



ARUP

Zero Waste Scotland – LHEES Capacity Building Services

Guidance for Local and Regional Policy Review

Prepared by Arup for Zero Waste Scotland

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Introduction

Purpose

The LHEES [Guidance](#) sets out a structured approach should be used to prepare and publish an LHEES. This Framework focuses on providing further resources in relation to **Stage 1: Policy and Strategy Review** and in particular the review of local policy, strategies and targets.

This **Decision Tree Framework** aims to aid a local authority in appraising, assessing and categorising local policy, strategies and plans for the purposes of understanding their relevance and interaction with LHEES. The accompanying **Guidance for Local Priority Setting** aims to aid a local authority in defining and clearly conveying the local priorities for LHEES for the purposes of engaging stakeholders internally and externally, to support LHEES analysis and to help target delivery.

Introduction

How to Use

This Decision Tree Framework supports Stage 1: Policy and Strategy Review of local policy, strategies and plans for the purposes of understanding their relevance and interaction with LHEES. It is broken down into three stages.

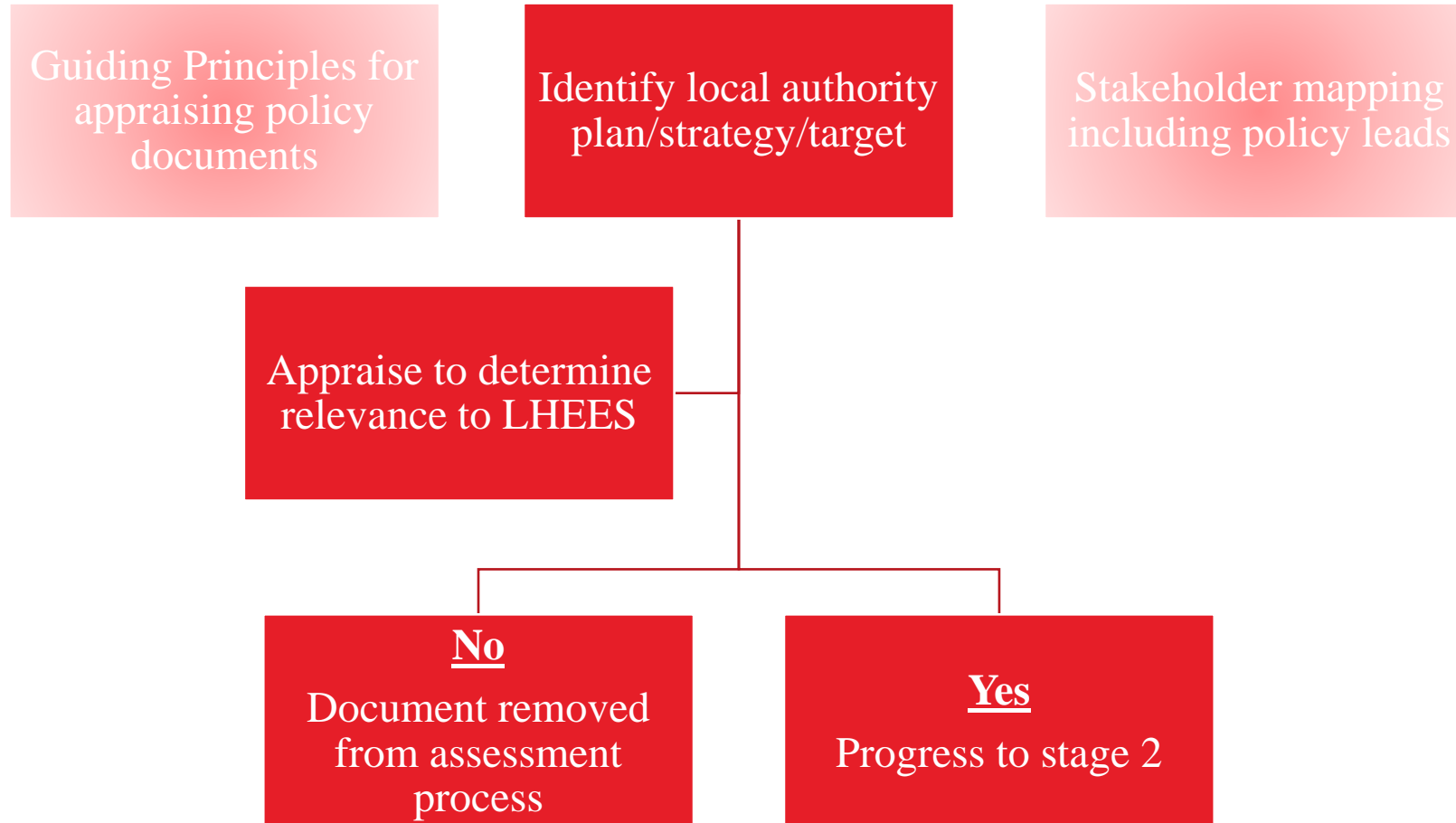
1. Identification and Appraisal of Local Authority Plan/Strategy
2. Identify, Assess and Summarise Key Information
3. Categorisation and Linkages to LHEES

Accompanying each stage of the decision tree framework are some guiding principles and methods to aid local authority officers in achieving the aims of LHEES Stage 1.



Decision Tree – Stage 1

Identification and Appraisal of Local Authority Plan/Strategy



Stage 1 Guidance

Identification and Appraisal of Local Authority Policy

Identify local authority plan/strategy/target

Access the database, or similar, of adopted strategies, plans, targets, etc produced by the Local Authority in question and compile a long list of all current documents. This should be cross-checked with the suggested list in the **LHEES Policy and Strategy Review Template** and may include Local Housing Strategies, Local Development Plans, Corporate Plans, Climate Change Strategies, Fuel Poverty Strategies, Community Plans etc.

Appraise to determine relevance to LHEES

Appraise the local policy document to determine its relevance to the National Priorities of LHEES and the LHEES Considerations. A first step in this process may be to scan the document contents page to identify any sections, chapters or sub chapters which either directly or indirectly relate to the core priorities of LHEES (e.g. heat decarbonisation, energy efficiency or fuel poverty). If this is found to be the case then the document is considered relevant to LHEES.

If no item on the contents pages obviously relates to the above then a word search can be undertaken to scan the document for key words, terms and phrases. This could include, but is not limited to, climate change, net-zero, LHEES, heat, decarbonise, energy efficiency, fuel poverty, heat networks etc. Upon collating the search results, a view should be taken as to the relevance to LHEES.

The reviewer should be aware that in addition to those directly relevant contents identified, other less obvious relevancies to LHEES may exist. An example would be a Local Authority's policies and guidance relating to the alteration of historic properties including listed buildings and buildings in a conservation area, as well as any tenement policy. This would directly impact on matters of retrofit and energy efficiency and have a range of impacts on LHEES including on cost and deliverability.

Stage 1 Guidance

Opportunity for Engagement

In addition to reviewing local policy, this should also be viewed as an opportunity to engage with other officers across the Local Authority. The purpose of this engagement could be to:

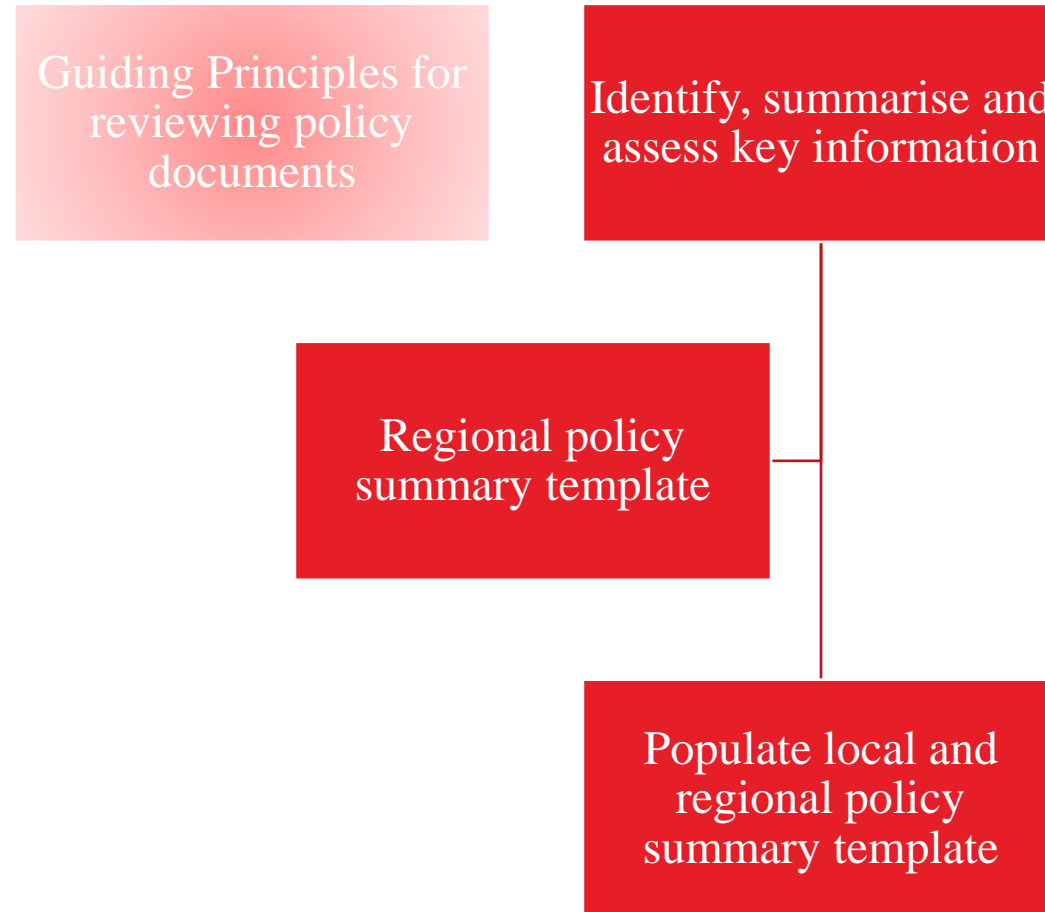
- Introduce LHEES to other teams and service areas e.g. the Statutory Duty and requirements, its purpose, the process and the need to work collectively to develop a Delivery Plan
- To understand better, through engagement, the purpose and intention of a particular policy, and how it would interact with the LHEES
- To understand if there are wider local or regional policies that are of relevance to LHEES, and whether there is a structure and/or hierarchy to these
- Support identification of internal stakeholders for the purposes of analysis, Strategy and Delivery Plan development (see separate **Stakeholder Engagement Toolkit**)
- To build momentum across the local authority, potentially establish governance structures, steering and working groups

Proceed to Stage Two

A Local Authority's strategy, plan or target should proceed to stage two if any relevance to LHEES is identified. If not the strategy, plan or target may be disregarded

Decision Tree – Stage 2

Identify, Assess and Summarise Key Information



Stage 2 Guidance

Guiding Principles for Reviewing Policy documents

Identify, summarise and assess key info

Building on the the same principles used in Stage 1, now locate the sections, chapters or sub chapters which either directly or indirectly relate to LHEES. These sections should now be reviewed in relation to the headings set out under the ‘Local’ tab in the Policy and Strategy Review template and include key drivers, targets or requirements as relevant to LHEES. These are included below for reference. Engagement undertaken at Stage 1 may assist with this review.

As with Stage 1, drivers, targets or requirements will exist that are included within plans and strategies which are indirectly relevant to LHEES. These should be included throughout this process.

Strategy/Policy/Plans	Description	Priorities/actions	Targets	Duration period	Renewal date	Status	Additional comments	URL
Title	Purpose / vision	Qualitative targets (relevant for LHEES). Some specific strategies/plans may have a close tie to LHEES	Quantitative targets (relevant for LHEES)	Years active	Date when due for renewal	eg live, under-review, in development	Opportunity to provide further context and areas of focus/reading	URL to document / implementation plan / monitoring and evaluation templates

Regional policy summary template

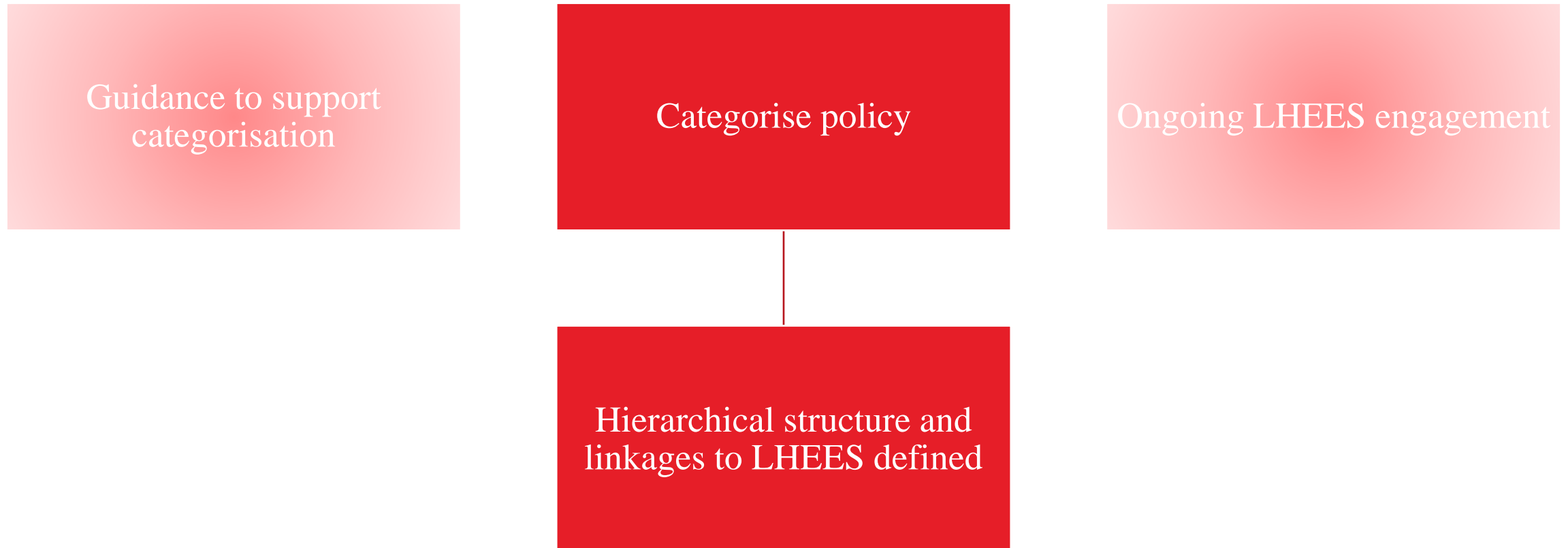
Regional, community, sector, organisation and business plans should also be considered where appropriate. If these are appropriate, repeat all Stage 1 and Stage 2 steps for any strategies, plans, targets, etc which exist at a regional level.

Populate local and regional tabs in the Policy and Strategy Review template

Compile the above review and key information relating to local and regional policy and populate the ‘Local’ tab in the Policy and Strategy Review template.

Decision Tree – Stage 3

Categorisation and Linkages to LHEES



Stage 3 Guidance

Categorisation and Linkages to LHEES

Categorise strategy, policy or plan

For the purpose of understanding and developing the hierarchical structure of the local and regional policy identified, they should be categorised in accordance with the linkages they will have with LHEES. Key questions to answer are:

- Is there a hierarchical structure in place already across the Local Authority?
- Is any particular strategy, plan or policy of less, equal or greater importance to LHEES, or the National Priorities for LHEES?
- Will it inform or be informed by LHEES?
- What is the relationship with National Policy?
- Can the team leading this strategy, plan or policy now come in to support the development of LHEES?

For the purpose of categorisation, the additional columns below should be added to the ‘Local’ tab in the Policy and Strategy Review template.

Importance in relation to LHEES

Informed by LHEES

Inform LHEES

Relational National Policy

Defining the interrelations with LHEES and solidifying and/or amending the categorisation of the policy documents may require engagement with central policy officers and/or lead officer(s) responsible for the each strategy, policy or plan.

Stage 3 Guidance

Following Review and Categorisation

Upon the completion of Stage 3 the local authority LHEES team should now be prepared to deepen engagement with stakeholders internally and externally, to support LHEES analysis and Strategy development and to help target delivery.

The completed ‘local’ and ‘regional’ policy tabs should be used:

- To lever and bring in support of other stakeholders and senior officers from across the local authority
- As a reference point when writing the LHEES Strategy
- As a reference point when developing and finalising Delivery Areas and Delivery Plan actions

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