

**Capability & Capacity: an assessment of the extent to which social capital can help Scottish society adapt to climate change.**

**How can social capital help Scottish society adapt to climate change?**

A changing climate will have significant and wide-ranging effects on all sectors of society, with the potential to cause significant economic and social disruption. Our current understanding of the level of exposure and vulnerability (risk) of the material fabric of society can be relatively easily quantified – the number of households at risk of a significant flood event for example. In this context, it is possible to make some assessment of the extent of these risks and formulate strategies and plans to address them.

More difficult to assess though are the non-material risks to society as a whole and the extent to which adaptive capacity can be, and is being, built through social capital.<sup>1</sup>

In this assessment, *Capability* refers to the development and dissemination of the knowledge and skills needed to adapt. *Capacity* refers to the resources – human, financial and equipment - required to actually deliver (the corresponding) adaptive actions. Climate change adaptation will require developing appropriate knowledge and skills (capabilities) but its distributive and differentiated nature will require different capacity (implementation resources) across communities and geographical areas.

The capacity to respond to climate related events depends critically on knowledge and skills (capabilities). It depends also on broader economic considerations, particularly adequate capital funding. Any assessment of capacity must consider the availability of suitably trained personnel with access to the specialist equipment required for any given situation and the funds necessary to keep the training up to date and the equipment maintained.

The outcome of improved capability and capacity should be apparent in improvements in the issues discussed in the **Societal Resilience** assessment.

## **Adaptation options**

The Scottish Government published a public engagement strategy in 2010 to (inter alia) raise awareness of adaptive actions that can be taken in response to the impacts of a changing climate (Scottish Government, 2010). Wider communication and engagement on climate change issues is ongoing – see for example Adaptation Scotland’s visualisation tool, Climate Ready Places<sup>2</sup> - including a number of ‘Climate Ready’ action plans for the public and private sectors and communities.

### **1. Capability**

Policies designed to build the capabilities necessary to improve societal resilience involve the dissemination of information, advice, guidance, education and support, developing the knowledge and skills required to *Prepare, Respond and Recover*.

In general, the emergency services respond to the consequences of an event; individual sectors

<sup>1</sup> Networks together with shared norms, values and understandings that facilitate co-operation within or among groups (OECD).

<sup>2</sup> Climate Ready Places: <http://www.sniffer.org.uk/climatereadypaces/>

prepare for and minimise disruptions.

More specifically, the responsibility for developing capabilities at individual, household and community scale, broadly corresponding with the delivery of SCCAP Objective 2, lies primarily with Scottish Government in collaboration with a number of executive non-departmental public bodies (NDPBs) – Education Scotland, Scottish Environment Protection Agency (SEPA) - and non-ministerial government departments – Food Standards Scotland – as well as environmental NGOs – Scottish Flood Forum, Energy Saving Trust and Adaptation Scotland.

The responsibility for developing capabilities at institutional scale lies primarily with the institutions themselves – Met Office, Scottish Fire & Rescue Service, Police Scotland, SEPA, and NHS Health Boards – working to Scottish Government guidance. Under civil contingencies legislation these agencies are required to work together when appropriate through Local and Regional Resilience Partnerships (LRPs/RRPs), replacing the Strategic Coordinating Groups (SCGs) to ensure an effective, co-ordinated response to extreme events. While the Resilience Partnerships have a different organisational structure to the Coordinating Groups and, in some cases, different personnel, their procedures and plans continue to be informed by many years of operational experience and continuously improved as a result of systematic incident debriefing (see below).

Collectively, these organisations are referred to below as the ‘SCCAP Delivery Agencies’.

### **1.1. Prepare: assess the risks**

Although not limited to climate related events, *Preparing Scotland* provides guidance on 14 critical areas of preparedness and is one of 10 different awareness raising initiatives designed to build capability (Scottish Government, 2012a).

Flood warnings/alerts, for example, contribute climate related information to **Preparing Scotland: Warning and Informing**. Warnings and alerts are made available to the public through SEPA’s **Floodline** service. SEPA also collaborates with the Met Office to provide a more detailed **Scottish Flood Forecasting Service** integrating hydrological and metrological data, specifically for Category 1 and Category 2 Responders (as defined by the Civil Contingencies Act 2004).

The **Fire (Scotland) Act 2005 and the Police and Fire Reform (Scotland) Act 2012** establishes the main purpose of the Scottish Fire and Rescue Service (SFRS) “... to work in partnership with communities and with others in the public, private and third sectors, on prevention, protection and response to improve the safety and well-being of people throughout Scotland” (Scottish Government, 2012b). Subsequent reviews have assessed the extent to which (elements of) this purpose has been achieved (HMFSI, 2015). More strategically, revisions to the 2013 *Scottish Fire & Rescue Framework* are due to be published in 2016.

The upgrade to the High Performance Computing (HPC) resource will enable the Met Office forecasting models and ensembles to be run more frequently. This should result in more accurate and timely assessment of risk (impact and likelihood) in a number of areas: future forecasters embedded in agencies like Transport Scotland, providing more localised information for managing the road networks; the next generation of ‘flood guidance statements’ improving risk assessment capabilities of emergency responders and, for the first time, the public; the development of a database of landslide events, evaluating vulnerabilities in the infrastructure network, for example.

### **1.2. Respond: to threats and realised impacts**

Reflecting their heritage in the emergency services, many response plans deal with the consequences of events, irrespective of their cause.

**Preparing Scotland: Responding to Emergencies** remains interim guidance in the transition to unitary police and fire and rescue services, which has been underway since November 2013. It reflects and indeed establishes the ‘consequences not causes’ approach. The guidance notes: *“the ultimate aim of emergency response is recovery i.e. a return as soon as possible to acceptable functionality and relative normality. In its full sense, however, recovery is a complex and potentially lengthy process involving the co-ordinated rebuilding, restoring, rehabilitating and, perhaps, regenerating communities following an emergency. Further detail is available in **Preparing Scotland Recovering from Emergencies Guidance** [author’s emphasis]. Response efforts may deal most obviously with the immediate effects of an emergency, but recovery should be an integral part of all response activities as actions taken during the response phase can influence outcomes over the longer term”*.

The response of Police Scotland to climate change is monitored by the Scottish Police Authority (SPA)<sup>3</sup>. Within the *SPA Performance Framework*, Strategic Policing Priority 2<sup>4</sup> includes a qualitative indicator that assesses Police Scotland’s ‘capability and readiness to respond to natural hazards and major events in accordance to Preparing Scotland guidelines’ (SPA, 2013). The SPA Annual Reviews<sup>5</sup> currently provide little information on progress towards this objective. This may be due to the fact that commitments to Strategic Priority 2 are considered High Risk and are therefore not disseminated externally in the public domain. However, it is notable that none of the SPA reports include a section on environmental risk although they do report back on social/community impact, financial, reputational, personnel, legal, and equalities ‘implications’.

### 1.3. Recover: by developing and applying coping strategies

Recovery is the primary goal of resilience.

**Preparing Scotland: Recovering from Emergencies Guidance** is also interim guidance since first being published in 2013. It recognises that recovery is *“a process that embraces the intricacies of the relationships and processes that define all kinds of communities including those identified by geography and common interests”* again highlighting the need for a multi-agency engagement. It is targeted at those planners, managers and practitioners responsible for *“multi-agency recovery arrangement across responding agencies”* rather than those affected.

Recovery can be protracted, particularly where a series of events occur in relatively short succession. The capacity of both those affected and those supporting the recovery process can be overwhelmed.

## 2. Capacity

On the assumption that these types of capability can and have been established, delivery is predicated on human, financial and materiel capacity.

The **Fire (Additional Function) (Scotland) Order 2005** places a statutory duty on the SFRS to make provision for rescuing people trapped, or likely to become trapped, by water, and protecting them from serious harm, in the event of serious flooding in Scotland.

<sup>3</sup> The SPA was established under the **Police and Fire Reform (Scotland) Act 2012** (Scottish Government, 2012a).

<sup>4</sup> Strategic Priority 2: *Strengthen Scotland’s reputation as a successful and safe country by demonstrating excellence in effectively planning for and responding to major events and threats*. This includes indicators of ‘action against terrorism’ and ‘action serious and organised crime’ but also ‘readiness to respond to natural hazards and major events’

<sup>5</sup> Annual Review of Policing 2014/15 Improving Policing for Scotland’s Communities;

<http://www.spa.police.uk/assets/128635/294812/294817>

Strategic Police Plan Delivery Review Q215; <http://www.spa.police.uk/assets/126884/300063/item5new>

Emergency preparation in Scotland is based on the principles of integrated emergency management (IEM). The emergency services work with other Category 1 and Category 2 Responders in Local or Regional Resilience Partnership (LRP/RRP), depending on the scale of the event. The Resilience Partnerships are typically convened by Police Scotland to manage the response to extreme weather events (as well as other emergencies) and the early stages of recovery. In November 2013, the eight (8) Strategic Coordinating Groups (SCGs), corresponding to the eight regional police forces, were replaced by three RRP (North, East and West), which in turn are broken down into 13 LRPs (3 in the North and East, 7 in the West). The RRP therefore benefit from many years of knowledge accumulated during the operation of the SCGs. However, the transition to unitary police and fire services continues to require organisational change; and the climate related elements of the new National Risk Register for Scotland will require regional and local interpretation in the Community Risk Registers being developed by LRPs (Scottish Government, 2015a).

### What do the indicators tell us?

There is a lack of data on the effectiveness (uptake: return on information) or efficiency (value for money: return on investment) of adaptation actions under the SCCAP Society theme. Indeed, one of the key outcomes from this assessment of capability and capacity is the identification of data gaps (availability and/or quality).

Thirteen of the twenty indicators contributing to the *Capability & Capacity* assessment deal with knowledge transfer in one of five forms: information, advice, guidance, education and support. These develop capability - the knowledge and skills to prepare, respond and recover. The remaining seven indicators provide measures of the capacity to actually deliver.

At present, the majority of these indicators cannot be developed due to the data gaps described above.

Floodline is an exception. SEPA's flood forecasting service for the public set up in 2011 now has over 23,000 registered users, the majority of whom are in one of SEPA's 269 flood warning areas, exceeding the targets set initially - see *Number of registrations for flood warnings/alerts (CRS34)*.

#### 1. Capability

Some *qualitative* comments can be made regarding the development of capabilities.

Planning for knowledge transfer is well established in some areas:

- **Preparing Scotland** guidance (Scottish Government, 2012a) draws on both the revised strategic framework from the Cabinet Office, responding to Michael Pitt's review in 2007, and Charles Edwards's *Resilient Nation* (2009). It is frequently referenced in the development of the delivery plans of Scottish public bodies, indicating that the resilience planning derived from it should be consistent with the framework and therefore deliver a coherent set of procedures for action.
- The Scottish Flood Forum, which plays an important role in post flood recovery operations, published their business plan for 2015-2018 in September 2015.<sup>6</sup>
- Flood risk awareness is now being taught through the *Curriculum for Excellence* using the *Ready for Emergencies* resilience resource, which was launched by Education Scotland in 2012.<sup>7</sup>

<sup>6</sup> SFF Business Plan April 2015 – March 2018 <http://www.scottishfloodforum.org/wp-content/uploads/2013/03/Business-Plan-2015-18-web.pdf>

- Case studies on Climate Ready Communities (as well as private and public sector organisations) are now available from Adaptation Scotland.<sup>8</sup>

However, more detailed data on usage and outcomes would contribute to a better understanding of the value of these initiatives (*Number of SCCAP Delivery Agencies programmes in place (CRS32)*) and the capabilities developed as a result.

- Community Risk Registers are in place for all three RRP. Those for three of the 13 LRPs have also been published by the Scottish Fire & Rescue Service.<sup>9</sup>

Following the **Preparing Scotland** guidance, each region has developed a Community Risk Register<sup>10</sup> which: provides a profile of the region and the areas covered by the LRPs within the RRP area; considers a range of risks – pandemic influenza, severe weather, flooding, pollution and contamination, industrial site incidents and utilities disruption – and their possible consequences; includes an action plan for Resilience Partnership members; and, provides general guidance for the public.

Information on the amount of time it takes to draft and agree the Risk Registers in each RRP/LRP and their usage statistics would contribute to a better understanding of *Category 1 Responders risk assessment plans in place (CRS16)* and the capabilities developed as a result.

### 1.1. Capability assessment constraints

We have found no monitoring or evaluation data for any of these initiatives. Without it, it is difficult to say anything more than simply: ‘they exist’. Indicators of usage and effectiveness are important to support policy makers’ decision making about which programmes should continue and which should be revised or replaced. None of these indicators can be populated currently.

Consider, *Ready for Emergencies*<sup>11</sup> for example. In the 4 years since its launch by Education Scotland in 2012, this resource has had a total of 14,000 web page hits, roughly 10 per day. This needs to be evaluated in context. In 2015, there were over 2,500 schools in Scotland, employing 51,000 staff, teaching around 680,000 pupils, 80% of who were in primary education. It is difficult to know whether this represents successful capability building.

No datasets have been identified that would support an analysis of the effectiveness of general capability improvements - *Uptake of SCCAP Delivery Agencies’ awareness raising programmes (CRS35)*. Development of community resilience to flooding, for example, may be supported through national (*Ready Scotland*), regional (*Argyll & Bute Community Emergency Planning Initiative*) and community action plans (*Building Resilient Communities toolkit*). Information in other areas remains quite general though, relating to post event response, lacking a clear evidence base against which *ex ante* action-based guidance can be developed (*Preparing Scotland: responding to the psychosocial and mental health needs of people affected by emergencies*).

<sup>7</sup> Ready for Emergencies <http://www.educationscotland.gov.uk/readyforemergencies/about/>

<sup>8</sup> Adaptation Scotland Tools & Resources <http://adaptationScotland.org.uk/12/79/0/Tools-And-Resources.aspx>

<sup>9</sup> Community Risk Registers <http://www.firescotland.gov.uk/your-safety/community-risk-register.aspx>

<sup>10</sup> See <http://www.firescotland.gov.uk/your-safety/community-risk-register.aspx>

<sup>11</sup> <http://www.educationscotland.gov.uk/readyforemergencies/>

For some indicators, there is no information, advice, guidance or plan currently available to analyse - *Uptake of public awareness measures on heat waves*, for example.<sup>12</sup> Consequently, no meaningful assessment is possible (*Heatwave Action Plans in place (CRS4)*).

Neither have we found datasets which would help to assess the effectiveness of inter-agency knowledge transfer - *Uptake of measures to improve the effectiveness of Category 1 Responders (CRS47)* and *Uptake of measures to improve the effectiveness of Local/Regional Resilience Partnerships (CRS49)*.

The recent thematic inspection carried out by Her Majesty's Fire Service Inspectorate, for example, noted that following the creation of a unitary force in November 2013, work on a consolidated response should be accelerated to ensure that national policies and procedures for flooding are available as quickly as possible (HMFSI, 2015). HMI also suggests issuing a comprehensive list of flood plans for use in 'incident command and planning purposes'. This would enable development of the indicators *Knowledge transfer of extreme weather event risk areas (CRS44)* and *Knowledge transfer of assets at risk (CRS45)*, neither of which can be populated currently. The apparent lack of knowledge transfer may result in an increased workload, especially for rural fire and rescue services which are heavily dependent on retained 'on call' firefighters.

The events of winter 2015/16 have caused many Resilience Partnerships to review their current plans, not least **Care for People**, as multiple events have resulted in cumulative impacts on many communities, leaving them feeling extremely anxious about what they can expect in the future. Additionally, proposals to bring Health together with Social Care (Scottish Government, 2015b), while recognised as a positive development, will also require plans to be revised. However, our understanding of the *Uptake of public awareness measures on psychological effects of EWE* is incomplete.

## 2. Capacity

Operational capacity for responder agencies covers staffing, education and training programmes and the provision of specialist equipment, all of which will need to be fully costed.

Indeed, cost is a key consideration in assessing the *Operational capacity of Category 1 Responders (CRS46)*; *SCCAP Delivery Agencies programmes expenditure (CRS33)*; *Category 1 Responder expenditure on emergency planning and response (CRS18)*; and *Category 2 Responder expenditure on emergency planning and response (CRS19)*.

In 2013, the SFRS employed 8,089 staff: 4,151 FTE, 2,787 Retained Duty, 224 in control functions and 926 in support roles. 13% of the workforce are women. Nearly 40% of the workforce is stationed in Strathclyde, 14% in H&I and Lothian & Borders and 10% or less in all other regions.

The service has 620 items of specialist equipment most of which are (pumping) appliances (449), with the majority in Highlands and Islands (117) and Strathclyde (119); 22 SFRS boats, almost all of which (17) are in Strathclyde and 4 high volume pumps: one each in Central, Grampian, Lothian & Borders and Strathclyde.

Its budget in the first year of operations was £272.7M, 79% (£207M) of which were staff costs and

<sup>12</sup> *Safe Summer in Scotland* was published by the Office of the Chief Medical Officer in 2014 in advance of the Commonwealth Games providing advice on Heat and Sun Safety amongst other things, with the aim of reducing the risks of illness and injury to those living in and visiting Scotland: [http://www.sehd.scot.nhs.uk/cmo/CMO\(2014\)10.pdf](http://www.sehd.scot.nhs.uk/cmo/CMO(2014)10.pdf)

£21.8M, capital expenditure. Of course, only a small proportion of this would be defrayed to cover extreme weather events (Audit Scotland, 2015). And, in general, it has not been possible to disaggregate SFRS data, or indeed any of the Category 1 Responders' data, to quantify the cost of tactical response to extreme weather events.

However, operating cost has to be evaluated and planned for in the context of trends in the *Number of extreme weather (flood) incidents attended by SFRS each year (CRS20)* and the corresponding impacts on society both in terms of health and wellbeing - the *Number and deaths and injuries from extreme weather (flooding) events as a result of Category 1 Responder availability (CRS52)* – and economic resilience - average economic damages for residential and non-residential (commercial) properties (**BB1/BB3 Buildings and Infrastructure Networks**).

Tactical support (in contrast to tactical response) is typically multi-agency. The Local and Regional Resilience Partnerships co-ordinate multi-agency response to a range of events including but not limited to extreme weather<sup>13</sup>. A separation of responsibilities between response and recovery is recognised, although this line is frequently blurred in practice. Currently, the transition from the eight legacy SCGs to three RRP is still considered to be a work in process, particularly in finding the correct balance between local and regional responsibilities. While the Partnerships' response to flooding has been comprehensively exercised over the last several months, certainly in the North and West, a more systematic characterisation of other climate change risks would be beneficial. This could be readily and timeously incorporated in the most recent RRP Capability Risk Assessments and include an analysis of the implications for human, financial and material resources: *Operational capacity of LRPs/RRPs (CRS48)*.

The complexity of this landscape though – the number of agencies and their plans, which are in different stages of development - may benefit from a more formal assessment. This would determine the extent to which a coherent and consistent response is being orchestrated and best practice tracked over time, taking account of the completeness of the Responder agency plans and their efficacy for dealing with climate related events - *Category 1 Responders risk assessment plans in place (CRS16)* and *Category 2 Responders risk assessment plans in place (CRS17)* for example.

Some support for this exists already. The Scottish Resilience Development Services (SCoRDS)<sup>14</sup> 'supports the resilience community by providing learning and development to enhance the knowledge, skills and behaviours required for effective multi-agency emergency planning, response and recovery'. Sir Michael Pitt's review the 2007 flooding events in Yorkshire, Hull, Gloucestershire, Worcestershire and the Thames Valley lead to the inclusion of extreme weather events in the UK Cabinet Office's *Resilience Direct* resource – [www.resilience.gov.uk](http://www.resilience.gov.uk) (Pitt, 2007). The SCCAP 2015 Annual Progress Report indicates that these two resources are being consolidated "to improve the ability for Resilience Partnerships to record lessons, including progress updates and outcomes and increase accessibility to share the information across Partnership boundaries, thus improving the scope for analysis and incorporation of lessons into policy, processes and learning" (Scottish Government, 2015a).

Here too though, to date few data have been identified that would support a comprehensive, meaningful, quantitative assessment of Scottish society's capacity to respond to and recover from climate related events.

As a result, overall, the following seventeen (17) indicators were not populated due to data

<sup>13</sup> The LRP standing agenda includes: risk and capability assessments; training, exercising and learning; warning and informing; inter-agency communications; mass fatalities/additional deaths; community & business resilience; care for people and animal health.

<sup>14</sup> SCoRDS <http://www.scords.gov.uk>

availability/quality issues:

- i. Uptake of public awareness measures on heat waves
- ii. Heatwave action plans in place
- iii. Category 1 Responders risk assessment plans in place
- iv. Category 2 Responders risk assessment plans in place
- v. Category 1 responder expenditure on emergency planning and response
- vi. Category 2 responder expenditure on emergency planning and response
- vii. Number of SCCAP Delivery Agencies programmes in place (covers 10 programmes)
- viii. SCCAP Delivery Agencies programmes expenditure
- ix. Uptake of awareness raising programmes (covers 6 programmes)
- x. Uptake of public awareness measures on psychological effects of EWE [flood/storm]
- xi. Knowledge transfer of EWE [flood] risk areas
- xii. Knowledge Transfer of assets at risk of EWE [flood]: Households; Community Services; Critical National Infrastructure (CNI) assets
- xiii. Operational capacity of Category 1 Responders
- xiv. Uptake of measures to improve the effectiveness of Category 1 Responders
- xv. Operational capacity of Local/Regional Resilience Partnerships
- xvi. Uptake of measures to improve the effectiveness of Local/Regional Resilience Partnerships
- xvii. Number of deaths and injuries from flooding & storm events each year due to Category 1 Responder availability

#### Other relevant indicators

Improved **Societal Resilience** is the key outcome from the programmes and measures discussed here. When data becomes available to populate meaningfully the indicators that underpin them, we would expect to see some correlation between Capability & Capacity and Societal Resilience

A connection with the **Health and Wellbeing** assessment is also apparent particularly as it relates to physical and psychological impacts of extreme weather events and the capacity to prepare, respond and recover from them: *Heatwave action plans in place (CRS4)*; *Uptake of public awareness measures on heat waves (CRS3)*; and *Uptake of public awareness measures on psychological effects of EWE (CRS42)*.

Response to wildfires is provided in part by land-owners. Indicators relating to wildfire have been included in the Natural Environment theme:

- NB41/NF15 Key habitats (woodland, grassland, peatland) at high risk of wildfire. There is a long-term aim for development of wildfire risk assessment for Scotland, which will be drawn upon when available. At the moment this is covered only by high-level narrative
- NB42: Number and area of reported wildfires in key habitats
- NB43/NF20 Wildfire prevention and management strategies, which is not currently populated



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## Version Control

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