Safety performance indicators are identified and then implemented through the projects. This ensures consistency of approach at all levels and facilitates clarity of performance reporting on an ongoing basis.

### **14.1 Project & Commercial Management Health & Safety – Turner & Townsend**

#### **14.1.1 Turner & Townsend Health & Safety Policy Statement**

Please see Appendix I.

### **14.2 Technical Advisor Health & Safety - Atkins**

#### **14.2.1 Atkins Health & Safety Policy Statement**

Please see Appendix J.

### **14.3 Client Health & Safety – City of Edinburgh Council**

#### **14.3.1 Council Health & Safety Policy Statement**

Please see Appendix K.

### **14.4 Construction (Design and Management) Regulations 2015 (CDM)**

The Edinburgh Tram York Place to Newhaven Project and all associated enabling packages are classified as a notifiable projects and shall comply with the CDM 2015 Regulations

For the Edinburgh Tram York Place to Newhaven project the following roles have been identified:

**Client:** City of Edinburgh Council

**Principal Designer:** Atkins

As Principal Designer, Atkins shall comply with the role and responsibilities identified in Construction (Design and Management) Regulations 2015 (CDM 2015).

### **14.5 Principal Designer Action Process**

The following Principal Designer process is an extract from Atkins BMS:

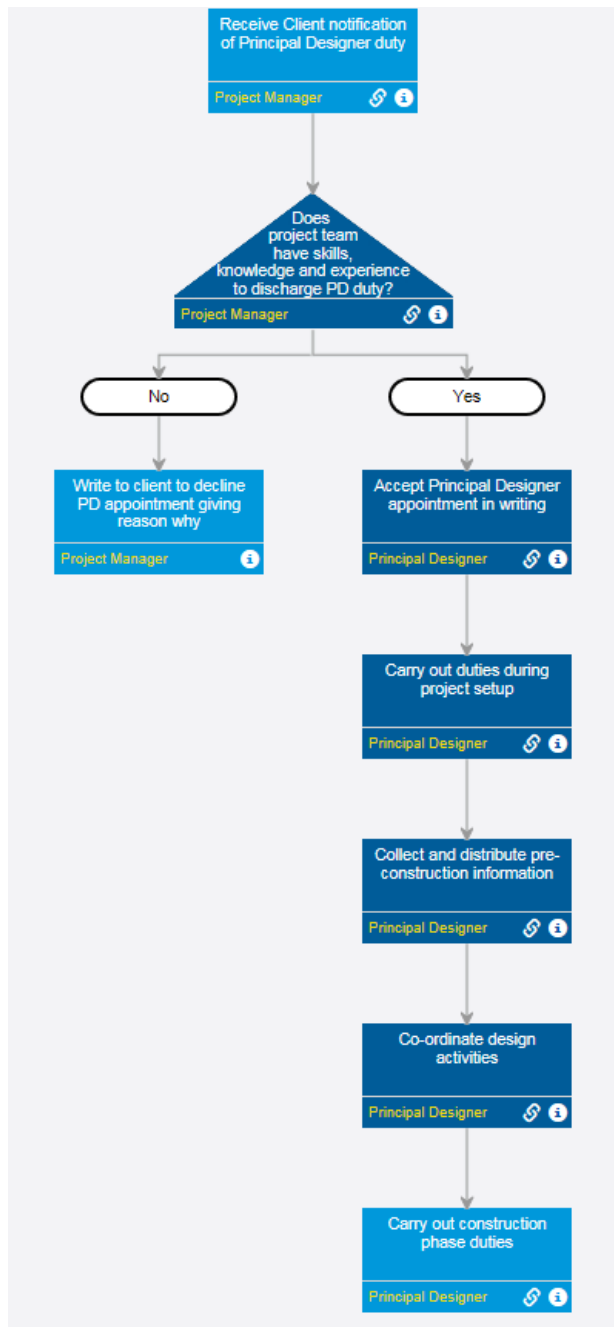


Figure 11: Atkins Principal Designer Process Map

## 14.6 Reporting Accidents, Incidents and Close Calls

As part of this project Atkins will use the RIVO Safeguard Reporting System to report accidents, incidents and close calls. The purpose of this system is to formally record accidents, incidents and close calls within one central location. The system has an integrated workflow system to notify key resource within the Project Team and Business hierarchy. In addition, RIVO enables identification of trends and areas of activity with abnormally high incidence rates and ultimately it helps reduce injury, ill-health and accidental loss as required UK legislation. The process for reporting is prescribed on Atkins BMS Safety site. RIVO reports will be provided to City of Edinburgh Council as part of the projects periodic reporting regime.



## 15 Design Management

### 15.1 Overview

Design Management is the application of project management skills to the design phases of a project to assure that the design is optimised, fully meets the brief and is advanced to support the achievement of the overall project schedule.

### 15.2 Design Management Responsibilities

The following organisations have key involvement in the design management process:

Organisation	Role	Key design management responsibility
City of Edinburgh Council	SRO	Fulfil the role of Client under the CDM Regulations 2015.
Turner & Townsend	Project Lead	Management of Technical Advisor in production of design specific tasks.
Atkins	Lead Designer	Responsible for the Technical Delivery of the project to the client's requirements. Named person as Principal Designer Role under CDM2015 Regulations.

### 15.3 Requests for Information (RFI)

During the design stages, all Requests for Information by the design team will be issued to the Project Manager. The Requests for Information will be assigned a number and recorded on a tracking register. The Project Manager will be responsible for obtaining responses, logging these on the register and distributing to the team.

RFIs and responses will be tracked at the progress meetings and estimated response dates for all outstanding RFIs will be presented at each meeting.

## 16 Stakeholder Management

### 16.1 Stakeholder Management Overview

Please refer to the Stakeholder Management and Communications Report and Plan (Appendix L).

## 17 Environmental Management

### 17.1 Environmental Management Overview

The project Environmental Statements set out the impacts that the project will have on the physical, natural and human environment and describe measures that will be taken to minimise and mitigate these impacts.

## **17.2 Environmental Management Requirements**

### **17.2.1 General**

Turner & Townsend and Atkins are committed to mitigating the environmental effects of the Edinburgh Tram York Place to Newhaven Project and shall employ all reasonably practicable means to ensure that the environmental impacts of the construction or operation of the works are not worse than the residual impacts identified in the project Environmental Statement(s) (ES).

### **17.2.2 Project & Commercial Management Environmental Standards**

In accordance with standing orders set down by the Scottish Government and determinations by the presiding officer, all projects in Scotland approved by a private act of parliament, must be subject to an Environmental Impact Assessment (EIA). The private acts in question being The Edinburgh Tram (Line One) Act 2006 (2006 asp 7); and The Edinburgh Tram (Line Two) Act 2006 (2006 asp 6).

An EIA in Scotland is governed by the Environmental Impact Assessment (Scotland) Regulations 1999 (S.I. 1999 no. 1).

As a result of conducting the EIA formal Environmental Statements where published for Line One and Line Two, these Environmental Statements accompanied the bill to the Scottish Government that sought permission to build the Edinburgh Tram Network and preceded the Acts named above.

#### *17.2.2.1 Turner & Townsend Environmental Policy Statement*

Please see Appendix M.

### **17.2.3 Technical Lead Environmental Standards**

Environmental aspects of The Edinburgh Tram York Place to Newhaven project will be managed under the Atkins BMS, which prescribes the required controls.

Atkins BMS complies with the requirements identified in ISO 14001 Environmental Management System.

Residual environmental issues resulting as part of this reference design update will be clearly identified on the deliverables, where applicable.

#### *17.2.3.1 Atkins Environmental Policy Statement*

Please see Appendix N.

## **18 Information Management and Document Control**

### **18.1 Information Management**

#### **18.1.1 Document storage**

The project will be run using Viewpoint, which is a common data environment (CDE) which allows for the safe storage, review and distribution of all project related documentation. All project documentation must be uploaded to Viewpoint and notified to its intended recipients using its in built notification transmittals.

RFI's, Change Control and drawing approvals will also be managed using Viewpoint.

Viewpoint security permissions have been created so as to ensure that document privacy is maintained and information is only obtainable by those whose job role requires it.

The project Viewpoint site is now operational.

### **18.2 Document Control Governance**

#### **18.2.1 Checking**

All drawings for contract or construction purposes are to be placed onto a review workflow within Viewpoint which is an automated process. This will allow a document review to be performed by a senior person of the appropriate discipline and shall be given a status of A – No Further Comments, B – Minor Comments or C – Rejected. No drawing shall be issued without a workflow review and appropriate status given.

It is incumbent upon each discipline to check drawings received from others against their own requirements.

## **19 Building Information Modelling (BIM)**

The Edinburgh Tram York Place to Newhaven project has been identified as a project that will follow BIM standards and processes aligned to the current principles of level 2 BIM as defined in BS1192:2007+A2:2016, PAS1192-2:2013, PAS1192-3: 2014, BS1192-4: 2014 and PAS1192-5 2015.

This project will act as a test bed where BIM standards and processes are defined and aligned to the current principles of level 2 BIM. BIM KPI's will be set to monitor success and lessons learnt so that these can be captured and transferred to future Council projects. This will provide data and evidence with the aim to roll out Level 2 BIM standards and processes on further CEC projects in the future.

An initial status report in regards to current Level 2 BIM compliance on the project and within the Council has been carried out.

The findings from this status report have identified that currently the project and the Council have a low level of BIM level 2 compliance.

The Edinburgh Tram project level BIM requirements are currently under development to align to the current principle of level 2 BIM and are contained the Employers Information Requirements (EIR) and Asset Information requirements (AIR) documents as defined in PAS1192-2.

It has been identified that there are 7 critical success factors to facilitate effective BIM adoption and implementation aligned to "level 2 BIM" on the Edinburgh Tram York Place to Newhaven project:

1. Defined project BIM requirements & protocols aligned to the Level 2 BIM suite of documents
2. Prescriptive contracts and clarity of BIM requirements
3. Assurance processes for compliance to BIM standards and protocols during delivery
4. Training for the Client Project Team to ensure they have the BIM capability to manage a BIM project
5. Assurance of Contractor & their delivery team capability
6. Software/hardware to support the project team/ Council managing and operating in a BIM environment
7. CDE (common data environment) to support the sharing & exchange of project information

## **20 Project Close Out**

### **20.1 Overview of Post Project Review**

The project close out strategy will be determined in due course, following the final decision by the council electorate on whether to proceed with the Edinburgh Tram York Place to Newhaven project.

### **20.2 Approach and Methodology**

If the decision reached is a 'no' verdict, then a series of close out reports will be issued summarising the work done, lessons learned and an options appraisal on next steps.

## Edinburgh Tram York Place to Newhaven – List of Project Acronyms

<b>Acronym</b>	<b>Meaning</b>
BIM	Building Information Modelling
DSRO	Deputy Senior Responsible Officer
EIR	Employer's Information Requirements
ECI	Early Contractor Involvement
FBC	Full Business Case
I&S	Infrastructure & Systems Contract
LOD	Limits of Deviation
OBC	Outline Business Case
PEP	Project Execution Plan
PBA	Project Bank Account
SRO	Senior Responsible Officer
SMT	Senior Management Team
SPC	Swept Path Contract
TICZ	Tram Infrastructure Clearance Zone
TRO	Traffic Regulation Order











Activity ID	Activity Name	Duration	Start	Finish	Total Float	% Complete	2019				2020				2021				2022				2023			
							Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	
A22170	Siemens System Installation	9	06-Mar-21	16-Mar-21	25	0%									■ Siemens System Installation											
A22100	MC Road Reconstruction	20	06-Mar-21	29-Mar-21	0	0%									■ MC Road Reconstruction											
A25210	OLE Structure Installation	13	20-Mar-21	03-Apr-21	9	0%									■ OLE Structure Installation											
A22110	MC Finishes including Public Realm Street Furniture Street Lighting Signs & Signals	14	30-Mar-21	14-Apr-21	0	0%									■ MC Finishes including Public Realm Street Furniture Street Lighting Signs & Signals											
A22150	Sectional Completion 2 (Road Open for Public Use) Ocean Terminal to Rennie's Isle	0		14-Apr-21	0	0%									◆ Sectional Completion 2 (Road Open for Public Use) Ocean Terminal to Rennie's Isle											
<b>Rennie's Isle to Tower Place</b>							119	14-Apr-21	01-Oct-21	0	0%															
A22250	First Access Date Rennie's Isle to Tower Place	0		14-Apr-21	0	0%									◆ First Access Date Rennie's Isle to Tower Place											
A22180	MC Traffic Management & Site Establishment	3	15-Apr-21	20-Apr-21	0	0%									■ MC Traffic Management & Site Establishment											
A22190	MC Site Clearance	4	21-Apr-21	24-Apr-21	0	0%									■ MC Site Clearance											
A22260	Sectional Completion 1 (SPC Works) Rennie's Isle to Tower Place	0		24-Apr-21	0	0%									◆ Sectional Completion 1 (SPC Works) Rennie's Isle to Tower Place											
A22200	SPC Excavation including Utility Diversions Drainage & Manholes Rennie's Isle to Tower PI	28	24-Apr-21	22-May-21	0	0%									■ SPC Excavation including Utility Diversions Drainage & Manholes Rennie's Isle to Tower PI											
A22270	Second Access Date Rennie's Isle to Tower Place	0		22-May-21	0	0%									◆ Second Access Date Rennie's Isle to Tower Place											
A22210	MC Infrastructure Ducting OLE Foundations & Drainage	20	25-May-21	16-Jun-21	0	0%									■ MC Infrastructure Ducting OLE Foundations & Drainage											
A22220	MC Track Formation	33	15-Jun-21	23-Jul-21	0	0%									■ MC Track Formation											
A22290	Siemens System Installation	17	24-Jul-21	12-Aug-21	42	0%									■ Siemens System Installation											
A22300	Tower Place Bridge	65	19-Jun-21	03-Sep-21	0	0%									■ Tower Place Bridge											
A22230	MC Road Reconstruction	14	04-Sep-21	21-Sep-21	0	0%									■ MC Road Reconstruction											
A25220	OLE Structure Installation	12	16-Sep-21	30-Sep-21	1	0%									■ OLE Structure Installation											
A22240	MC Finishes including Public Realm Tram Stops Street Furniture Street Lighting Signs & Signals	9	22-Sep-21	01-Oct-21	0	0%									■ MC Finishes including Public Realm Tram Stops Street Furniture Street Lighting Signs & Signals											
A22280	Sectional Completion 2 (Road Open for Public Use) Rennie's Isle to Tower Place	0		01-Oct-21	0	0%									◆ Sectional Completion 2 (Road Open for Public Use) Rennie's Isle to Tower Place											
<b>Tower Place to Stevedore Place East</b>							106	01-Oct-21	14-Mar-22	0	0%															
A22380	First Access Date Tower Place to Stevedore Place East	0		01-Oct-21	0	0%									◆ First Access Date Tower Place to Stevedore Place East											
A22310	MC Traffic Management & Site Establishment	3	02-Oct-21	05-Oct-21	0	0%									■ MC Traffic Management & Site Establishment											
A22320	MC Site Clearance	4	06-Oct-21	09-Oct-21	0	0%									■ MC Site Clearance											
A22390	Sectional Completion 1 (SPC Works) Tower Place to Stevedore Place East	0		09-Oct-21	0	0%									◆ Sectional Completion 1 (SPC Works) Tower Place to Stevedore Place East											
A22330	SPC Excavation including Utility Diversions Drainage & Manholes Tower PI to Stevedore PI East	28	09-Oct-21	06-Nov-21	0	0%									■ SPC Excavation including Utility Diversions Drainage & Manholes Tower PI to Stevedore PI East											
A22400	Second Access Date Tower Place to Stevedore Place East	0		06-Nov-21	0	0%									◆ Second Access Date Tower Place to Stevedore Place East											
A22340	MC Infrastructure Ducting OLE Foundations & Drainage	15	08-Nov-21	24-Nov-21	0	0%									■ MC Infrastructure Ducting OLE Foundations & Drainage											
A25230	OLE Structure Installation	9	25-Nov-21	04-Dec-21	58	0%									■ OLE Structure Installation											
A22350	MC Track Formation	26	15-Nov-21	14-Dec-21	0	0%									■ MC Track Formation											
A22420	Siemens System Installation	9	15-Dec-21	07-Jan-22	56	0%									■ Siemens System Installation											
A22370	MC Tram Stops	67	22-Nov-21	21-Feb-22	0	0%									■ MC Tram Stops											
A22360	MC Road Reconstruction & Final Restoration	18	22-Feb-22	14-Mar-22	0	0%									■ MC Road Reconstruction & Final Restoration											
A22410	Sectional Completion 2 (Road Open for Public Use) Tower Place to Stevedore Place East	0		14-Mar-22	0	0%									◆ Sectional Completion 2 (Road Open for Public Use) Tower Place to Stevedore Place East											
<b>Stevedore Place East to Casino Access Road</b>							41	14-Mar-22	16-May-22	0	0%															
A23090	First Access Date Stevedore Place East to Casino Access Road	0		14-Mar-22	0	0%									◆ First Access Date Stevedore Place East to Casino Access Road											
A23100	MC Traffic Management & Site Establishment	3	15-Mar-22	17-Mar-22	0	0%									■ MC Traffic Management & Site Establishment											
A23110	MC Site Clearance	4	18-Mar-22	22-Mar-22	0	0%									■ MC Site Clearance											
A23120	Sectional Completion 1 (SPC Works) Stevedore Place East to Casino Access Road	0		22-Mar-22	0	0%									◆ Sectional Completion 1 (SPC Works) Stevedore Place East to Casino Access Road											
A23130	SPC Excavation including Utility Diversions Drainage & Manholes Stevedore PI East to Casino Access	28	22-Mar-22	19-Apr-22	0	0%									■ SPC Excavation including Utility Diversions Drainage & Manholes Stevedore PI East to Casino Access											
A23140	Second Access Date Stevedore Place East to Casino Access Road	0		19-Apr-22	0	0%									◆ Second Access Date Stevedore Place East to Casino Access Road											
A23150	MC Infrastructure Ducting OLE Foundations & Drainage	4	20-Apr-22	23-Apr-22	0	0%									■ MC Infrastructure Ducting OLE Foundations & Drainage											
A23160	MC Track Formation	8	26-Apr-22	05-May-22	0	0%									■ MC Track Formation											
A23170	MC Road Reconstruction including Casino Accommodation Works	4	06-May-22	10-May-22	0	0%									■ MC Road Reconstruction including Casino Accommodation Works											
A23190	Siemens System Installation	5	06-May-22	11-May-22	4	0%									■ Siemens System Installation											
A25240	OLE Structure Installation	3	11-May-22	13-May-22	0	0%									■ OLE Structure Installation											
A23180	MC Finishes including Public Realm Tram Stops Street Furniture Street Lighting Signs & Signals	2	14-May-22	16-May-22	0	0%									■ MC Finishes including Public Realm Tram Stops Street Furniture Street Lighting Signs & Signals											
A23200	Sectional Completion 2 (Road Open for Public Use) Stevedore Place East to Casino Access Road	0		16-May-22	0	0%									◆ Sectional Completion 2 (Road Open for Public Use) Stevedore Place East to Casino Access Road											
<b>Casino Access Road to Constitution Place</b>							42	16-May-22	13-Jul-22	1	0%															
A22500	First Access Date from Casino Access Road to Constitution Place	0		16-May-22	0	0%									◆ First Access Date from Casino Access Road to Constitution Place											
A22430	MC Traffic Management & Site Establishment	3	17-May-22	19-May-22	0	0%									■ MC Traffic Management & Site Establishment											
A22440	MC Site Clearance	4	20-May-22	25-May-22	0	0%									■ MC Site Clearance											
A22510	Sectional Completion 1 (SPC Works) Casino Access Road to Constitution Place	0		25-May-22	0	0%									◆ Sectional Completion 1 (SPC Works) Casino Access Road to Constitution Place											
A22450	SPC Excavation including Utility Diversions Drainage & Manholes Casino Access to Constitution PI	28	25-May-22	22-Jun-22	0	0%									■ SPC Excavation including Utility Diversions Drainage & Manholes Casino Access to Constitution PI											
A22520	Second Access Date Casino Access Road to Constitution Place	0		22-Jun-22	0	0%									◆ Second Access Date Casino Access Road to Constitution Place											
A22460	MC Infrastructure Ducting OLE Foundations & Drainage	3	23-Jun-22	25-Jun-22	0	0%									■ MC Infrastructure Ducting OLE Foundations & Drainage											
A22470	MC Track Formation	8	27-Jun-22	06-Jul-22	0	0%									■ MC Track Formation											
A22490	MC Finishes including Public Realm Tram Stops Street Furniture Street Lighting Signs & Signals	2	07-Jul-22	08-Jul-22	5	0%									■ MC Finishes including Public Realm Tram Stops Street Furniture Street Lighting Signs & Signals											
A22480	MC Road Reconstruction including Casino Accommodation Works	3	07-Jul-22	09-Jul-22	0	0%									■ MC Road Reconstruction including Casino Accommodation Works											
A22540	Siemens System Installation	5	07-Jul-22	12-Jul-22	1	0%									■ Siemens System Installation											
A22530	Sectional Completion 2 (Road Open for Public Use) Casino Access Road to Constitution Place	0		13-Jul-22	1	0%									◆ Sectional Completion 2 (Road Open for Public Use) Casino Access Road to Constitution Place											
A25250	OLE Structure Installation	3	11-Jul-22	13-Jul-22	0	0%									■ OLE Structure Installation											

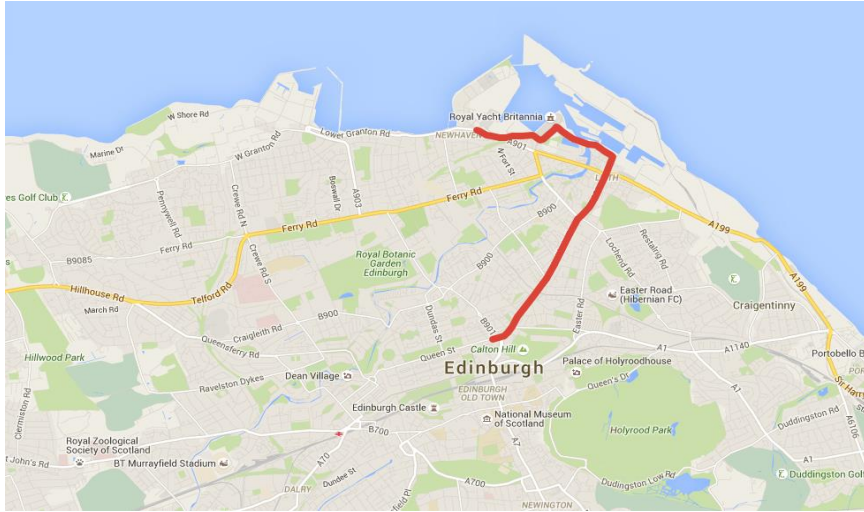
Actual Work Remaining Work Critical Remaining Work Milestone



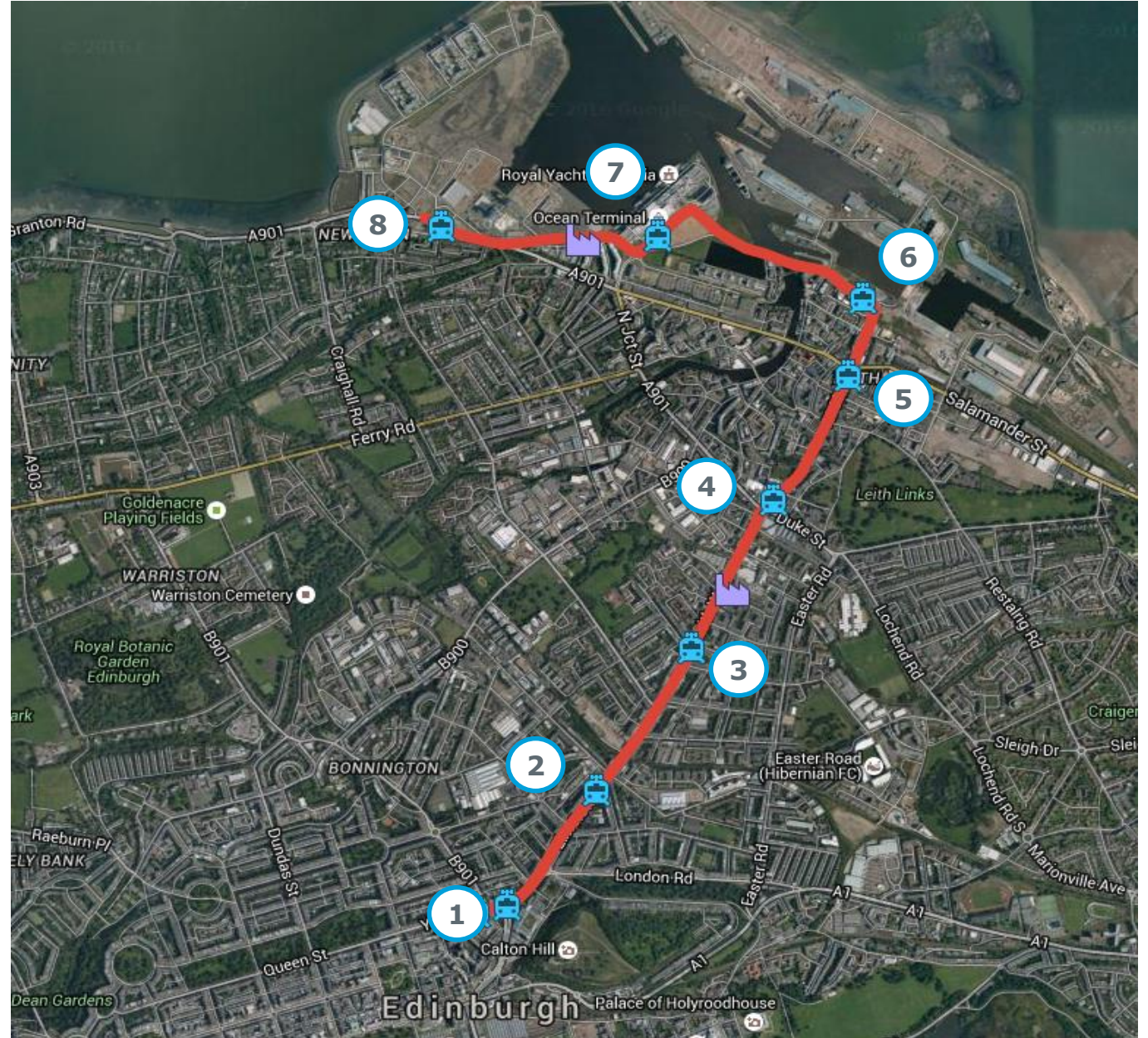
Activity ID	Activity Name	Duration	Start	Finish	Total Float	% Complete	2019			2020				2021				2022				2023								
							Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3					
<b>Phase 3</b>							89	18-Nov-21	06-Apr-22	67	0%																			
<b>London Road Junction</b>							89	18-Nov-21	06-Apr-22	67	0%																			
A22620	First Access Date London Road Junction	0		18-Nov-21	83	0%																								
A22550	MC Traffic Management & Site Establishment	3	19-Nov-21	22-Nov-21	83	0%																								
A22560	MC Site Clearance	4	23-Nov-21	26-Nov-21	83	0%																								
A22630	Sectional Completion 1 (SPC Works) London Road Junction	0		26-Nov-21	83	0%																								
A22570	SPC Excavation & Utility Diversions London Rd Jn	56	26-Nov-21	04-Feb-22	97	0%																								
A22640	Second Access Date London Road Junction	0		04-Feb-22	79	0%																								
A22580	MC Infrastructure Ducting OLE Foundations & Drainage	10	05-Feb-22	16-Feb-22	79	0%																								
A22590	MC Track Formation	22	12-Feb-22	09-Mar-22	79	0%																								
A22600	MC Road Reconstruction	8	10-Mar-22	18-Mar-22	79	0%																								
A25260	OLE Structure Installation	8	17-Mar-22	25-Mar-22	88	0%																								
A22660	Siemens System Installation	17	10-Mar-22	29-Mar-22	85	0%																								
A22610	MC Finishes including Public Realm Tram Stops Street Furniture Street Lighting Signs & Signals	16	19-Mar-22	06-Apr-22	79	0%																								
A22650	Sectional Completion 2 (Road Open for Public Use) London Road Junction	0		06-Apr-22	79	0%																								
<b>Phase 4</b>							71	18-Nov-21	23-Feb-22	115	0%																			
<b>York Place Tie-in</b>							71	18-Nov-21	23-Feb-22	115	0%																			
A22750	First Access Date York Place Tie-In	0		18-Nov-21	114	0%																								
A22670	Traffic Management & Site Establishment	5	19-Nov-21	24-Nov-21	114	0%																								
A22680	Site Clearance	4	25-Nov-21	29-Nov-21	114	0%																								
A22690	Excavation	0	30-Nov-21	30-Nov-21	114	0%																								
A22700	Infrastructure Ducting OLE Foundations & Drainage	11	30-Nov-21	11-Dec-21	114	0%																								
A22740	Existing Tram Stop Decommissioning	20	19-Nov-21	11-Dec-21	119	0%																								
A22710	Track Formation	21	21-Dec-21	27-Jan-22	114	0%																								
A22720	Road Reconstruction	8	28-Jan-22	05-Feb-22	117	0%																								
A25270	OLE Structure Installation	8	07-Feb-22	15-Feb-22	121	0%																								
A22730	Finishes including Public Realm Tram Stops Street Furniture Street Lighting Signs & Signals	13	07-Feb-22	21-Feb-22	117	0%																								
A22760	Sectional Completion (Road Open for Public Use) York Place Tie-in	0		23-Feb-22	115	0%																								
A22770	Siemens System Installation	23	28-Jan-22	23-Feb-22	114	0%																								
<b>Substations</b>							327	06-Jul-20	30-Oct-21	239	0%																			
A25070	MC Procurement of Substations	234	06-Jul-20	11-Mar-21	454	0%																								
A22780	MC Substation Fit Out Leith Walk	101	12-Mar-21	14-Jul-21	377	0%																								
A22790	MC Substation Fit Out Melrose Drive	88	20-Jul-21	30-Oct-21	201	0%																								
<b>Systems Works</b>							94	14-Jul-22	01-Nov-22	0	0%																			
A20790	Overhead Line	56	14-Jul-22	16-Sep-22	0	0%																								
A20800	Tram Stops Fitout	83	14-Jul-22	19-Oct-22	1	0%																								
A20810	Control Centre Works	38	17-Sep-22	01-Nov-22	0	0%																								
<b>Testing &amp; Commissioning</b>							90	21-Oct-22	17-Feb-23	0	0%																			
A23050	Systems Acceptance Tests T1 - Post Commissioning Tests	10	21-Oct-22	01-Nov-22	0	0%																								
A23060	Systems Acceptance Tests T2 - Performance Test 1	10	21-Oct-22	01-Nov-22	0	0%																								
A23070	Collation of Evidence File	10	02-Nov-22	12-Nov-22	0	0%																								
A23080	Operator Update of Operational SMS	10	14-Nov-22	24-Nov-22	0	0%																								
A20710	Shadow Running including Pre-Operation Test T3	60	25-Nov-22	16-Feb-23	0	0%																								
A20720	Ready for Operations - Letter of No Objection	0	17-Feb-23	17-Feb-23	0	0%																								
A20730	Testing & Commissioning Complete	0		17-Feb-23	0	0%																								

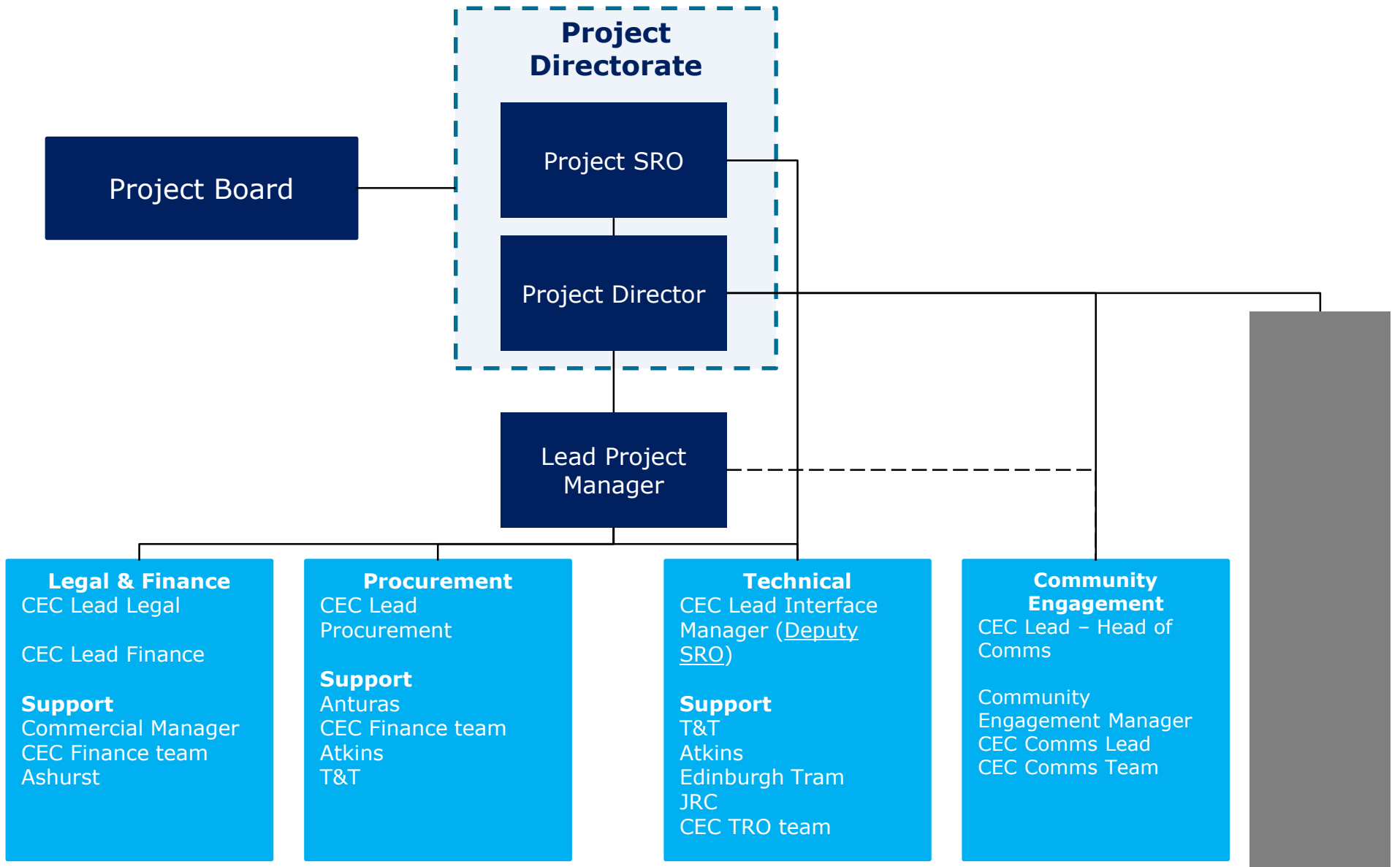


# Route Map



- 1 Picardy Place
- 2 McDonald Road
- 3 Balfour Street
- 4 Foot of the Walk
- 5 Bernard Street
- 6 Port of Leith
- 7 Ocean Terminal
- 8 Newhaven





**Project Management Office**

Commercial; Risk; Change Management; Programme; Action & Decision Log; Document Control

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**12 August 2016**

# **Edinburgh Tram Extension to Newhaven**

Stage 1 – Project Development

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**Basis of Schedule - Edinburgh Tram Extension and Leith  
Programme**

**City of Edinburgh Council**



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<b>Rev</b>	<b>Originator</b>	<b>Approved</b>	<b>Date</b>
V1.0	Nazia Malik	For Approval	04/08/2016

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## 1 Project Introduction

The Edinburgh Tram Extension Project route is 4.69km long and runs from York Place to Newhaven. Two new sub-stations and eight new tram stops are to be constructed and the existing temporary York Place tram stop is to be de-commissioned and replaced by the Picardy Place Stop. There are therefore seven additional tram stops. The estimated value of the project is in the region of £145m. The Leith Programme covers an area of 2.7km length in total, extending from the Old Dock Gates on Constitution Street along the whole of Leith Walk to Picardy Place, It uses a place-making approach to transform these key Edinburgh streets into a high quality Scottish urban streetscape. The estimated value of the project is in the region of £9m.

## 2 Scope of Work

The programme comprises of 2 projects - Edinburgh Tram Extension Project and the Leith Programme. This document will refer only to the scope that is defined as Edinburgh Tram Extension Stage 1. Edinburgh Tram Extension Stage 1 scope includes mobilisation, tram tender documentation, tram enabling works, technical advisor tasks and the committee report. The full scope of works for the project can be found in the Edinburgh Tram Extension to Newhaven - Project Initiation Document (PID).

This schedule is the Edinburgh Tram Extension & Leith Programme master schedule and is intended for use by the CEC project team. This schedule is intended to be a monitoring and reporting tool to the client – City of Edinburgh Council.

## 3 Objectives

This document will document how the Edinburgh Tram Extension & Leith Programme master schedule baseline was derived taking into account any key assumptions made. It will also outline the process for updating, managing and reporting on the schedule. This is a live document and will be version controlled. The latest version of this document can be found on the Turner & Townsend (T&T) Edinburgh project server: E:\Infra\1. Live Jobs\inf12754 - Edinburgh Tram Ext - Newhaven\6.0 Programme\6.1 Baseline Programme. All previous versions of this document can be found on the Turner & Townsend Edinburgh project server: E:\Infra\1. Live Jobs\inf12754 - Edinburgh Tram Ext - Newhaven\6.0 Programme\6.1 Baseline Programme\SS.

## 4 Work Breakdown Structure (WBS)

The WBS was agreed with the Project Manger Steven Jackson and is currently awaiting approval from the Senior Responsible Officer Rob Leech. The scope of work was split into logical work packages. At the time of writing the full scope for the design and build contractor has not been fully defined. The WBS takes into account all activities to complete the project regardless of responsibility. The WBS is documented in Appendix C. The version of the WBS currently matches the version of the draft baseline programme – v1.0.

## 5 Key Project Stakeholders

Contact Name	Company	Position
Rob Leech	City of Edinburgh Council	Project Senior Responsible Officer (SRO)
Steven Jackson	T&T	Project Lead
Richie Hales/ Sharon Bateman	T&T	Commercial
Stephen Lindsay	Atkins	Technical Advisor

## 6 Schedule Development Process

### 6.1 Key Project Dates and Deliverables

The baseline schedule v1.0 has the following key dates set:

Activity ID	Key Milestone	Baseline v1.0 Date
A7980	PQQ Document Complete	16-Jan-17
A8040	Volume 5 Document Complete	23-Jan-17
A10330	Design Specific Tasks Complete	20-Feb-17
A8030	Volume 4 Document Complete	03-Apr-17
A8020	Volume 3 Document Complete	03-Apr-17
A8000	Volume 1 Document Complete	20-Apr-17
A8010	Volume 2 Document Complete	20-Apr-17
A7990	Volume 0 Document Complete	27-Apr-17
A10370	Stage 1 Enabling Works Tasks Complete	28-Apr-17
A8050	Tender Document Approved for Issue	19-May-17
A8060	Completion of Stage 1	19-May-17
A10770	Stage 1 Services Finished (Information Only)	19-May-17
A10760	Committee Decision Point	29-Jun-17

### 6.2 Schedule Overview

The schedule has been built using Primavera R8.3.2. After meeting with the project lead to identify the tasks to add to the schedule, logic was added and agreed. The schedule also contains activities which are the responsibility of the Technical Advisor Atkins. Once the contractor has been appointed and their detailed schedule has been agreed – these durations and logic will be further developed in the master schedule. The activities will then be mapped and controlled between the detailed schedule and the master schedule. Once this process has been agreed it will be captured in this document.

### 6.3 Key Scheduling Assumptions

Key Milestones – a number of key milestones have been added to the programme WBS. These are linked to the corresponding activities and then back into the programme so that float is correctly captured. Note that some of the total float is very high on some of the milestones as some logic has not been confirmed.

City of Edinburgh Council  
Basis of Schedule - Edinburgh Tram Extension and Leith Programme

Activity ID	Activity Name	Assumption
A9580	Procurement of Legal Advisors	It is currently unknown how long the procurement route for the legal advisors will take. The durations of these activities have been assumed at 50 days
A9860	TTM – Stakeholder Engagement	This activity is to be broken out further when more information is available
A9900, A9930, A9940, A9950, A9960, A9970, A9980, A9990, A10000, A10010, A10020, A10030	High Risk Utilities – Produce Outline Design Solution Conflict (various reference numbers)	These activities are currently in as SS. It is assumed that the durations for these activities include consultation with stakeholders
A10150	TRO – Stakeholder Consultations	This activity is assumed that 1 stakeholder session can be held each week
A8750	Site Investigation Construction	The duration for this activity is based upon 8 sites x 1 week x 2 teams = 4 weeks
A10730	Committee Report Finalisation & Submission	It is assumed that the committee report is to be submitted 4 weeks prior to actual committee date
A10850	Stage 1 Works Information Design	This activity is to be broken out when technical advisors have confirmed the breakdown
A7800	Develop Draft Works Information	This activity will be broken out into individual disciplines at a later date, e.g. OLE, tracks, system, etc. This high level activities that are currently contained with the programme will be retained for baseline comparison purposes

Other assumptions include:

- The data date for the baseline programme is 22nd June 2016. This date has been used as it was the date that Turner & Townsend were appointed as the lead management consultants in partnership with City of Edinburgh Council.
- It is assumed that Atkins will be given CAD files as per Atkins' specification. The durations are reflective of this for activities contained within the Picardy Place to Annandale Street WBS. If the files cannot be retrieved, the programme will be amended to reflect the change.
- The original technical advisors contract award date is 5th July 2016 and the contract live date is 6th July 2016.
- We have assumed there will be no public hearing in relation to the Leith programme phase 5 design TROs, therefore have not allowed for this in the baseline programme.
- If the enabling works procurement paper is approved, the procurement durations for the enabling works for the work packages may be reduced. This paper is due to be submitted on 04<sup>th</sup> August 2016.

- We have assumed that the Tender Document does not need to be completed to enable the compilation of the committee report.
- It is assumed that phase 6 of the Leith programme will be delivered as part of the wider tram implementation therefore no activities can be added. The WBS for phase 6 is included in the baseline programme but with no activities.

## 6.4 Scheduling Uncertainties

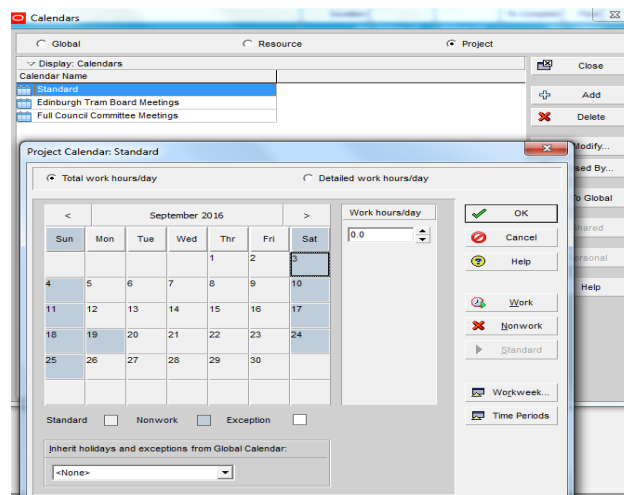
The following uncertainties have been made for this baseline:

- The design deliverables list is yet to be confirmed. This will need to be established before the baseline is agreed. Action is currently with Atkins.
- With the exception of the project board meeting dates until end of 2016, the remaining project board meeting dates have been excluded. They will be included into the schedule when the dates are confirmed.
- The Stage 1 Close out Report section will potentially have more activities. These are currently unknowns and any further activities should be confirmed by the Technical Advisor once the review has been carried out.
- The board meeting dates for 2017 have not been communicated, therefore the data date and dates for the update meetings for 2017 have yet to be set and for the purposes of this document have been illustrated with 'xx'.

## 6.5 Project Calendars

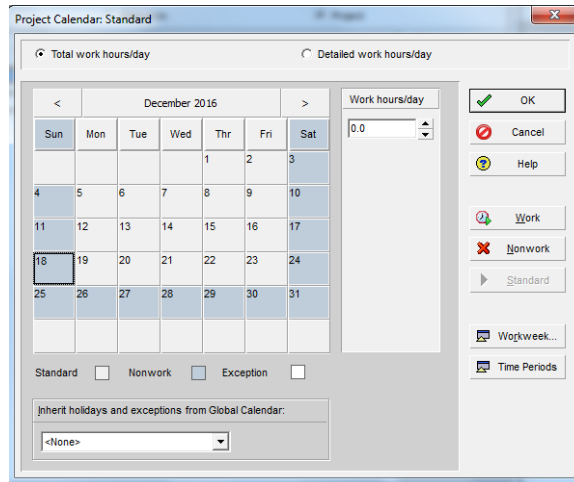
There are three project calendars applied to the activities at present – Standard, Edinburgh Tram Board Meetings and Full Council Committee Meetings. The Standard calendar is an amended version of the standard calendar in P6. Scottish Edinburgh specific public holidays have been added and can be amended at a later date to suit the contractor's working requirements. The Edinburgh Tram Board Meetings calendar has been created taking into account the board meeting dates we know of until the end of 2016, all other dates have been modified to non-work time and the calendar will be amended to include dates post 2016.. The Full Council Committee Meetings calendar has been created to reflect the official dates the full council committee meetings will be held in 2017.

Standard calendar:

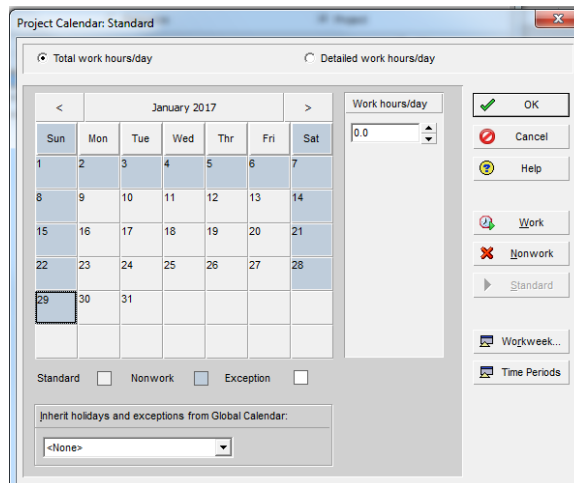


# City of Edinburgh Council Basis of Schedule - Edinburgh Tram Extension and Leith Programme

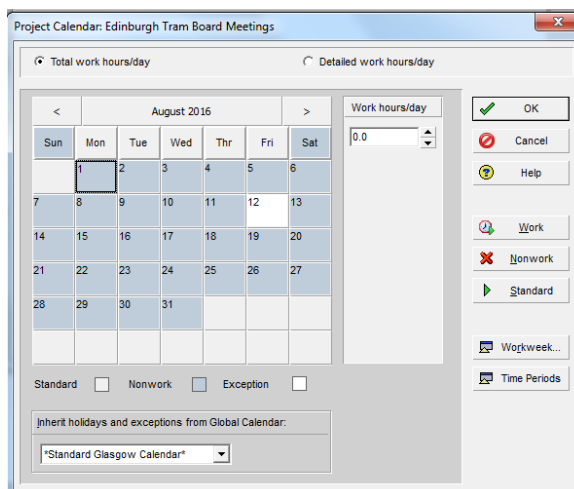
Standard calendar (Christmas holidays 2016/17):



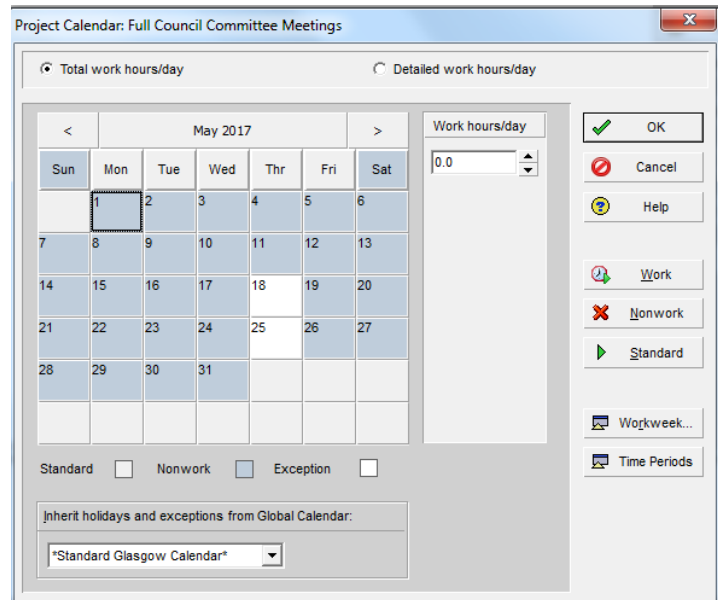
Standard calendar (Christmas holidays 2016/17):



Edinburgh Tram Board Meetings calendar:



Full Council Committee Meetings calendar:



## 6.6 Activity Coding

One activity code has been added to relevant activities in the 'Responsibility' column. Current codes which can be filtered on for reporting purposes are:

- CECP - City of Edinburgh Council Procurement
- CECLA - City of Edinburgh Council Legal Advisor
- CECSM - City of Edinburgh Stakeholder Management
- CECSRO - City of Edinburgh Council Senior Responsible Office
- ATK – Atkins
- CECPR - City of Edinburgh Council Property
- CECPM - City of Edinburgh Council Project Management Team
- CECAR - City of Edinburgh Archaeology

Activity codes to differentiate between the Edinburgh Tram Extension and the Leith programme have also been created and allocated accordingly in the 'Programme' column:

- ETE - Edinburgh Tram Extension
- LP – Leith Programme

## 7 Baseline Management

The project baseline v1.0 was approved by the board at the board meeting on 11<sup>th</sup> August 2016.

The project will be updated monthly. Baselines will be saved each month and version controlled as follows:

P6 Baseline	Baseline Title	Baseline Revision	Data Date
Baseline	Approved Edinburgh Tram Extension & Leith Programme Master Schedule Baseline	V1.0	22 June 2016
Baseline 1	August 2016 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.1	19 August 2016
Baseline 2	September 2016 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.2	23 September 2016
Baseline 3	October 2016 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.3	21 October 2016
Baseline 4	November 2016 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.4	18 November 2016
Baseline 5	December 2016 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.5	xx December 2016
Baseline 6	January 2017 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.6	xx January 2017
Baseline 7	February 2017 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.7	xx February 2017
Baseline 8	March 2017 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.8	xx March 2017
Baseline 9	April 2017 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.9	xx April 2017
Baseline 10	May 2017 Edinburgh Tram Extension & Leith Programme Master Schedule Update	V1.10	xx May 2017

Folders will be added to the 'master programme folder' E:\Infra\1. Live Jobs\inf12754 - Edinburgh Tram Ext - Newhaven\6.0 Programme to represent each baseline and its associated reports. A copy of the P6 file will also be kept as a historical record. It is anticipated that a re-baseline of the project may be required once the contractor has signed the design and build contract and contract dates are required to be met.

## 8 Project Schedule Updates and Maintenance

### 8.1 Status Updates

The project will be updated once a month. All associated reporting will be issued prior to the Board meeting and a baseline will be saved.

### 8.2 Maintenance and Schedule Change Control

It is anticipated that the formal project updates will be carried out by the Project Planner in collaboration with the Project Lead. All aspects of schedule change will be captured in the change control document. This document is owned and controlled by Sharon Bateman.



## 9 Project Schedule Assessment and Analysis

### 9.1 Critical Path Analysis

Critical activities are those defined with Float equal to 0 that are not 100% complete. The critical path runs mainly through the procurement of technical advisors and Bernard Street procurement and the stage 1 committee report. The critical path will develop as the master schedule is updated and refined.

### 9.2 Schedule Quality

Current Schedule Quality indicators (excluding milestones and completed tasks):

- % of total activities with missing predecessors – 1%
- % of total activities with missing successors – 0%
- % of total activities with positive lag – 0%
- % of activities with negative lag – 0%
- % of activities with negative float – 0%
- % of activities with hard constraints – 0%
- % of activities with soft constraints – 1%
- % of activities on the critical path – 13%

Activities with missing predecessors:

Activity ID	Activity Name	Duration	Start	Finish	Float	Comment
A10840	SGN Diversion at Brunswick Street	30d	01-Aug-16	09-Sep-16	1324	For information only

Activities with positive lag:

Activity ID	Activity Name	Duration	Start	Finish	Successors	Float	Comment
A8810	Bernard Street - Finalise Scope & Design Drawings	5d	15-Feb-17	21-Feb-17	A10410 (+10d)	0	10 day lag added to allow time to finalise ITT following design confirmation

Activities with soft constraints:

Activity ID	Activity Name	Duration	Start	Finish	Float	Constraint	Comment
A9020	Produce Outline Design & TRO	21d	22-Jul-16	19-Aug-16	1093	Start On or After	Alan Dean confirmed date (see email to SJ dated 19 July 2016, 9:24am)
A10840	SGN Diversion at Brunswick Street	30d	01-Aug-16	09-Sep-16	1324	Start On or After	Works to start on 6th August 2016 as confirmed by SGN

## 10 Project Schedule Reporting

### 10.1 Reporting Calendar

Programme update meetings for 2016 have been agreed for the following dates:

- 22 August 2016
- 26 September 2016
- 24 October 2016
- 21 November 2016
- xx December 2016
- xx January 2017
- xx February 2017
- xx March 2017
- xx April 2017
- xx May 2017

### 10.2 Reporting Formats

PDF reports will be produced after each monthly programme update meeting. These reports will be run directly from P6 and will include (but are not limited to):

- yyyyymmdd Edinburgh Tram Extension & Leith Master Programme vx Full Programme – Activity ID, Activity Name, Duration, Start, Finish, Physical % Complete, Float
- yyyyymmdd Edinburgh Tram Extension & Leith Master Programme vx Variance Programme – Activity ID, Activity Name, Duration, Baseline Start, Baseline Finish, Start, Finish, Finish Variance, Physical % Complete, Float

- yyyyymmdd Edinburgh Tram Extension & Leith Master Programme vx Critical Path - Activity ID, Activity Name, Duration, Start, Finish, Physical % Complete, Float. Filter: All activities with 0 total slack & not 100% complete
- yyyyymmdd Edinburgh Tram Extension & Leith Master Programme vx Near Critical Path (activities with 10 days or less float) - Activity ID, Activity Name, Duration, Start, Finish, Physical % Complete, Float. Filter: All activities with 0 total slack & not 100% complete
- yyyyymmdd Edinburgh Tram Extension & Leith Master Programme vx 1 month Look Ahead – Activity ID, Activity Name, Duration, Start, Finish, Physical % Complete, Float. Filter: Date range for next month’s tasks.

## **11 Appendix A – Full Baseline Programme v1.0**

See attachment for appendix A.

## **12 Appendix B – Acronym Dictionary**

See attachment for appendix B.

## **13 Appendix C – Work Breakdown Structure (WBS) v1.0**

See attachment for appendix C.

# Quality Management

**Turner & Townsend plc's** objective is to achieve and sustain quality in everything it does. The aim is to provide to all Clients, services fit for the purpose for which they are required, at the time agreed with the Client and at a competitive and reasonable price, which gives the Client value for money.

Turner & Townsend plc's definition for Quality is therefore:-

**“Quality is meeting agreed customer requirements at acceptable costs.”**

By constantly striving for Quality in a planned and measurable way, and by harnessing the creativity and resourcefulness of all its staff, Turner & Townsend plc will achieve its financial objectives and satisfy those of its Clients.

This Policy Statement is an integral part of Turner & Townsend plc's Business Management System and is implemented through management system Procedures which meet the requirements of ISO 9001 : 2008. Compliance with this Policy Statement is mandatory and responsibility rests with all employees.

Signed:



T Wray  
[ Chairman ]

Date: 1 January 2016

making the **difference**

# Excellence in delivery

Atkins is committed to providing excellent standards of service to our clients. We aspire to lead industry and apply best practice in all of our operations.

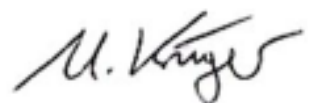
Our vision is for excellence in delivery to be a natural and integral part of Atkins' culture. We aspire to this through effective leadership and developing appropriate behaviours. This means actively working with colleagues, clients and our supply chain to ensure that it is fully integrated into our decision making processes.

We do this by:

- continually improving the quality of our project management, technical and commercial delivery of work and services;
- providing professional and competent resources, augmented by suitable training and development plans;
- implementing business, project, technical and commercial controls, including the Atkins' Design Principles, Technical Assurance Standard, Service Delivery Process and Contract Change Management and continuing to develop these controls under our ongoing business improvement programme;
- ensuring the suitability and effectiveness of our suppliers by working in partnership to deliver the requirements of this policy;
- improving the effectiveness of our service by undertaking appropriate assurance programmes as well as capturing, investing and acting on lessons learnt;
- monitoring our technical and commercial performance and reporting externally;
- having achieved or, in the case of recent acquisitions, working towards International Standard ISO 9001:2008 (Quality Management Systems) and transitioning to ISO 9001:2015, and other sector-specific equivalents, as appropriate.

We ensure that these requirements are defined within our business management system, which has been developed to meet the needs of our clients and our businesses.

Our businesses are accountable for implementing this policy and inculcating a 'Right first Time' mindset and, our employees' skill, care and diligence is required to make it truly effective.



**Uwe Krueger**  
Chief executive officer  
March 2018



# Health & Safety

**Turner & Townsend plc** is a Global Business and is committed to obtaining the highest practically achievable standards of occupational health and safety. It is our policy to comply with all relevant statutory provisions that apply for each international region and all local regulations within each region. This policy applies to the Global operation of Turner & Townsend plc and its subsidiaries

Our policy is to provide and maintain safe and healthy working conditions, equipment and systems of work for all our employees and to communicate and provide such information, training and supervision and resource as they require for this purpose. We also accept our responsibility for health and safety of those who may be affected directly, or indirectly, by our activities.

We will implement this policy as part of our commitment to continual improvement, the prevention of injury and ill health.

Our key objectives are:

- safe working environment
- no accidents
- application outside the office environment
- everyone in T&T understands our policies

We will communicate to staff this policy and make them aware of their own obligations through induction and access to Health & Safety information.

All interested parties on application will be provided with a copy of this policy.

This Policy Statement is an integral part of our Business Management System framework and is subject to periodic review and implementation through our Business Management System Procedures and detailed instructions contained within that system. Compliance with this Policy is mandatory and responsibility rests with all employees in all of our Global regions.

Signed 

T Wray  
[Chairman]

Date: 1 January 2016

# Health and safety leadership

Atkins acknowledges its potential to influence change in occupational health and safety management. We are committed to providing and maintaining a safe and healthy working environment for our employees and ensuring the safety of others affected by our operations and services.

Our vision is for health and safety to be a natural and integral part of our culture. We aspire to this through effective leadership and developing appropriate behaviours. This means proactively working with colleagues, clients and our supply chain to ensure that health and safety leadership is fully integrated into our decision making processes.

We do this by:

- continually improving our occupational health and safety management by setting risk-based objectives and targets as part of our overall business improvement programme;
- promoting a vibrant safety culture through two-way communication and participation including the use of safety moments and safety challenges;
- implementing the Atkins behavioural-based 'Be safe and secure' programme, including Safe by Leadership, Secure by Leadership and Safe by Design;
- promoting the importance of the health and physical, mental and social wellbeing of our employees, within the workplace;
- providing adequate funding and resources that contribute towards a safe and healthy working environment, including supervision, training and the appointment of competent professionals;
- implementing business controls, health and safety legislation and client requirements, including arrangements for crisis management, accidents, ill-health and first aid;
- proactively working with industry and our partners to influence changes to health and safety;
- improving and assessing our health, wellbeing and safety performance by investing in training, awareness, systems, tools and an assurance programme;
- monitoring our performance and progress against objectives and reporting externally through our Corporate Sustainability Report;
- having either achieved or, in the case of recent acquisitions, working towards the British Standard OHSAS 18001:2007 (Occupational Health and Safety Management Systems) and other sector-specific equivalents, as appropriate.

We ensure that these requirements are defined within our business management system, which has been developed to meet the needs of our clients and our businesses.

Our businesses are accountable for implementing this policy and employees' support and professionalism is essential in making it truly effective.



**Uwe Krueger**  
Chief executive officer  
March 2016

**City of Edinburgh Council**  
**Services for Communities**  
**Health and Safety Enforcement Policy**

**Introduction**

City of Edinburgh Council aims to protect the health, safety and welfare of people at work, and to safeguard others, including members of the public, who may be exposed to risks arising from work activities.

This Enforcement Policy is in accordance with the Regulators' Compliance Code and the regulatory principles required under the Legislative and Regulatory Reform Act 2006. It sets out the general principles and approach which the Council, as a health and safety enforcing authority, will follow. All local authority and Health and Safety Executive (HSE) staff who take enforcement decisions are required to follow HSE's Enforcement Policy Statement, on which this policy is based. In general, those staff will be inspectors, so this policy refers to inspectors for simplicity.

The appropriate use of enforcement powers, including prosecution, is important, both to secure compliance with the law and to ensure that those who have duties under it may be held to account for failures to safeguard health, safety and welfare.

**The purpose and method of enforcement**

The purpose of enforcement is to:

- (i) ensure that dutyholders take action to deal immediately with serious risks;
- (ii) promote and achieve sustained compliance with the law;
- (iii) ensure that dutyholders who breach health and safety requirements, and directors or managers who fail in their responsibilities, may be held to account and may be reported to the Procurator Fiscal with a view to prosecution.



Enforcing authorities have a range of tools at their disposal in seeking to secure compliance with the law and to ensure a proportionate response to criminal offences. Inspectors may offer dutyholders information, and advice, both face to face and in writing. This may include warning a dutyholder that they are failing to comply with the law. Where appropriate, inspectors may also serve improvement and prohibition notices or report to the Procurator Fiscal with a view to prosecution.

The Council believes in firm but fair enforcement of health and safety law.

This will be informed by the principles of:

- **proportionality** in applying the law and securing compliance;
- **consistency** of approach;
- **targeting** of enforcement action;
- **transparency** about how the Council operates and what those regulated may expect; and
- **accountability** for the Council's actions.

## **Investigation**

Investigations are undertaken in order to determine:

- causes;
- whether action has been taken or needs to be taken to prevent a recurrence and to secure compliance with the law;
- lessons to be learnt and to influence the law and guidance;
- what response is appropriate to a breach of the law.

To maintain a proportionate response, most resources available for investigation of incidents will be devoted to the more serious circumstances. It is neither possible nor necessary for the purposes of the Health and Safety at Work etc Act 1974 to investigate all issues of non-compliance with the law which are uncovered in the course of preventive inspection, or in the investigation of reported events.

The Council will always carry out a site investigation of a reportable work-related death.

In selecting which complaints or reports of incidents, injury or occupational ill health to investigate and in deciding the level of resources to be used the following factors will be taken into account:

- the severity and scale of potential or actual harm;
- the seriousness of any potential breach of the law;
- knowledge of the dutyholder's past health and safety performance;
- the enforcement priorities;
- the practicality of achieving results;
- the wider relevance of the event, including serious public concern.

### **Prosecution**

In Scotland, the Procurator Fiscal decides whether to bring a prosecution. This may be on the basis of a recommendation by an enforcing authority although the Procurator Fiscal may investigate the circumstances and institute proceedings independently of an enforcing authority.

Before prosecutions can be instituted, the Procurator Fiscal will need to be satisfied that there is sufficient evidence and that prosecution is in the public interest. Therefore in the public interest, the Council will recommend prosecution, where, following an investigation or other regulatory contact, one or more of the following circumstances apply. Where:

- death was a result of a breach of the legislation;
- the gravity of an alleged offence, taken together with the seriousness of any actual or potential harm, or the general record and approach of the offender warrants it;
- there has been reckless disregard of health and safety requirements;
- there have been repeated breaches which give rise to significant risk,
- persistent and significant poor compliance;
- work has been carried out without, or in serious non-compliance with, an appropriate licence;
- a dutyholder's standard of managing health and safety is found to be far below what is required by health and safety law and to be giving rise to significant risk;
- there has been a failure to comply with an improvement or prohibition notice; or there has been a repetition of a breach;
- false information has been supplied wilfully, or there has been an intent to deceive, in relation to a matter which gives rise to significant risk;
- inspectors have been intentionally obstructed in the lawful course of their duties.

Where inspectors are subjected to violence or the threat of violence at work, the Council's policy on this matter will be followed including reporting the incident to the Police.

The Council will also consider recommending prosecution where, following an investigation or other regulatory contact, one or more of the following circumstances apply:

- it is appropriate in the circumstances as a way to draw general attention to the need for compliance with the law and the maintenance of standards required by law, and conviction may deter others from similar failures to comply with the law;
- a breach which gives rise to significant risk has continued despite relevant warnings from employees, or their representatives, or from others affected by a work activity.

### **Prosecution of individuals**

Subject to the above, the Council may identify and recommend prosecution of individuals if it is considered that a prosecution is warranted. In particular, inspectors will consider the management chain and the role played by individual directors and managers, and may take action against them where the inspection or investigation reveals that the offence was committed with their consent or connivance or to have been attributable to neglect on their part and where it would be appropriate to do so in accordance with this policy. Where appropriate, the Council may seek disqualification of directors under the Company Directors Disqualification Act 1986.

### **Publicity**

The Council will routinely issue press releases in relation to successful prosecutions under health and safety legislation. Only factual information that is in the public domain will be provided within the press release.

## **Death at work**

Where there has been a breach of the law leading to a work-related death, consideration will be given to a charge of culpable homicide or corporate homicide. Responsibility for investigating sudden or suspicious deaths rests with the Procurator Fiscal who will instruct the Police. The Police will lead the investigation of any potential offences related to culpable homicide or corporate homicide. The Council will investigate any possible health and safety offences.

A work-related deaths protocol has been agreed between the Crown Office, the Association of Chief Police Officers in Scotland (ACPOS), the British Transport Police and HSE. Scottish local authorities support the protocol. Under the Scottish work-related deaths protocol the investigations will be co-ordinated and evidence shared.

The Procurator Fiscal is required to hold a Fatal Accident Inquiry (FAI) into the circumstances of a worker's death resulting from an accident at work. If, however, the Lord Advocate is satisfied that the circumstances of the death have been sufficiently established in the course of criminal proceedings a FAI may not be held. A FAI may also be held where it appears to be in the public interest on the grounds that a death was sudden, suspicious or unexplained, or has occurred in circumstances such as to give rise to serious public concern, eg a fatal accident to a member of the public.

## **Council arrangements and liaison with other agencies**

Within City of Edinburgh Council, occupational health and safety legislation is enforced by Environmental Health Officers, Trading Standards Officers and specialist Enforcement Officers within Services for Communities' Environmental Health and Trading Standards Service. All reports to the Procurator Fiscal will be approved by the Environmental Health and Trading Standards Manager or his nominated deputy. All notices (except where

necessary to serve in a case of risk of serious personal injury) will be approved by the appropriate Section Manager or Team Leader / Senior Officer.

Inspectors involved in occupational health and safety enforcement will liaise, where appropriate, with officials from other Departments within the Council and with other LAs and agencies such as HSE, Fire Brigade, Police, Procurator Fiscal's Office with a view to achieving effective and consistent enforcement. Where appropriate, the Council will liaise with other LAs in accordance with the Lead Authority Partnership and the Primary Authority schemes.

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# 1. Introduction and Overview

## 1.1 Overview

The report 'Edinburgh Tram to Newhaven to Newhaven Community Engagement & Stakeholder Management'd was commissioned in light of the proposed completion of Edinburgh Tram Line 1a from York Place in the city centre to Newhaven on the city's waterfront. Following on from the City of Edinburgh Council's (CEC) approval of the Outline Business Case (OBC) on September 21<sup>st</sup> 2017 and subsequent movement onto stage two (tendering) this document has been refreshed and updated to reflect the current situation.

## 1.2 Purpose

This document aims to provide an overarching stakeholder and community engagement strategy that the City of Edinburgh Council will deliver during the process of consultation and throughout the lifetime of the project.

## 1.3 Project Rationale

- Complies with all key strategic regional and citywide plans and can create employment opportunities by linking priority investment zones. The Edinburgh Local Development Plan strategies direct most of the planned growth of the city to the four strategic development areas identified in the 2013 Strategic Development Plan: West Edinburgh; the City Centre; Edinburgh Waterfront; and South East Edinburgh. The project will result in three of these strategic development areas being directly linked by a fast, frequent and reliable transport service.
- Supports the sustainable development of housing on brownfield sites for a growing population. Over the next decade Edinburgh and its surrounding area is expected to be home to a faster growing population than anywhere else in Scotland. National Records of Scotland projections published in 2016 suggest that the city should be planning for an additional 47,000 people by 2024 and an additional 102,000 by 2039.
- Supports employment growth in the city which is projected to grow by 7.6% between 2013 and 2022.
- Serves a corridor of comparatively high unemployment and deprivation and the tram will provide improved accessibility to residents along the corridor to the range of job opportunities in the city centre and along the existing tram corridor
- Provides high capacity and high quality public transport which is a key dependency of the spatial strategy
- The project has a positive economic impact on the city with every £1 spent providing a return of £1.64.
- Patronage is forecast to double in opening year to over 13million passenger journeys.

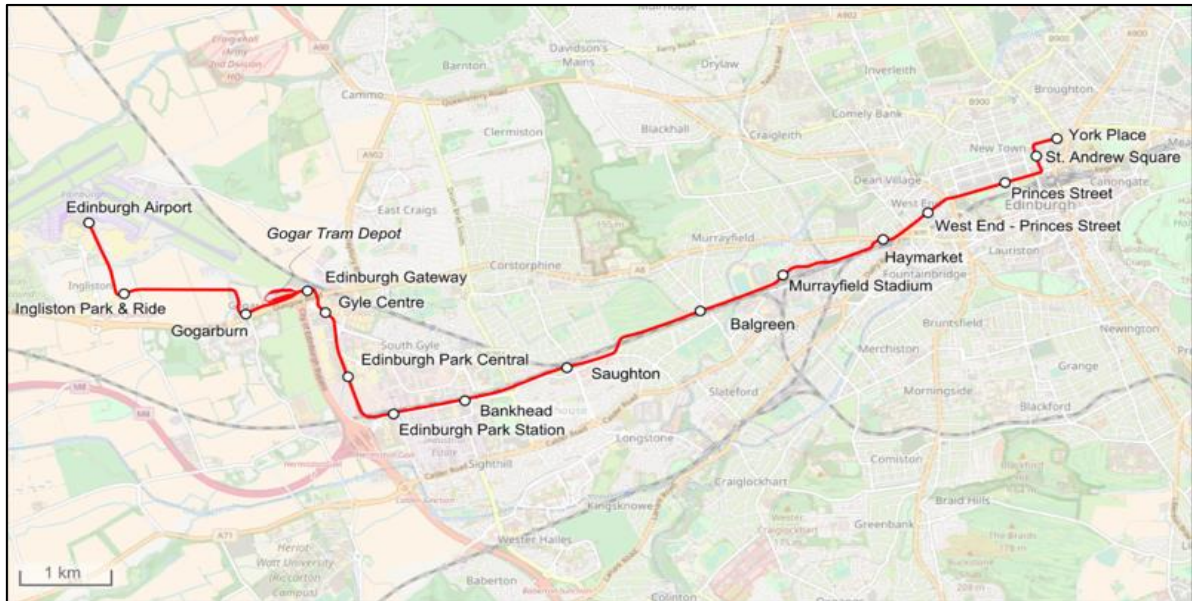


## 2. Project Background

### 2.1 Edinburgh Tram Operational Route (Line 1a - truncated)

The Edinburgh Tram is a light-rail system serving the city of Edinburgh. The route extends for 14 km (8.7 mi) from Edinburgh International Airport in the west of the city to York Place in the city centre and consists of 16 halts from end-to-end (see map 1).

**Map 1: Edinburgh Tram operation route 2017: Line 1a Airport - York Place (truncated)**



The line began operation on 31<sup>st</sup> May 2014 and since then has consistently beaten both predicted ridership numbers and expected financial performance (table 1 & 2). The operational tramline has been recognized in both 2016 & 2017 at the Global Light Rail Awards having won ‘Most Improved Operator’ and ‘Operator of the Year’ respectively. Additionally Transport Focus has named Edinburgh Tram as the UK’s number one transport operator for customer satisfaction, achieving a 97% approval rating from passengers.

**Table 1: Edinburgh Tram ridership numbers**

Ridership	Projected	Actual
2014-15	4.58m	4.92m
2015-16	4.9m	5.38m

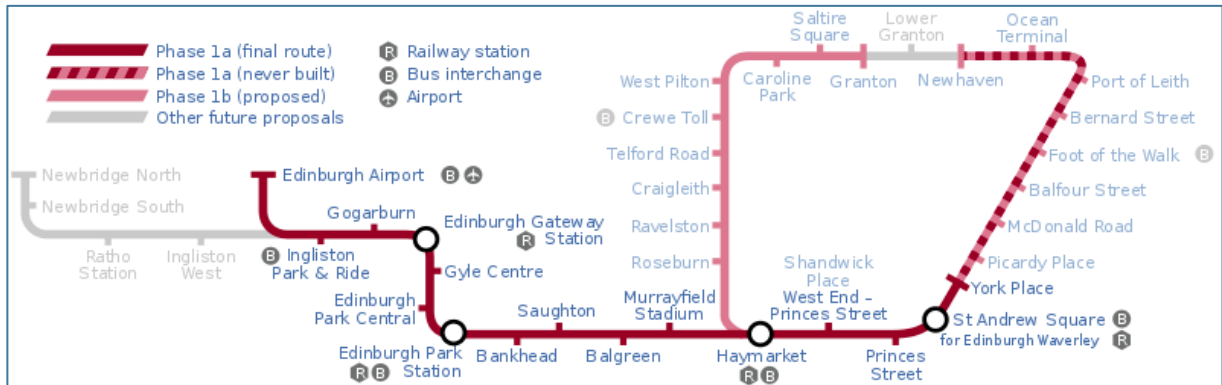
**Table 2: Edinburgh Tram profitability**

Profit	Projected	Actual
2014	-£1,730,000	-£449,078
2015	-£1,300,000	-£22,153
2016	-£170,000	£252,000

## 2.2 Edinburgh Tram to Newhaven

The existing route forms part of a section of the original network plan that would have seen the creation of a line running from Edinburgh International Airport to Newhaven (with 24 halts). Additionally a spur creating a loop around Edinburgh’s northern suburbs from Haymarket to Newhaven via Granton with an additional 10 halts was envisaged as part of the original tram network plan. The delivery of the network post mediation was split into a series deliverable phases (Map 2)

**Map 2: Operational route of Edinburgh Tram with potential future phases**



The proposed works during this phase relates specifically to the portion of the original line 1a that was never built. This extends from York Place in Edinburgh city centre to Newhaven and includes a total of 8 new halts (including the decommissioning of York Place to be replaced by a stop at Picardy Place) alongside two new electric substations. Once completed Line 1a will run for 18.5 km (11.5 mi) from Edinburgh International Airport via the densely populated area of Leith and onto Newhaven in the city’s key waterfront development area.

## 2.4 Project Objectives (Stage 2)

The updated Outline Business Case (OBC) was approved by full council on 21/09/2017. This signaled a move onto Stage 2 of the pre-construction process with a series of agreed activities and outcomes expected to take place in the coming 12 months (Table 3).

**Table 3: Activity & Outcomes agreed in the updated OBC (09/2017)**

Activity	Outcome
Final review of tender documentation	Upon completion of the technical and legal documentation a thorough "claims" review will be carried out wherein the documentation will be reviewed for potential contractual claims. This can only be done once all documentation is complete and will be done by a body/person independent of the team that drafted the documentation.
Procurement of main contractor	The project will run a prequalification process in accordance with OJEU rules and shortlist a number of contractors for tender. Tender documents will be issued to the shortlisted contractors. Tenders will be received and evaluated and a preferred tenderer selected.
Finalise funding arrangements	Work will conclude with prospective lenders during this stage with facilities being put in place at contract award stage.
Public consultation	Public consultation processes and arrangements will be established and implemented and recommendations for business support measures will be developed.
Continue stakeholder consultation process	The stakeholder consultation process will run continuously throughout the life of the project.
Modelling impact of revised service pattern	The revised service pattern proposed by Edinburgh Trams in response to the funding gap will be modelled to determine its impact on costs and revenues, and hence the funding gap
Affordability test	This Outline Business Case will be reviewed using the actual tender prices received for the main works, and the results of the modelling of the revised service pattern, to confirm that the project can be delivered within the Council's affordability envelope.

Of the activities and outcomes identified in the OBC, this report shall inform the direction of travel and overall strategy for two of these: 'Public consultations' and 'Continue stakeholder consultation process'. The remainder of this document will focus solely on the actions required to meet the 'outcomes' of these two 'activities'.

### 3. Community Engagement

In 2005 the Scottish Government introduced the 'National Standards for Community Engagement' - a set of good-practice principles designed to support and inform the process of community engagement, and improve what happens as a result (Figure 1).



**Figure 1: The Seven National Standards for Community Engagement**

The seven standards: inclusion, support, planning, working together, methods & communication were adopted CEC in April 2017 and will be adhered to during the various consultation exercises that the proposed Edinburgh Tram project is required to undertake ahead of any works.

### 3.1 Inclusion

#### ***We will identify and involve the people, organisations and communities that are affected by the focus of the engagement***

Identification of each individual, organization and community that will potentially be affected by the tram works is paramount to ensuring the consultation processes is successful in achieving its aims and obligations in terms of both scope and accessibility.

Community mapping should be viewed as a collaborative process of research, debate, and discussion that draws from multiple perspectives to determine a list of stakeholders across the entire community. Mapping can be broken down into three phases:

- Identifying: listing relevant groups, organizations and people
- Analysing: understanding stakeholder perspectives and interests
- Organising: stakeholder management & visualizing relationships to objectives and other stakeholders

#### 3.1.1 Identifying

##### 3.1.1.1 Previous Studies: what we have learned

The following studies were investigated and any relevant data has been incorporated into this document where appropriate:

***Original tram construction consultation (2006)*** This included consultation on the portion of line 1a that forms the length of the completed route. Stakeholder mapping compiled during this phase of tram works was used as a starting point in mapping out each individual or organisation that will potentially be impacted by the tram completion works.

As a result of the objections lodged against the Tram Act, a series of Third Party Agreements were produced between CEC and the respective stakeholders along the proposed route. These agreements have been revisited for the completion of Line 1a and the basis of each agreement is currently under review by Turner & Townsend

***The Leith Works programme*** consultation worked with local communities to draw up and deliver an improved public realm for Leith walk with a focus on active travel. This programme of works from Pilrig Street to McDonald Road is due to complete in the coming months with the final phase (Elm Row - McDonald Road) to be completed as part of the proposed tram construction project. The previous Leith Programme stakeholder management scheme will therefore become the responsibility of the Edinburgh Trams to Newhaven project.

The ***Edinburgh St James (ESJ)*** project consulted widely with the local community before work commenced on the project. This included specific consultation on the complete closure of Leith Street for 18 months. As the planned works for the project also require the closure of



Leith Walk (from four lanes to one) for a period of 18 months, the team at CEC have met with Laing O'Rourke and discussed their approach, delivery and lessons learned.

### **3.1.1.2 Major Development Sites**

There are a host of major developments already under construction, in planning or in pre-planning that have the potential to interface with the tram works. As the project moves ahead through consultation and construction it will become increasingly important to work closely with the developers of these sites so as to ensure non-duplication of work, collaboration and accuracy of information flow to those affected. Major sites of development/potential development that the Tram to Newhaven engagement team will attempt to work alongside are:

#### ***Edinburgh St James***

Edinburgh St James is a 1.7 million sq ft retail-led mixed-use development currently under construction in the east end of Edinburgh. The site sits at a strategic city centre junction in terms of interfacing with the Tram network. With construction due for completion in 2020 there is a clear overlap with any tram works potentially taking place from Q1 2019. Specific and detailed engagement and collaboration with developer THRE and construction partner Lang O'Rourke will serve to minimize shared and individual risk as well as on matters of communication with the general public.

#### ***Leith Walk Tram Depot***

Part of the site of the old Leith Tram depot will be used by the Tram project team as their main office and site location. Plans are currently moving forward to demolish the existing tram depot structures that remain on site. As well as opening up an area large enough to store construction material and equipment, part of the site will be turned over to community use. Local arts organization Out of the Blue will create an artist community on-site by reusing old shipping containers. Additionally CEC will donate market sheds previously use for the city's Christmas markets to create a new street market in the area. The old tram office building facing onto Leith Walk will be retained and transformed into a new community hub.

#### ***Leith Docks***

Forth Ports own and manage the vast majority of land in the Leith Docks area - a strategic site in relation to the tram completion project (Line 1a) to Newhaven. For a period of time, Forth Ports have been development-shy and not shown interest in pressing ahead with previously proposed developments in the area. Of late there has been a change in strategy by the port operators, with land parcels being sold to individual developers on an ongoing basis as well as plans for major regeneration around Western Harbour and Ocean Terminal expected during the duration of the proposed works.

### 3.1.1.3 Potential Development Sites That Could Impact in Future

Several other large-scale developments along the route of the proposed tram works - which haven't gone to construction phase yet - but which may impact upon the deliver of the project have also been identified so as to ensure the mitigation of any potential future risk. Key sites include:

- **Leith Trading Estate:** the owner plans to demolish the existing ground and first floor retail & office space that face Leith Walk as well as the industrial estate behind it. Exact plans are unknown but building heights will be increased to allow additional residential/retail as well as potential for major office buildings.
- **Ocean Terminal/Drive** - Two major hotel developments up to 30 stories high providing c. 1,000+ hotel rooms
- **Waterfront Plaza** - Cala-led residential and commercial development
- **Skyliner** - major housing development (c. 600 units) on Ocean Drive
- **Picardy Place** - realignment of major road junction at the north end of the proposed works. A public consultation is currently underway and will report back in 2018.
- **Shrubhill station** - small development on the site of the old Leith Walk train station
- **New Kirkgate** - potential redevelopment of legacy shopping centre
- **Leith Walk Bridge** - a bridge replacing the old railway bridge (which has already been removed) to improve cycling access across Leith Walk

### 3.1.2 Analyzing and Understanding our Community

The aforementioned previous studies have provided a starting point from which to begin the community mapping process. However, in order to fulfill the commitment to creating an accessible environment - in which everyone who wishes to - can take part, the stakeholder-mapping tracker will be updated to reflect the current situation. This process is underway will complete by 21/12/2017. The tracker (Appendix A: Stakeholder Tracker) is a live document and will continue to be updated throughout the project. In compiling the tracker, the following actions have been carried out:

- A cross-functional was consulted in helping to identify our community. Individuals and organisations that were included in this fact-finding exercise were:
  - Business owners
  - Local workers
  - Residents
  - Visitors
  - Public utilities
  - Local community groups and representatives
  - Arts organisations
  - Interest Groups
  - Wider city-based organizations
  - Council Officers
- Use of online & printed business directories
- Local observations via field study

The process of mapping all stakeholders was completed in early December 2018

The next stage was to analyze and group each member to better understand the perspective they offer; to understand their relationship to the tram project and each other and to group each member so that engagement can be focused in a targeted manner. Each stakeholder identified was analysed as follows:

- Knowledge:
  - Contribution - does the stakeholder have information, counsel or expertise on the issue that could be helpful?
- Willingness:
  - How willing is the stakeholder to engage?
- Value:
  - Influence - how influential is the stakeholder?
  - Necessity - does this individual or organisation want to engage in the process?

### 3.1.3 Organizing

It is not practical and usually not necessary to engage with all stakeholder groups with the same level of intensity all of the time. Being strategic and clear about whom we are engaging with and why will ensure that time and resources are used effectively. In order to prioritise each stakeholder, the power/influence matrix has been employed to help distinguish what type and level of interaction is required for each community member.

Figure 2: The power/influence matrix





The position on the grid allowed stakeholders to be classified in respect of their power and influence over the project. The analysis is thus to be used to identify the needs of all community members (as identified in the process laid out on 3.1.1), understand how to manage their requirements and maintain a positive influence within the project.

**High power/High interest:** These are the community members that are likely to have most influence over the project. This group will be heavily engaged to win their support and commitment.

**High importance/low interest:** These community members will be kept informed of decisions; particularly those that may affect them directly.

**Low power/High interest:** These stakeholders will be consulted actively to gain their views and, where necessary, agreement.

**Low power/Low interest:** These community members may have little power and influence but form a group whose interest may increase as the project progresses and so should be kept informed throughout the process.

The following questions were used in order to determine the position of each community member on the power/interest grid:

- What are the motives of the community member?
- What are their financial interests in the project (positive or negative)?
- What are their emotional interests in the successful completion of the project (positive or negative)?
- What form and level of information is wanted or required to effectively communicate the project message?
- Who influences the stakeholders and is it necessary to identify these influencers as a stakeholder?
- How can we best manage those relationships that have potential difficulties?

## **3.2 Support**

### ***We will identify and overcome any barriers to participation***

As part of a commitment to ensure that each member of the community has an equality of access to take part, should they wish to do so, the project team will identify and overcome any barriers to participation.

The team are working closely with the Council Community Insight and Engagement Team and the Equality and Rights Network to ensure that all planned activities are accessible to all.

### **3.2.1 The Legal Context**

#### **3.2.1.1 The Equality Act 2010**

The purpose of the Equality Act is to ensure that everyone using a service has the right to be treated fairly. It protects people from discrimination on the basis of certain characteristics. These are known as protected characteristics and they vary slightly according to whether a person is at work or using a service.

The general equality duty requires public authorities in the exercise of their public functions, to have 'due regard' to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by or under this Act
- Advance equality of opportunity between people who share a protected characteristic and those who do not share it
- Foster good relations between people who share a protected characteristic and those who do not.

The Equality Act defines the second need (advancing equality of opportunity) as having due regard to the need to:

- Remove or minimise disadvantage suffered by people due to their protected characteristics
- Take steps to meet the needs of people with certain protected characteristics where these are different from the needs of other people
- Encourage people with certain protected characteristics to participate in public life or in other activities where their participation is disproportionately low.

#### **3.2.1.2 The Human Rights Act 1998**

Human rights are the fundamental freedoms and rights to which everyone is entitled. They are built on values such as dignity, equality, freedom, autonomy and respect. Public services need to have human rights at the heart of all areas of life including health, social care, standards of living, justice, safety and more.

The integration of human rights considerations into decision-making processes will support the transformation of public services to become more personalised and focussed on reducing inequalities and lead to good practice and a fairer and more equal society.

### **3.2.2 Issues to consider**

An Integrated Impact Assessment (Appendix B) has been carried out, with the following guidance emerging as a result:

### **3.2.2.1 Communication & Language**

- Communications should use the national standards for community engagement to ensure meaningful engagement with all populations affected by the proposal
- Language and images in any communications should be inclusive and appropriate and where relevant, presented in clear English format
- Those who are less articulate, have low education levels or poorer literacy skills may experience barriers to services and employment
- Where possible all technical aspects of the project will be simplified so that it is easy for all to understand
- Additional non-standard resources will be made available in a variety of formats: large print, braille, for colour blind, for people with dyslexia, BSL , audio & in languages other than English.

### **3.2.2.2 Logistics & Accessibility**

- Events and information sessions will be held at locations that are accessible to all and at various locations and time of day.
- This will act to ensure maximum participation opportunities for those who have prior commitments, reduced mobility or are time poor.
- Disabled people may require wheelchair access, or communication/information support such as induction loops, large print text, switches at accessible heights, interpreters, double appointments etc.

### **3.2.2.3 Expertise**

All staff members will be comprehensively trained based on course content and learnings provided by the Equality and Rights Network and will be benchmarked against a set of pre-determined KPIs:

- Has the engagement ensured that people are connected to each other?
- Has it promoted people from diverse communities coming together?
- Has the engagement increased positive connections between people in different groups?
- Has the impact promoted people having a meaningful role in the engagement?

### 3.3 Planning

*There is clear purpose for the engagement, which is based on a shared understanding of the community needs and ambitions*

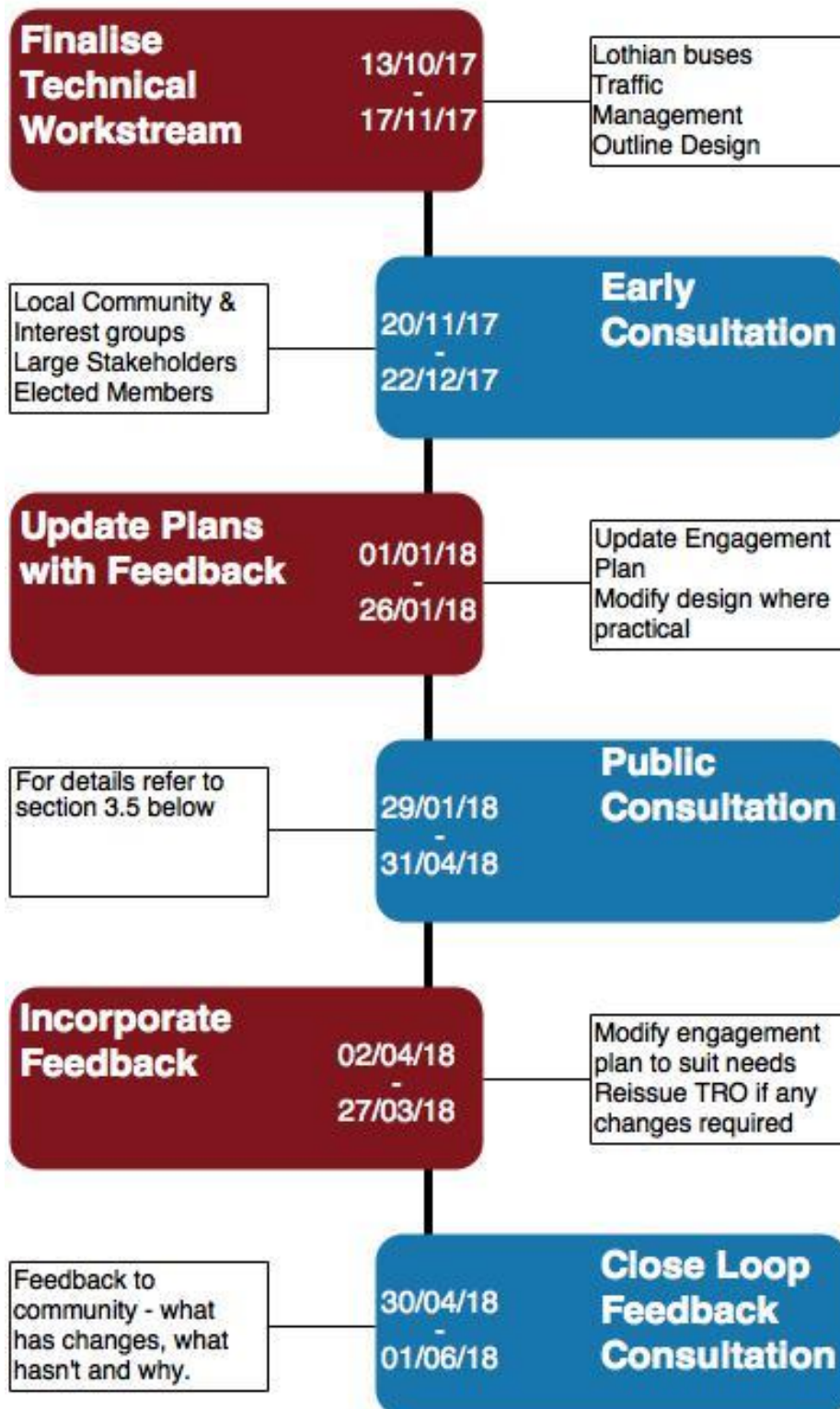
#### 3.3.1 Consultation

The purpose of the engagement is to help inform members of the community about the works that will take place over the proposed period of construction. This will include the re-siting of the current York Place tram stop to Picardy Place, the closure of three lanes of Leith Walk - a key urban arterial route linking the city centre with Leith - for 18 months, the closure of Constitution Street (the north end of which will remain open to tram traffic only once in operation) and works extending through land owned by Forth Ports within Leith Docks onto the terminus at Sandpiper Drive in Newhaven.

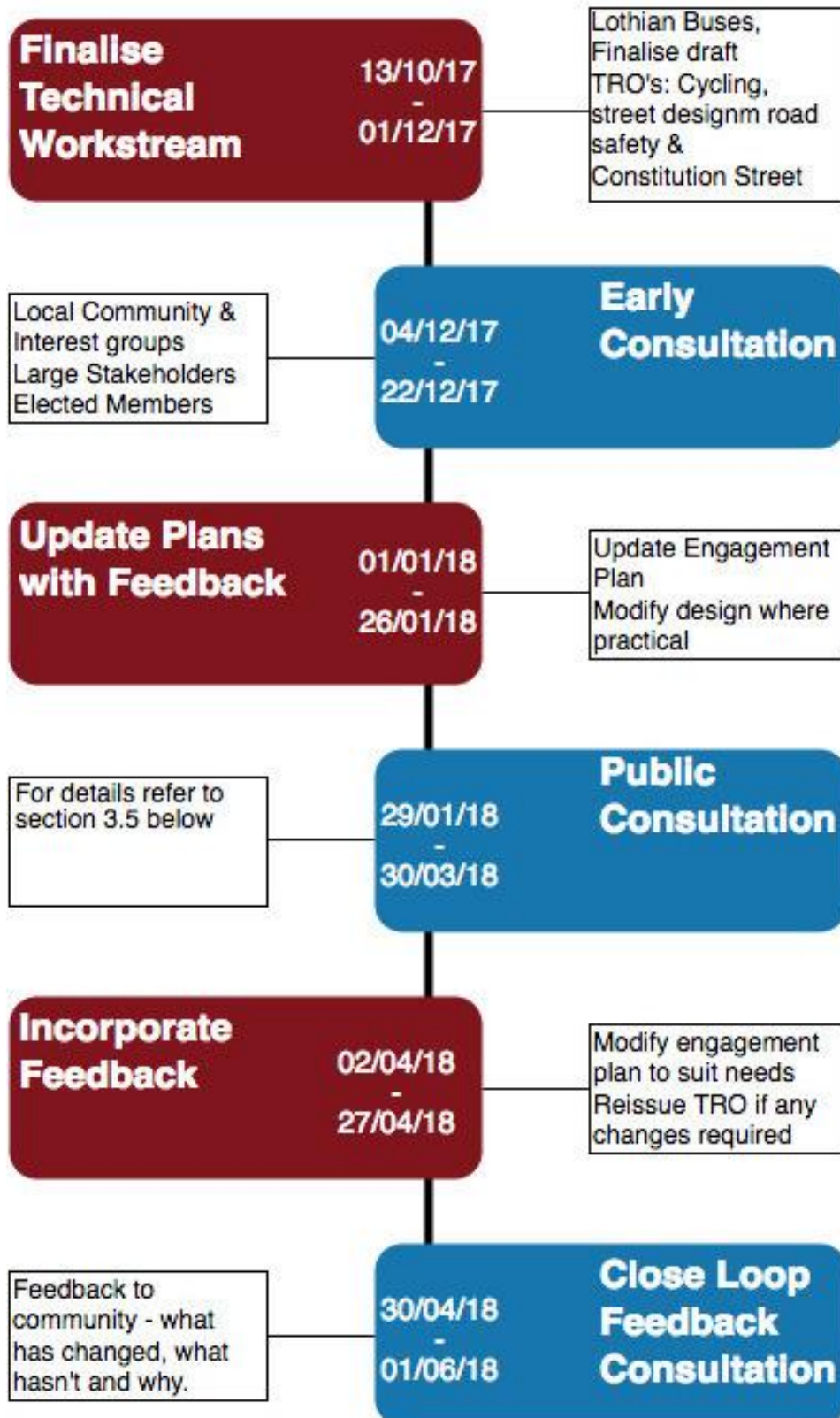
It is clear that the extent of these proposed works will lead to varying levels of disruption in the way that community members currently operate. To ensure that those affected are informed in advance of works commencing - and to give all of those who wish to feed into the process the opportunity to participate in local decision making on this issue - a series of public consultations/outreach programmes are proposed to run concurrently:

- Works Design - Road closures & Diversions (see 3.3.2)
- Permanent Design - Road Layouts & Public Realm (see 3.3.3)

### 3.3.2 Traffic Management - Road Closures & Diversions Timeline



### 3.3.3 Permanent Design Timeline



### **3.3.4 Pre-consultation Fact-Finding**

Before the full consultation begins, a series of fact-finding exercises are being undertaken to help better inform the overall process:

#### **3.3.4.1 Leith Wall Small Business Workshop/Constitution Street Workshop**

Preliminary discussions have been held with a group of business owners from the Leith Walk and Constitution Street areas. This has given the group the opportunity to be involved at the start of the process and feed into identifying and defining both the focus of the engagement and the proposals made for the traffic management works and permanent street-scape design.

#### **3.3.4.2 Leith On-Street/Tram Survey (Appendix C)**

An origin/tram attitudes survey has been carried out to help gain a better understanding of people's shopping & transport habits in and around Leith Walk.

The survey will be carried out by an outside organization – Progressive Partnership (PP) – a local company contracted by CEC to undertake such activities. PP have recently completed the on-street portion of the survey, with the results due to be delivered to the Council in December 2017:

#### **3.3.4.3 Trader Survey (Appendix D)**

This will act to help better understand the needs and requirements of local businesses; ensuring as minimal disruption to their day-to-day undertakings as is possible. To help Due to the sensitivity of this survey and the need create a strong relationship with local businesses, this survey stream will be created and conducted by the Tram project team. Questions will be formed around the following touch points:

- Business operating days and hours
- Nature of business
- Products/services that require delivery
- Items that are restricted/hazardous – do special arrangements need to be made for moving certain goods?
- Delivery details - days/dates/times
- Online/offline revenue split and footfall
- Marketing support help – What can we do help promote businesses during construction? Leith Walk screen/advertising boards/social/web?

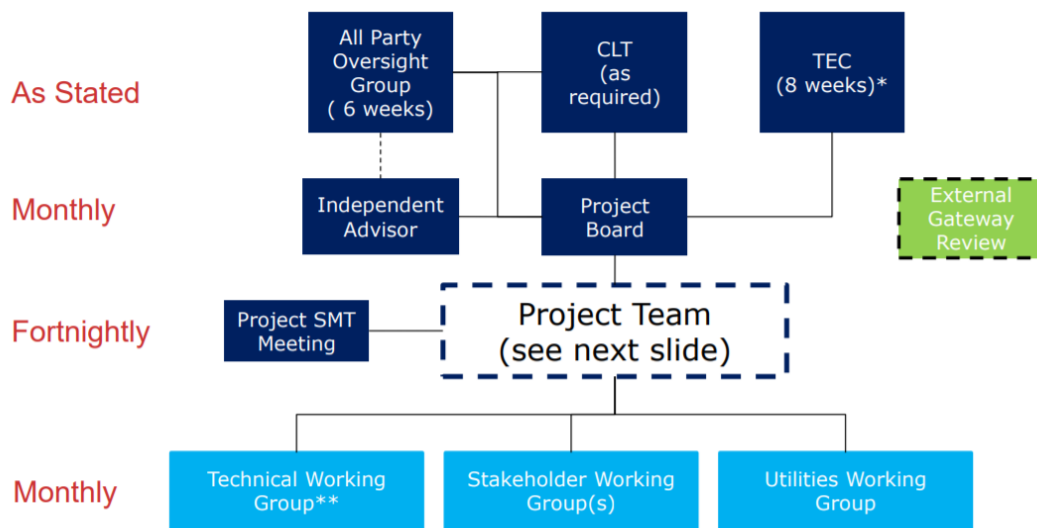
### 3.4 Working Together

***We will work effectively together to achieve the aims of the engagement***

As part of a commitment to work effectively together (both within the tram project delivery team and with our community) the team will be always be open and strive to provide information that is accurate, timely and easy to understand. Each member of the team has a clear and defined role as set out in the tram project governance structure:

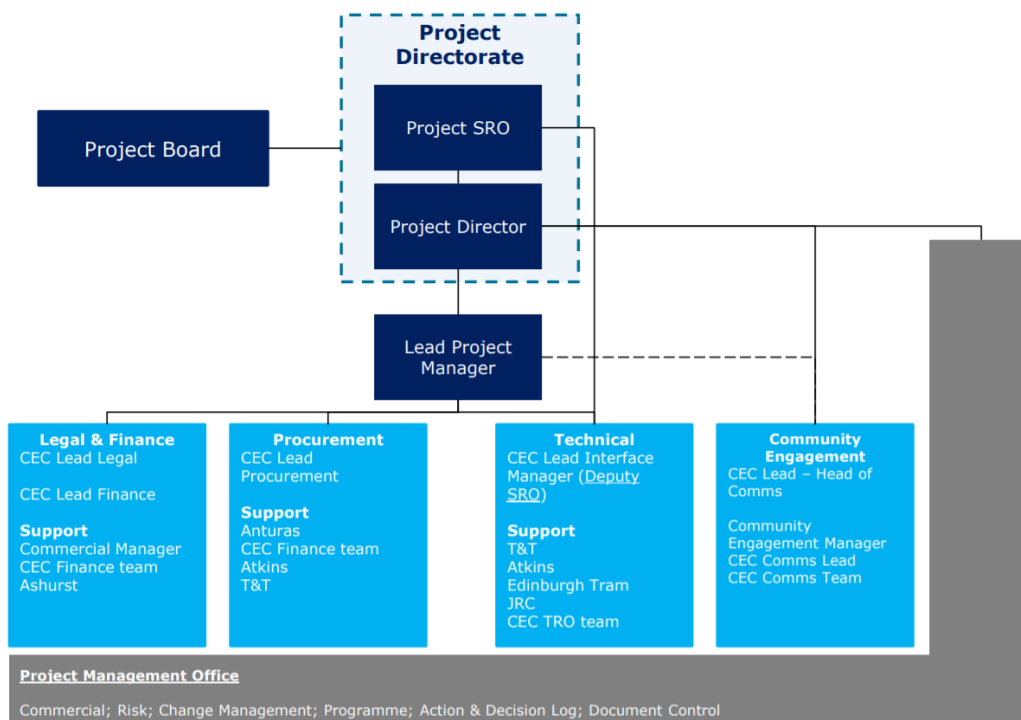
#### 3.4.1 Governance Structure

## Outline High Level Structure



\*A detailed "mid-term" report will also be provided to TEC in Spring 2018

\*\*Close working relationship with City Wide Traffic Group





### 3.5 Methods and Communication

*We will use methods of engagement that are fit for purpose*

*and*

*We will communicate early and regularly with the people, organisations and communities affected by the engagement*

Given the scope and potential effect of the proposed tram works, it is envisaged that a host of engagement methods will be employed to ensure ease of access to information.

The project team will be responsible for ensuring that information is disseminated to all relevant parties in as timely a manner as possible. The tram project communication plan maps out how known information will be communicated outwards. Contingency planning will also be built into the plan for those occasions where we are required to react at short notice. Key points are:

#### 3.5.1 Communications outline

There are two key stages for communications:

- Procurement process and up to the decision in Autumn 2018
- Post autumn 2018

This plan specifically deals with the procurement process and up to the decision in Autumn 2018 (stage 2). Further work on how we plan to communicate and engage post-Autumn 2018 will be carried out throughout 2018 with a direction of travel paper due to be published in August 2018.

#### 3.5.2 Key communication principles to be adopted

- Open and transparent
- Targeted
- Timely
- Messaging is consistent and accurate
- Communications of Tram to Newhaven project will be seen as part of the overarching improvements to the East of the city, including Edinburgh St James Development.

Communication formats and techniques are referenced later in this document.

### **3.5.3 Branding**

Tram to Newhaven is to be viewed as a CEC project therefore any materials produced will be Council branded.

A campaign 'look and feel' is currently being devised by an in-house team at the council and will report back in January 2018.

### **3.5.4 Press and media**

The Council will be responsible for all media releases, enquiries and interviews. The Council's Transport Convener will be the default spokesperson for all quotes.

### **3.5.6 Key messaging for Tram to Newhaven.**

#### **3.5.6.1 General**

- Council decided in 2015 to investigate the feasibility of taking Edinburgh Tram to Newhaven
- Social, economic and environmental reasons for doing this in the context of Edinburgh's projected population growth and current public transport provision.
- Lessons learned from the previous Tram to York Place project is helping inform this programme.
- The Council has entered into a procurement process to identify a contractor
- Cost is estimated at £165.2m
- A final decision on whether to proceed will be made Autumn 2018.

#### **Further information**

- Further to the Council's decision in 2015 to investigate the feasibility of taking Edinburgh Tram to Newhaven, a report went to Transport and Environment Committee on 4 September 2017 and then to full Council on 21 September 2017 on the suggested way forward.
- The report detailed the business case for taking Edinburgh Trams to Newhaven and sought approval in principle for the Outline Business Case and authority from full Council on 21 September 2017 to enter into a procurement exercise to identify a potential contractor for the project.
- A final decision on whether to proceed and with which contractor would be made in Autumn 2018 by Council.
- If the project goes ahead the construction will take approximately 3 years (quarter 2, 2022 for it being open to the public)
- The estimated cost of the project including construction costs, risk and inflation is £165.2m. This assumes a £20m extraordinary dividend from Lothian Buses paid over 5 years as previously set out in the 2015 outline business case.
- As the fastest growing city in Scotland with a population forecast to grow by 16% by 2037 and with the current transport system nearing capacity, it is appropriate the

Council looks at ways of enhancing the public transport system, the most inclusive form of transport.

- The Outline Business Case forecasts patronage on the trams to double in the opening year to 14m while Lothian Buses is projected to continue to perform strongly
- The Outline Business Case outlines how the project would be procured using best practice procurement methods while also incorporating lessons learned from the previous tram project
- Any further lessons that can be learned from the Lord Hardie enquiry will be incorporated into this project.
- The report outlines the planned traffic management approach that would be taken to deliver the project as quickly and as efficiently as possible.
- The Outline Business Case also confirms that a business compensation scheme will be put in place.
- Leith is an area of high population density and this is forecast to grow further over the next 20 years. Car ownership is low so looking at ways to enhance the public transport system is necessary to avoid congestion and improve air quality.
- Tram to Newhaven is expected to help deliver inward investment to the city and deliver jobs during construction. It will also support employment growth in the city which is forecast to increase by 7% by 2022
- Forms part of the overarching improvements to the East of Edinburgh, including Edinburgh St James.

### **3.5.6.2 Leith Stakeholders**

- Council decided in 2015 to investigate the feasibility of taking Edinburgh Tram to Newhaven
- Social, economic and environmental reasons for doing this in the context of Edinburgh's projected population growth and current public transport provision.
- Lessons learned from the previous Tram to York Place project is helping inform this programme.
- The Council has entered into a procurement process to identify a contractor
- Cost is estimated at £165.2m
- A final decision on whether to proceed will be made Autumn 2018.
- In the event Tram to Newhaven does go ahead a business compensation scheme will be put in place.
- Phases 5 and 6 of the Leith Programme will be put on hold until this decision is made. In the event Tram goes ahead, Leith Programme works will be incorporated into the Tram to Newhaven project.
- The Council will be updating you regularly on progress through email updates and regular drop in sessions – (engagement plan)

### **Further information**

- If the project goes ahead the construction will take approximately 3 years (quarter 2, 2022 for it being open to the public)

- The estimated cost of the project including construction costs, risk and inflation is £165.2m.
- If the project goes ahead, a contractor would start work in Spring 2019.
- Now that phase 4 of the Leith Programme is finished there will be no non-emergency works on Leith Walk until Spring 2019 in the event the project goes ahead.
- The proposed route goes down Leith Walk and Constitution Street, Ocean Way and along Ocean Drive to Ocean Terminal and beyond
- Currently over 6m people use the Tram – by taking it to Leith, this is forecast to increase to 14m, while Lothian Buses is also projected to continue to perform strongly.
- Leith is an area of high population density and this is forecast to grow further over the coming years. Car ownership is low so looking at ways to enhance the public transport system is necessary to avoid congestion and improve air quality.
- The planned traffic management approach will be that which delivers the project as quickly and as efficiently as possible. How this will be delivered will become clearer in the event a contractor is appointed to take the project forward.
- The Outline Business Case also confirms that a business compensation scheme will be put in place.
- Forms part of the overarching improvements to the East of Edinburgh, including Edinburgh St James.

Further information can be found in the Frequently Asked Questions (FAQs) which is appended to the document along with a Powerpoint presentation on Tram to Newhaven (Appendix E).

It should be noted that key messaging around specific issues may need to be developed during the course engagement on the Tram to Newhaven project.

### **3.5.7 Communication Methods**

A variety of engagement methods are proposed, each of which will be incorporated into the overall communications plan for the project:

#### **3.5.8 Face-to-Face**

##### **One to One Briefings**

To be used for information that is relevant to a specific community member, or for confidential information to be communicated to a stakeholder.

##### **Regular Meetings**

To be held with community members whose interest in the project is high and who stand to be impacted not only by the end outcome but also the works on-going. Regular meetings provide opportunity for these community members to air opinions and gain information from the project team, allowing for actions to be set and completed prior to the next meeting in the cycle. Utilities companies and neighbouring major projects, such as the ESJ, will benefit from regular stakeholder update meetings on the progress of the project.

### **Meet the Team Events**

A timetable of on-street events such as opportunities to meet the team, where members of the public can put questions directly to the project team, will be created and will run on a number of occasions during the consultation process.

### **Workshops**

Open sessions that encourage collaboration. Useful at project outset as it invites an open discussion and often serves to bring to the fore issues and concerns that otherwise would not be aired.

### **Discussion Forums**

Discussion forums are to be used to communicate to a group of community members who share similar power or interest on the project / interface with each other. This serves to ensure that although many parties may be represented, there is not an overwhelming difference of opinion which might hinder progress. To be arranged as and when required. Senior representatives of utilities companies or local council groups could serve to benefit from this type of communication.

### **Presentations**

To be communicated when a specific piece of key information needs to be delivered. This may be around particular milestone / phase in the project or issue arising. A presentation can involve numerous community members or several representatives from one community member. Formal question and answer will be encouraged.

### **Adhoc Meetings**

Adhoc meetings will be called to deal with any issues that arise that either concern a stakeholder or stakeholders not in regular direct contact, or are of an urgent nature and requiring to be dealt with prior to the next scheduled meeting. These meetings will be coordinated and led by Turner & Townsend

### **Tram Information Point**

A dedicated Tram Information point will be considered during the lifecycle of the project. This could take the form of a retail unit on the route, dedicated surgeries in local libraries or a mobile information unit that can be taken to various points across the route, thus being the best option in terms of accessibility. The benefits of each will be considered with a final decision being made in mid-2018.

### **3.5.2 Offline**

#### **Direct Mail**

To be used for communicating updates to parties whose interest determines they should be kept informed on project progress, such as local residents and small businesses. This will typically relate to road and lane closures, bus route diversions etc.

#### **Quarterly Magazine**

There exists an opportunity to create a project magazine. This could be used to both inform the public and local business and promote local business on the affected route. The magazine concept will be investigated in the coming months, with a decision based on cost/effectiveness made by the end of January 2018.

#### **Press Releases**

Stories commanding media interest are to be determined and communicated via the council's team. A detailed strategy for the release of information to the press is currently being developed by the CEC Communications Team to align with the key decisions process by the council with regard to the project.

### **3.5.3. Online**

#### **Email**

Existing email information held by the Leith Programme will be utilised as a starting point for a tram project database. All relevant legislation relating to the transfer and use of email data will be adhered to, with lists scrubbed of all data as per 3<sup>rd</sup> party permissions.

A sound email policy will form an important aspect of the tram project's communication strategy and so a bespoke email plan - both in terms of content & list growth - will be developed ahead of the start of the official public consultation in January.

#### **Social Media**

A detailed social media strategy is currently in development for the project. In doing so, best practice from other global operators who are or have recently gone through a period of works will be investigated and any relevant learnings incorporated into the overall strategy. Platforms/primary use will be as follows:

- LinkedIn - technical blogs, peer-interaction, best-practise learning/sharing and key milestones
- Facebook - event updates, meeting outcomes, Q&A sessions, images & videos
- Twitter - event updates, technical blogs, peer-interaction, Q&A sessions & images
- Youtube - time-lapse videos, community promotion, live streams

It is expected that all social media platforms will be active and gaining momentum ahead of the planned consultations streams commencing in January 2018.

## **Web**

At the outset, information will be available to the public via dedicated pages held on the CEC website. A dedicated website will also follow in due course. Any website build will be created with community at its heart - ensuring accessibility, ease of use and frequently updated and improved.

## **3.6 Impact**

***We will assess the impact of the engagement and use what has been learned to improve our future community engagement***

### **3.6.1 Key Performance Indicators (KPIs)**

The tram community engagement team aim to continually measure the impact of the proposed engagement. KPIs will cover a wide variety of interactions through consultation and construction. Metrics that will be employed to measure impact will be:

### **3.6.2 Short- Medium-Term**

- **Online surveys** will be conducted every quarter with more detailed focus groups every 6-12 months and split into three groups: residents, business and community groups. This will allow the team to benchmark against agreed service standards and improve where necessary. Areas to be covered are:
  - The engagement process - quantitative
  - Information flow - quantitative
  - General feedback and concerns – qualitative
- **Social**
  - Follower/active followers, reach, engagement (likes, Retweeets, clicks), influence, share of voice (measured against similar projects)
- **Email**
  - Acquisitions, open rates, click through rates, unsubscribes
- **Web**
  - Traffic, source, bounce rate, page views, engagement

### **3.6.3. Long-Term**

It is hoped, at the end of the engagement process, that participants will have had the opportunity to improve their skills and confidence and to have increased their likelihood of taking part in future community engagement projects. This will be measured throughout the process by tracking a pre-selected group of stakeholders (residents, businesses and community groups) who - it would be assumed - will maintain an interest in the overall project throughout its lifecycle. At the end of the consultation process, it is the aim of this engagement to create a legacy of informed, active and empowered community members.

#### **3.6.4 Always Improving**

A commitment will be made to continually review actual results vs. KPIs and to always strive to improve where standards do not meet targets set. As and when metrics are published they will be accompanied by commentary from the community engagement team that will demonstrate an understanding of where improvements are needed and the actions that will be taken to meet pre-determined standards. The metrics and commentary will also provide an opportunity to share good news when standards have been met.

#### **3.6.5 Closing the Loop Feedback**

Participants will be invited to give feedback on the overall consultation process to help understand what can be improved upon. Feedback will then be provided to the wider community on how the engagement process has influenced decisions and what has changed as a result of their participation.

Both the 'Traffic Management - Road closures & Diversions' and 'Permanent Design - Road Layouts & Public Realm' consultation streams will be reviewed in terms of quality of the engagement and any lessons learned will be used to inform the ongoing 'General Project Updates'.



## Appendices

### Appendix A – Stakeholder Tracker (example)

Ref	Stakeholder Group	Stakeholder	Type of Agreement	Contact Name	Stakeholder Objectives	Power	Interest	Rating	Strategy	Method of Communication	Frequency	Communication Owner
						High/Low	High/Low					
1	Local Business	ADM Milling Ltd	Third Party	TBC	Maintenance of staff and site delivery access by entering Western Harbour Road from Ocean Drive.	L	H	LH	keep satisfied	Website Newsletter / letters Press releases Adhoc meetings	N/A	Steven Jackson / Ben Duerden
2	Public Sector Body	British Transport Police	Third Party	TBC	Correct power of contract for police services. 2 objections made in relation to the original Tram Bill in 2004.	L	L	LL	monitor	Website Newsletter / letters Press releases	N/A	Steven Jackson / Ben Duerden
3	Utilities	British Telecom	Third Party	TBC	To be informed of all material matters concerning advance diversion works that affect BT.	H	H	HH	manage closely	One to one briefings Regular meetings Events (seminars, workshops etc.) Discussion forums - joint utilities group (JUG)	Monthly (JUG)	Steven Jackson / Ben Duerden
4	Utilities	Vodafone (previously Cable & Wireless)	Third Party	TBC	To be informed of all material matters concerning advance diversion works that affect Vodafone.	H	H	HH	manage closely	One to one briefings Regular meetings Events (seminars, workshops etc.) Discussion forums - joint utilities group (JUG)	Monthly (JUG)	Steven Jackson / Ben Duerden
5	Utilities	Easynet Telecoms Ltd	Third Party	TBC	To be informed of all material matters concerning advance diversion works that affect Vodafone.	H	H	HH	manage closely	One to one briefings Regular meetings Events (seminars, workshops etc.) Discussion forums - joint utilities group (JUG)	Monthly (JUG)	Steven Jackson / Ben Duerden
6	Local Business	Forth Ports	Third Party	Ian Kerr	To be informed of all matters affecting operation of Port and surrounding area - <b>Road 8 Inclusion</b> - <b>Western Harbour</b> : minimisation of the tram track to within 10m through this area. - <b>Ocean Terminal</b> : minimisation of disruption in this area and desire for the route to remain true to that which was originally intended. - <b>Sewer Conflicts</b> - to be addressed.	H	H	HH	manage closely	One to one briefings Regular meetings Events (seminars, workshops etc.) Discussion forums	TBC following initial contact	Steven Jackson / Ben Duerden
7	Heritage	Historic Environment Scotland	Third Party	TBC	General interest in all listed buildings, ancient monuments and other archaeological works that run along the route. Including the Constitution St church wall. Primary objections to the Tram Line One Bill 2006 were: - Legal status should be given to the Design Manual - Section 69 to be removed from the Bill	H	H	HH	manage closely	One to one meetings Discussion forums	TBC following initial contact	Steven Jackson / Ben Duerden
8	Public Sector Body	Network Rail	Third Party	TBC	Protection of existing assets that run in close proximity to / interface with proposed tram route. Specifically Leith Walk railway bridge.	H	H	HH	manage closely	One to one meetings Discussion forums	TBC following initial contact	Steven Jackson / Ben Duerden
9	Utilities	Virgin Media (formerly NTL)	Third Party	TBC	Protection of buried services that run in close proximity to / interface with proposed tram route.	H	H	HH	manage closely	One to one briefings Regular meetings Events (seminars, workshops etc.) Discussion forums - joint utilities group (JUG)	Monthly (JUG)	Steven Jackson / Ben Duerden
10	Retail	Ocean Terminal	Third Party	Dennis Jones	Protection of land and access routes, specifically that listed as Plot 70 in Section 22 of the Tram (Line One) Bill	H	H	HH	manage closely	One to one briefings Regular meetings Events (seminars, workshops etc.) Discussion forums	TBC following initial contact	Steven Jackson / Ben Duerden
11	plc	Royal Mail	Third Party	TBC	Delivery and collection of mail and access to all Royal Mail post offices along the proposed route.	L	L	LL	monitor	Website Newsletter / letters Press releases	TBC following initial contact	Steven Jackson / Ben Duerden
12	Heritage	Royal Yacht Britannia	Third Party	TBC	Maintenance of and access to and operation of the Royal Yacht Britannia	H	H	HH	manage closely	One to one briefings Regular meetings Events (seminars, workshops etc.) Discussion forums	TBC following initial contact	Steven Jackson / Ben Duerden
13	Utilities	Scottish Water	Third Party	TBC	Protection of water and sewerage assets below ground that ensure uninterrupted service provision.	H	H	HH	manage closely	One to one briefings Regular meetings Events (seminars, workshops etc.) Discussion forums - joint utilities group (JUG)	Monthly (JUG)	Steven Jackson / Ben Duerden

## **Appendix B – Integrated Impact Assessment**

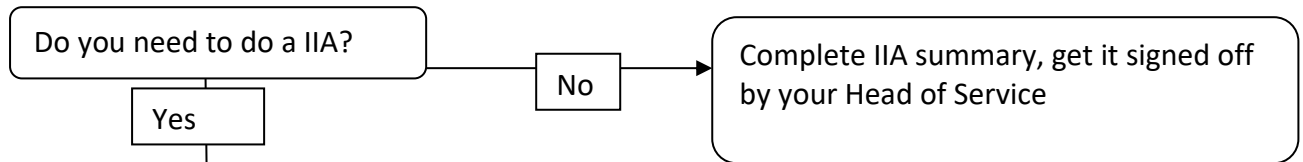
### **INTEGRATED IMPACT ASSESSMENT Guidance**

A guide to doing Integrated Impact Assessment (IIA) for Councils,  
Health & Social Care Partnerships and Health services in the Lothians

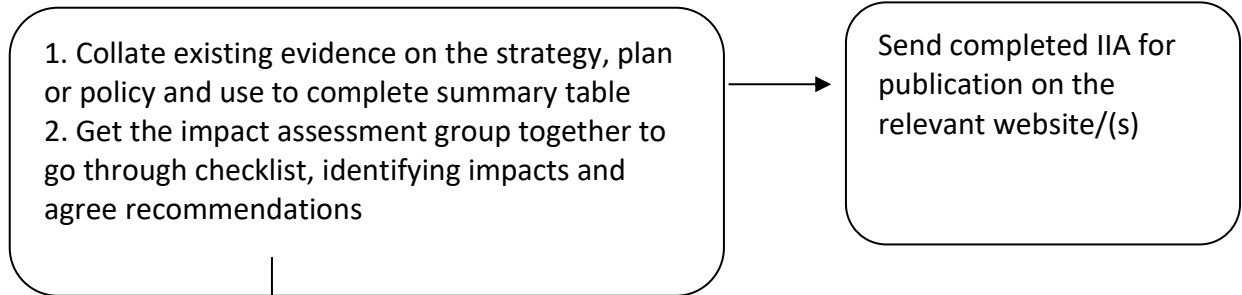
March 2015

# Integrated Impact Assessment – Flowchart

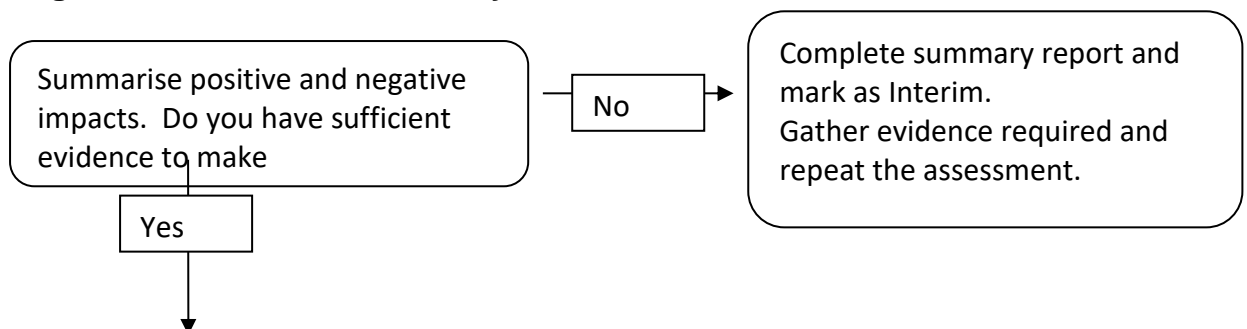
## Stage 1: Identify if an Integrated Impact Assessment is needed



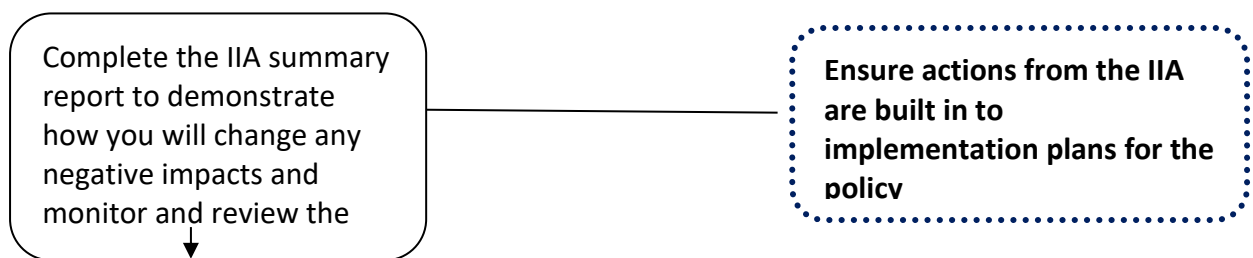
## Stage 2: Undertake Integrated Impact assessment



## Stage 3: Consider the results of your assessment



## Stage 4: Act upon the results of the IIA



## Stage 5: Sign Off



## Stage 6: Publication



# Section 1 What is Integrated Impact Assessment

## 1.1 Introduction

Chief Executives, Elected Members, Directors, Heads of Service, managers and all staff need to recognise that what they do and the decisions they make every day profoundly influences the health and wellbeing of our diverse community in Lothian.

Integrated Impact Assessment (IIA) aims to enable the partners<sup>1</sup> to meet the legal duties to consider equality, human rights, sustainability and the environment<sup>2</sup> in planning decisions. It also creates an opportunity to identify and tackle unanticipated impacts on wider causes of poor outcomes in our communities, such as inadequate housing, low educational achievement, low income, transport and pollution, poverty, stigma and social inequality.

**This guidance** to completing the Integrated Impact Assessment has been developed in collaboration between the four local Lothian authorities and NHS Lothian. It takes you through the process of undertaking an IIA. The supporting information document contains additional information on the policy and legal context, recent case law, how to test for relevance, population groups and social and environmental issues and examples of positive and negative impacts.

## 1.2 Why is Integrated Impact Assessment required?

Assessing impact is an important part of the public sector's decision making process. It is important in developing any proposal to understand how the needs of different groups in the population may differ. IIA is a mechanism which enables you to consider the needs of different groups. It enables us to:

- Develop better policies and practices, based on evidence
- Prevent or mitigate negative impacts on determinants of social and health inequality
- Take joint action on key social policy areas including equality and human rights, poverty and the economy
- Meet legal requirements in relation to equality, sustainability, the environment and the need to promote human rights in all areas of life
- Consider the potential to advance/hinder the wellbeing of children and young people<sup>3</sup>
- Be more transparent and accountable.

We have a legal requirement to assess our proposals for equality impact to ensure that we do not unlawfully discriminate. As partners we have agreed that all new policies, plans or strategies should have an integrated impact assessment which can

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<sup>1</sup> Partners include the Councils, NHS and other public and voluntary sector agencies in Lothian.

<sup>2</sup> The IIA enables consideration of whether there is a requirement for an Environmental Impact Assessment as defined by the Environmental Impact Assessment (Scotland) Act 2005

<sup>3</sup> The Children and Young People's (Scotland) Act 2014 places a duty on the public sector to promote the rights of children and young people

be used by all partners in Lothian thus reducing duplication of effort and enhancing the assessment process through joint working.

In addition, we are committed to **3 core objectives**:

- To plan services and policies which promote equality of opportunity; eliminate discrimination and harassment; and promote good relations between those with protected characteristics and those with none
- To address broader inequalities. This means we want to ensure that policies meet the needs of all people including children and young people , especially those from population groups that are known to have poorer outcomes
- To identify and address wider impacts on poverty, health and health inequalities in our policies, plans and strategies. For example employment, education, transport, the built environment, purchasing policies, public safety, waste disposal all have wider impacts on people's health, wellbeing and life experience.

Once the IIA has been completed, the proposal revised to mitigate any negative impacts which were identified, the IIA has been signed and made available to the public on the internet you will have met your legal requirements to:

- Undertake an Impact Assessment on equality, human rights including the rights of children and young people, the environment and climate change
- Consider sustainability as part of the decision making process
- Identify whether a Strategic Environmental Assessment (SEA) is required
- Ensure that public services and economic decisions promote human dignity for all<sup>4</sup>
- Identify and mitigate against some of the socio-economic factors that have the largest impact on the health and well-being of the local community.

### **1.3 Completing an Integrated Impact Assessment (IIA)**

Guidance on the process is given in Section 2. In summary, it involves the following:

1. **Gather relevant data and evidence** about the needs and experiences of people with protected characteristics and those vulnerable to experiencing poverty and ill health in the context of the work you are undertaking.
2. **As a group exercise**, go through the IIA template to think critically about how your proposal will meet the needs of and impact on different groups of people

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<sup>4</sup> A human rights based approach emphasises participation, accountability, non-discrimination, empowerment and legality. This has several benefits: upholding the rights of everyone, supporting person-centred services, helping good decision making, improving institutional culture and relationships, ensuring legal compliance and promoting best practice. For children and young people's rights include participation, provision and protection.

including those with protected characteristics<sup>5</sup> and impact on Human Rights, sustainability and the environment. Consider whether further evidence is needed before making recommendations. This group process should take no longer than two hours.

3. **Review and record** the results of your assessment and plan, take action and set review dates to address any issues identified. This helps towards meeting the specific duty in equalities legislation to mainstream equalities in all the work the public sector is involved in.
4. **Publish** the finalised IIA on your public internet site to comply with equalities legislation.

#### **1.4 Terminology**

This guidance uses the term 'proposal' as shorthand for any activity that you undertake as part of the work you do. It should be understood broadly to embrace the full range of your plans, programmes, strategies, policies, criteria, functions, practices and activities, including the delivery of services.

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<sup>5</sup> Protected characteristics under the Equality Act include: age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sexual orientation and sex.

## Section 2 Undertaking an Integrated Impact Assessment

### 2.1 What should I impact assess?

The first stage is to consider whether a full assessment is required. If you answer yes to any question in the high relevance category, then an IIA is required. If you identify that an IIA is not required then you need to explain why/how you have reached this decision.

High Relevance	Yes/no
The proposal has consequences for or affects people	
The proposal has potential to make a significant impact on equality even when this only affects a relatively small number of people	
The proposal has the potential to make a significant impact on the economy and the delivery of economic outcomes	
The proposal is likely to have a significant environmental impact	
Low Relevance	
The proposal has little relevance to equality	
The proposal has negligible impact on the economy	
The proposal has no/minimal impact on the environment	
<b>If you have identified low relevance please give a brief statement of your reasoning and report this to your Head of service. Please then attach this paragraph to the section in the management report where Impact on Equality is considered.</b>	

**NB** You should always consider the **cumulative impact** on your services or service reviews. E.g. what is the impact if you make a number of changes across different proposal areas?

For further advice on checking relevance see Section 3 in the Supporting Information.

### 2.2 When should I do an impact assessment?

Assessing the impact is not an end in itself but should be an integral part of proposal development and decision making. The regulations emphasise that it is the **impact** of applying a new or revised proposal that must be impact assessed.

This means that the assessment process must happen **before** a proposal is finalised, preferably early in its development but when the proposal is clear enough to be able to make a reasonable assessment. If the proposal then changes significantly the IIA may need to be repeated. The assessment cannot be retrospective, or undertaken only near the end of the process, but instead should be seen as integral to the development process and able to inform the consultation process.

For existing policies or strategies, impact assessment should be undertaken when they are being reviewed or amended. The IIA should be undertaken before any changes are agreed.

### 2.3 Who is responsible for doing an Integrated Impact Assessment?

The people responsible for developing a new proposal, or delivering a service are responsible for undertaking the assessment. Recent legal cases highlight that the duty cannot be delegated – it must be considered by the person with the ultimate responsibility for the proposal or the service and for the decision to implement the proposal. Therefore the relevant Head of Service or NHS Project Lead needs to be aware that the IIA is being undertaken and **must sign off the final document**.

### 2.4 Participation/Involvement and Evidence

Gather existing evidence on the policy, plan or strategy and how it may affect different groups. [Use Table 6 in Section 4](#) to summarise what it tells you.

**Circulate the completed table to all participants in the group exercise in advance of the IIA meeting so that it can inform the discussion and be reviewed.**

During the meeting the group should consider whether further evidence is needed to understand impacts and inform recommendations. In this case you should identify how this evidence can be collected.

### 2.5 How to do an Integrated Impact Assessment

Carrying out an IIA is a group exercise. The IIA group should include those involved in developing the policy, plan or strategy and bring together different perspectives on the topic being discussed. A sound understanding of what is proposed is essential to allow the IIA to be completed successfully. At least one member of the group should have undertaken training on how to undertake an Integrated Impact Assessment. Ideally the group should include:

- the person who wrote the plan, proposal or strategy
- the person who has strategic responsibility for it
- a person who will implement it
- a person with an operational or front line perspective

plus

- it is good practice to invite an employee representative and/or HR colleague particularly where the proposal will have an impact on service delivery or will impact on staffing arrangements or other workforce issues
- unless in exceptional circumstances the group should consist of at least four people to bring a broad perspective, and include people with protected characteristics where there are gaps in evidence

### 2.6 Identifying impacts

The group should get together to go through the checklist systematically. The checklist is given in [Section 3](#) of this document. It is intended to help you to critically consider the possible impacts on different groups in the community. Your comments



should focus on how the policy will **meet the needs of and impact on** different groups and circumstances.

The template asks you to critically consider the impact of the policy on equality, human rights, social, environmental and economic objectives.

**IIA is not** a way of gathering new evidence or a part of the consultation process. These are separate activities which may help to inform the impact assessment as well as the development of the proposal.

**NB** A service provided to all people will not necessarily address inequality. It is important to remember that some people will fall into multiple groups e.g. many people will have more than one protected characteristic e.g. age, disability, ethnicity and sex. Some other groups will share the same concerns or barriers to services or participation.

The checklist includes factors that influence people's health, wellbeing and human rights. Health and wellbeing are not only affected by people's individual lifestyles but also by their families, social circumstances and the environment in which they live and work and the amount of control they have over decision making.

The check list is not exhaustive. If you can identify other populations who will be impacted or other kinds of impact, they should be considered here also.

Think about:

- Who is likely to be directly affected by the proposal?
- Who is likely to be indirectly affected by the proposal?
- Is it likely that some people might be excluded from the proposal?
- Are there any unintended consequences for children and young people in a proposal designed for adults?
- How will you communicate with people about what is being proposed?

The reference document contains information on the legal context and some issues to consider relating to the population groups and issues in the checklist.

### **2.6.1 Positive Impact**

An impact that could improve or support work towards the objectives listed. The positive impact may be different for people with one or more protected characteristic. This is permissible but you must always be able to demonstrate that positive impacts are justifiable in law and do not amount to discrimination, direct or indirect. You can also identify how the work will contribute to advancing equality.

For example: A targeted health improvement campaign for young men between the ages 16 to 24 would have a positive impact on this age group, compared with its impact on other age groups. It would not however have a negative impact on other age groups or women, so long as there is evidence that young men in that age group are disadvantaged (an example of positive action to address a current inequality).

### 2.6.2 Negative Impact

An impact that does not support or hinders the achievement against the objectives identified.

For example: Holding a public meeting as part of a consultation exercise in a building that is not accessible and does not contain an induction loop system will have a negative impact on attendees with poor mobility and those who use hearing aids.

## 2.7 Services delivered on behalf of the Public Bodies

Public bodies cannot abdicate or delegate their responsibility for meeting the public sector equality duty by 'contracting out' functions. Where a partner's functions will be carried out by an external supplier, both the partner and the contractor have joint responsibility for meeting the duty. If an external organisation is carrying out functions on behalf of the partnership, then you need to make sure that equality is given due regard<sup>6</sup>. As part of the impact assessment, identify if any part of the service will be delivered externally and if so, consider how equality and human rights have been considered as part of the procurement process.

## 2.8 Summary of Impacts

Having considered the evidence and **critically considered** the potential impacts, the group should decide whether it needs further evidence to determine likely impacts or make recommendations. If further evidence is to be gathered this could be marked as an interim IIA and be finalised when this evidence has been gathered. If the evidence is considered to be sufficient the group should discuss and agree a summary of the positive and negative impacts identified and recommendations. In times of financial constraint, public sector partners will have to make difficult and often unpopular decisions regarding funding and service provision. The Public Sector Equality Duties do not prevent the partners making these decisions. The impact assessment process aims to identify potential adverse impacts or missed opportunities to address any inequitable loss of service. In this instance the Equality and Human Rights Commission<sup>7</sup> will be looking for steps you have taken or considered to mitigate any adverse impacts. Some useful questions to consider:

- What actions are required to improve the proposal as a result of the IIA?
- How will the proposal be monitored after full implementation and how will you ensure that the recommendations made in the IIA are effective?

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<sup>6</sup> Those organisations subject to the Public Sector Equality Duty must have due regard to its three general duties in all aspects of carrying out business decisions and day-to-day activities e.g. : eliminate discrimination, advance equality of opportunity and foster good relations.

<sup>7</sup> The Equality and Human Rights Commission Scotland has a mandate from the Government to challenge discrimination, and to protect and promote human rights. It has responsibilities to hold the public sector to account on its actions to meet its general and specific duties under equalities legislation

- Have you planned reviews of the proposal? If so, how often and who will be responsible?

If the proposal shows **actual or potential unlawful discrimination** you will only be able to meet your legal obligations under the duties by stopping, removing or changing the policy.

## 2.9 Communicating Information

The checklist asks you to consider communication issues relating to the proposal. This may include consultation and engagement about the proposal and/or about the service once it is in place. Consider ways to ensure this is inclusive for all members of the community including children and young people, people with sensory impairment, people with low literacy and for whom English is not their first language.

## 2.10 Action Plan

Following the group exercise, the person responsible for the proposal should use the recommendations to prepare a detailed action plan and build these into the implementation of the proposal.

## 2.11 Follow up

Integrated Impact Assessment should inform future monitoring of the policy. The true impact of a proposal may only become clear once it is implemented or operating in practice. Existing and normal monitoring practices may need to be adapted to include the monitoring of impacts on people with protected characteristics, other vulnerable groups, human rights and meeting the general equality duties, the environment, and sustainability.

## 2.12 Sign Off, Paperwork and Publication

The IIA report form, [Section 4](#), should be used when reporting impact assessments. Please complete the form electronically. Please note that all IIAs are required to be published on the relevant organisations' external internet site by each of the partners and therefore authors must ensure that the information is presented clearly and in plain language that can be easily understood by the general public.

The relevant Head of Service or Project Lead needs to be aware that the CIA is being undertaken and **must sign off the final document**.

Once completed, the impact assessment report should be sent to the relevant contact(s) in [Section 5](#) of this document.

## 2.13 Quality Assurance

A sample of IIAs will be checked by an IIA quality assurance group which includes colleagues working on equality, sustainability, health inequality and tackling poverty to ensure that IIAs are completed to a suitable and consistent standard. The QA team will use the following criteria to check the IIA reports.

Criteria	Tick
Overall, the IIA is understandable and set in context	
The need for an IIA was identified appropriately	
There is evidence that all relevant populations were considered	
There is evidence that all parts of the IIA were completed appropriately	
There are no obvious impacts that were not identified	
There is an action plan to implement any recommendations arising from the IIA and it specifies how these will be monitored	
The appropriate person has signed off the IIA	
Any relevant reports to committee contain the appropriate reference to IIA	
Any further considerations	

Feedback will be given to the lead person for the IIA report. This may include the need for minor adjustments, follow up action or other recommendations.

## Section 3 Integrated Impact Assessment Checklist

This checklist does not form part of the final IIA report but is intended to inform the group discussion. Please use the boxes provided to write your ideas down before discussion within the group. For further support see the IIA guidance and supporting information.

1. Before going through the checklist, consider:
  - What do you think will change as a result of this proposal?
  
2. Now consider impacts on different populations.
  - Which groups will be affected?
  - Go through the checklist below to identify how different people could be affected differentially, and possible areas of impact.

Population Groups	Differential impacts
<p>People with protected characteristics</p> <ul style="list-style-type: none"> <li>• <b>Older people and people in their middle years</b></li> <li>• <b>Young people and children</b></li> <li>• Women, men and transgender people (includes issues relating to pregnancy and maternity including same sex parents)</li> <li>• Disabled people (includes physical disability, learning disability, sensory impairment, long-term medical conditions, mental health problems)</li> <li>• Minority ethnic people (includes Gypsy/Travellers, migrant workers, non-English speakers)</li> <li>• Refugees and asylum seekers</li> <li>• People with different religions or beliefs (includes people with no religion or belief)</li> <li>• <b>Lesbian, gay, bisexual and heterosexual people</b></li> </ul>	

Population Groups	Differential impacts
<ul style="list-style-type: none"> <li>• <b>People who are unmarried, married or in a civil partnership</b></li> </ul>	
<p><b>Those vulnerable to falling into poverty:</b></p> <ul style="list-style-type: none"> <li>• Unemployed</li> <li>• People on benefits</li> <li>• Single parents</li> <li>• Vulnerable families eg young mothers, people experiencing domestic abuse, children at risk of statutory measures</li> <li>• Pensioners</li> <li>• Looked after children and young people</li> <li>• Those leaving care settings (including children and young people and those with illness)</li> <li>• Homeless people</li> <li>• Carers (including young carers and carers with protected characteristics)</li> <li>• Those involved in the criminal justice system</li> <li>• Those living in the most deprived communities</li> <li>• People with low literacy/numeracy</li> <li>• People misusing substances</li> <li>• Others e.g. veterans and students</li> </ul>	
<p><b>Geographical communities</b></p> <ul style="list-style-type: none"> <li>• Rural/ semi rural communities</li> <li>• Urban Communities</li> <li>• Coastal communities</li> <li>• Business community</li> </ul>	
<p><b>Staff</b></p> <ul style="list-style-type: none"> <li>• Full-time</li> <li>• Part-time</li> </ul>	

Population Groups	Differential impacts
<ul style="list-style-type: none"> <li>• Shift workers</li> <li>• Staff with protected characteristics</li> <li>• Staff vulnerable to falling in to poverty</li> </ul>	

3. Consider how your proposal will impact on each of the following from both an equalities and human rights perspective.

Objectives	Positive/negative impacts
<b>Equality and Human Rights</b>	
Eliminate discrimination and harassment	
Advance equality of opportunity e.g. improve access to and quality of services	
Foster good relations within and between people with protected characteristics	
Enable people to have more control of their social/work environment	
Reduce differences in status between different groups of people	
Promote participation, inclusion, dignity and control over decisions	
Build family support networks, resilience and community capacity	
Reduce crime and fear of crime including hate crime	
Promote healthier lifestyles including: <ul style="list-style-type: none"> <li>• diet and nutrition,</li> <li>• sexual health,</li> <li>• substance misuse</li> <li>• physical activity</li> <li>• lifeskills</li> </ul>	
<b>Environmental</b>	
Reduce greenhouse gas (GHG) emissions (including carbon management)	

Objectives	Positive/negative impacts
Plan for future climate change	
Pollution: air/ water/ soil/ noise	
Protect coastal and inland waters	
Enhance biodiversity	
Encourage resource efficiency (energy, water, materials and minerals)	
Public Safety eg: <ul style="list-style-type: none"> <li>• protect vulnerable children and adults</li> <li>• minimise waste generation</li> <li>• infection control</li> <li>• accidental injury</li> <li>• fire risk</li> </ul>	
Reduce need to travel and promote sustainable forms of transport	
Improve the physical environment e.g. <ul style="list-style-type: none"> <li>• housing quality</li> <li>• public space</li> <li>• access to and quality of green space</li> </ul>	
<b>Economic</b>	
Maximise income and /or reduce income inequality	
Help young people into positive destinations	
Support local business	
Help people to access jobs (both paid and unpaid)	
Improve literacy and numeracy	
Improve working conditions, including equal pay	



Objectives	Positive/negative impacts
Improve local employment opportunities	
Improve quality of and access to services	

**4. As a group agree:**

- **A summary of the impacts identified**
- **Is further evidence needed to understand these impacts and make any recommendations?**
- **What recommendations should you make to mitigate negative impacts and enhance positive impacts?**

This checklist has now been completed and the findings provide the basis for the summary report (Section 4).

## Section 4 Integrated Impact Assessment

### Summary Report Template

Audit Risk level
------------------

(Risk level will be added by Equalities

Officer)

Each of the numbered sections below must be completed

Interim report	<input type="checkbox"/>	Final report	<input type="checkbox"/>
----------------	--------------------------	--------------	--------------------------

 (Tick as appropriate)

- 1. Title of plan, policy or strategy being assessed**
- 2. What will change as a result of this proposal?**
- 3. Briefly describe public involvement in this proposal to date and planned**
- 4. Date of IIA**
- 5. Who was present at the IIA? Identify facilitator, Lead Officer, report writer and any partnership representative present and main stakeholder (e.g. NHS, Council)**

Name	Job Title	Date of IIA training	Email

- 6. Evidence available at the time of the IIA**

Evidence	Available?	Comments: what does the evidence tell you?
Data on populations in need		
Data on service uptake/access		

<b>Evidence</b>	<b>Available?</b>	<b>Comments: what does the evidence tell you?</b>
Data on equality outcomes		
Research/literature evidence		
Public/patient/client experience information		
Evidence of inclusive engagement of service users and involvement findings		
Evidence of unmet need		
Good practice guidelines		
Environmental data		
Risk from cumulative impacts		
Other (please specify)		
Additional evidence required		

**7. In summary, what impacts were identified and which groups will they affect?**

<b>Equality, Health and Wellbeing and Human Rights</b> <b>Positive</b>	<b>Affected populations</b>
<b>Negative</b>	

<b>Environment and Sustainability</b> <b>Positive</b>	<b>Affected populations</b>
<b>Negative</b>	

<b>Economic</b> <b>Positive</b>	<b>Affected populations</b>
------------------------------------	-----------------------------

Negative	
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8. Is any part of this policy/ service to be carried out wholly or partly by contractors and how will equality, human rights including children's rights , environmental and sustainability issues be addressed?

9. Consider how you will communicate information about this policy/ service change to children and young people and those affected by hearing loss, speech impairment, low level literacy or numeracy, learning difficulties or English as a second language? Please provide a summary of the communications plan.

10. Is the policy a qualifying Policy, Programme or Strategy as defined by The Environmental Impact Assessment (Scotland) Act 2005? (see Section 4)

11. Additional Information and Evidence Required

If further evidence is required, please note how it will be gathered. If appropriate, mark this report as interim and submit updated final report once further evidence has been gathered.

12. Recommendations (these should be drawn from 6 – 11 above)

13. Specific to this IIA only, what actions have been, or will be, undertaken and by when? Please complete:

Specific actions (as a result of the IIA which may include financial implications, mitigating actions and risks of cumulative impacts)	Who will take them forward (name and contact details)	Deadline for progressing	Review date

**14. How will you monitor how this policy, plan or strategy affects different groups, including people with protected characteristics?**

**15. Sign off by Head of Service**  
**Name**  
**Date**

**16. Publication**  
 Send completed IIA for publication on the relevant website for your organisation. [See Section 5](#) for contacts.

## Appendix C – Leith On-Street Survey/Tram Survey

1. Business name and address

Enter your answer

2. Business operating days and hours

*Please outline all operational days and times*

Enter your answer

3. Nature of Business

*Tell us a little about what you do...*

Enter your answer

4. Outline the products and services that your business normally sells or provides?

*e.g. off-sales, house furnishings, hot food, mortgage advice etc...*

Enter your answer

5. Outline the days and times that you would normally receive deliveries

*These are your normal deliveries that you would expect on each day/week/month. Please include days, times and frequency where possible*

Enter your answer

6. Do you ever receive one-off or ad-hoc deliveries? If so, roughly how often and when?

*Please outline any further deliveries that you receive outwith your 'normal' deliveries outline in Q.7*

Enter your answer

7. Give us details of any deliveries that are considered heavy or awkward loads

Enter your answer

8. Do you sell any products that are considered controlled?

*e.g. pharmaceutical products, hazardous substances, age-restricted products etc*

Enter your answer

9. Do you provide any services that are considered sensitive or necessary for users?

*For example: advice and support, community liaison, disability support etc.*

Enter your answer

10. Do you do business in-person and/or online?

*Roughly how much of your business is carried out offline (in person) vs. online? Please write appropriate split next next to each option.*

In-person

Online

11. Roughly how many customers do you have coming into your premises per month?

*This should reflect all footfall and not only those who make a purchase*

Enter your answer

12. Would you be interested in any of the following marketing support throughout the Edinburgh Tram to Newhaven construction works?

*Select all that apply*

Offline marketing - website, social media, email etc.

Offline marketing - print advertising, street advertising/dressings

13. Further to question 11 is there any further support, from a marketing perspective, that you would find useful?

*Think about how you normally market your business and what parts of that may be affected by works on Leith Walk.*

Enter your answer

14. Use this space to tell us anything else that we need to know about your business

Enter your answer

## Appendix D – Leith Trader Survey

### Introduction

Good morning/afternoon, I am \_\_\_\_\_ from Progressive, an independent market research company who are carrying out a survey on behalf of City of Edinburgh Council. The survey is about Leith. It will take about 6 minutes to complete.

#### 1. INTERVIEWER LOCATION:

	Code	Route
Picardy Place to McDonald Road	1	
McDonald Rd to Laurie Street	2	
Laurie Street to foot of Leith Walk	3	

#### 2. How would you identify yourself?

	Code
Male	1
Female	2
Non-binary	3
Prefer not to say	4

#### 3. Please indicate to which occupational group the Chief Income Earner in your household belongs, or which group fits best.

- This could be you: the Chief Income Earner is the person in your household with the largest income.
- If the Chief Income Earner is retired and has an occupational pension please answer for their most recent occupation.
- If the Chief Income Earner is not in paid employment but has been out of work for less than 6 months, please answer for their most recent occupation.

	Code
1. <b>Semi or unskilled manual work</b> (e.g. Manual workers, all apprentices to be skilled trades, Caretaker, Park keeper, non-HGV driver, shop assistant)	1
2. <b>Skilled manual worker</b> (e.g. Skilled Bricklayer, Carpenter, Plumber, Painter, Bus/ Ambulance Driver, HGV driver, AA patrolman, pub/bar worker, etc.)	2
3. <b>Supervisory or clerical/ junior managerial/ professional/ administrative</b> (e.g. Office worker, Student Doctor, Foreman with 25+ employees, salesperson, etc.)	3
4. <b>Intermediate managerial/ professional/ administrative</b> (e.g. Newly qualified (under 3 years) doctor, Solicitor, Board director small organisation, middle manager in large organisation, principal officer in civil service/local government)	4
5. <b>Higher managerial/ professional/ administrative</b> (e.g. Established doctor, Solicitor, Board Director in a large organisation (200+ employees, top level civil servant/public service employee))	5
6. <b>Full time student</b>	6
7. <b>Casual worker</b> – not in permanent employment	7
8. <b>Housewife/ Homemaker</b>	8
9. <b>Retired and living on state pension</b>	9
10. <b>Unemployed or not working due to long-term sickness</b>	10
11. <b>Full-time carer of other household member</b>	11
12. <b>Other</b> (please specify)	12



**Q1 How often do you visit Leith?**  
**[SHOWCARD B] SINGLE CODE ONLY. ALLOW DK/REF**

Every day	
At least three times a week	
Once or twice a week	
At least once a fortnight but less than once a week	
At least once a month but less than once a fortnight	
Less than once a month	
Never	

**Q2 On what days of the week are you most likely to visit Leith?**  
**[SHOWCARD C] MULTICODE OK. ALLOW DK/REF**

Monday	
Tuesday	
Wednesday	
Thursday	
Friday	
Saturday	
Sunday	

**Q3 For what reasons do you generally visit Leith?**  
**MULTICODE OK. ALLOW DK/REF**  
**[UNPROMPTED, PROBE FULLY FOR A COMPLETE RESPONSE]**

Work	
Study / Education	
Shopping	
Visiting friends or family	
Visiting pubs, clubs and other entertainment venues	
Visiting restaurants / Eating out	
Children's or family activities	
Other SPECIFY:	

**Q4 When you visit Leith, how long do you usually spend there?**  
**[SHOWCARD D] SINGLE CODE ONLY. ALLOW DK/REF**

Less than 1 hour	
More than 1 hour, up to 2 hours	
More than 2 hours, up to 3 hours	
More than 3 hours, up to 4 hours	
More than 4 hours	

**Q5 How do you normally travel into Leith?**  
**SINGLE CODE ONLY. ALLOW DK/REF**  
**[UNPROMPTED, PROBE FULLY FOR RESPONSE]**

Bus	
Car (as driver)	
Car (as passenger)	
Bicycle	
On foot / Walking	
Taxi	
Other PLEASE SPECIFY:	

--	--

**Q6 Have you ever used any of the following transport options in and around Leith? SINGLE CODE ONLY. ALLOW DK/REF [SHOWCARD F]**

Bus	
Taxi	
Car	
Bicycle	

**Q7 Overall, how satisfied or dissatisfied are you with transport provision on Leith Walk? SINGLE CODE ONLY. ALLOW DK/REF [SHOWCARD G]**

Very satisfied	
Fairly satisfied	
Neither satisfied nor dissatisfied	
Fairly dissatisfied	
Very dissatisfied	
No opinion	

**Q8 What improvements, if any, could be made to improve transport on Leith Walk? MULTICODE OK. ALLOW DK/REF [UNPROMPTED, PROBE FULLY FOR A COMPLETE RESPONSE]**

More frequent buses generally	
More frequent buses at peak times	
More frequent buses at off-peak times	
Fewer buses	
More bus stops	
A tram service	
Discourage cars / driving	
A bus priority system	
Improve bus lanes	
Remove/reduce bus lanes	
More cycling infrastructure e.g. cycle lanes	
Remove/reduce cycling infrastructure	
More / better pedestrian crossings	
Fewer pedestrian crossings/traffic lights	
SINGLE CODE ONLY: Nothing / no improvements	
Other SPECIFY:	

**Q9 How often, if at all, do you use the Edinburgh Tram line? SINGLE CODE ONLY. ALLOW DK/REF [SHOWCARD H]**

At least three times a week	GO TO Q10
Once or twice a week	

At least once a fortnight but less than once a week	
At least once a month but less than once a fortnight	
At least once a year but less than once a month	
Less than once a year	
I have never used the tram	GO TO Q11

ASK IF 'USED TRAM (CODES 1-6 AT Q14):

**Q10 Thinking about the most recent time you used the Edinburgh Tram line, what was the purpose of your journey?  
SINGLE CODE OK. ALLOW DK/REF  
{SHOWCARD I}**

Travel to work	
Travel to study / education	
Shopping	
Visiting friends or family	
Visiting pubs, clubs, cinema, theatre and other entertainment venues	
Visiting a restaurant	
Children's or family activities	
Travel to/from Edinburgh Airport	
Travel to/from Waverley or Haymarket stations	
Travel to/from a sporting event	
SINGLE CODE ONLY None of these	

ASK ALL:

**Q11 Are you aware that City of Edinburgh Council recently approved the outline business case to complete the Edinburgh Tram line through Leith to Newhaven?  
SINGLE CODE ONLY. ALLOW DK/REF**

Yes	
No	

**Q12 [SHOWCARD: MAP OF PROPOSED ROUTE AND STOPS] This is a map of the proposed route of the tram line through Leith to Newhaven.**

**If this route was approved and built, on a scale of one to 10, where one means you would definitely not use it and 10 means**

1	
2	
3	
4	
5	
6	
7	

you definitely would use it, how likely is it that you would use it? SINGLE CODE ONLY. ALLOW DK/REF

8	
9	
10	

ASK IF SELECTS 6-10 AT Q12:

**Q13 For which of these purposes would you consider using the proposed new tram route? Please tell me all that apply. MULTICODE OK. ALLOW DK/REF [SHOWCARD I]**

Travel to work	
Travel to study / education	
Shopping	
Visiting friends or family	
Visiting pubs, clubs, cinema, theatre and other entertainment venues	
Visiting a restaurant	
Children's or family activities	
Travel to/from Edinburgh Airport	
Travel to/from Waverley or Haymarket stations	
Travel to/from a sporting event	
SINGLE CODE ONLY None of these	

ASK IF SELECTS 1-5 AT Q12:

**Q14 Why would you be unlikely to use the proposed new tram route?**

**[UNPROMPTED, PROBE FULLY FOR A COMPLETE RESPONSE]**

--

**Q15 To what extent do you agree or disagree with the following statement: "Leith will benefit from the proposed tram to Newhaven"? SINGLE CODE ONLY. ALLOW DK/REF [SHOWCARD E]**

Strongly agree	
Slightly agree	
Neither agree nor disagree	GO TO Q18
Slightly disagree	
Strongly disagree	

ASK IF STRONGLY/SLIGHTLY AGREE AT Q15:

Encourage more visits to Leith	
--------------------------------	--

**Q16 Why do you agree that Leith will benefit from the proposed tram to Newhaven? MULTICODE OK. ALLOW DK/REF**

Encourage tourism	
Good for businesses in Leith	
Encourage more businesses to set up / expand in Leith	
Generally bring more money into Leith	
Make it easier to get to / from Leith	
Improve / relieve traffic congestion in Leith / Leith Walk	
Improve / relieve overcrowding on the buses	
Other SPECIFY:	

ASK IF STRONGLY/SLIGHTLY DISAGREE AT Q15:

**Q17 Why do you disagree that Leith will benefit from the proposed tram to Newhaven? MULTICODE OK. ALLOW DK/REF**

Bring too many people to Leith	
Make Leith too busy/overcrowded	
Encourage residents to shop / spend money outside Leith	
Cause too much disruption / congestion during construction	
Cause disruption / congestion beyond construction / when it is operational	
It will discourage cycling / make cycling more dangerous	
It will slow down buses / increase journey times when operational	
It will take longer to complete than expected / disruption will last longer than expected	
Other SPECIFY:	

ASK ALL

**Q18 Which of these best describes your working status? SINGLE CODE ONLY.**

Working - Full time (30+ hrs)	1
Working - Part-time (9-29 hrs)	2
Self employed	3

Unemployed	4
Not working - retired	5
Not working - looking after house/children	6
Not working - invalid/disabled	7
Not working – carer	8
Student	9
Other (please specify)	10

## Appendix E – Tram FAQs

Party	Manifesto Pledge
Labour	Aim to complete the tram line to Newhaven, to support the development of new businesses and home building along the Granton and Leith Waterfronts. We will develop a business case for the loop from Roseburn.
SNP	<p>The SNP supports the extension of the tram in principle. We believe that extending the tram represents the best means of building the capacity we need in our public transport network and unlocking the economic potential of communities across the city.</p> <p>We recognise that to instil public confidence in tram extension, the project must be delivered on time and on budget without placing undue pressure on the city’s finances.</p> <p>A robust business case must be accompanied by the assurance that the project will be properly managed, disruption will be kept to the absolute minimum and small and independent businesses will be supported throughout the duration of the works.</p> <p>We will not progress the tram unless these conditions are met.</p>
Green	Develop the business case for completing the tram network with options to Newhaven, Granton and the southeast of the city. <b>Note also:</b> Examine the case for opening the south suburban circle railway line as the best means of improving public transport services in the south of the city and opportunities for the areas covered;
Conservative	Reject the current business case for extending trams as too expensive, too long (5-6 years) and too soon (the inquiry by Lord Hardie has still to report)
Lib Dem	We believe that Edinburgh ultimately may need a tram network and will examine the business case for any expansion carefully, learning from past experience, before committing to new developments

## Key Facts

Question	Answer
<p>What are the timescales for the project?</p> <p>40 months seems very long – why does it need to take this long?</p>	<p>Subject to a Council decision in September 2017 to approve in principle the outline business case and enter into a procurement process the project is scheduled to be complete by quarter 2 2022.</p> <p>Schemes like this tend to take this amount of time. In addition, we are being prudent with our estimates as we want to be open and transparent with the amount of time it will take.</p>
<p>How long is the route and where will the stops be?</p>	<p>The route from York Place to Newhaven is approximately 4.7km. Two new sub-stations and eight new tram stops are constructed under the scheme and the existing temporary York Place tram stop is de-commissioned and replaced by the Picardy Place stop. The tram stops to be constructed are at:</p> <ul style="list-style-type: none"><li>• Picardy Place Island Platform (replaces York Place)</li><li>• McDonald Road Island Platform</li><li>• Balfour Street Island Platform</li><li>• Foot of the Walk Side Platform (bespoke arrangement)</li><li>• Bernard Street Island Platform</li><li>• Port of Leith Island Platform</li><li>• Ocean Terminal Island Platform</li><li>• Newhaven Side Platform</li></ul>
<p>What is the journey time from York Place to Newhaven</p>	<p>The anticipated journey time from the Airport to Newhaven is 54 minutes</p> <p>And from Picardy Place to Newhaven it is 17 minutes</p>



## Why Tram to Newhaven

Question	Answer
<p>How does tram fit into the wider strategic plans for the city?</p>	<p>The development Edinburgh St James and the extension of tram to Newhaven are part of a wider place making initiative by the city. Tram to Newhaven complies with all key strategic regional and city wide plans.</p> <p>It will deliver job opportunities while linking key priority zones across the city.</p> <p>It will help deliver an integrated transport system that will help Edinburgh compete on an international stage.</p> <p>It will support the delivery of housing for a growing Edinburgh population</p> <p><b>Edinburgh needs high capacity and high quality transport system.</b></p> <p>As the fastest growing city in Scotland with a population forecast to grow by 16% by 2037 years and with the current bus based transport system nearing capacity, it is appropriate the Council looks at ways of enhancing the public transport system, the most inclusive form of transport.</p> <p>High quality inclusive reliable public transport - essential now and in the future.</p> <p>Current award winning can't sustain the development and growth of city therefore tram required</p> <p>Without it more buses and more congestion leading to greater environmental impacts</p> <p>Edinburgh aims to have a modern inclusive integrated system - growth of the city sustainable.</p> <p>You can accommodate 240 people in a tram</p> <p>Double decker c. 80 people (if you included single decker probably around 50)</p> <p>Tram is segregated, prioritised, etc.</p>

Question	Answer
<p>Why do we need to build a tram when a lot of people will simply transfer from bus?</p>	<p>As the fastest growing city in Scotland with a population forecast to grow by 16% by 2037 years and with the current transport system nearing capacity, it is appropriate the Council looks at ways of enhancing the public transport system, the most inclusive form of transport.</p> <p>High quality inclusive reliable public transport - essential now and in the future.  A case of both tram and bus working together  Current award winning can't sustain the development and growth of city therefore tram required  Without it more buses and more congestion leading to greater environmental impacts  Edinburgh aims to have a modern inclusive integrated system - growth of the city sustainable.  You can accommodate 240 people in a tram  Double decker c. 80 people (if you included single decker probably around 50)  Tram is segregated, prioritised, etc.</p>
<p>Why go for Tram to Newhaven ahead of Tram to Granton or to the Broquarter?</p>	<p>Aspiration has always been for a East – West, North – South tram system.  Tram to Newhaven completes the East – West line.  Population density is some of the highest in Scotland  Improving air quality and reducing congestion in the area.  Low car ownership in Leith  Connecting people to jobs and creating jobs during construction</p>

Question	Answer
	The Council remains committed to developing the Tram network further in the future.
Do you know if the residents and businesses of Leith and Newhaven want this to happen?	<p>Aspiration has always been for a East – West, North – South tram system.</p> <p>Tram to Newhaven completes the East – West line.</p> <p>Population density is some of the highest in Scotland</p> <p>Improving air quality and reducing congestion in the area.</p> <p>Low car ownership in Leith</p> <p>Connecting people to jobs and creating jobs during construction</p> <p>Following the recent Local Authority elections in May, the SNP and Labour parties formed a minority coalition. They had campaigned on the back of a pro-tram agenda and are being supported in this by both Lib Dem and Greens.</p>

## General

Question	Answer
<p>How will businesses survive – will there be compensation? Rates Relief? Logistics support? Will all businesses be entitled to compensation and what is the geographical area?</p>	<p>The Outline Business Case also outlines a business compensation scheme would be in place which reflects the nature of this project. Access to all businesses would be maintained at all times. Further details on the scheme and geographical spread will be issued in due course.</p>
<p>How can we make a decision to extend tram before the public inquiry publishes its findings?</p>	<p>In establishing the project team for the tram to Newhaven the Council has retained a number of individuals who successfully delivered the Airport to York Place project following mediation in 2011. In retaining this knowledge, the project is drawing on a number of lessons learned and these have been incorporated into the planning for the extension. These lessons include:</p> <ul style="list-style-type: none"><li>The use of industry standard contracts to govern the project</li><li>Rigorous project governance with highly qualified key personnel with experience of delivering light rail projects in the UK and abroad</li><li>Setting up cross industry networks with other cities including Manchester, Birmingham and Dublin to ensure best practice is being adopted at each stage of project development</li><li>Adopting traffic management plans that provide the contractor with expanded sites to ensure that works can continue in the event that problems are encountered during construction</li><li>Carrying out robust quantitative risk analysis and ensuring the contingencies set aside for unforeseen events</li></ul>

Question	Answer
	<p>Carrying out comprehensive formal consultation with the market to road test the overall delivery strategy for the project and encourage strong competition</p> <p>The project team is also recommending that a gateway approval process is put in place to ensure any findings from the public inquiry can be factored into the project plans before contracts for the main construction works are signed. The approval being sought at present is to run a tender process for the project and then seek further approval from Council prior to the award of contract.</p> <p>Should the contract be awarded in November 2018, this should give time to include any findings from the Lord Hardie report.</p>
<p>Are there any CPOs required to make this happen?</p>	<p>There is no requirement for any CPOs in order to construct the line from York Place to Newhaven</p>
<p>Can we assume there will be no companies involved in this that played a role in the initial tram project?</p>	<p>The project will be procured under the European Procurement Directives and prospective contractors will need to pass a rigorous pre-qualification process before being invited to tender.</p>
<p>Who will oversee the construction of the project</p>	<p>The project will be overseen by the Council and its advisory team. In establishing the project team for the tram to Newhaven the Council has retained a number of individuals who successfully delivered the Airport to York Place project following mediation in 2011. The advisory team also has significant experience in delivering tram projects both in the UK and globally.</p>

Question	Answer
Why isn't tram in the City Deal if it is so important?	Following discussions with the UK and Scottish Governments the Tram did not form part of the Edinburgh and South East Scotland City Region Deal.
How will people be kept updated on progress?	<p>The project team is finalising a stakeholder communication plan that will be implemented and this confirms the following commitments:</p> <ul style="list-style-type: none"> <li>• to provide residents and businesses with relevant, timely and up to date information about the project</li> <li>• to provide residents and businesses with accessible communications channels to ensure their concerns are given appropriate consideration in developing the design and phasing of the project</li> <li>• to highlight the benefits of the tram project to the local communities it serves and to the city as a whole</li> <li>• to ensure, where possible, any conflict is avoided through open and transparent communication.</li> </ul>
What are the plans to extend the network further	<p>Aspiration has always been for a East – West, North – South tram system.</p> <p>Tram to Newhaven completes the East – West line.</p> <p>The Council does have the statutory powers to develop the line from Roseburn to Granton Waterfront and remains committed to developing the tram network further.</p>
What is happening to the public art that was at the top of Leith Walk	London Road Clock – this will be refurbished and relocated within close proximity to its original position at London Road Roundabout within the new public realm space at Elm Row

Question	Answer
	<p>Pigeons – these are anticipated to be relocated within the new public realm space at Elm Row</p> <p>Robert Burns – this is expected to remain in close proximity to its current location although will require to be taken down for construction works and rebuilt once construction is complete.</p> <p>It is anticipated that the Paolozzi sculptures will be relocated to Hillside Crescent on a temporary basis.</p>

### Project Coordination

Question	Answer
<p>Is there a joined up approach to the development of the new St James Shopping Centre and the Tram&amp; Leith Programme project?</p>	<p>The development of the new Edinburgh St James and the public realm at Picardy Place complements the future development of tram to Newhaven. The projects have been working very closely to develop a coordinated design and this has resulted in a design by the St James Developer that will accommodate a future Tram Stop at Picardy Place with adjacent bus interchange. Future provision for the tram alignment from York Place to just outside the Playhouse has also been incorporated into the public realm design with the detailed alignment design having been issued to the developer.</p>
<p>What is happening at London Road?</p>	<p>The roundabout at London Road needs to be reconfigured to accommodate tram and will become a fully signalised T junction. It is envisaged this work will be carried out as part of any future tram project. The revised London Road junction has been coordinated</p>

Question	Answer
	<p>with the St James Developer and all tie-ins for pedestrian, cyclists, cars and public transport have been agreed. The re-designed junction also envisages a re-design of the public realm at Elm Row and has incorporated feedback from cycling groups (including Sustrans), Council Officers and Lothian Bus. In the event of a positive decision on tram the design will be subject to wider stakeholder consultation</p>
<p>What happens to Leith Programme Phase 5 and 6 if tram is approved?</p>	<p>Phase 4 of the Leith Programme is now complete and there will be no non-emergency works on Leith Walk until Spring 2019 in the event the project goes ahead.</p> <p>Phases 5 and 6 will be on hold until a decision is made on Tram and, in the event the Tram project goes ahead, will be incorporated into the Tram project.</p>
<p>You have just spent money on the Leith Programme – how much of this will have to be ripped out?</p>	<p>The design from Pilrig Street towards the city centre has taken cognisance of a future tram extension i.e. kerblines are set to allow tram, minimal works to footways and tying in should only be required.</p> <p>Works to North of Pilrig Street will require significant rework of the Leith programme works although we would aim to tie in to existing footways where possible following movement of the kerb lines to accommodate the new road layout</p>



## Design & Construction

Question	Answer
<p>What are the temporary traffic management plans for the construction of tram?</p> <ol style="list-style-type: none"> <li>1. Have you taken account of Leith Street closure?</li> <li>2. How will the TM for tram impact on routes for St James construction traffic?</li> <li>3. How do we know the city will not grind to a halt?</li> <li>4. If you are closing traffic lanes on Leith Walk where will the traffic go? Will it use Easter Road and if so can Easter Road accommodate increased volumes of cars and buses?</li> </ol>	<p>The report to committee will outline the planned traffic management approach that would be taken to deliver the project as quickly and as efficiently as possible. How this will be delivered will become clearer in the event a contractor is appointed to take the project forward.</p> <p>Traffic modelling has been carried out to ensure they work in tandem.</p> <p>Minor amendments to Easter road will be implemented to ensure the increased traffic flows can be accommodated</p>
<p>Is there a requirement to divert utilities to accommodate tram?</p> <ol style="list-style-type: none"> <li>1. Weren't all the utilities diverted under MUFA?</li> <li>2. Why can't you include the Bernard Street utility diversions in the main tram contract?</li> <li>3. How can we believe that there are not more utilities that may need moving and cause cost and time overrun?</li> </ol>	<p>As part of tram there is a requirement to divert or protect utilities. The project envisages this will be done as part of the main tram works thus negating the need to close the road twice as happened previously. There is one exception to this at Bernard Street where there is a requirement to divert some major utilities prior to any work commencing</p>
<p>There have been issues at Haymarket for cyclists – what are you doing differently in the design so as to not have the same issue for Tram to Newhaven</p>	<p>A 2 stage right hand turn, the first in Scotland, has been introduced at the McDonald Road, Brunswick Road junction with Leith Walk. In addition, the Council's cycling safety team, along with cycling groups have developed ways of improving cyclist safety.</p>

	<p>New red-surfaced cycle lanes are to be installed at a number of key points along the tram route in Edinburgh's city centre. The measures, the first in a three-phase project to help all road users keep themselves and each other safe when negotiating the tram tracks, are aimed at demonstrating the optimum angle for crossing the tracks and reminding motorists to give cyclists extra space, particularly where tramlines are concerned.</p> <p>These would be used in the Tram to Newhaven project supported by lessons learned from the first phase of implementation.</p>
What impact will the Tram have on parking / loading / delivery provision on the street?	The tram design along the length of Leith Walk has been agreed in principle and is consistent with the Leith Programme. It has been agreed that there will be two running lanes in each direction along Leith Walk with the central lane in each direction dedicated to public transport. The inside running lanes will be free from loading and parking at peak times although it has been agreed that off peak loading and parking will be permitted.
What impact will the tram have on other Council services such as Waste and Cleansing?	Waste services will be designed to integrate with the Tram.

## Funding & Economics

Question	Answer
The tram is a good idea but can we afford it? How much will it cost and why has this changed since 2015	The cost of the Tram to Newhaven project is estimated to be £165.2m

Question	Answer
<p>Re: the £20m extraordinary dividend, will LB simply put their prices up to support this?</p> <p>Why not simply take the £20m as income for the Council in these difficult financial times?</p>	<p>The increase in this cost on previously reported figures is based on greater cost certainty through the development of the business plan and inflation.</p> <p>The report that will go to committee on 4 September and then onto 21 September will detail how the project will be paid for. Essentially this will be through:</p> <ul style="list-style-type: none"> <li>a) Farebox</li> <li>b) Extraordinary dividend over 5 years from Lothian Buses as previously outlined in December 2015</li> <li>c) Prudential borrowing</li> </ul> <p>It should be noted that, while Edinburgh Tram reported an operating profit of £252,000 to the end of year 2016 which is ahead of expectation, there are ongoing financing and maintenance costs that are not reflected in these figures.</p> <p>There is no suggestion that LB will simply put their fares up to cover the extraordinary dividend.</p> <p>As the fastest growing city in Scotland with a population forecast to grow by 16% by 2037 years and with the current transport system nearing capacity, it is appropriate the Council looks at ways of enhancing the public transport system, the most inclusive form of transport.</p> <p>High quality inclusive reliable public transport - essential now and in the future.  A case of both tram and bus working together  Current award winning can't sustain the development and growth of city therefore tram required</p>

Question	Answer
	<p>Without it more buses and more congestion leading to greater environmental impacts  Edinburgh aims to have a modern inclusive integrated system - growth of the city sustainable.  You can accommodate 240 people in a tram  Double decker c. 80 people (if you included single decker probably around 50)  Tram is segregated, prioritised, etc.</p>
<p>Does the performance of the tram to York Place warrant the investment in an extension?</p>	<p>Figures show that Edinburgh Trams carried 5.38 million passengers in its second 12 months of operation, an increase of 9.3% on the previous year, when 4.92 passengers were carried, and around 340,000 ahead of the target for the period.  The Outline Business Case for Tram to Newhaven forecasts patronage on the trams to double in the opening year to 14m while Lothian Buses is projected to continue to perform strongly</p>
<p>What impact will the project have on house prices in Leith? Will any increases lead to problems with affordable housing?</p>	<p>The Council has committed to building 20,000 affordable homes in Edinburgh over the next 10 years.  It will support the delivery of housing for a growing Edinburgh population</p> <p><b>(For background information only:</b> Based on most recent census figures we have access to, 47% of people in Leith own their own home. In addition, 33% of home are privately rented. Therefore 80% of housing stock is in private ownership.</p>
<p>Would the money from Lothian Buses not be better spent investing in its fleet?</p>	<p>As the fastest growing city in Scotland with a population forecast to grow by 16% by 2037 years and</p>

Question	Answer
	with the current transport system nearing capacity, it is appropriate the Council looks at ways of enhancing the public transport system, the most inclusive form of transport.

### Impact on Bus & Tram Operations

Question	Answer
<p>What impact will this have on Lothian Buses? Will this see a reduction in bus services?</p>	<p>The Outline Business Case forecasts patronage on the trams to double in the opening year to 13m while Lothian Buses is projected to continue to perform strongly</p> <p>As the fastest growing city in Scotland with a population forecast to grow by 16% by 2037 years and with the current transport system nearing capacity, it is appropriate the Council looks at ways of enhancing the public transport system, the most inclusive form of transport.</p> <p><b>Integrated service between Tram and Buses</b>  Forecast that there will be a growing public transport market in Edinburgh given the projected growth of the city.  51% of people in Leith don't have a car.</p>
<p>Why not simply increase the number of electric buses on the road?</p>	<p>As the fastest growing city in Scotland with a population forecast to grow by 16% by 2037 years and with the current transport system nearing capacity, it</p>

Question	Answer
	<p>is appropriate the Council looks at ways of enhancing the public transport system, the most inclusive form of transport.</p> <p>High quality inclusive reliable public transport - essential now and in the future.  A case of both tram and bus working together  Current award winning can't sustain the development and growth of city therefore tram required  Without it more buses and more congestion leading to greater environmental impacts  Edinburgh aims to have a modern inclusive integrated system - growth of the city sustainable.  You can accommodate 240 people in a tram  Double decker c. 80 people (if you included single decker probably around 50)  Tram is segregated, prioritised, etc.</p>

Additional questions:

1. Edinburgh Tram is now reporting a profit – why does the Council need to subsidise this?  
Edinburgh Tram is reporting an operating profit for the year to December 2016 however there remains ongoing costs of the debt
2. The OBC states a cost benefit ratio of 1:1.64 – how does this compare to other similar schemes and what was the BCR for the original Tram line and is it being achieved?  
Light rail schemes tend to operate between the 1.5–2 ratio so Tram to Newhaven is within this bracket.
3. The cost is estimated at £165.2m – how is that broken down?  
£114.1m for construction, £32.8m for risk and £18.3m for inflation.

4. What is so important about 2022 date – has the team been put under pressure to deliver this in this time frame?

In December 2015 we estimated the project would be completed by 2022. The longer it takes, the more money it will cost due to inflation. The team has not been put under any pressure to hit this date.

5. Edinburgh Tram is currently running at 25% - this isn't very good so why take Tram to Newhaven?

Transport systems are built to deal with peak times (i.e. rush hours PM and AM). Inevitably out with these times you won't be travelling at capacity therefore capacity percentages will drop. Indeed, if a system is at say 80% that would suggest it is creaking at the seams.

6. You say Lothian Buses are forecast to continue to perform strongly – can you give details?

As the fastest growing city in Scotland with a population forecast to grow by 16% by 2037 years and with the current transport system nearing capacity, it is appropriate the Council looks at ways of enhancing the public transport system, the most inclusive form of transport.

High quality inclusive reliable public transport – essential now and in the future.

A case of both tram and bus working together

Current award winning can't sustain the development and growth of city therefore tram required

Without it more buses and more congestion leading to greater environmental impacts

Edinburgh aims to have a modern inclusive integrated system – growth of the city sustainable.

You can accommodate 240 people in a tram

Double decker c. 80 people (if you included single decker probably around 50)

Tram is segregated, prioritised, etc.

7. Will there be external scrutiny of the Tram to Newhaven project?

The Council has already employed an external consultant to look at the OBC and planned programme for the project to ensure plans are robust. (We can add in more re: role of SFT once this is confirmed.)





# Environmental

**Turner and Townsend plc**, Construction and Management Consultants, recognises the importance of environmental management and will comply with all relevant environmental legislation and approved codes of practice.

It is our policy to carry out all measures reasonably practicable and to systematically manage our environmental performance.

Our aims are to, wherever possible:-

- Manage the environmental effects of our activities and professional services
- Reduce the amount of waste produced and prevent pollution
- Reduce the consumption of energy
- Increase the use of recyclable and renewable materials
- Periodically review objectives and targets to support continuous improvement

Turner and Townsend plc will foster environmental awareness and understanding in our employees, sub-consultants and suppliers. Where practicable, we will provide information and assistance to Clients on environmental issues arising from our services.

- This policy applies to all of Turner and Townsend plc's business.

Signed:



T Wray  
[ Chairman ]

Date: 1 January 2015

# Enabling a sustainable future

Atkins has a responsibility to help enable a sustainable future through our leadership role, our operations and the services we provide.

We are embedding the key sustainability principles of how we can support society, reduce our impact on the environment, and be a responsible business through our leadership role, our operations and the services we provide. This includes:

**A society for our future** – inspiring the next generation; investing in communities; developing sustainability knowledge and skills; striving to be an employer of choice; and creating a healthy, safe and secure workplace.

**An environment with a future** – supporting a low carbon economy; demonstrating respect for the environment through resource efficiency and by preventing pollution; and protecting and improving ecosystems.

**A responsible business of the future** – supporting sustainable economic growth with strong governance and accountability; being an international business whilst recognising the importance of providing local services; and collaborating with key organisations to develop innovative solutions.

We do this by:

- embedding sustainability within the culture of Atkins, based on active engagement and participation with our people, clients and other key stakeholders;
- setting objectives and targets related to our key principles and senior management being accountable;
- using the existing knowledge and skills of our people, as well as providing sufficient resources and appropriate training;
- implementing business and project controls to ensure compliance with relevant legislation, contract and client requirements, including arrangements for crisis management and incidents;
- ensuring the suitability and effectiveness of our suppliers by working in partnership to deliver the requirements of this policy;
- improving and assessing our sustainability performance by investing in training, awareness, systems, tools and an assurance programme;
- monitoring our sustainability performance and progress against objectives and reporting externally through our Corporate Sustainability Review. Our carbon emissions are independently verified to International Standard ISO 14064 and are also reported through the Carbon Disclosure Project;
- having achieved or working towards the International Standard ISO 14001: 2004 (Environmental Management Systems) and transitioning to ISO 14001: 2015 in accordance with a programme agreed with Lloyds Register Quality Assurance.

These requirements are defined within our business management system, which has been developed to meet the needs of our clients and our businesses.

Our businesses are accountable for implementing this policy and our employees' support and professionalism is essential in making it truly effective.

