Cunninghame House,
Irvine.

9 November 2017

Audit and Scrutiny Committee

You are requested to attend a Meeting of the above mentioned Committee of North Ayrshire Council to be held in the Council Chambers, Cunninghame House, Irvine on **TUESDAY 14 NOVEMBER 2017** at **10.00 a.m.** to consider the undernoted business.

Yours faithfully

Elma Murray

Chief Executive

1. **Declarations of Interest**
   Members are requested to give notice of any declarations of interest in respect of items of business on the Agenda.

2. **Minutes (Page 5)**
   The accuracy of the Minutes of the meetings of the Audit and Scrutiny Committee held on 22 August 2017, 19 September 2017 and 11 October 2017 will be confirmed and the Minutes signed in accordance with Paragraph 7 (1) of Schedule 7 of the Local Government (Scotland) Act 1973 (copy enclosed).

3. **Public Performance Reporting 2016/17 (Page 19)**
   Submit report by the Chief Executive on 2016/17 public performance reporting and the Annual Performance Report 2016/17 (copy enclosed).

4. **Equality Mainstreaming and Equality Outcomes Report for 2015 - 2016 and Equality Outcomes for 2017 - 2021 (Page 67)**
   Submit report by the Chief Executive on work going on across the Council to meet the requirements of the Equality Act 2010 (copy enclosed).

5. **Equal Pay in Scotland (Page 142)**
   Submit report by the Executive Director (Finance and Corporate Support) the findings of the Audit Report on Equal Pay in Scottish Councils and provide an update on North Ayrshire Council's position on the settlement of equal pay claims (copy enclosed).

6. **Scottish Roadworks Commissioner Annual Performance Report (Page 150)**
   Submit report by the Executive Director (Place) the report prepared by The Office of the Scottish Road Works Commissioner on North Ayrshire Council's Roads Service (copy enclosed).

7. **Self-directed Support Progress Report 2017 (Audit Scotland) (Page 165)**
   Submit report by the Interim Director (North Ayrshire Health and Social Care Partnership) on Self-directed Support progress from a national and local perspective (copy enclosed).

8. **Internal Audit Reports Issued (Page 191)**
   Submit report by the Executive Director (Finance and Corporate Support) on the findings of Internal Audit work completed between 1 August and 31 October 2017 (copy enclosed).

9. **Internal Audit Plan 2017/18: Mid-year Update (Page 220)**
   Submit report by the Executive Director (Finance and Corporate Support) on the delivery of the 2017/18 Internal Audit plan (copy enclosed).

10. **Internal Audit and Corporate Fraud Action Plans: Quarter 2 update (Page 228)**
    Submit report by the Executive Director (Finance and Corporate Support) on the progress made by Council services in implementing the agreed actions from Internal Audit and Corporate Fraud reports as at 30 September 2017 (copy enclosed).

11. **External Audit Action Plans: Quarter 2 Update (Page 236)**
    Submit report by the Executive Director (Finance and Corporate Support) on progress made in implementing the agreed action plans arising from the external audit of the Council's 2015/16 and 2016/17 accounts (copy enclosed).

12. **Corporate Fraud Team: Mid-year Progress (Page 239)**
    Submit report by the Executive Director (Finance and Corporate Support) on the work of the Corporate Fraud team (copy enclosed).

13. **Counter Fraud Maturity Assessment (Page 243)**
    Submit report by the Executive Director (Finance and Corporate Support) on the outcome of a self-assessment of the Council's Counter Fraud arrangements using the Scottish Government Counter Fraud Maturity Model (copy enclosed).

14. External Inspection Reports (Page 249)
Submit report by the Executive Director (Finance and Corporate Support) on proposals to update the Committee with reports on the outcome of all external inspections (copy enclosed).

15. Urgent Items
Any other items which the Chair considers to be urgent.

16. Exclusion of the Public
Resolve in terms of Section 50(A)4 of the Local Government (Scotland) Act 1973, to exclude from the Meeting the press and the public for the following item of business on the grounds indicated in terms of Paragraphs 3 and 9 of Part 1 of Schedule 7A of the Act.

Non Disclosure of Information
In terms of Standing Order 19 (Disclosure of Information), the information contained within the following report is confidential information within the meaning of Section 50A of the 1973 Act and shall not be disclosed to any person by any Member or Officer.

16.1 Corporate Fraud Reports Issued
Submit report by the Executive Director (Finance and Corporate Support) on the findings of Corporate Fraud investigations completed between 1 August and 31 October 2017.

Audit & Scrutiny Committee

Sederunt:

       Marie Burns (Chair)
       Margaret George (Vice Chair)
       Joy Brahim
       Alan Hill
       Tom Marshall
       Donald Reid
       John Sweeney

Chair:

Attending:

Apologies:

Meeting Ended:

Audit and Scrutiny Committee
22 August 2017

Irvine, 22 August 2017 - At a Meeting of the Audit and Scrutiny of North Ayrshire Council at 10.00 a.m.

Present
Marie Burns, Margaret George, Joy Brahim, Alan Hill (Items 1 - 8), Tom Marshall, Donald Reid and John Sweeney

Also Present
Jim Montgomerie, Timothy Billings and Steven Gallacher (Items 1 - 3).

In Attendance
E. Murray, Chief Executive; L. Friel, Executive Director, F. Walker, Head of Service (People and Transformation), P. Doak, Senior Manager (Internal Audit, Risk and Performance) S. Humphries, Chief Revenues and Benefits Officer, D. Miller, Complaint and Feedback Manager, E. Nixon, Customer Services Operational Manager, J. Hamilton, Employment Services Manager (Finance and Corporate Support); A. Sutton, Head of Service (Connected Communities) A. McClelland, Head of Service (Learning and Improvement) and C. Maxwell, Senior Manager (Education and Youth Employment); Y. Baulk, Head of Service (Physical Environment) (Place); S. Brown, Interim Director (Children, Families and Criminal Justice);   A. Fraser, Head of Democratic Services, A. Todd, Senior Policy and Performance Officer and A. Little, Committee Services Officer (Chief Executive's).

Chair
Councillor Burns in the Chair.

1.   Declarations of Interest

There were no declarations of interest by Members in terms of Standing Order 10 and Section 5 of the Code of Conduct for Councillors.

2.   Minutes

The Minutes of the meeting of the Audit and Scrutiny Committee held on 30 May 2017 were confirmed and the Minutes signed in accordance with Paragraph 7 (1) of Schedule 7 of the Local Government (Scotland) Act 1973.

3.   Call In: Closure of Arran Public Toilets

Submitted report by the Chief Executive on a Call In Request received in respect of the decision taken by the Cabinet at its meeting on 20 June 2017 in respect of the report on the Petition in respect of the Closure of Arran Public Toilets. A copy of the Cabinet report was provided at Appendix 3 to the report.

At its meeting on 30 May 2017, the Audit and Scrutiny Committee considered a report on a petition, signed by at least 10 petitioners and supported by approximately 2,000 online signatories, asking the Council to reconsider the closure of Arran public toilets. The terms of the petition and supporting documentation were outlined in Appendix 1 to the report. The Executive Director (Place) provided a briefing note on the background to the matter, which was set out at Appendix 2. The Committee agreed to refer the petition to Cabinet for its consideration.

The Cabinet, at its meeting on 20 June 2017, considered a report (Appendix 3) on the outcome of the Audit and Scrutiny Committee's consideration of the petition in relation to Arran toilets and heard from the principal petitioner, Mr Calderwood, and the Head of Service (Physical Environment). The Cabinet agreed to make no change to the decision of Council on 17 February 2016 and to support the continued work between Facilities Management, Connected Communities and the local community groups on Arran.

A request was received in terms of the Call In procedure set out in the Council's Scheme of Administration and Standing Orders, that the Scrutiny and Petitions Committee examine the decision taken by the Cabinet.

The Call In request, which was signed by Councillors Billings, Gallacher and Stephen, in the following terms:-

"Reason for Call In - The closure of the toilets is causing real hardship that the Council has not recognised. Arran is a rural community with a very large number of visitors. The lack of public toilets in key sites is causing public nuisance and is a threat to public health.

A proposal for funding the toilets was put forward that was not investigated or considered.

The closure of the toilets was designed to save money, however, there is a possibility that no actual saving has been achieved, in which case the toilets could be reopened at no cost. The staff involved has been 'allocated other duties'.

The Council continues to avoid making a statement that the provision of publicly available toilet facilities, and there is nothing that requires the Council to take toilet provision in to account when making decisions about future development or plans for public spaces or infrastructure.

Desired Outcome - to confirm that a real saving has been made in closing the toilets on Arran, and to explain how that saving has been made.

To fully investigate the possible use of the Community Investment Fund to pay for reopening the 4 closed toilets.

To obtain agreement that the provision of public toilets is an essential part of community planning, and that the Council develops a strategy that ensures the provision of publicly available toilets is enshrined in the Councils approach to community planning.

The Head of Democratic Services summarised the procedure for considering the Call In request and set out the circumstances surround the Cabinet decision. He also referred to an updated briefing paper provided at Appendix 4 to the report.

Thereafter, the Members who had requested the Call In were invited to speak. Councillor Billings expressed the view that the Council's decision to close public toilets was ill-considered. He referred to a recent Council consultation that had been considered a success but had generated much less interest than that of the Arran Toilets petition. Councillor Billings considered that the Council should develop a strategy that ensures the provision of publicly available toilets and that a fund should be established for community groups to provide support for the costs of the maintenance, repairs and improvements for community run toilet facilities.

Councillor Billings acknowledged that further progress had been made in respect of the toilets at Lochranza, Blackwaterfoot and Lamlash and sought further information in relation to the savings that have been achieved by closing the toilets on Arran.

The Chair then invited Councillor Montgomerie, as the Place portfolio-holder to address the meeting. Councillor Montgomerie referred to Appendix 4 to the report. In response to Councillor Billings questions relating to savings, the Head of Service (Physical Environment) noted that the £55,000 savings had been removed from budgets on 1 April 2017, and related to the closure of all toilets in North Ayrshire. In relation to Arran, saving were:-

Weekend overtime - £9,000
Vehicle and fuel - £5,000
Cleaning costs - £5,000
Midweek cleaning staff moving to other duties, including verge cleaning (cost avoidance as verge maintenance was previously undertaken by an external contractor as part of a £30,000 contract, and has now been brought back in-house)

The Committee was also advised that a Community Asset Transfer is actively being progressed for the facilities at Blackwaterfoot. Connected Communities have worked with groups to provide assistance with governance and financial requirements. Groups have also been provided with a range of cleaning materials and supplies to provide a stock for the first few months of operation.

Councillor Billings advised that proposals in respect of the toilets at Lamlash will be presented to next meeting of Lamlash Improvements.

The Committee agreed not to support the Call In Request, on the basis that further progress had been made in transferring the responsibility for public toilets to community groups.

Councillors Montgomerie, Billings and Gallacher left the meeting at this point.

4. Internal Audit Reports Issued

Submitted report by the Executive Director (Finance and Corporate Support) on the findings of Internal Audit work completed between 1 May and 31 July 2017. Appendix 1 included the Executive Summary and Action Plan for each audit and provided information on the findings from 5 separate audit assignments.

Members asked questions and were provided with further information in relation to:-

- a more systematic approach that has been taken to progress actions in relation to email controls in Education and Youth Employment, that include a full training programme for 2017/18 for school staff;
- printing to a personal printer when working from home that is prohibited for staff and Elected Members;
- referrals that are investigated by the Corporate Fraud Team in relation to the misuse of Blue Badges;

Noted.

5. Internal Audit and Corporate Fraud Action Plans: Quarter 1 update

Submitted report by the Executive Director (Finance and Corporate Support) on the progress made by Council services in implementing the agreed actions from Internal Audit and Corporate Fraud reports as at 30 June 2017. The report provided information on the actions outstanding at the end of March 2017 and Appendix 1 gave information of the 11 actions that were not completed within the agreed timescales.

Members asked questions and were provided with further information in relation to progress that has been made by Education and Youth Employment to ensure staff have signed the Corporate Acceptable Computer Use Policy, a range of measures that have been put in place to ensure compliance with the Digital Strategy, such as discussion of this item at the Head Teachers' meeting, inclusion of the signing of the policy as part of the starter process for all new staff, mandatory training for all staff, an email reminder to chase up those who have not signed the policy and the purchase of meta compliance software.

Noted.

6. Local Scrutiny Plan and National Scrutiny Plan 2017/18

Submitted report by the Executive Director (Finance and Corporate Support) on the Local Scrutiny Plan (LSP) for 2017/18 prepared by the Local Area Network of external scrutiny bodies and the National Scrutiny Plan, which brings together all LSPs and is prepared by the Strategic Scrutiny Group.

The Committee agreed to note the positive report.

7.   Audit Scotland Housing Benefit Performance Audit annual update 2016/17

Submitted report by the Executive Director (Finance and Corporate Support) on the findings of Audit Scotland's review of Housing Benefit Performance Audit annual update 2016/17, which was set out in full at Appendix 1 to the report. Audit Scotland identified three key risks relating to accuracy checking, business planning and performance reporting and interventions and these were set out in Appendix 2.

Members asked questions and were provided with further information in relation to:-

● preparations that have been undertaken for the roll out in North Ayrshire of Universal Credit in November 2017 that includes engagement with Council tenants and the provision of advice on money management such as Standing Orders and Direct Debits; and
● monthly meetings that take place with the Department for Work and Pensions and processes in place for managed payment to protect the payment of rent and sustain tenancies.

Noted.

8.   End of year 2016/17 Progress Reports - Council Plan/Directorate Plans

Submitted report by the Chief Executive on the Council Plan 2015/20 and Directorate Plans 2015/18 as at 31 March 2017.   Appendix 1 to the report provided a status summary for each of the 57 performance measures, with Appendix 2 detailing explanations for those measures adrift of target.   Appendix 3 set out revised measures, as agreed by the Executive Leadership Team. Appendices 4 - 9 set out the Directorate Plans for Democratic Service, Finance and Corporate Support, Education and Youth Employment, Economy and Communities, Place, and Health and Social Care Partnership respectively.

Members asked questions and were provided with further information in relation to:-

● a clear marketing strategy and timeline that has been put in place to progress ebilling;
● a range of measures that are used to measure town centre footfall;
● data on tourism visitor numbers that is being analysed and will be available shortly.

Councillor Hill left the meeting at this point.

Democratic Services

● the positive impact of proactive press releases; and
● a number of meetings that will take place over the next few months with politicians and an announcement that is expected in the autumn in respect of the Ayrshire Growth Deal.

<u>Finance and Corporate Support</u>

- the mobile working pilot that will feed into the workplace rationalisation and savings that are anticipated when rolled out to all Directorates; and
- the responsibility of each Directorate to deliver services within budget.

<u>Education and Youth Employment</u>

- vacancies within schools that are managed appropriately and discussions with Ayrshire College to assist with the provision of Home Economic teaching in the short term as the result of a vacancy;
- an increase that has been achieved in National 5's;
- the Professional Learning Academy that targets training to teachers and practitioners in the most deprived areas and also provides 30 different twilight sessions for staff; and
- work with Ayrshire College to ensure high numbers of our young people are entering positive and sustained post-school destinations;

Councillor Sweeney left the meeting at this point.

<u>Place</u>

- reconfiguration of the Private Sector Housing Team to strengthen our approach to supporting tenants and landlords and to bring empty properties back in to use, working in partnership with Building Services and Registered Social Landlords and an event that will be held in October to develop the private sector strategy; and
- the Buy Back scheme that is on track to achieve the targets set.

<u>North Ayrshire Health and Social Care Partnership</u>

- staff absences in some teams within the HSCP that are above target, such as residential care, care at home and mental health that can be attributed to the higher age profiles of staff within these groups and the physical nature of these roles;
- monitoring of staff absences that is undertaken and reviewed at the Performance Review Panels;
- Care at Home capacity that is lost due to cancelled hospital discharges.

Noted.

9. 2016/17 Complaint Report

Submitted report by the Executive Director (Finance and Corporate Support) on the Council's complaint performance and the volumes and trends of complaints received in the period 1 April 2016 - 31 March 2017 and comparative data from 2014/15 and 2015/16. Appendix 1 to the report provided statistical data and information on the range and volume of complaints at all stages of the complaints process.

Members asked questions and were provided with further information in relation to work that is done with services to monitor complaint trends.

Noted.

10.   Maximising Attendance Performance – 5 Year Trend

Submitted report by the Executive Director (Finance and Corporate Support) which provided information on sickness absence trends for the period 2012/13 - 2016/17, an analysis of trends and highlighted the policies, procedures and proactive interventions to support the Council's workforce. A range of statistical information was provided, including 9.79 average days lost per employee, set against the target of 7.57 average days.

Members asked questions and were provided with further information in relation to a range of health and wellbeing initiatives in place to prevent sickness absences, such as Livewell and Workwell groups

Noted.

12.   Exclusion of the Public

The Committee resolved in terms of Section 50(A)4 of the Local Government (Scotland) Act 1973, to exclude from the Meeting the press and the public for the following item of business on the grounds indicated in terms of Paragraph 1 of Part 1 of Schedule 7A of the Act.

12.1 Corporate Fraud Reports Issued

Submitted report by the Executive Director (Finance and Corporate Support) on the findings of Corporate Fraud investigations completed between 1 May and 31 July 2017.

Noted.

The meeting ended at 12.40 p.m.

Audit and Scrutiny Committee
19 September 2017

Irvine, 19 September 2017 - At a Special Meeting of the Audit and Scrutiny Committee of North Ayrshire Council at 10.00 a.m.

Present
Marie Burns, Margaret George, Joy Brahim, Alan Hill and Donald Reid.

In Attendance
L. Friel, Executive Director, P. Doak, Senior Manager (Internal Audit, Risk and Performance) and D. Forbes, Senior Manager (Financial Management) (Finance and Corporate Support); Y. Baulk, Head of Physical Environment (Place) and A. Little, Committee Services Officer (Chief Executive's).

Also In Attendance
Pat Kenny, Deloitte.

Chair
Councillor Burns in the Chair.

Apologies for Absence
Tom Marshall and John Sweeney.

1.   **Declarations of Interest**

There were no declarations of interest by Members in terms of Standing Order 10 and Section 5 of the Code of Conduct for Councillors.

2.   **Annual Report on the 2016/17 Audit**

Submitted report by the executive Director (Finance and Corporate Support) on the annual audit report for 2016/17. Appendix 1 to the report comprised the letter of representation to be signed by the Executive Director (Finance and Corporate Support) as responsible officer for North Ayrshire Council. Deloitte's proposed annual report to Members, which summarised the findings of their audit, was attached at Appendix 2 to the report.

Pat Kenny of Deloitte provided a verbal report on the appendices to the report, including the key messages contained within the external auditor's unqualified report on the 2016/17 audit of North Ayrshire Council, the significant findings from the audit in accordance with ISA260, and the significant audit risks identified during the course of the audit.

Members asked questions and were provided with further information in relation to:-

● business partnering that was introduced in April 2017 and provides a discrete resource to provide a strategic role in the transformation programme;
● the net pension liability increase that is mainly as a result of an increase in the discount rates applied, offset to some extent by a slight increase in some inflation adjustments; and

- the provision of regular updates on the transformation programme to future meetings of the Committee.

The Committee agreed to (a) note the findings of the 2016/17 audit and Action Plan as contained in the External Auditor's Annual Report (Appendix 2); (b) approve the audited Annual Accounts for signature (Appendix 1).

3.   Urgent Item

The Chair agreed that the following item of business be considered as a matter of urgency to allow the matter to be actioned without delay.

3.1   Equal Pay

The Committee was advised of a request for an update in relation to the Council's approach to equal pay and specifically information on:-

- the number of ongoing equal pay claims and how they are being progressed;
- the potential cost of equal pay claims;
- the steps the council is taking to mitigate against the risks of equal pay claims;
- the gender pay gap position;
- a copy of any action plan on the council's equal pay policy; and
- the council's approach to proactively carrying out equality work around gender pay gap.

The Executive Director (Finance and Corporate Support) reported that a report would be made to the next meeting on the Audit Scotland's report on Equal Pay in Scottish Councils.

The Committee agreed to receive a report at the next meeting from the Executive Director (Finance and Corporate Support) on the Audit Scotland report on Equal Pay in Scottish Councils and information on the areas that had been raised by the Committee, as detailed above.

The meeting ended at 10.15 a.m.

Irvine, 11 October 2017 - At a Special Meeting of the Audit and Scrutiny Committee of North Ayrshire Council at 3.00 p.m.

Present
Marie Burns, Margaret George, Joy Brahim, Alan Hill, Tom Marshall and John Sweeney.

Also Present
Joe Cullinane, Ian Murdoch and Alex Gallagher.

In Attendance
E. Murray, Chief Executive; C. Hatton, Executive Director and L. Cree, Senior Manager (Property Management and Investment); A. Sutton Head of Service (Connected Communities); A. Fraser, Head of Democratic Services and A. Little, Committee Services Officer (Chief Executive's)

Also In Attendance
Catherine Baxter, Tom Black and Ian Ord (Petitioners).

Chair
Councillor Burns in the Chair.

Apologies for Absence
Donald Reid.

1.   Urgent Item and Order of Business

The Chair, in terms of Standing Order 9.5, agreed to consider a petition in relation to the shelter at Douglas Park, Largs as an urgent item of business. In terms of Standing Order 9.4, the Chair also agreed to vary the order of business to allow consideration of the urgent item as the first item of business.

2.   Declarations of Interest

There were no declarations of interest by Members in terms of Standing Order 10 and Section 5 of the Code of Conduct for Councillors.

3.   Petition: Removal of the Disused Public Toilet Building and Shelter at Douglas Park, Largs

Submitted report by the Chief Executive on a petition of signatures, that had been received requesting that the Council remove the disused public toilet building and shelter at Douglas Park, Largs.

The Head of Democratic Services summarised the procedure for considering the Petition and the terms of the petition for the permanent removal of the toilet and open shelter in Douglas Park, Largs.

The principal petitioner, Catherine Baxter, referred to disturbances that have been experienced by local residents as a result of anti-social behaviour in Douglas Park, Largs. Police Scotland have been contacted on numerous occasions to report the anti social behaviour, that includes youths shouting, girls screaming, loud music played on portable devices, banging of the metal shutters of the shelter. Vandalism is ongoing, there have been instances of deliberate fire-raising and there is evidence of drug use within the park.

Ian Ord, local resident, advised that he uses the park three times a day, seven days a week to walk his dogs. He reported that groups of 60 - 100 youths can congregate in the park at any one time. They appear to have adopted the park as a meeting place and the shelter has become a target for vandalism and anti-social behaviour. The condition of the shelter is rapidly deteriorating as the level of vandalism increases and the building requires extensive repairs. It is no longer a useful amenity for the public and is only used by the youths to take shelter from the wind and rain.

Tom Black, local resident reported that the toilet is no longer in use and members of the public do not make use of the shelter. Local residents are experiencing loud disturbances and noise from the youths in the park, which escalate throughout the evening and when they are leaving the park. Following these gatherings the park is often littered with wine bottles, beer and cider cans and broken glass.

The petitioners considered that the building should be removed at the earliest opportunity.

The Committed agreed to note the petition and take it into consideration in considering the following item.

4. Call In Request: Demolition of the shelter at Douglas Park, Largs

As Councillor Hill had signed the call in request in terms of Standing Order 25.4 he did not form part of the Committee for consideration of this item.

Submitted report by the Chief Executive on a Call In Request in respect of the decision taken by Cabinet at its meeting on 26 September 2017 in relation to the demolition of the shelter within Douglas Park, Largs. A copy of the Cabinet report was provided at Appendix 1 to the report.

At its meeting on 26 September 2017, the Cabinet received a report by the Executive Director (Place) on the poor state of repair of the shelter and former public toilets within Douglas Park, Largs. An update was also provided regarding Largs Community Council's support, then opposition to the demolition, and on the drop-in session held on 22 September where Fairlie Growers explained their plans for the park, without the shelter. Councillor Marshall, as a Local Member, advised the Cabinet that the former public toilets had become a target for vandalism and anti-social behaviour and the local residents were in support of the recommendation to demolish the former public toilets within Douglas Park, Largs.

The Cabinet agreed (a) to approve the demolition of the Douglas Park shelter and former public toilets held within the Largs Common Good; and (b) that the demolition costs be funded from the Largs Common Good.

Subsequently, a Call In request was received from Councillor Murdoch, Hill and Davidson in the following terms:-

"Reason for Call In - I would like to call this item in on the following grounds;

I was not fully informed of all the facts before making my decision. I was not made aware of the Asset Transfer until 21 July 2017. I was not given any detailed history until 24 July and even then I was not informed that the shelter was part of the Asset Transfer.

The issue was dealt with during the recess.

The speed that it was pushed through was unnecessary.

I feel there was not enough time for public scrutiny.

Appropriate procedures may not have been followed.

Desired Outcome - To recommend to the Cabinet that the final decision to demolish be delayed for a period of two months to allow time for all options to be fully explored and considered by local Elected Members before a final decision is agreed.

The Head of Democratic Services summarised the procedure for considering the Call In request and set out the circumstances surrounding the Cabinet decision. He confirmed that Fairlie Growers did not wish to acquire the shelter as part of their asset transfer request.

Thereafter, the Members who had requested the Call In were invited to speak. Councillor Murdoch addressed the Committee in support of the Call In request. He outlined emails in July 2017 to and from council officers relating to the poor condition of the shelter, the proposal to demolish the building and his attendance at a meeting of Largs Community Council to gain their views on this matter. Council officers had advised that a report would be presented to Cabinet on the proposed demolition and that discussions had taken place with Fairlie Growers and Largs Organic Growers in respect of a Community Asset Transfer application for part of the park. Councillor Murdoch had then reluctantly agreed with the proposal to demolish the shelter and was not made aware that the shelter was to be included in the Community Asset Transfer until August. He had also not been aware of the interest of an organisation in restoring the shelter when he had agreed with the proposal. Councillor Murdoch expressed his sympathy for local residents who had been experiencing disturbances from youths gathering in the park.

Councillor Hill, as a signatory to the Call In Request, referred to the process for decisions relating to Largs Common Good Fund. He advised that local Members had previously been consulted on proposals for the commitment of Common Good Funds and their views taken into account by the Council. He considered that a further period of time was required to consult with local groups and organisations, local residents and Elected Members and to fully explore all options for the shelter.

The Chair then invited Councillor Cullinane, as the Leader of the Council, to address the meeting. Councillor Cullinane reported that following complaints from local residents and representations from local Elected Members and Police Scotland, officers inspected the shelter at Douglas Park, Largs and concluded that the only viable solution was to demolish the building. Consultations had taken place with local Elected Members and Largs Community Council on the demolition proposal and also with Fairlie Growers who had expressed an interest in a Community Asset Transfer for part of the park. At its meeting on 20 July 2017, Largs Community Council had agreed with the proposal to demolish the shelter, but subsequently changed their position at their meeting in September 2017. Fairlie Growers, who are working with Largs Organic Growers, confirmed that they did not want to take the shelter as part of the potential transfer of part of the park. Three Elected Members had responded to officers in support of the proposal to demolish the shelter, albeit in some cases reluctantly. The fourth Elected Member had been on holiday.

On 26 September 2017, Councillor Marshall, as a local Elected Member, had addressed the Cabinet in support of the proposal to demolish the shelter.

Members asked questions and were provided with further information on the following areas:-

- a scoping exercise that had taken place as part of the Community Asset Transfer process and that no organisation had expressed an interest in the shelter;
- a community drop-in session that had been held in September and the views from this session had been incorporated into the report that had been presented to Cabinet on 26 September 2017;
- that the shelter at Douglas Park had been referred to in the initial discussions with Morrison Construction in respect of community benefits. This had not been progressed and Morrison Construction had instead donated materials to enable a disabled accessible pathway to be created through the community garden.

Councillor Marshall, seconded by Councillor George, moved that the Committee agree with the decision of Cabinet on 26 September 2017 to demolish the shelter at Douglas Park, Largs.

As an amendment, Councillor Brahim, seconded by Councillor Burns, moved to accept the terms of the Call In Request to recommend to Cabinet that the final decision to demolish the shelter be delayed for a period of two months to allow time for all options to be fully explored and considered by local Elected Members before a final decision is agreed.

On a division, there voted for the amendment 2 and for the motion 3, and the motion was declared carried.

Accordingly, the Committee agreed not to support the Call In Request.

The meeting ended at 3.55 p.m.

NORTH AYRSHIRE COUNCIL

Agenda Item 3

14 November 2017

Audit and Scrutiny Committee

Title:	**Public Performance Reporting 2016/17**
Purpose:	To advise the Audit and Scrutiny Committee on 2016/17 public performance reporting and the Annual Performance Report 2016/17
Recommendation:	That Committee agrees (a) to note the status of the Council's performance indicators at Appendices One and Two, and (b) note the Annual Performance Report 2016/17 set out at Appendix Three

1. Executive Summary

1.1 This report details the performance of the range of Performance Indicators (PIs) that has been used to inform our public performance reporting for 2016/17. The report also details the content of the Annual Performance Report which was published on the Council's website in October 2017.

2. Background

2.1 The 2015 Account Commission's Direction relates to performance information to be collected during the 2016/17 financial year and runs for a three year period. This includes a requirement to publish our performance in relation to Local Government Benchmarking Framework (LGBF) PIs.

2.2 The Commission will continue to engage with the LGBF Board and monitor the ongoing development of the LGBF and councils' reporting of performance on an annual basis. As part of this new approach, the Commission want to better reflect the impact that councils are making, including with their partners, on their communities and how they are contributing to improved outcomes for local people.

2.3 **142** indicators including the Council Plan and the LGBF indicators have been identified as being appropriate for demonstrating our performance against the strategic priorities and enablers. These are available on our public website, which is reviewed monthly.

2.4 The performance indicators are published on the Council's website via an interactive portal – **North Ayrshire Performs** - generated from Covalent. This provides the detail for the public on our performance including trends and current status.

2.5 **Appendix One** details the full set of PIs, showing (where available) three years of performance trends, along with targets. There is also a traffic light (Red, Amber Green) symbol to show whether the target level of performance has been achieved (Green), is slightly adrift of target (Amber) or is significantly adrift of target (Red).

2.6 Analysis of the indicators with latest available targets is outlined in Table 1, below.

Table 1

2016/17 Summary of Traffic Light Status	
Traffic Light	**Indicators**
on target	76%
slightly adrift	9%
significantly adrift	15%

2.7 It should be noted that data for the LGBF indicators will not be available until early 2018. Data for the Education indicators will be available in February 2018.

2.8 **Appendix Two** lists the 26 Red/Amber indicators along with management commentary from the relevant Directorate.

2.9 Comparison of 2016/17 performance with previous years is noted in Table 2, below. Performance improved in 54% of indicators with trend information over the one year period and in 63% over the three year period.

Table 2

2016/17 Summary of short term/long term trends		
	Short Term	**Long Term**
Improved	54%	63%
Declined	43%	36%
No change	3%	1%

2.10 To meet the various requirements for public performance reporting an Annual Performance Report 2016/17 has been produced. This is attached at **Appendix Three**. Meetings took place with Executive Directors in July to discuss and agree the content of the Annual Performance Report. Executive Directors and Heads of Service were also consulted on the designed draft report in August to ensure their sign off prior to the presentation of the report to the Executive Leadership Team.

2.11 The Report includes information on our key achievements in delivering the strategic priorities in the Council Plan 2015/20 and case studies, quotes and infographics

2.12 The Report has been made available as an electronic document downloadable from the Council's website. A limited number of summary hard copies will be available at the Council's main public buildings. The summary document highlights key data through the use of infographics which will be used to improve the accessibility of performance information for the public.

3.   Proposals

3.1 It is proposed that Committee agrees (a) to note the status of the Council's performance indicators at Appendices One and Two, and (b) note the Annual Performance Report 2016/17 set out at Appendix Three.

4.   Implications

Financial:	The cost of design and print run of summary hard copies can be met from the Policy and Performance revenue budget.
Human Resources:	There are no human resource implications.
Legal:	Reporting requirements specified in the 2015 Accounts Commission Direction represent a departure from the previous Direction. The Commission want to better reflect the impact that councils are making on their communities and how they are contributing to improved outcomes for local people. There is more scope for Councils to choose their own Performance Indicators (PIs) to fulfil the Best Value obligations arising from the Local Government in Scotland Act 2003. This report confirms the arrangements for the Council's compliance with its duties under the Local Government Act 1992 and the Local Government in Scotland Act 2003 and commitment to improving public performance reporting.
Equality:	There are no equality implications.
Environmental & Sustainability:	There are no environmental or sustainability implications.
Key Priorities:	The Report helps to demonstrate the Council's delivery of its strategic priorities.
Community Benefits:	There are no community benefits payable

5.   Consultation

5.1   The Executive Leadership Team discussed the content of the report at a meeting on the 13 September 2017. Cabinet approved the report on the 26 September 2017.

Elma Murray

ELMA MURRAY
Chief Executive

Reference :
For further information please contact Anne Todd, Senior Policy and Performance Officer on 01294 324140

Background Papers
Council Plan 2015/20
Directorate Plans 2015/18

North Ayrshire Performs - Committee Report

Priority 1. Growing our economy, increasing employment and regenerating towns - Theme 1. Council Plan - corporate								
Code & Short Name	**2014/15**		**2015/16**		**2016/17**		**Trend**	
	Value	Status	Value	Status	Value	Status	Short	Long
CP_DE_P04 Number of Modern Apprentices supported through North Ayrshire sponsored initiatives	267	⚠	220	?	188	✓	⬇	⬇
EG_11 Leverage of External Funding			2.03	📈	3.27	📈	⬆	⬆
EG_28 Town Centre Footfall			6,814,037	?	7,137,165	?	⬆	⬆
REC201213_30 Business Gateway Start-Ups	234	?	64	?	269	✓	⬆	⬆
SOA_WNA4 Gross value added	£45,767.00	✓	£42,944.00	🔴	Available Dec 2017		⬇	⬇
SOA_WNA21 Youth employment rate	52.2%	📈	43.4%	📈	44.8%	📈	⬆	⬇
EG_03 Gross weekly earnings – Workforce based	£507.40	✓	£479.80	✓	£522.70	✓	⬆	⬆
SOA15-16_WNA02 Number of unemployed people who have progressed to employment through participation in NAC funded or operated employability activities			428	?	704	🔴	⬆	⬆
SOA_WNA12 % of working age population in employment	70.5	✓	65.1	✓	64.7	✓	⬇	⬇

Priority 1. Growing our economy, increasing employment and regenerating towns - Theme 2. Service performance								
Code & Short Name	**2014/15**		**2015/16**		**2016/17**		**Trend**	
	Value	Status	Value	Status	Value	Status	Short	Long
DP_FACS_P01* Number of apprenticeships/jobs created through community benefit clauses	35	✓	40	✓	44	✓	⬆	⬆
EG_09 No of businesses supported by Council Economic Growth activity			388	?	754	?	⬆	⬆
OP_FCS_PRO_P_P01 % Procurement spend with local suppliers	22	📈	19.4	📈	20	📈	⬆	⬇

Priority 1. Growing our economy, increasing employment and regenerating towns - Theme 3. LGBF								
Code & Short Name	**2014/15**		**2015/16**		**2016/17**		**Trend**	
	Value	Status	Value	Status	Value	Status	Short	Long
SECON04 % of procurement spent on local small/medium enterprises	14.3	📈	13.4	📈	LGBF - Available Feb 2018		⬇	⬇
SOL_ECDEV01 % Unemployed People Assisted into work from Council operated / funded Employability Programmes (source LGBF)	16.03	📈	8.2	📈	LGBF - Available Feb 2018		⬇	⬇

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Priority 2. Working together to develop stronger communities - Theme 1. Council Plan - corporate

Code & Short Name	2014/15 Value	2014/15 Status	2015/16 Value	2015/16 Status	2016/17 Value	2016/17 Status	Trend Short	Trend Long
CC_09 The number of volunteers who are active in Connected Communities and Third Sector Interface activities	7,585	green	7,633	amber	26,016	green	up	up
SOA_WNA9 Resident confidence about the future wellbeing and economic prospects of local area		?	31	green	Available late 2017		?	down
SP_ES_P_E01 Number of Active volunteers who have participated in training delivered by Connected Communities	4,875	green	11,285	green	14,727	green	up	up
SP_ES_P_E02 Number of Groups who have participated in training delivered by Connected Communities	8,217	green	2,669	red	1,351	green	down	down
SP_ES_P_E03 Number of groups accessing support and guidance by Connected Communities	588	green	600	green	710	green	up	down
SOA_WNA15 Tourism visitor numbers	1,623,600	?	1,661,870	green	1,709,000	green	up	up

Priority 2. Working together to develop stronger communities - Theme 2. Service performance

Code & Short Name	2014/15 Value	2014/15 Status	2015/16 Value	2015/16 Status	2016/17 Value	2016/17 Status	Trend Short	Trend Long
SPI 11_A_02 Number of visits to/usages of council funded or part funded museums per 1000 population	1,813	green	1,951	green	1,962	green	up	up
SPI 12_A_02 Number of library visits per 1000 population	13,103	green	12,061	green	11,213	green	down	down
SPI 13a_SDS4aii The average time (weeks) to deal with major and local planning applications determined during the year: Major developments - Average time (weeks) to deal with applications	12.6	green	26.7	red	13.8	green	up	up
SPI 13b_SDS4bii The average time (weeks) to deal with major and local planning applications determined during the year: Local developments - Average time (weeks) to deal with applications	6.2	green	5.3	green	5.2	green	up	up

Priority 2. Working together to develop stronger communities - Theme 3. LGBF

Code & Short Name	2014/15 Value	2014/15 Status	2015/16 Value	2015/16 Status	2016/17 Value	2016/17 Status	Trend Short	Trend Long
SOL_C&L02 Cost per library visit £	£1.44	?	£1.47	?	LGBF - Available Feb 2018		down	up
SOL_C&L03 Cost per museum visit £	£0.38	green	£0.31	?	LGBF - Available Feb 2018		up	up
SOL_CORP05b2 Average time between time of noise complaint and attendance on site (hours)	0.62	green	0.5	green	0.41	green	up	up

Priority 3. Ensuring people have the right skills for learning, life and work - Theme 1. Council Plan - corporate								
Code & Short Name	**2014/15**		**2015/16**		**2016/17**		**Trend**	
	Value	Status	Value	Status	Value	Status	Short	Long
CC_01 % of participants accessing learning opportunities whose confidence, knowledge and skills has improved as a result			96.5	🟢	97.9	🟢	⬆	⬆
CC_08 The number of adult learning opportunities accessed provided by Connected Communities	17,161	🟢	15,271	🟢	13,574	🟢	⬇	⬇
E&S_P_B01 % of children achieving their developmental milestones at the time the child starts primary school	71	📈	72	📈	77	📈	⬆	⬆
E&YE_PI_D01 % of leavers attaining literacy at National 4 (SCQF Level 4)	95.79	🟢	95.67	🟢	Available Feb 2018		⬇	⬆
E&YE_PI_D02 % of leavers attaining literacy at National 5 (SCQF Level 5)	74.14	🟢	79.35	🟢	Available Feb 2018		⬆	⬆
E&YE_PI_D03 % of leavers attaining numeracy at National 4 (SCQF Level 4)	86.05	🟢	88.76	🟢	Available Feb 2018		⬆	⬆
E&YE_PI_D04 % of leavers attaining numeracy at National 5 (SCQF Level 5)	64.87	🟢	68.49	🟢	Available Feb 2018		⬆	⬆
E&YE_PI_D07 Average tariff score: All Leavers	834.5	🟢	864.7	🟢	Available Feb 2018		⬆	⬆
E&YE_PI_D09 Average tariff score: LAC Leavers	357.9	🟢	317.3	🟢	Available Feb 2018		⬇	⬆
SOL_CHN11 % of school leavers entering positive destinations	95.9	🟢	94.8	🟢	LGBF - Available Feb 2018		⬆	⬆

Priority 3. Ensuring people have the right skills for learning, life and work - Theme 2. Service performance								
Code & Short Name	**2014/15**		**2015/16**		**2016/17**		**Trend**	
	Value	Status	Value	Status	Value	Status	Short	Long
E&S_P_A05 Average total tariff score of the lowest 20% attainment cohort	186	🟢	182	🟢	Available Feb 2018		⬇	⬆
E&S_P_A06 Average total tariff score of the middle 60% attainment cohort	756	🟢	786	🟡	Available Feb 2018		⬆	⬆
E&S_P_A07 Average total tariff score of the highest 20% attainment cohort	1,719	🟡	1,779	🟢	Available Feb 2018		⬆	⬆
E&S_P_A11 % of young people choosing to stay to S5 (as % of S4 roll at Sept. previous year)	78.1	🟡	79.16	🟡	78.5	❓	⬇	⬇
E&S_P_B04 % of participants (on completion of parenting programmes) who report an increase in their confidence levels as a parent	78	🟢	100	🟢	100	🟢	▬	⬆
E&S_P_B05 % of participants (on completion of parenting programmes) who report an increase in their levels of interaction with their children	90	🟢	100	🟢	100	🟢	▬	⬆
E&YE_PI_D06 % gap in attainment of Looked After Children	79.9	🟢	92.6	🟢	Available Feb 2018		⬇	⬆

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Priority 3. Ensuring people have the right skills for learning, life and work - Theme 3. LGBF								
Code & Short Name	**2014/15**		**2015/16**		**2016/17**		**Trend**	
	Value	Status	Value	Status	Value	Status	Short	Long
SCHN12a Overall Average Total Tariff	818	📈	795	📈	LGBF - Available Feb 2018		↓	↑
SCHN12b Average Total Tariff SIMD Quintile 1	620	📈	607	📈	LGBF - Available Feb 2018		↓	↑
SCHN12c Average Total Tariff SIMD Quintile 2	720	📈	716	📈	LGBF - Available Feb 2018		↓	↑
SCHN12d Average Total Tariff SIMD Quintile 3	828	📈	867	📈	LGBF - Available Feb 2018		↑	↑
SCHN12e Average Total Tariff SIMD Quintile 4	1052	📈	1078	📈	LGBF - Available Feb 2018		↑	↑
SCHN12f Average Total Tariff SIMD Quintile 5	1181	📈	1100	📈	LGBF - Available Feb 2018		↓	↑
SOL_CHN01 Cost per primary school pupil £	£4,624.00	📈	£4,793.00	📈	LGBF - Available Feb 2018		↓	↑
SOL_CHN02 Cost per secondary school pupil £	£6,859.00	📈	£6,965.89	📈	LGBF - Available Feb 2018		↓	↓
SOL_CHN03 Cost per pre-school place £	£4,047.00	📈	£4,644.96	📈	LGBF - Available Feb 2018		↓	↓

Priority 4. Supporting all our people to stay safe, healthy and active - Theme 1. Council Plan - corporate								
Code & Short Name	**2014/15**		**2015/16**		**2016/17**		**Trend**	
	Value	Status	Value	Status	Value	Status	Short	Long
HS - PI003 Number of new build Council housing units reaching completion on a yearly basis	122	📈	56	📈	7	📈	↓	↓
SOL_SW03 % of people aged 65 or over with intensive needs receiving care at home	41.37	✅	34.23	✅	LGBF - Available Feb 2018		↓	↓
SPI 10_B_01 Number of attendances per 1,000 population for indoor sports and leisure facilities excluding pools	10,338	✅	11,193	✅	11,313	✅	↑	↑
NAHSCP_02 Money Matters – income generation for service users (£)	£7,549,196.20	✅	£7,614,139	✅	£8,234,082.46	✅	↑	↑
NAHSCP_29 % of ASP Inquiries completed within 5 days	42.9	🔴	51.9	🔴	56.5	🔴	↑	↑
SOA1013_04b_002 % of formerly looked after young people entitled to aftercare in employment, education or training	55.81	✅	36.59	✅	36.99	✅	↑	↓
SOA_HNA25 % of service users indicating an improvement in their recovery capital following the introduction of the Recovery Capital Questionnaire	7.93	❓	61.22	❓	50	❓	↓	↑
SPSS_P_E03 % of learning disability service users accessing employment support activities	27.05	🔴	28.13	🔴	24.3	🔴	↓	↓
SPSS_P_E14 Number of Carers assessments completed	61	❓	34	❓	27	🔴	↓	↓
SOA_SSNA5 % residents within North Ayrshire who feel unsafe walking in their neighbourhood after dark			29	✅	Available late 2017		❓	↑

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Priority 4. Supporting all our people to stay safe, healthy and active - Theme 2. Service performance								
Code & Short Name	**2014/15**		**2015/16**		**2016/17**		**Trend**	
	Value	Status	Value	Status	Value	Status	Short	Long
HS - PI005 Homelessness: Number of presentations	776	📈	744	📈	761	📈	⬇	⬇
HS - PI009 % of lets to homeless	25.5	✅	24.8	✅	27.3	✅	⬆	⬆
HS - PI028 Average length of time taken to re-let properties in the last year (days)	14.32	✅	16.07	✅	15.44	✅	⬆	⬇
NAHSCP_03 % of individuals subject to level 1 Community Payback Order Unpaid Work completed within three months	88.81	✅	90.32	✅	93.37	✅	⬆	⬆
NAHSCP_09 % of fostered LAAC who are fostered by an in-house placement	78.98%	✅	82.49%	✅	87.08	✅	⬆	⬆
NAHSCP_11 % of children in a kinship care placement subject to residence order	38.43	✅	33.8	✅	34.64	⚠	⬆	⬇
NAHSCP_21 Number of service users (65+) with a community alarm package	3,109	✅	3,063	✅	3,219	✅	⬆	⬆
NAHSCP_22 Number of service users with an enhanced telecare package	2,074	✅	622	✅	770	✅	⬆	⬇
OP_EC_03 % of food poisoning investigations within two days of inquiry (EH) formerly known as SP1213LP_P_A04	100	✅	100	✅	100	✅	–	–
OP_EC_04 % of high priority pest control requests responded to within working one day of enquiry (EH) formerly known as SP1213LP_P_A05	95.7	✅	97	✅	97.7	✅	⬆	⬆
SOA1112_08a_001 % of families previously registered on the Child Protection Register who have been re-registered following a period of less than 1 year	2.5	✅	6.3	🔴	4.8	✅	⬆	⬇
SP_EG_15 % of high priority public health complaints responded to within 1 working day of receipt (EH) formerly known as SP1213LP_P_A03	99.7	✅	99	✅	98.4	✅	⬇	⬇
SPSS_P_C05 % of individuals subject to level 2 Community Payback Order Unpaid Work completed within six months	82.53	✅	92.45	✅	95.63	✅	⬆	⬆

Priority 4. Supporting all our people to stay safe, healthy and active - Theme 3. LGBF								
Code & Short Name	**2014/15**		**2015/16**		**2016/17**		**Trend**	
	Value	Status	Value	Status	Value	Status	Short	Long
SENV05a Cost of trading standards per 1,000 population £	£5,027.48	📈	£4,936.50	📈	LGBF - Available Feb 2018		⬆	⬆
SENV05b Cost of environmental health per 1,000 population £	£11,835.84	📈	£13,289.00	📈	LGBF - Available Feb 2018		⬇	⬇
SHSN01b Gross rent arrears (all tenants) as at 31 March each year as a percentage of rent due for the reporting year - HRA	3.75	🔴	3.23	⚠	3.39	✅	⬇	⬆
SHSN04b (Charter 12) Average time taken to complete non-emergency repairs	9.18	🔴	8.91	✅	7.85	✅	⬆	⬆
SOL_C&L01 Cost per attendance at sports facilities £	£2.15	❓	£0.75	❓	LGBF - Available Feb 2018		⬆	⬆
SOL_CHN08a The gross cost of "children looked after" in residential based services per child per week £	£3,379.54	✅	£3,037.48	✅	LGBF - Available Feb 2018		⬆	⬆

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Code & Short Name	2014/15 Value	Status	2015/16 Value	Status	2016/17 Value	Status	Trend Short	Trend Long
SOL_CHN08b Gross cost of "children looked after" in a community setting per child per week £	£241.60	🔺	£281.57	🔴	LGBF - Available Feb 2018		⬇	⬇
SOL_CHN09 Balance of care for 'looked after children': % of children being looked after in the community	92	✅	90.2	✅	LGBF - Available Feb 2018		⬇	⬇
SOL_HSN02 % of rent due in year that was lost due to voids	0.38	✅	0.33	✅	0.33	✅	—	⬆
SOL_HSN03 % of Council dwellings that meet the Scottish Housing Quality Standard	98.22	✅	99.07	✅	98.3	✅	⬇	⬆
SOL_HSN05 % of council properties at or above the appropriate NHER or SAP ratings specified in element 35 of the SHQS, as at 31 March each year.	99.26	✅	99.69	✅	99.47	✅	⬇	⬆
SOL_SW01 Home care costs for people aged 65 or over per hour £	£17.94	✅	£22.00	🔴	LGBF - Available Feb 2018		⬇	⬇
SOL_SW02 Self-directed support spend for people aged over 18 as a % of total social work spend on adults	2.05	🔴	2.07	🔴	LGBF - Available Feb 2018		⬆	⬆
SOL_SW05 Net residential costs per capita per week for older adults (65+)	£352.18	🔺	£357.36	🔺	LGBF - Available Feb 2018		⬇	⬇

Priority 5. Protecting and enhancing the environment for future generations - Theme 1. Council Plan - corporate

Code & Short Name	2014/15 Value	Status	2015/16 Value	Status	2016/17 Value	Status	Trend Short	Trend Long
CP_FCS_001 Overall carbon emissions (tonnes)	52,711	✅	50,709	✅	46,053	✅	⬆	⬆
SOL_ENV04b % of Class A roads that should be considered for maintenance treatment	34.9	✅	35.6	🔺	36.2	🔺	⬇	⬇
SOL_ENV04c % of Class B roads that should be considered for maintenance treatment	34.8	✅	33.6	✅	36.8	🔺	⬇	⬇
SOL_ENV04d % of Class C roads that should be considered for maintenance treatment	51.1	🔺	48.7	✅	50.8	✅	⬇	⬇
SOL_ENV04e % of unclassified roads that should be considered for maintenance treatment	36.7	✅	35.4	✅	34.6	✅	⬆	⬆
SOL_ENV06 % of total household waste that is recycled (calendar year as per SEPA)	56.5	✅	56	✅	55.3	✅	⬇	⬇
SENV03b Street Cleanliness Index - % Clean	92.31	🔴	95.8	✅	90.6	🔴	⬇	⬇

Priority 5. Protecting and enhancing the environment for future generations - Theme 2. LGBF

Code & Short Name	2014/15 Value	Status	2015/16 Value	Status	2016/17 Value	Status	Trend Short	Trend Long
SENV01 Net waste collection cost per premises	£52.25	🔴	£55.75	✅	LGBF - Available Feb 2018		⬇	⬇
SENV02 Net waste disposal cost per premises	£99.53	🔴	£107.49	🔴	LGBF - Available Feb 2018		⬇	⬇
SOL_C&L04 Cost of parks and open spaces per 1,000 population £	£30,861.00	✅	£32,190.00	✅	LGBF - Available Feb 2018		⬇	⬆
SOL_C&L05b % of adults satisfied with parks and open spaces	89.67	✅	85.33	🔺	LGBF - Available Feb 2018		⬇	⬇
SOL_CORPAM01 Proportion of operational buildings that are suitable for their current use	90.26	✅	89.8	🔺	91.6	✅	⬆	⬆
SOL_CORPAM02 % of internal floor area of operational buildings in satisfactory condition	99.5	✅	99.5	✅	99.7	✅	⬆	⬆

Code & Short Name	2014/15 Value	Status	2015/16 Value	Status	2016/17 Value	Status	Short	Long
SOL_ENV03a Net cost of street cleaning per 1,000 population £	£14,921.00	✅	£14,875.00	✅	LGBF - Available Feb 2018		⬆	⬆
SOL_ENV04a Road cost per kilometre £	£10,520.00	📈	£12,501.00	📈	LGBF - Available Feb 2018		⬇	⬇
SOL_ENV07a % of adults satisfied with refuse collection	87.33	🔺	88.33	🔺	LGBF - Available Feb 2018		⬆	⬆
SOL_ENV07b % of adults satisfied with street cleaning	78	🔴	79.67	✅	LGBF - Available Feb 2018		⬆	⬆
SPI 22_E Overall % of road network that should be considered for maintenance treatment	39.1	✅	37.8	✅	38.3	✅	⬇	⬆

Priority 6. Supporting our Priorities - Theme 1. Council Plan - corporate								
Code & Short Name	**2014/15**		**2015/16**		**2016/17**		**Trend**	
	Value	Status	Value	Status	Value	Status	Short	Long
CP_FACS_004 Capital Expenditure - General Fund - Actual expenditure as a percentage of budgeted expenditure	51.13	🔴	90.18	🔴	72.2	🔴	⬇	⬆
CP_FACS_005 Capital Expenditure - Housing Revenue Account (HRA) - Actual expenditure as a percentage of budgeted expenditure	78.61	🔴	69.83	🔴	83.1	🔴	⬆	⬆
CP_FACS_010 Staff Engagement Level - Council Wide	65	✅	69.6	✅	69.6	✅	▬	⬆
CP_FACS_011 % of Council-Wide Stage 1 (Frontline Resolution) Complaints Handled on Time	87	✅	91	✅	90	✅	⬇	⬆
CP_FCS_002 Revenue Expenditure – General Fund - Actual expenditure as a percentage of budgeted expenditure	98.2	🔺	98.4	🔺	98.3	✅	⬇	⬇
CP_FCS_003 Revenue Expenditure - Housing Revenue Account - Actual expenditure as a percentage of budgeted expenditure	94	🔴	95.47	🔺	91.7	🔺	⬇	⬇
CP_FCS_007 % of Capital Projects completed on time	67.44	🔴	72.97	🔴	91.9	✅	⬆	⬆
CP_FCS_008 % of Capital Projects completed within budget	95.35	✅	100	✅	94.6	🔺	⬇	⬇
CP_FCS_009 % of Council-Wide Stage Two (Investigations) Complaints Handled on Time	90	🔴	90	🔴	92	✅	⬆	⬆
SCORP06a Sickness absence days per teacher	3.64	✅	6.03	✅	5.88	✅	⬆	⬇
SCORP06b Sickness Absence Days per Employee (excluding teachers)	9.5	🔴	9.9	🔴	10.88	🔴	⬇	⬇
SOL_CORP08 % of invoices sampled that were paid within 30 days	93.64	✅	92.5	🔺	92.96	🔺	⬆	⬆
SP_D&AS_A10 Freedom of Information requests responded to in 20 working days %	93		88	🔴	89	🔴	⬆	⬇

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Priority 6. Supporting our Priorities - Theme 2. Service performance

Code & Short Name	2014/15		2015/16		2016/17		Trend	
	Value	Status	Value	Status	Value	Status	Short	Long
CPP_PP5 Level of satisfaction with public sector partners - North Ayrshire Council		?			Available late 2017		?	?
DP_FACS_P02 Procurement & Commercial Improvement Programme (PCIP)					68	chart	?	?
DP_FACS_P04 Speed of processing Housing Benefit (New Claims) days	26.27	red	23.11	red	20.32	green	↑	↑
DP_FACS_P05 Speed of processing Housing Benefit (Change of circumstances) days	15.73	red	16.3	red	13.9	green	↑	↑
DP_FACS_P06 Speed of Processing (Council Tax Reduction) new claims (days)	31	red	29	red	25.43	green	↑	↑
DP_FACS_P07 Speed of processing (Council Tax Reduction) changes of circumstances -days	9.88	red	5.97	green	4.44	green	↑	↑
DP_FACS_P08 Gross administration cost per Housing Benefit/Council Tax Benefit case (£)	£41.49	amber	£41.42	amber	£37.39	green	↑	↑
DP_FACS_P11 % of Customers delighted with the overall Customer Service	74	?	69	red	77	green	↑	↑
DP_FACS_P22 Number of Reportable Incidents (RIDDOR) per 100,000 employees	329.3	green	509	red	648	red	↓	↓
OP_FCS_HR_P_P05 Staff turnover - all employees	8.58	chart	9.1	chart	8.34	chart	↑	↑
OP_FCS_HR_P_P07 Council-wide staffing numbers for North Ayrshire Council full-time equivalent (FTE)	5,689.7	chart	5,674.5	chart	5,709.97	chart	↓	↓
SP1213CS_KPI_D6 Number of customer complaints	2,139	chart	1,461	chart	1,520	chart	↓	↑
SP_FCS_P09 % of public service buildings that are suitable and accessible to disabled people	61	green	62	green	67	green	↑	↑
SP_FCS_P_A04 % of North Ayrshire Council employees recorded as having a disability	2.11	chart	2.3	chart	2.22	chart	↓	↑
SP_FCS_P_A05 % of Black and Minority Ethnic (BME) North Ayrshire Council employees	0.7	chart	0.7	chart	0.93	chart	↑	↑
SP_FCS_P_A06 % of Council staff who have had a Performance and Personal Development (PPD) discussion in the last 12 months	96	green	89	red	83	red	↓	↓

Priority 6. Supporting our Priorities - Theme 3. LGBF

Code & Short Name	2014/15		2015/16		2016/17		Trend	
	Value	Status	Value	Status	Value	Status	Short	Long
SOL_CORP01 Support services as a percentage of total gross expenditure	2.46	green	2.5	green	LGBF - Available Feb 2018		↓	↓
SOL_CORP02 Corporate and democratic core costs per 1,000 population	£30,545.99	green	£29,405.72	green	LGBF - Available Feb 2018		↑	↑
SOL_CORP03b % of the highest paid 5% employees who are women	55.6	green	53.7	green	55.51	green	↑	↑
SOL_CORP04 Cost of collecting council tax per dwelling £	£10.19	green	£10.43	red	£7.67	green	↑	↑
SOL_CORP07 % of income due from Council Tax received by the end of the year	94.63	green	94.68	green	94.68	green	–	↓

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Key

Performance Trends   **Performance Against our Target**

Getting Better	No Change	Getting Worse	Data only/No target set	Significantly Adrift of Target	Slightly Adrift of Target	On Target	Unable to Calculate
⬆	▬	⬇	📈	🔴	🔺	✅	?

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North Ayrshire Performs - Exception Report

Priority 1. Growing our economy, increasing employment and regenerating towns - Theme 1. Council Plan - corporate

Code	Short Name	2015/16			2016/17			Trend		Note
		Value	Target	Status	Value	Target	Status	Short	Long	
SOA_WNA4	Gross value added	£42,944	£47,518	🛑		£45,767		⬇	⬇	Data for 2016/17 will be available in Quarter 3. The medium-term outlook is for slower GVA growth due to local and national economic conditions.
SOA15-16_WNA02	Number of unemployed people who have progressed to employment through participation in NAC funded or operated employability activities	428		❓	704	765	🛑	⬆	⬆	This was the first full year of operating the new programme and there were a variety of factors that impacted delivery. These are being addressed. The job market in North Ayrshire remains challenging with only 1 local job for every 2 residents, however the actual figure of those supported into work by the Council is 64.5% higher than in 2015/16 (when partial funding was available). The result was slightly behind target (8%) but good progress by the service is being made.

Priority 3. Ensuring people have the right skills for learning, life and work - Theme 2. Service performance

Code	Short Name	2015/16			2016/17			Trend		Note
		Value	Target	Status	Value	Target	Status	Short	Long	
E&S_P_A06	Average total tariff score of the middle 60% attainment cohort	786	802	⚠️				⬆	⬆	**PLEASE NOTE:** 2015/16 data relates to the 2016 exam results. The middle attaining 60% of school leavers in North Ayrshire have seen a steady improvement in their average total tariff score in the past six years, reaching its top performance in 2015/16. 2016/17 data will be available in February 2018.

Priority 4. Supporting all our people to stay safe, healthy and active - Theme 1. Council Plan - corporate

Code	Short Name	2015/16			2016/17			Trend		Note
		Value	Target	Status	Value	Target	Status	Short	Long	
NAHSCP_29	% of ASP Inquiries completed within 5 days	51.9	80	🛑	56.5	80	🛑	⬆	⬆	Target was 80% compliance to the 5 working days timescale - actual was 56.5% compliance. A number of Local Authorities are struggling with the 5 working day target, reporting that it is unachievable (target was set just after the introduction of the ASP Act and not based on experience) - a benchmarking exercise will seek to identify the average time taken to complete ASP Inquiries over as many West of Scotland Local Authorities as possible and report on the average. The North Ayrshire average is 13 working days (stats taken from Jan - March 2016.
SPSS_P_E03	% of learning disability service users accessing employment support	28.13	30	🛑	24.3	30	🛑	⬇	⬇	Options for employment continue to be limited for this service user group. An employability project is being developed and will hopefully have an impact on the performance in 2017-18.

Code	Short Name									Note
SPSS_P_E14	Number of Carers assessments completed	34			27	36	🔴	⬇	⬇	The number of Carers assessments completed remains low. However, with the new Carers bill being enacted, new processes are being put in place to ensure all carers are offered an assessment, and where they choose to have one, an assessment of their needs is completed. Recording processes are also being set up to record the reasons why carers decline to have an assessment.

Priority 4. Supporting all our people to stay safe, healthy and active - Theme 2. Service performance

Code	Short Name	2015/16			2016/17			Trend		Note
		Value	Target	Status	Value	Target	Status	Short	Long	
NAHSCP_11	% of children in a kinship care placement subject to residence order	33.8	15	✅	34.64	40	🔺	⬆	⬇	Support for Kinship Carers continues to be a major priority for HSCP. The implications and benefits of Residence Orders will continue to be highlighted to Kinship Carers at case reviews. New legislation, increasing the Kinship Care allowance meant all kinship carers had a financial assessment carried out in 2015/16 and income has now been increased to the new level. This new higher rate should help people remain as foster carers with less financial concerns.

Priority 4. Supporting all our people to stay safe, healthy and active - Theme 3. LGBF

Code	Short Name	2015/16			2016/17			Trend		Note
		Value	Target	Status	Value	Target	Status	Short	Long	
SOL_CHN08b	The gross cost of "children looked after" in a community setting per child per week £	£281.57	£239.00	🔴				⬇	⬇	The HSCP are delivering a programme of early and effective intervention that aims to support children with care needs at an earlier stage to avoid them being looked after in the first place. These programmes focus on enhanced support in the community which offer meaningful alternatives to residential placements. Data will be available Feb 2018. Furthermore, the HSCP, along with other Community Planning Partners, will be publishing the Children's Services Plan. This plan has been informed by the research carried out by the Dartington Social Research Unit and represents a Universal approach to supporting children and young people in North Ayrshire. Target increased by 5% to take account of the increase in Kinship care payments coming into effect in 2015-16.
SOL_SW01	Home care costs for people aged 65 or over per hour £	£22.00	£20.82	🔴				⬇	⬇	Target is increased by 10% to take into account the increase in rates that private providers will charge once they introduce the living wage in 2015-16. North Ayrshire has now implemented CM2000 the Home Care scheduling system CM2000 This will provide information in real time and allow for improved efficiencies to reduce costs. Data available February 2018
SOL_SW02	Self-directed support spend for people aged over 18 as a % of total social work spend on adults	2.07	2.4	🔴				⬆	⬆	North Ayrshire continues to increase the percentage spend on SDS year on year, rising from 2.05% to 2.07% in 15/16, which is below our target of 2.4% and below the Scotland average of 6.65%. A project to increase the uptake of direct payments is being undertaken in 2017-18.
SOL_SW05	Net residential costs per capita per week for older adults (65+)	£357.36	£352.18	🔺				⬇	⬇	We continually monitor our older adults care home placements. We are focussing more resources on shifting the balance of care and maintaining older adults in their own homes for as long as they are able. Our service redesign

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places an emphasis on an enablement approach, maintaining service users independence for as long as possible.

Care Homes costs are in line with the National Care Home Contract. Partnerships are not able to impact on the cost of a Care Home placement. The partnership is refocussing its service to be able to support people to remain in their own homes for longer. Included in this is the development of rehabilitation and enablement services, a review of Care at Home Services and the development of a comprehensive voluntary sector. Each of these activities will aim to keep people in the community for as long as possible.

For those that I require admission to a Care Home, the average assessment time in now under 14 days in line with Scottish Government standards and funding is being approved in real time from the hospital. This ensures that people are not staying in hospital for longer than they need to.

Priority 5. Protecting and enhancing the environment for future generations - Theme 1. Council Plan - corporate

Code	Short Name	2015/16			2016/17			Trend		Note
		Value	Target	Status	Value	Target	Status	Short	Long	
SOL_ENV04b	% of Class A roads that should be considered for maintenance treatment	35.6	34.5	🔺	36.2	34.8	🔺	⬇	⬇	Despite having the fourth most improved overall road condition index, there has been a slight deterioration in the condition of A Class roads with 36.2% that should be considered for maintenance. The strategic road maintenance plan aims to optimise investment and target resources to locations in greatest need of repair rather than targeting individual road classes. Severe weather conditions have had an impact on road conditions.
SOL_ENV04c	% of Class B roads that should be considered for maintenance treatment	33.6	34.5	✅	36.8	34.7	🔺	⬇	⬇	There has been a slight deterioration in the condition of B Class roads with 36.8% that should be considered for maintenance treatment. We target repairs at locations in greatest need of repair.
SENV03b	Street Cleanliness Index - % Clean	95.8	96.5	✅	90.6	96.5	🛑	⬇	⬇	The overall score for LEAMS is 90.6%. An improvement plan has been developed to help performance including the introduction of mini interim audits and using additional intelligence received through service requests and enforcement visits to target operational resources to hot spot areas. The highly successful Environmental Enforcement Team are also expected to have a positive impact on street cleanliness by reducing the incidences of littering.

Priority 5. Protecting and enhancing the environment for future generations - Theme 2. LGBF

Code	Short Name	2015/16			2016/17			Trend		Note
		Value	Target	Status	Value	Target	Status	Short	Long	
SENV02	Net waste disposal cost per premises	£107.49	£88.77	🛑		£115.40		⬇	⬇	Data is not yet available for 2016/17. The target figure of £88.77 was exceeded in 2015/16 as a result of additional landfill tax costs and additional blue bin recyclate processing contract costs. Further actions to increase the re-use and recycling of waste and reduce waste disposal costs will be delivered through a new Waste Strategy 2017 - 2022. A new innovative blue bin processing

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Code	Short Name									Note
							85		↑ ↑	contract was implemented in April 2016 which has significantly reduced the associated processing costs.
SOL_ENV07a	% of adults satisfied with refuse collection	88.33	90	🔺		85		↑	↑	Data is not yet available for 2016/17. The Improvement Service now pull satisfaction data from the Scottish Household Survey to present in a 3 year rolled average to deliver the required level of precision at a local level. By rolling the data across the 3 years, the confidence interval for all figures are within 5.5%. Although we are slightly adrift of target, performance has improved since 14/15 rolled average.
SOL_C&L05b	% of adults satisfied with parks and open spaces	85.33	90	🔺		88		⬇	⬇	Data is not yet available for 2016/17. This indicator is also calculated on a three-year rolling average. By rolling the data across the 3 years, the confidence interval for all figures are within 5.5%. Although we are slightly adrift of target performance remains steady in this area.

Priority 6. Supporting our Priorities - Theme 1. Council Plan - corporate

Code	Short Name	2015/16			2016/17			Trend		Note
		Value	Target	Status	Value	Target	Status	Short	Long	
CP_FACS_004	Capital Expenditure - General Fund - Actual expenditure as a % of budgeted expenditure	90.18	100	🔴	72.2	98	🔴	⬇	↑	72.2% of the General Fund capital expenditure has been delivered during 2016/17. A review of slippage has identified the main factors affecting delivery of projects are incorrect profiling where commencement delays and the need to limit disruption to services has required changes to the profiles of several projects followed by delays in decision making e.g in respect of project briefs or external funding decisions. Financial Services will continue to work with services to ensure the originally approved budgets are accurate
CP_FACS_005	Capital Expenditure - Housing Revenue Account (HRA) - Actual expenditure as a % of budgeted expenditure	69.83	100	🔴	83.1	94.5	🔴	↑	↑	83.1% of capital expenditure has been achieved during 2016/17. Slippage is primarily related to the New Build and Sheltered Housing programmes. The underspends have been carried forward for use in 2017/18.
CP_FCS_003	Revenue Expenditure - Housing Revenue Account (HRA) - Actual expenditure as a % of budgeted expenditure	95.47	100	🔺	91.7	96	🔺	⬇	⬇	91.7% of revenue expenditure in the HRA was spent in 2016/17, representing an underspend of 8.3%. This was mainly related to an underspend in Capital Funded from Current Revenue, due to House Building programme expenditure being carried forward to future years and significant capital receipts from Council House sales following the end of Right to Buy, combined with a net saving on loan charges as a result of external borrowing falling below anticipated levels. All of this underspend has been carried forward to meet expenditure commitments in 2017/18.
CP_FCS_008	% of Capital Projects completed within budget	100	90	✅	94.6	97	🔺	⬇	⬇	94.6% of capital projects have been completed within budget for 2016/17 with one project having a minor overspend.
SCORP06b	Sickness Absence Days per Employee (excluding teachers)	9.9	8	🔴	10.88	7.57	🔴	⬇	⬇	The Council failed to achieve the target of 7.57 days. Sickness absence per employee (excluding teachers) was 10.88 days, a 0.98 days increase from 2015/16 figure. Musculo/Skeletal, Stress/Anxiety and

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Code	Short Name	2015/16			2016/17			Short Term Trend	Long Term Trend	Note
		Value	Target	Status	Value	Target	Status			
										Surgical Procedures are the top three reasons for sickness. The Council continues to take a proactive approach to health and well-being with support from Occupational Health. This sits alongside close monitoring and management in accordance with the Maximising Attendance Policy and Procedures.
SOL_CO RP08	% of invoices sampled that were paid within 30 days	92.5%	95%	🔺	92.96%	95%	🔺	⬆	⬆	The percentage of invoices paid on time for the 2016/17 financial year was 92.96% which is a slight increase on the previous year (92.5%). For the 2016/17 year the invoices paid within 30 days fell short of target of 95%. The reasons for late payments are due to a combination of factors (Invoices being received late to Account Payable for processing, Accounts Payable errors and Suppliers sending invoices dated weeks before the received date). The implementation of Integra 2 in May 2017 will improve invoice paid on time as all orders placed on the system will be paid automatically. It is envisaged that invoice payment time will show improvement by end of Quarter One 2017/18.
SP_D&A S_A10	Freedom of Information requests responded to in 20 working days (%)	88	94	🔴	89	94	🔴	⬆	⬇	During Q4 we received approximately 100 more requests than in each of the previous two quarters (approx. 450 compared to approx. 330). A significant number of these requests were complex and required additional time and effort to locate information. This inevitably has had an impact on performance against the 20 working days target.

Priority 6. Supporting our Priorities - Theme 2. Service performance

Code	Short Name	2015/16			2016/17			Short Term Trend	Long Term Trend	Note
		Value	Target	Status	Value	Target	Status			
DP_FAC S_P22	Number of Reportable Incidents (RIDDOR) per 100,000 employees	509	350	🔴	648	320	🔴	⬇	⬇	The annual incidence rate for the number of reportable incidents per 100,000 employees is 648 for 2016/2017. This exceeds the target of 320 per 100,000 employees which was a predicted target based on estimated data. The incidence rate for 2016/17 is based on an actual total of 37 RIDDOR Incidents during the year. This compares to a total of 29 RIDDOR incidents for the previous year. Directorates and services investigated a number of reasons as to why there was an increase of 8 RIDDOR incidents, however, no specific cause was established.
SP_FCS _P_A06	% of Council staff who have had a Performance and Personal Development (PPD) discussion in the last 12 months	89	95	🔴	83	100	🔴	⬇	⬇	During 2016/17 83% of employees had a PPD discussion. The target was 100% and was not achieved. This was a decline of 6% on the 2015/16 reported figure of 89%

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Annual Performance Report 2016-17

North Ayrshire Council
Comhairle Siorrachd Àir a Tuath

Contents

Foreword

Our vision is for North Ayrshire to be the best place to work, live and grow up in Scotland. To do that we need to improve economic growth, close the attainment gap and use our resources to their full potential. We will focus on creating the right conditions for the economy in North Ayrshire to prosper and, hand in hand with that, ensure a consequence of that growth is a reduction in the inequalities that exist across and within our communities.

We need an enormous amount of help from our partners and businesses to succeed. Most importantly we need help from our communities to shape our services and ensure that we use our resources in the best way. This is one of the most challenging financial times for local government for over 20 years. By working together we will achieve our ambition of being an area with thriving places that collectively add up to everyone being offered 'a better life'.

In recent years we have made much progress with this partnership journey, creating our 'Team North Ayrshire' approach to business growth and our Locality Partnerships to work with our communities. This Annual Performance report highlights some of our successes over the last 12 months such as our new Portal Leisure Centre and refurbished Townhouse in Irvine, our Garnock Community Campus and the creation of 1,000 new jobs.

For us to achieve our ambition we need to be the best we can so we want to hear from you about how we can do better and how you can help. Please take some time to provide us with feedback so that we can continue to change for the better.

Councillor Joe Cullinane
Leader of the Council

Elma Murray
Chief Executive

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Introduction

Our mission is to improve the lives of North Ayrshire people and develop stronger communities.

In 2016-17 North Ayrshire Council had five strategic priorities:

★ Growing our economy, increasing employment and regenerating towns

★ Working together to develop stronger communities

★ Ensuring people have the right skills for learning, life and work

★ Supporting all our people to stay safe, healthy and active

★ Protecting and enhancing the environment for future generations

Against each of these priorities, we defined a set of outcomes (what difference did we want to make), priorities (what we would focus on to achieve these outcomes) and key performance indicators (how we would know if we were making a difference).

The following pages highlight some of the real achievements we have made by working with our many partners across the private, public and third sectors, and our communities.

If you are interested in more detail you can visit: **www.north-ayrshire.gov. uk/council/performance-and-spending/council-performance**

Growing our economy, increasing employment and regenerating towns

655 jobs created by businesses supported by Team North Ayrshire

269 Business Gateway Start-Ups

Our ambitions for North Ayrshire will only be achieved if communities and individuals are better connected to the economy and have the opportunity to prosper. This is inclusive growth and is a key economic strand of our Fair for All Strategy. During 2016-17 North Ayrshire Council has continued to make real progress in this area.

Key Achievements

⭐ **Ardrossan Harbour was retained as the mainland port for the Arran and Campbeltown ferries** – This decision in March followed a five-month-long campaign supported by a wide range of community groups, businesses and public and third sector organisations – both on Arran and on the mainland. This not only keeps the crossing and secures local jobs, it also unlocks up to £100m of investment in the wider regeneration of Ardrossan.

⭐ **The Ayrshire Growth Deal** – This Ayrshire-wide framework for business growth and attracting investment has inclusive growth at its core. It represents a significant change in the approach and scale of economic development in the area. The plan recognises businesses do not grow in isolation. They require access to a skilled workforce so the Growth Deal blueprint also includes skills pathways and employment support. Real progress is being made on the planning phase, with Cabinet approval in September 2016. Excitingly, projects such as those resulting from the Ardrossan Ferry decision are already being progressed.

"The ferry link is one of the main reasons why we decided to open our business here."

Anthony Cecchini, local businessman. Watch Anthony's interview here: **https://www.youtube.com/watch?v=FnO0-EF6kPk**

240
businesses actively account managed

64.7%
of working age population in employment

42
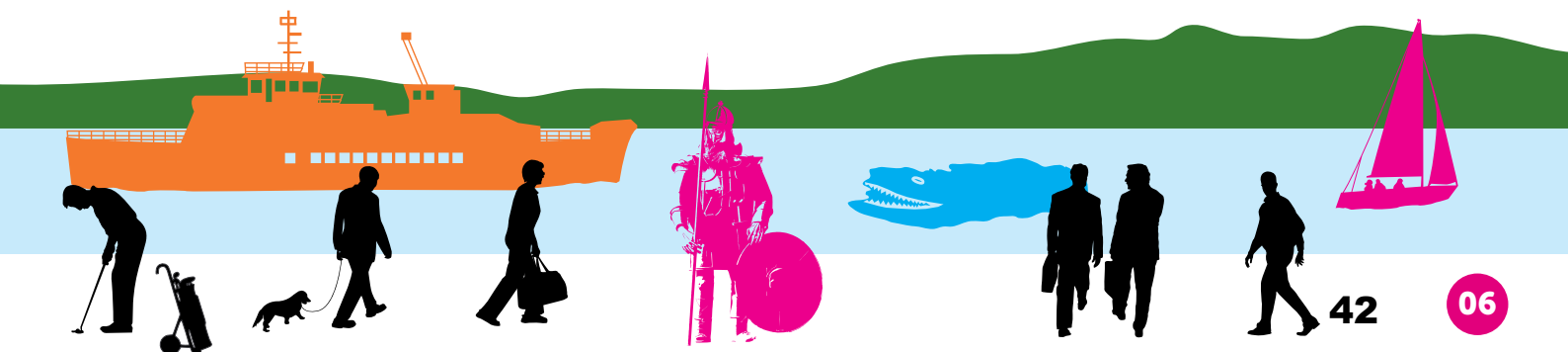
⭐ Our sector leading **Team North Ayrshire**'s partnership approach continues to ensure that we are offering local businesses access to the best business support. The implementation of our International Strategy has seen us supporting our businesses to access international markets, at the same time as we work to attract global businesses to relocate here.

⭐ The **Social Enterprise Strategy** was launched in November 2016 aimed at supporting the development of the social economy sector locally. This is being followed by the roll out of a range of services and support for the sector. A vibrant third sector will help support the delivery of our Fair for All ambitions.

⭐ Our third **Employability Hub** opened in Kilbirnie. Based within the library, the facility offers a drop-in-service, as well as dedicated workshops and training to help residents develop skills to find employment. The hubs are providing a focal point for local employability activity. Planning for three new hubs is also underway. During 2016-17, 631 clients registered with the Hubs.

⭐ The **Portal and Townhouse** opened to widespread public acclaim. As a flagship leisure facility, it brings together the old and the new in Irvine town centre.

⭐ The Council committed to the delivery of 250 **Modern Apprenticeships** (MA) over three years. We are on track to achieve that target. We have increased the range of apprenticeships available including procurement, housing and paralegal.

"I loved every moment of my apprenticeship and learned so much from working alongside other apprentices and community development staff. I received amazing support from community workers.

After the apprenticeship I completed a degree in Community Development at the University of Glasgow. I then joined a missions trip, where I visited 11 different countries in East Africa, Asia and Central America. The apprenticeship helped with my confidence to aim for my goals. It also sparked the desire to support other young people and communities."

Berny Mullin, Project Worker (Former MA)
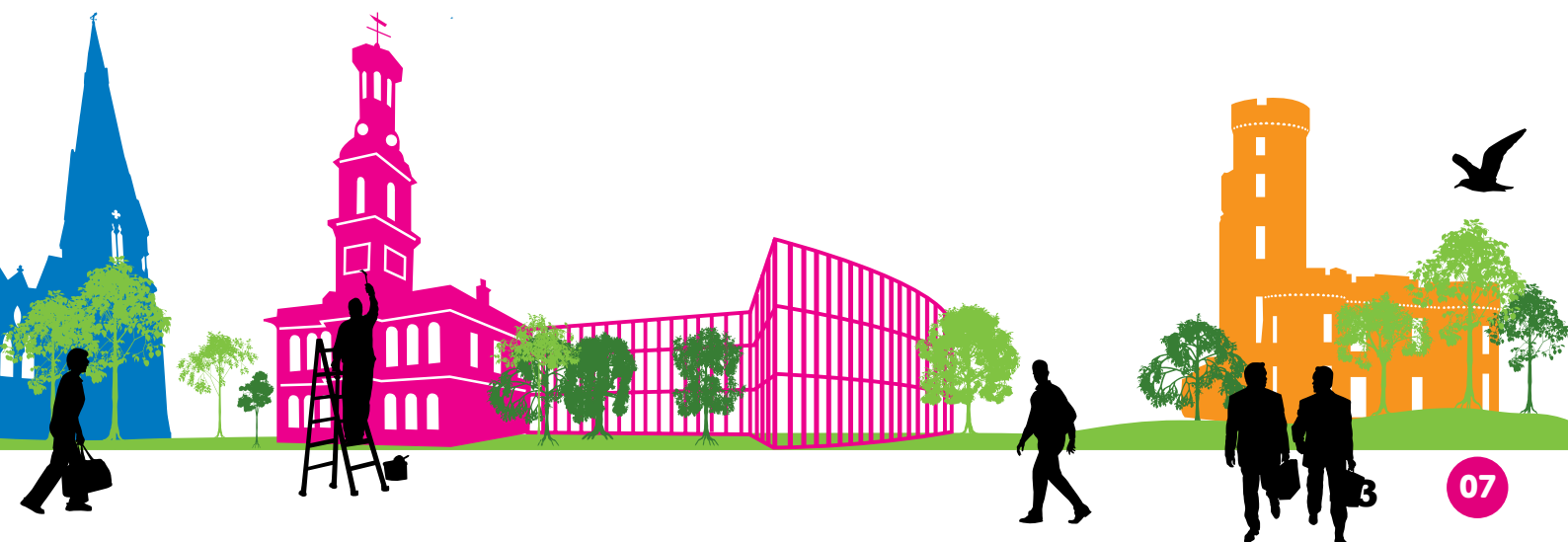
CASE STUDY

Skills for Life

After trying and failing to find employment after 12 years out of work, Derek found himself starting to suffer poor mental health. At this point he approached CEIS Ayrshire, where he undertook a number of skills development courses, and built up his self-confidence. When the Council's Working North Ayrshire Team contacted CEIS for nominations for our Skills for Life programme, Derek was one of 24 people selected. The programme offers six months on-the-job training to provide participants with the skills and experience they need to get into work.

Derek took up a work placement as a Caretaker at Eglinton Country Park, followed by a job within the Council's Streetscence Team. He has recently secured a placement back at Eglinton Country Park. "It has been life changing for me. Before taking part in Skills for Life I had been out of work for over 12 years. I'm proud to have a job I enjoy and hope that my story will give others the motivation to do the same."

704 **unemployed people have progressed to employment through participation in Council funded or operated employability activities**

1,590 **individuals participated in employability programmes**

Working together to develop stronger communities

13,574 adult learning opportunities were accessed

1,351 groups have participated in training delivered by Connected Communities

Our locality partnerships continue to be an important link with our local communities. Our work is helping to increase community capacity and ultimately develop stronger communities.

Key Achievements

Empowering Our Communities

⭐ Securing almost £3m of Big Lottery funding and £5.3m of Council funds to support our **Fair for All Strategy** and our drive to reduce inequalities across North Ayrshire.

⭐ The new **Community Planning website** to improve community engagement was launched **www.northayrshire.community**. Work is well underway with our localities to identify local priorities and plans to address them.

⭐ Support for **Community Councils** continues, and we now have more active Community Councils than ever. During the year, 10 Community Councils held successful elections. Notably, 16-year-olds are now able to stand for election to Community Councils and be represented within the Locality Planning Partnerships.

⭐ **Participatory Budgeting (PB)** gives groups and individuals the opportunity to have a say in where money is being spent locally. Successful Participatory Budgeting events have now been held in all six localities and £90,500 has been distributed to community groups. Mainstream PB has been incorporated in service redesign, especially in relation to libraries.

14,727
active volunteers have participated in training delivered by Connected Communities

768 **people** attended grant awarding Participatory Budgeting events, with awards being made to **37** children's groups, **48** groups of young people, **44** adult groups and **19** groups of older people.

Connected Communities have provided support and guidance to
710 **groups**

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CASE STUDY

Community Planning

Driving innovation from community managed facilities, not Council committee rooms – Locality Partnerships represent the biggest power-shift in local democracy for generations. North Ayrshire Community Planning Partners embarked on a radical approach where our communities co-designed, co-produced and co-delivered our approach to Locality Planning. This deep involvement of communities in co-creation of the Locality Partnerships has resulted in the powerful combination of identifying local needs and understanding the importance of increasing equity by pro-actively targeting resources and activity.

As a result of this work and the positive impact on communities, the 2017-18 budget included significant levels of investment in this community empowerment including a £3.162m Community Investment Fund and the establishment of a Community Empowerment Unit.

CASE STUDY

DigiDabble

DigiDabble is an innovative alternative to traditional library provision. We recognised that the traditional Saturday audience had flagged and, when opening hours were reduced, we wanted to fight back with an irresistible digital offer. The pop-up all-day Saturday opening provides a focus on family learning - exploring new technology.

DigiDabble provides a toolbox made up of different software packages, a 3D printer, robotic kits, virtual reality, gaming and coding. People who have come along were attracted by the new digital tools and a chance to try something new. The YouTube video How DigiDabble is Making a Difference in North Ayrshire **(https://youtu.be/FrqL-i2m068)** tells the story. DigiDabble recently won the 2017 Edge Digital Library Award.

97.9% **of participants accessing learning have improved confidence, knowledge and skills**

Key Achievements

Empowering our Young People

⭐ We delivered **Scotland's largest-ever online participatory budgeting exercise** exclusively for young people. Applications for funding awards of up to £1,500 were received from 130 groups and £60,672 was distributed to youth projects.

⭐ North Ayrshire's excellent youth work was recognised at the **YouthLink Scotland Awards** in March with three awards for **Inspirational Leadership, Volunteer Youth Worker of the Year** and **Full-Time Youth Worker of the Year**.

Attracting Tourism to North Ayrshire

⭐ We continue to support the **Museums Forum** which brings together our independent museums sector and the Scottish Maritime Museum. We assisted the Scottish Maritime Museum to deliver Illumination: Harbour Festival of Light, which attracted 15,000 visitors. The first Ardrossan Castle Carnival was successful in 2016 and was held again in June 2017.

"Approaches to youth engagement and participation are well established in North Ayrshire. The Joint Cabinet model is a shining example of young people and key decision makers collaborating to improve outcomes. It is clear that this has already resulted in changes to policy and services as a direct result of this involvement."

Young Scot.

442,840
tourist overnight stays in North Ayrshire

During the Scottish Youth Parliament elections, North Ayrshire had four candidates, with
5,184 votes cast
over both constituencies

Ensuring people have the right skills for learning, life and work

94.8% of all leavers achieved positive destinations, which remains above the national performance.

74% of primary pupils assessed achieved their expected CfE level in Numeracy.

Key achievements

⭐ **We have continued to invest in our nurturing approach**, supporting the mental and emotional wellbeing of some of our most vulnerable children. Fifteen primary schools have well established nurture classes, supporting almost 220 children. Sixty six pupils have successfully transitioned back to their classes on a full-time basis, having made measurable progress with their developmental milestones. The expansion of nurturing approaches into our secondary schools is progressing well.

⭐ As a **Scottish Government Attainment Challenge Authority**, we have continued to invest in innovative approaches to close the poverty-related attainment gap. Our Professional Learning Academy (PLA) is fully operational and is having a positive impact on the learning and teaching of both numeracy and literacy in our schools. Performance of pupils at key developmental stages shows that we are beginning to reduce the attainment gap between our most and least deprived learners. This work is a key element of our Fair for All Strategy.

"I feel that the nurture room has helped him in lots of ways. Emotionally, confidence, humour, he has come on so much in the last year. Both teachers have been an amazing influence."

Parent of child attending a Nurture Class.

68.49%
of leavers
attained numeracy at
National 5 (SCQF Level 5)

79.35%
of leavers
attained literacy at
National 5 (SCQF Level 5)
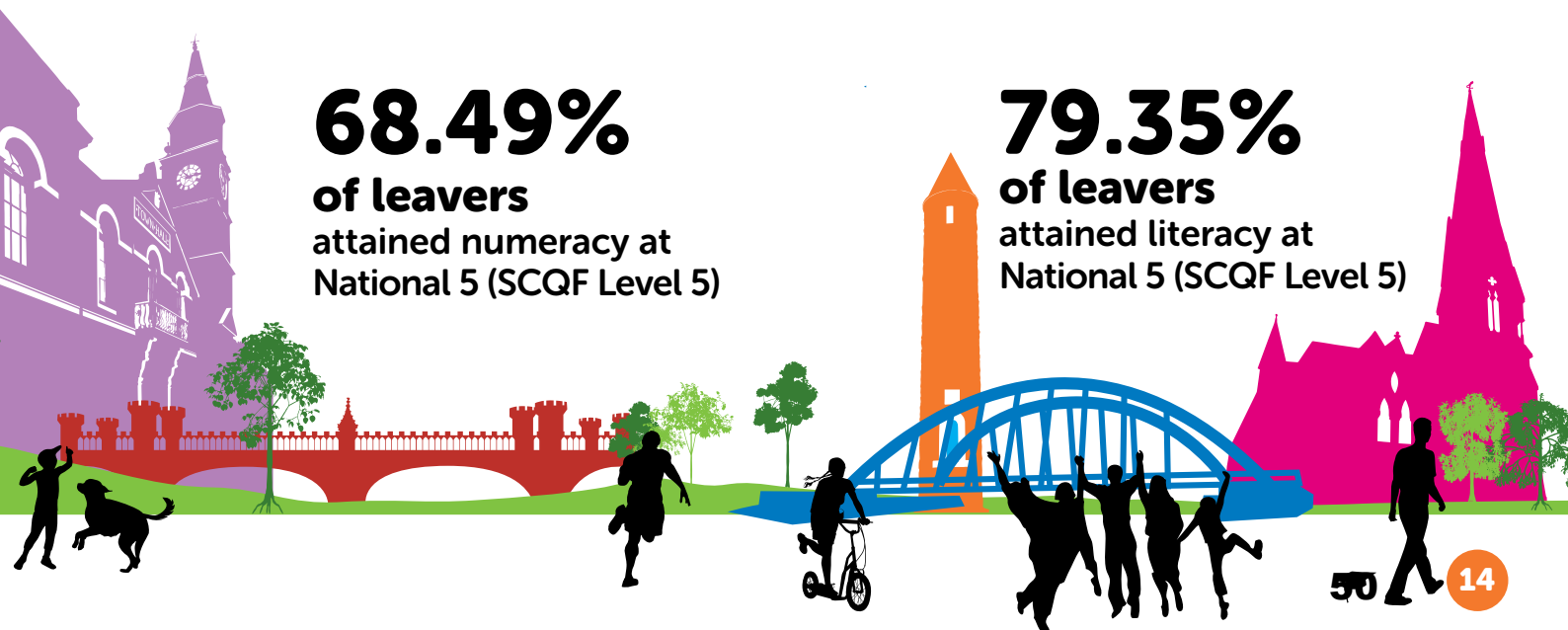
CASE STUDY

The Professional Learning Academy

The Professional Learning Academy (PLA) is a centre of excellence in supporting all those who influence, support, educate, and care for children of North Ayrshire.   It was established as part of the Scottish Government's Attainment Challenge to support staff in closing the poverty related poverty gap. The team benefits from a wealth of experience staff ranging from Early Years, and Primary through to Secondary education, as well as Speech and Language Therapy.

The PLA offers practitioners a wide range of opportunities including, high quality training and support, engagement in professional discussion as well as advice and support to improve learning experiences for children and young people.

The team has achieved an Excellence in Professional Learning Award from the General Teaching Council for Scotland (GTCS). The PLA was recognised for its outstanding culture of 'Leadership of Learning'. The bold, clear and aspirational vision for the quality of its provision was also highlighted. The PLA team are well respected by the teachers they work with.
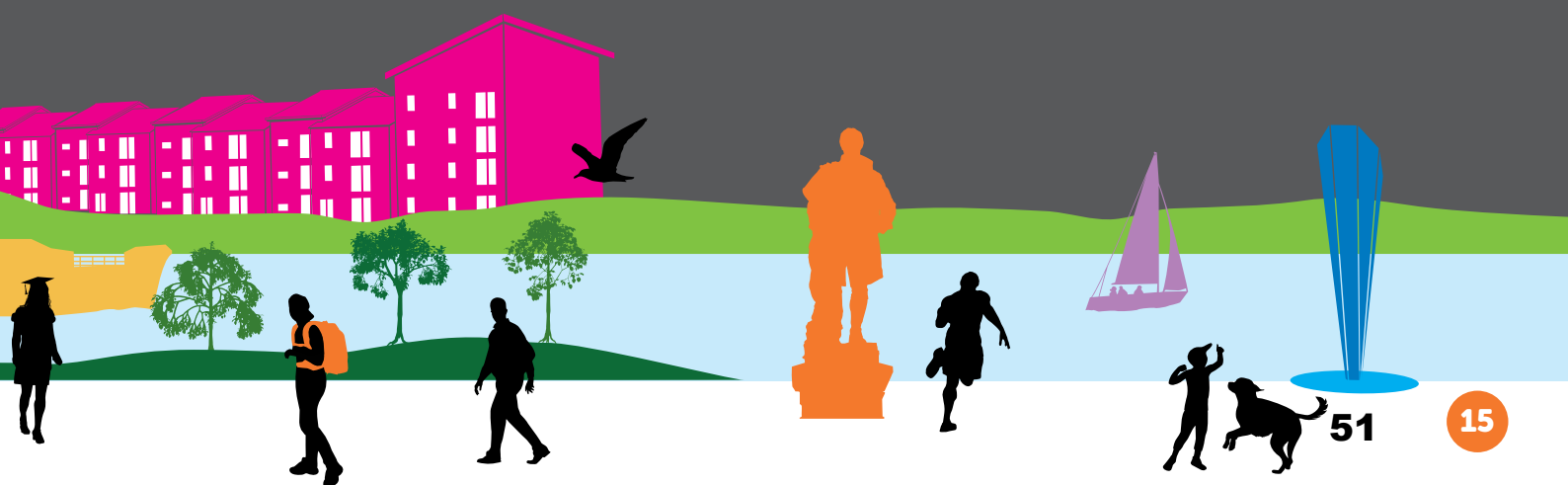
★ The **Garnock Community Campus** opened at the end of January. The Campus is a state-of-the-art learning environment for three to 18-year-olds, along with a swimming pool and leisure centre.

★ Our **Family Learning Team** is enabling us to work in partnership with families to support their child's learning. A programme of events was designed with the input and support of parents. A range of partners such as Community Connectors, Adult Learning, and Community Learning and Development came together to successfully deliver these learning experiences.

★ **The mental and emotional wellbeing of our children and young people is being supported.** Significant work has taken place in partnership with Child and Adolescent Mental Health Services (CAMHS) to better inform mental health referrals made by schools. A counselling service has been established in partnership with Place2Be (a national charity providing emotional support to children). This service is being expanded and enhanced through the employment of our own counsellors.

★ Over the last year there have been seven positive inspections of our schools carried out by **Education Scotland**.

77%
of children met their developmental milestones at the point of starting primary school

73%
of primary pupils assessed achieved their expected Curriculum for Excellence (CfE) level in Reading

97.9%
of participants accessing learning opportunities have improved confidence, knowledge and skills as a result

Supporting all our people to stay safe, healthy and active

6,196 activity sessions were delivered through our Active School programme

School of Rugby has seen an increase of **44.7%** in secondary school players

We continue building on our successful partnerships providing a co-ordinated response to the health, social and emotional needs of everyone in North Ayrshire. The Health and Social Care Partnership (the Partnership) has begun to see some of the benefits of the integrated system working. For example in supporting older people to remain at home or get home from hospital as soon as possible. The Partnership has also worked with our Education Team to deliver the Children's Action Plan and with our Housing Services who provide high quality homes. These partnerships add significant value and support the ambitions of our Fair for All Strategy.

An Annual Performance Report has been published by the Partnership which shows what has been achieved and the impact it is having to ensure ' All people who live in North Ayrshire are able to have a safe, healthy and active life.' The report can be found on our website at: **www.north-ayrshire.gov. uk/Documents/SocialServices/NAHSCP-annual-report-2016-17.pdf**

We have continued to undertake significant investment within our housing stock including the replacement of windows in 53 homes, new bathrooms in 802 homes, new kitchens in 763 homes, new central heating systems in 481 homes, re-wired 217 homes and new roofs and render on 469 homes

A new housing repairs policy has enabled a 34% reduction in response times to emergencies

98.35%

of non-emergency repairs housing repairs were completed 'right first time'.

93% of service users were satisfied with the Housing repairs and maintenance service

Ardrossan hostel achieved the highest rating possible from the Care Inspectorate

We managed a 30% increase in demand for Care at Home service whilst maintaining our improved Care Inspectorate grades

18
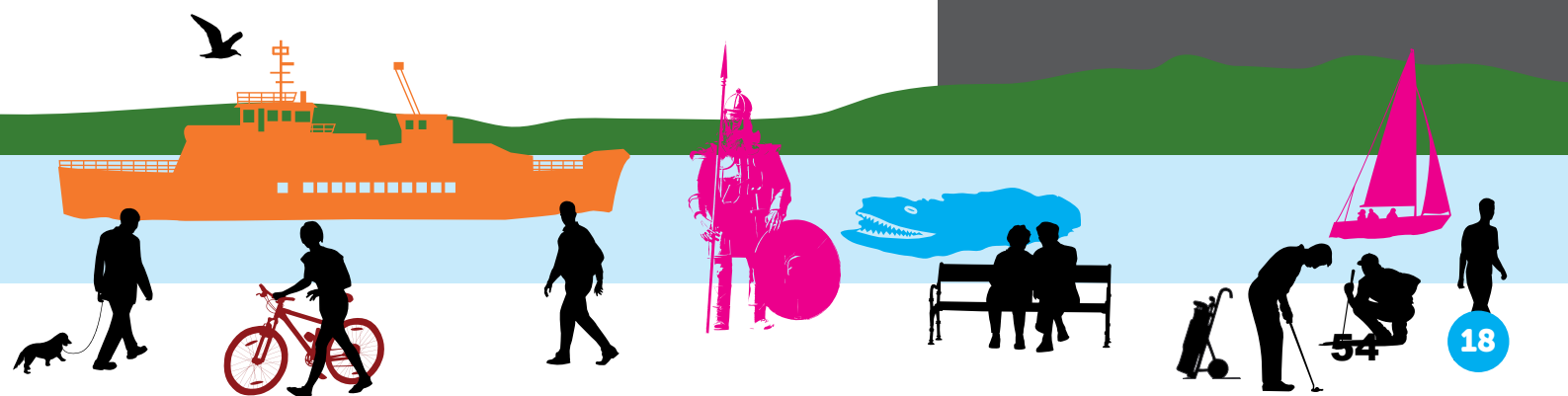
Key achievements

Housing

⭐ **We have increased our house building programme targets** from 500 new homes to 750 new homes for delivery by March 2021.

⭐ **We have completed the final phase of new homes at Montgomerie Court, Kilbirnie** delivering a total of 24 new housing units (16 sheltered units and eight amenity bungalows). We also included a 'dementia demonstrator' housing unit, showcasing dementia-friendly design principles.

Supporting people

⭐ Working across the Council, we continue to develop and implement a range of initiatives to mitigate the impacts of welfare reform and prepare for the full service implementation of Universal Credit in November 2017. Our **Money Matters Team** has supported people to access over £8.2m of previously unclaimed benefits they were entitled to. We have also helped minimise rent arrears among our tenants.

⭐ **We have served over 11,800 meals** through our out-of-school term-time activity and meals programme and are extending the programme into other community buildings.

Over £8.2m
income has been generated for Money Matters service users

CASE STUDY

Refugees

The Council pledged to provide a safe haven to 100 Syrian refugees over a four-year period. As a result of this humanitarian commitment 63 refugees have now been housed and are integrating well into local communities. The families have been warmly welcomed by local residents with many examples of neighbours offering practical and emotional support in the form of food, clothing and friendship.

"Can't thank North Ayrshire enough for all they have done for our family"

"Our kids are loving school"

"We feel safe now, thank you"

Key achievements

Community Safety

⭐ We continue to work with our **Community Planning Partners** to increase community safety in North Ayrshire including delivering the environmental pledges within the Fair for All Strategy. The pledges include satisfaction with open areas, neighbourhoods and reducing fuel poverty.

⭐ The **annual crime statistics** have demonstrated improved performance across North Ayrshire in the last 12 months including reducing:

- Racially aggravated crime by 37.9%
- Domestic abuse by 21.7%
- Violent crime has reduced by 0.9%
- Sexual crime has reduced by 1.4%
- Housebreaking has reduced by 31.2%
- Serious assault has reduced by 6.5%

Crime has reduced by

12.6% = 12,459

fewer incidents

100%

of Building Warrants issued or determined within six days

100%

of food poisoning investigations took place within two days of inquiry

CASE STUDY

Consumer Protection

Our Trading Standards Team have become the first in Scotland to use Consumer Protection legislation to hold a Letting Agent responsible for the deposits they took on behalf of their landlords. Jen Paice, Chief Executive of SafeDeposits Scotland, said: "We greatly value North Ayrshire Council's Trading Standards work in bringing this case to court and hope that it will go a long way to ensuring the minority of letting agents and landlords who don't currently comply with government regulations quickly address this."

97.7%

of high priority pest control requests responded to within one day
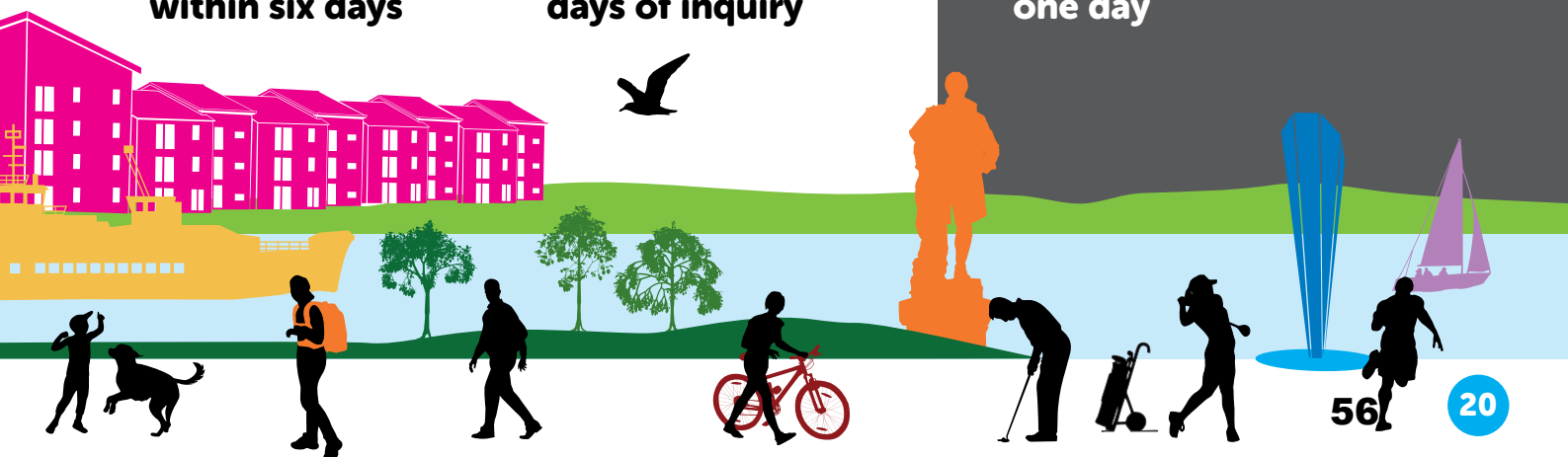
Key achievements

Supporting physical activity

⭐ **We continue to work with our partners** including KA Leisure, sportscotland, and community sports clubs to deliver a wide range of activity programmes. Our School of Sport programme delivers curricular and extra-curricular programmes in rugby, football, basketball and most recently hockey. Clubs are seeing an increase in membership and we are seeing a reduction in childhood obesity.

⭐ **The Nurturing Excellence Programme for Sport (NEPS)** (a local 2012 Legacy programme) continues to support young local athletes. During the year, 80 athletes were engaged in the programme, including Abby Kane who won a Silver Swimming Medal at the 2016 Para Olympics in Rio. A total of 46 athletes represented Scotland or Team GB across 22 sport and para sport disciplines.

1,540,097

attendances at indoor sports and leisure facilities,162,524 attendances at outdoor sport and leisure facilities and 353,204 attendances at all pools

436

Duke of Edinburgh Award participants completed a range of physical, expedition, and volunteering tasks totalling 9400 hours on physical activity and 603 overnight camps

Protecting and enhancing the environment for future generations

3.7%
reduction in the number of households in fuel poverty

Over 24km
of roads have been repaired

Key achievements

Energy Efficiency

We continued to implement our Environmental and Climate Change strategy (2014-17), making significant progress during the year:

- ⭐ **We reduced CO2 emissions by 9.2%** - a total reduction of 19.2% during the life of the strategy.

- ⭐ **We contributed to a reduction in energy bills for over 1,000 households and businesses**, helping to alleviate fuel poverty and improve business competitiveness. The latest fuel poverty statistics, published by the Scottish Government, indicate that the level of fuel poor households in North Ayrshire has fallen by 3.7%.

- ⭐ We were formally recognised as **Scottish Energy Efficient Council of the Year**.

- ⭐ Twenty nine buildings are now equipped with **Photovoltaic (PV) panels and/or Biomass boilers** with further plans to install PV panels on 500 Council homes.

- ⭐ Our **LED street lighting** retrofit programme has installed 13,000 new energy efficient lamps across North Ayrshire and saved £500,000 a year through reduced energy consumption and maintenance costs.

- ⭐ All newly-built Council homes achieved an **Eco Homes Assessment standard** of 'very good'.

99.47% of council dwellings are assessed at or above the appropriate National Home Energy Ratings (NHER) or Standard Assessment Procedure (SAP) rating

We have replaced **500** deteriorated lighting columns

As part of the Litter, Fly-tipping and Dog Fouling Strategy, we have issued **566** Fixed Penalty Notices
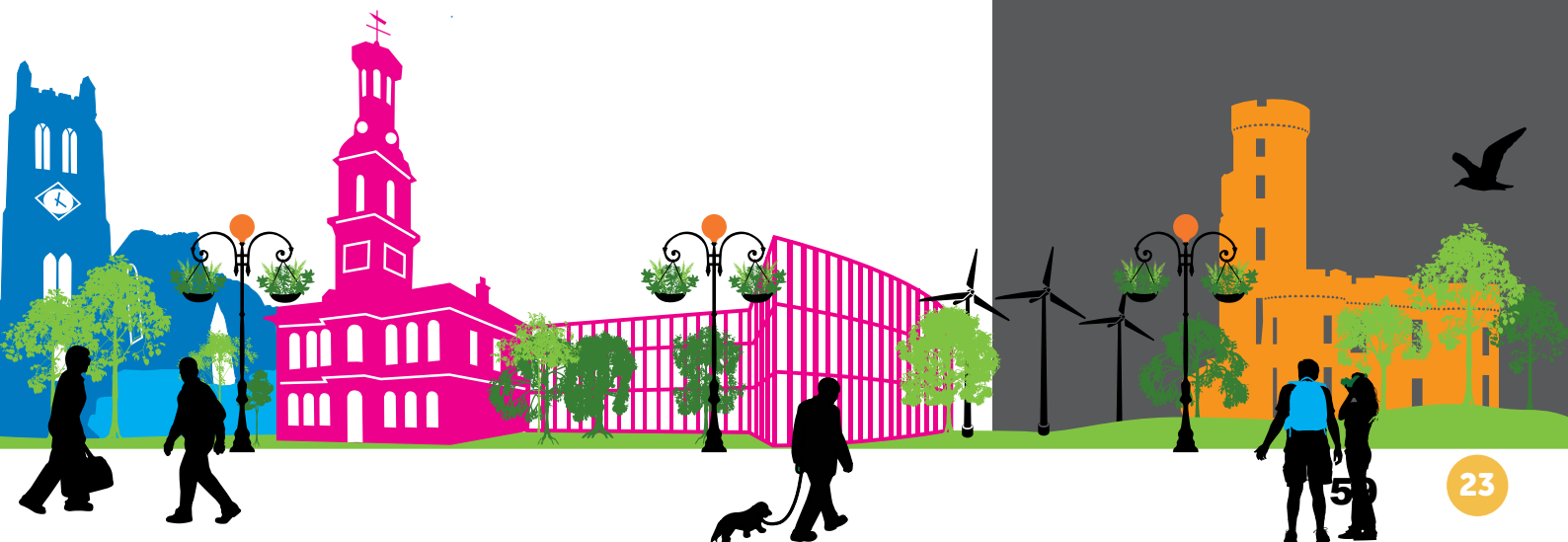
CASE STUDY

A green initiative

We have teamed up with 200 talented University of Glasgow students in an exciting green initiative. The fourth-year Masters of Engineering students are taking part in a ground-breaking six-month assignment that will see them working with local businesses, groups and schools to tackle 'real world' engineering problems – which will reduce our carbon footprint.

At the end of the six months, the students will produce a professional-style consultancy report, presenting solutions to the key eco-challenges facing North Ayrshire. The students are grappling with issues such as addressing Fuel Poverty, Sustainable Commercial Energy, Promoting Circular Economies and Sustainable Infrastructure.

Student Alen Cheong visited his old school Kilwinning Academy to check out their Biomass boiler and newly-installed solar panels. He said: "Our project is focussing on Kilwinning and the commercial, sustainable side of the town. Coming back to my old school has been a real help and given me an opportunity to see how the new infrastructure at the school operates. The project brings a reality to our course and it's definitely beneficial to our development. It gives us that practical experience and a chance to draw up plans and bring them to fruition. Hopefully we'll be able to help the local community as well."

Our pool of low and zero emission vehicles have covered over

160,000 miles

88.3% **satisfaction with our waste management service (the national average is 83%)**

60

24
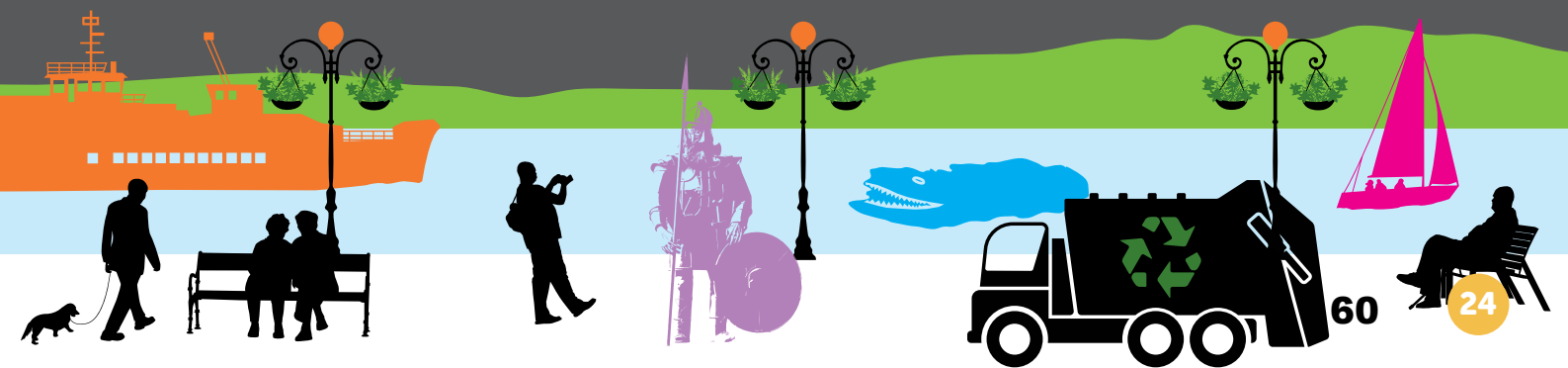
Key achievements

Infrastructure

⭐ We have **completed improvements to cemeteries** at Ardrossan, Stevenston, Lochranza, West Kilbride and Largs.

⭐ Audit Scotland identified the Council as having the **fourth most improved Road Condition Index in Scotland** despite having its 13th largest budget reduction.

Waste and Recycling

⭐ We maintained our position as **one of the best recycling Councils in Scotland** by recycling 55.3% of all household waste collected.

⭐ Working in partnership with **Cunninghame Furniture Recycling Company** we diverted 138.7 tonnes of material from landfill, provided 16 training and employment opportunities and supported residents to secure low cost high quality home furnishings.

CASE STUDY

Streetscene Environmental Enforcement Team

The Streetscene Environmental Enforcement Team was established in April 2016. Our team of five patrol the area, monitor dumping 'hotspots' and issue fixed penalty notices when people are caught leaving a mess. Over the year, 566 fixed penalties have been handed out up from 32 in the previous year. The team has also reported multiple offenders to the Procurator Fiscal for consideration of prosecution.

80% of residents are satisfied with the standard of street cleanliness compared with the national average of **74%**

Supporting our Priorities

Through having sound financial plans and a clear focus on what our customers and communities need, we can work to ensure that our priorities can be met. We also need good governance, good communication, and most importantly, highly-motivated staff who work well together.

Our Change and Transformation Programme focuses on adapting the way we deliver services to ensure we are equipped to respond to future challenges balancing increasing demand for services with reducing budgets. Transformation projects have included:

★ Property rationalisation: We have been reviewing the property we own and use to ensure we have the right buildings, in the right places, for serving our customers. We have been making changes to our property portfolio to ensure best value and improve customer service.

★ Mobile Working: Working in the 21st century, we have been using new technology to allow our staff to work more flexibly and be more responsive to our customers.

In 2016, the change programme has helped to deliver £13.8m of budgeted savings. Since 2010, the programme has contributed to a total of £73m of savings.

89% of **Freedom of Information requests responded to in 20 working days**

92.96% of invoices sampled were paid within 30 days

90% of Council-Wide Stage One (Frontline Resolution) Complaints handled on time

92% of Council-Wide Stage Two (Investigations) Complaints handled on time

62

Key achievements

⭐ New public Wi-Fi has been installed into Largs, Kilwinning and Saltcoats Libraries and the ground floor of Cunninghame House.

⭐ Streamlining of processes within Council Tax has helped to reduce processing times, improve the customer experience and drive efficiency. We have also increased the take up of the e-bill for Council Tax.

⭐ We are increasing our use of digital media to reach more people. During the year, we led a digital marketing campaign for the count down to the opening of The Portal and Townhouse, and created a blog, marketing materials and online content for the Save our Ferry: Keep it A to B campaign.

⭐ The Provost's Civic Pride Awards Charity Dinner raised over £17,000 for local charities.

⭐ We retained the Healthy Working Lives Gold Award demonstrating our commitment to improving the health and wellbeing of our staff.

⭐ We secured Investors in People Platinum Accreditation for Housing Services, the first council in Scotland to secure this award.

⭐ We secured the Gold Standard for Tenant Scrutiny Accreditation, the first Council in Scotland to achieve this standard.

⭐ We retained Customer Service Excellence accreditation for the Concierge Service.

Online activity has seen us build the corporate twitter account to a following of

over 14,700

44 new apprenticeships/ jobs created through community benefit clauses

9.79
Sickness Absence Days per Employee

198
courses were delivered providing training opportunities for 3,353 members of staff

94.6%
of Capital Projects completed within budget

91.9%
of Capital Projects completed on time

63

27
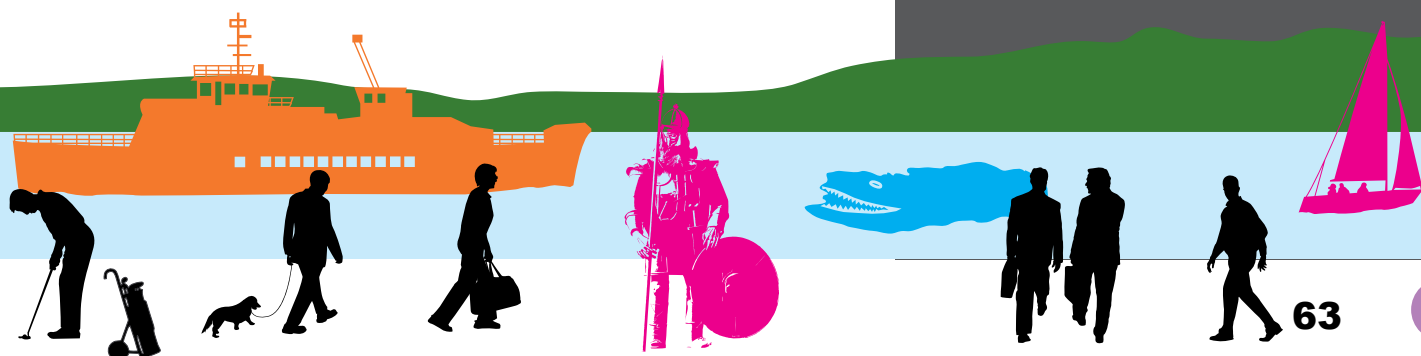
CASE STUDY

Corporate Fraud Team

Our Corporate Fraud Team investigates allegations of fraud within and against the Council. During 2016-17, the team received 15 referrals which involved employees and 539 referrals across a range of services including Council Tax, Housing Tenancies, Blue Badges and the Scottish Welfare Fund. Every allegation received by the team is investigated and action taken as appropriate. This can include financial recoveries, disciplinary action and onward referral to the Police or Procurator Fiscal.

Cases investigated by the team resulted in around £35,000 of recoveries as well as ongoing cost reductions of around £21,000.

Our neighbours, East Ayrshire Council, recognised the good work which was being carried out by our Corporate Fraud Team and we now provide services to them.

2016-17 Performance Indicators

More data about our performance measures and how our performance compares with other councils is available at our North Ayrshire Performs portal on our website at:

www.north-ayrshire.gov.uk/council/performance-and-spending/council-performance

How we spend your Council Tax

Monthly spend of £115.20 per household based on Band D

**Education and Youth Employment
£36.04**

**Chief Executive and Democratic Services
£1.27**

**Finance and Corporate Support
£5.38**

**Economy and Communities
£8.77**

£115.20

**Financing Costs
£9.58**

**Other Expenditure
£2.83**

**Health and Social Care Partnership
£29.91**

**Place
£21.42**
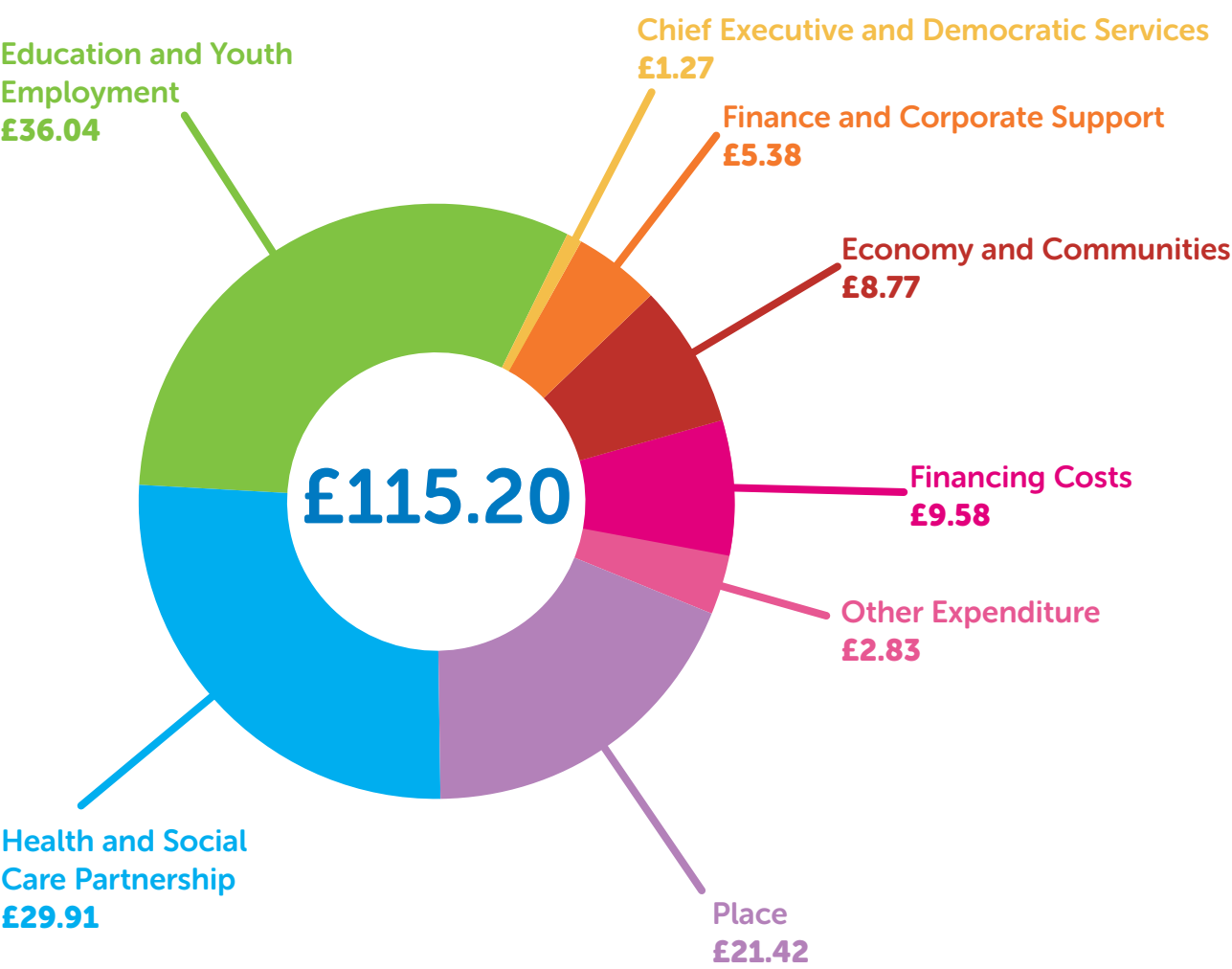
What do you think?

Please take a few minutes to tell us what you think about this Annual Report by completing our short questionnaire. This can be found online at **www.surveymonkey.co.uk/r/CMW68QK**

Alternatively you can print and complete this page and return to:
Policy and Performance, Democratic Services, Cunninghame House, Irvine KA12 8EE

Call us on 01294 324140 or email us at: northayrshireperforms@north-ayrshire.gov.uk

We will use your feedback to improve future publications.

1. **How do you rate the design and layout of the Annual Report?**

   ◯ Very good   ◯ Fairly good   ◯ Average   ◯ Poor

2. **How easy is it to read and understand?**

   ◯ Very easy   ◯ Fairly easy   ◯ Not very easy   ◯ Not at all easy

3. **How useful is it in informing you about the work of your Council?**

   ◯ Very useful   ◯ Fairly useful   ◯ Not very useful   ◯ Not at all useful

4. **Which sections did you find particularly useful?**

5. **What other information would you like to see in a future Annual Report?**

6. **Other comments**

Thank you for your feedback.

NORTH AYRSHIRE COUNCIL

Agenda Item 4

14 November 2017

Audit and Scrutiny Committee

Title:	**Equality Mainstreaming and Equality Outcomes Report for 2015 - 2016 and Equality Outcomes for 2017 - 2021**
Purpose:	To advise on the Equality Mainstreaming and Equality Outcomes Report for 2015 - 2016.
Recommendation:	That the Audit and Scrutiny Committee scrutinises and notes the Equality Mainstreaming and Equality Outcomes Report.

1. Executive Summary

1.1 The report attached at Appendix 1 is the Equality Mainstreaming and Equality Outcomes report, covering calendar years 2015 and 2016 and contains information on the range of work and statistics on Council activity in relation to Equality and Diversity. By law the Council is required to publish these reports once every two years and these reports can be located on the Council's main website. In addition public sector bodies are required to review and consult on their Equality Outcomes once every 4 years. The report attached at Appendix 2 is the Equality Outcomes (and actions) adopted by North Ayrshire Council and other Ayrshire public sector partners covering the period 2017 - 2021.

2. Background

2.1 Starting from April 2013, public sector organisations were required to publish Equality information once every two years. The last report was published in April 2017 and covers information and data gathered over the calendar years of 2015 and 2016.

2.2 Legal Requirements
The Equalities Act 2010 (the Act) sets out a general duty for every public authority, often referred to as the three needs, which requires organisations to -

- Eliminate Unlawful Discrimination, Harassment and Victimisation
- Advance Equality of Opportunity between people who share a relevant protected characteristic and those who do not.
- Foster Good Relations between people who share protected characteristics and those who do not.

2.3   The Public Sector Duty covers the following protected characteristics - Age; Disability; Gender; Gender Reassignment; Pregnancy and Maternity; Race; Religion or Belief; Sexual Orientation; Marriage and Civil Partnerships (this category only applies to eliminating unlawful discrimination).

2.4   Additional 'Specific Duties' were added in 2012 (in Scotland), to help authorities meet the three needs outlined in the General Duty -

- Report on mainstreaming the equality duty;
- Publish equality outcomes and report progress;
- Assess and review policies and practices;
- Consider award criteria and conditions in relation to public procurement;
- Publish in a manner that is accessible;
- Gather and use employee information;
- Publish gender pay gap information;
- Publish statements on equal pay.

2.5   The report attached at Appendix 1 is the **North Ayrshire Council Equality Mainstreaming and Equality Outcomes Report 2015 - 2016**. The report considers the criteria outlined in 2.4 above and a short overview of the the sections are listed below -

Mainstreaming
Section 2 of the report contains an overview of mainstreaming equality activities into our procedures and processes both 'within' the Council and 'across' North Ayrshire.

Employee Information
Section 4 covers employee statistics with regard to the protected characteristics of race, disability, gender, age and pregnancy and maternity (which is a new addition this year). These statistics are monitored over time to identify trends.

Equal Pay, Occupational Segregation and Gender Pay Gap
Sections 5 and 6 cover the gender differences in occupation and pay. The gender pay gap within North Ayrshire Council has been falling over the last few years, dropping from 2.97% in 2012 to 1.22% at the end of 2016. For the first time we have also reported on the pay gap figures in relation to disability and race, with gap for disability recorded at (0.08%) and race at (-3.95%).

Education and Youth Employment
Section 7 contains a report on the work supporting Equality and Diversity issues within Education and Youth Employment.

Licensing
Section 8 contains information in relation to the duties of the Licensing Board under the Equality Act.

Equality Outcomes
Section 9 reports on the activities carried out to support the original 9 equality outcomes that were adopted in 2013.

2.6   The Equality and Diversity agenda is broad, with large input of information provided from across Services to help the Council meet its duties under the Equality Act. The points below are a brief summary of some of the key achievements reported by Services over the last 2 years -

Mainstreaming Activities within the Council
● There was an increase (3.4%) in the number of buildings meeting the Grade 'A' status for accessibility relating to disability; Since 2013, the percentage of Council properties that are either reasonably or fully compliant has increased from 53% to 65%.
● There was an increase in the number of staff completing the online Equality and Diversity training during 2016 compared to 2015 (103 vs 77 respectively).
● The Council's internal Domestic Abuse Policy was reviewed and updated to align with the Violence Against Women Strategy and a workshop on this issue was provided for NAC staff.
● Between 2011/12 and 2015/16, rates of Domestic Abuse recorded by Police Scotland show that North Ayrshire decreased at a faster rate than the rest of Scotland (9.3% fall against 3.3% nationally)
● Achievement of Level 2 of the Disability Confident Scheme. (there are three levels to this scheme)

Internal Employee Statistics Performance Measures
● Percentage of Black and Minority Ethnic minority NAC employees - 0.8%, this figure has remained fairly static over the last few years and is measured against the 2011 Census of 1.1% of North Ayrshire population falling into the BME category.
● Percentage of Council employees in the top 5% of earners that are women - 56% (no change).
● Percentage of NAC Employees recorded as having a disability - 2% (slight decrease of 0.3%), this figure has remained relatively stable over the last few years.

2.7 Through reviewing our procedures, areas of improvement were identified; the current Equality Impact Assessment process is being reviewed and mechanisms explored to merge this with a Children's Rights Impact Assessment tool. In addition, staff are considering the possibility of developing an online version of this tool for staff, which should make completing the assessment tool much easier.

2.8 **Joint Ayrshire and North Ayrshire Council Equality Outcomes and Actions 2017 - 2021**
During 2016 nine public sector partners, including the three Ayrshire Councils, NHS Ayrshire and Arran, Ayrshire College, the Health and Social Care Partnerships, the Ayrshire Joint Valuation Board and the Community Justice Authority collaborated to consult on the development of new Equality Outcomes to cover the period 2017 to 2021. These were adopted and published on the Council's website on 30 April 2017 and replaced the previous 9 outcomes that the Council was working to. A number of consultation events were held across Ayrshire during 2016 and early 2017, following which the partners agreed four joint high level outcomes, these were -

- Equality Outcome 1 - In Ayrshire people experience safe and inclusive communities
- Equality Outcome 2 - In Ayrshire people have equal opportunity to access and shape our public services.
- Equality Outcome 3 - In Ayrshire people have opportunities to fulfil their potential throughout life.
- Equality Outcome 4 - In Ayrshire public bodies will be inclusive and diverse employers.

2.8 The Equality Outcomes are shared by all the partners and a number of supporting actions will be taken forwarded jointly, sharing resources and expertise of each of the partner agencies. In addition there are North Ayrshire Council specific actions that will be delivered by Council Services.

2.9 Moving forward the Council are collaborating with public sector partners in a number of areas, including the development of a 'British Sign Language Strategy', shared interpretation services and the promotion of equality themes, such as Black History Month and Hate Crime awareness.

3. Proposals

3.1 That the Audit and Scrutiny Committee scrutinises and notes the Equality Mainstreaming and Equality Outcomes Report.

4. Implications

Financial:	None
Human Resources:	This report details NAC employee information in relation to protected characteristics under equality legislation.
Legal:	None, however failure of the Council to to ensure it is implementing its duties under the Equality Act could lead to legal challenges
Equality:	The effective reporting on and scrutiny of the issues within this report help the Council to fulfil its equality duty under the Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012.
Environmental & Sustainability:	None
Key Priorities:	Mainstreaming Equalities throughout Services will help to ensure the Council has robust policies, plans and procedures in place that support all the key priorities.
Community Benefits:	None

5. Consultation

5.1 There was wide consultation with public sector agencies, members of the public and special interest groups in the development of the 2017 - 2021 Equality Outcomes.

Elma Murray

ELMA MURRAY
Chief Executive

Reference :
For further information please contact Andrew Hale on 01294 324148.

Background Papers

North Ayrshire Council
Equality Mainstreaming Report
and
Equality Outcomes Report

2015 – 2016

Contents

Summary and Key Highlights

1. Overview

This equality report provides an overview of work going on across the Council to meet the requirements of the Equality Act 2010 and subsequent amendments to this legislation. All public bodies are required to produce a report every 2 years, starting from April 2013. The time period for this report runs from January 2015 to December 2016; this is to allow adequate time for gathering and publishing employee information before the end of April deadline.

The public sector 'specific duties' stipulate the requirements of reporting and are covered in section 1.2 of this report. The key elements are, mainstreaming the equality duty, publishing and reporting on equality outcomes and gathering employee statistics.

2. Key Highlights

Below is a summary of some of the key highlights contained in the report –

- Services are indicating greater awareness of their responsibilities around the Equality Impact Assessment process.
- There was an increase (3.4%) in the number of buildings meeting the Grade 'A' status for Accessibility relating to disability.
- There was an increase in the number of staff completing the online Equality and Diversity training during 2016.
- The Council's internal Domestic Abuse Policy was reviewed and updated to align with the Violence Against Women Strategy.
- Improved internet access at Redburn Travellers site, allowing better access to services and Educational resources for the children onsite.
- Community Development staff continue to support groups and activities that impact on a range of protected characteristic, including age, gender, race and sexual orientation. The LGBT youth group continues to go from strength to strength, as one participant quotes –

  "The group is a safe place. You can be yourself without being scared of what people think. It's like having a family that you can tell anything to and can give you support and help"

- Between 2011/12 and 2015/16, rates of domestic abuse recorded by Police Scotland show that North Ayrshire has decreased at a faster rate than the rest of Scotland, (9.3% fall against 3.3% nationally).
- A survey on Trans people's experience of addictions services, carried out in conjunction with the Scottish Transgender Alliance, has provided recommendations to improve services for this group.
- Clear upward trends in levels of attainment and in positive destinations for school pupils in North Ayrshire

3. Areas for Improvement

Considering the nature of the Equality and Diversity agenda, there is always scope for continuous improvement and the following are underway –
- A review of Equality Impact Assessment training, and consideration of the development of an online impact assessment process as part of this.
- Further work with Services to explore positive outcomes and case studies around equality work.
- Continuing to develop relevant performance indicators that show the difference being made to people's lives.

3

74

1. Introduction

This interim mainstreaming report sets out how North Ayrshire Council is meeting its requirements under the Equality Act 2010 and the (Specific Duties) (Scotland) Regulations 2012. From April 2013 the regulations required public bodies to produce and publish a mainstreaming report once every 2 years. In addition the Council has opted to produce an interim report in the intervening years to highlight progress around the Equality Outcomes. Each report covers the previous two year period.

The information contained in this interim report now cover a calendar year, rather than a financial year. This is to provide adequate timescales to collate and interpret the statistical information required by the Equality and Human Rights Commission before the biennial publishing date of the end of April. This means the information in this report runs to the end of December 2016.

Under the Equality Act 2010, the Public Sector Equality duty, or 'general equality duty', requires public authorities in the exercise of their functions to have due regard to the need to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct that is prohibited by the Equality Act 2010
- Advance equality of opportunity between people who share a relevant protected characteristic and those who do not
- Foster good relations between people who share a protected characteristic and those who do not.

These elements of the Act are also referred to as the three key needs of the Act.

1.1   Protected Characteristics

The general equality duty makes it unlawful to discriminate against people around the following protected characteristics: age, disability, gender, gender reassignment, pregnancy and maternity, race, religion or belief and sexual orientation (table 1). In addition it also places a duty on Public Authorities to advance equality of opportunity and foster good relations between those who share a protected characteristic and those who do not. The public sector equality duty also covers marriage and civil partnerships, with regard to eliminating unlawful discrimination in employment.

Table 1 – Protected characteristic overview

Characteristic	Overview
Age	Refers to a person belonging to a particular age group, or a range of ages, e.g. 18 – 25 year olds, over 65's. A lot focus in relation to Equality and ages tends to fall on either young or elderly age groups
Disability	A person has a disability if they have a physical or mental impairment which has a substantial and long-term effect on that person's ability to carry out normal day to day activities
Gender	Regarding a woman or a man. Gender related pay issues fall in this category
Gender Reassignment	The process of transitioning from one Gender to another, there are a number of terms relating to this, including • Transexual (gender identity is different to biological sex); • Transman, (female at birth but gender identity is male); • Transwoman, (male at birth but gender identity is female); • Non-Binary Gender, (Not exclusively male or female) • Cross-Dressing, (Wearing clothing of opposite sex) More information can be found at www.scottishtrans.org or www.lgbtyouth.org.uk
Race	Refers to a group of people defined by their race, colour and nationality (including citizenship), ethic or national origins.

Characteristic	Overview
Pregnancy and Maternity	Pregnancy is the condition of being pregnant or expecting a baby. Maternity is the period after the birth linked to employment and also covers treating a woman unfavourably because she is breastfeeding.
Religion or Belief	As well as the standard meaning for religion also includes religious and philosophical beliefs, including lack of belief (such as Atheism).
Sexual Orientation	Whether a persons' sexual attraction is towards their own sex, the opposite sex or to both sexes
Marriage and Civil Partnership	Marriage between same sex couples included; Same sex couples can also have their relationships legally recognised as civil partnerships and must not be treated less favourably than married couples.

1.2 'The Specific Duties'

North Ayrshire Council is committed to fulfilling its equality duties as a public authority under the Act. As a listed authority under the Act the Council is required to meet 'Specific Duties', which are:

- report on mainstreaming the equality duty, (once every two years)
- publish equality outcomes and report progress
- assess and review policies and practices
- gather and use employee information
- publish gender pay gap information
- publish statements on equal pay
- consider award criteria and conditions in relation to public procurement
- publish in a manner that is accessible.

These specific duties are within the Equality Act 2010 (Specific Duties) (Scotland) Regulations 2012. This report outlines work in North Ayrshire to mainstream the equality duty. It also contains an annual breakdown (covering the previous 2 years) of the information gathered under the duty to gather and use employee information, publish gender pay gap information and publish statements on equal pay.

Additional information in relation to equalities issues in North Ayrshire is available on the North Ayrshire Council website: http://www.northayrshire.gov.uk/council/strategies-plans-and-policies/equality-policy-andperformance.aspx. This includes Equality Impact Assessments and the Equality Outcomes agreed in 2013. These Outcomes will be reviewed during 2016 and re-published during April 2017.

2. Mainstreaming the Equality Duty <u>within</u> North Ayrshire Council

2.1 The Importance of Mainstreaming

Mainstreaming equality means a move away from seeing equality issues as an additional part of Council business, to being an integral part of the way the Council thinks and functions. This is a progressive journey for the Council building on previous work in changing attitudes, language and behaviours. It involves not just an understanding of equality policies and procedures but also effective implementation throughout North Ayrshire.

The Equality and Human Rights Commission Scotland outlines the benefits of "mainstreaming the equality duty" as follows:
- Equality becomes part of the structures, behaviours and culture of an authority
- An authority knows and can demonstrate how, in carrying out its functions, it is promoting equality
- Mainstreaming equality contributes to continuous improvement and better performance.

North Ayrshire Council has made progress in integrating equality into the day-to-day working of the Council. This can mainly been seen through the implementation of two key areas - Equality Impact Assessments (especially on budget proposals), and ensuring that these are included with committee

reports. This section focuses on mainstreaming across the Council as a whole. It covers work the from January 2015 to December 2016.

2.2 Equality Impact Assessments
Equality has been integrated into the business of the Council through Equality Impact Assessments (EIAs). These are completed when introducing a new policy or function or when reviewing an existing policy or function. In addition EIAs on budget efficiency proposals are carried out, with an initial 'screening' required to determine if a full assessment is required.

In essence the EIA process is a way for the Council to analyse policies, practices and procedures and highlight areas of concern where protected characteristic groups may be discriminated against. The EIA process should also help to highlight where changes to procedures may have a positive effect on protected characteristic groups and how Council services are delivered.

An EIA Screening tool and full EIA tool, along with a [Guidance Toolkit](#) are in place to support Services to assess the impact of their functions against the Protected Characteristics. The starting point for assessment is to consider the impact of applying the policy against the needs of the general equality duty. Services must therefore:

- ensure that it does not discriminate unlawfully
- consider how the policy might better advance equality of opportunity, and whether the policy will affect good relations between different groups.

2.3   Cumulative Effects
When a number of proposals are inter-linked the cumulative effect of all of the decisions need to be considered both within and across Council Services. Assessments must include consideration of relevant evidence, and evidence from equality groups e.g. monitoring data, external research and national data.

Services are required to produce EIAs on budget savings and this has been incorporated into the Service Planning and Budgeting Guidance. A section is included in the template submitted to Finance by each service on proposed budget efficiencies so that the EIA findings are highlighted. These are also made available to Elected Members to support them in the decision making process. These [Equality Impact Assessments](#) and screening forms have also been made publically available via with North Ayrshire Council website.

Areas for Improvement
Services are much more aware of their responsibilities regarding carrying out EIA's, however quality of EIA's produced varies from Service to Service. Online EIA training is available and this will be reviewed and re-promoted to Services. Some local authority and NHS Health boards have adopted electronic methods of recording the EIA process and this will be investigated with a view to adopting within North Ayrshire Council

2.4 Committee Reports
When services are submitting reports to North Ayrshire Council Committees equality issues must be taken into account. There is a standard sub-heading within the committee report template on equalities implications along with financial, legal, environmental and human resource implications. The corporate guidance on completing committee reports highlights the statutory duty of North Ayrshire Council in relation to equality considerations and of the role of EIAs. Where EIAs are undertaken these are added as an appendix to the committee report.

Areas for Improvement
There is currently no process in place to indicate when EIA's have been submitted along with committee papers. An audit of committee papers should be carried out to determine the number of EIA's submitted with policy proposals over the course of the year.

2.4 General Equalities Considerations Within Service Planning

Guidance was provided to all North Ayrshire Council services when undertaking their service planning. This highlighted the requirement to undertake EIAs. It also advised services that they should provide an overview within their directorate and service plans with a clear commitment to promoting equality and outline what is being done to achieve equality in planning and delivering services.

2.5 The Corporate Equality Group - Indicators and Action Planning

The Corporate Equality Group has membership from across Council services along with Elected Members, they champion equalities and ensures consistency across the Council. The Equality Action Plan sets out how the Council will deliver on the agreed Equality Outcomes for North Ayrshire. The plan is monitored by the group to ensure progress is being made in achieving our outcomes. The Council uses the 'Covalent' performance management system and updates on the Equality Action Plan are uploaded to this system on a quarterly basis.

The performance indicators with the Equality Action Plan are:

- Percentage of black and ethnic minority NAC employees. Current Figure **- 0.8 percent** (slight increase from previous year of 0.1 percent)
- Percentage of Council Buildings in which all public areas are suitable for and accessible to disabled people – *currently 65.4 percent (3.4 percent increase from previous year)*
- Percentage of council employees in top 5% of earners that are women – currently **56 percent** (same as previous year)
- Percentage of NAC employees who have recorded as having a disability. Currently **2.0 percent** (slight decrease from previous year of 0.3 percent)

Areas for Improvement

Performance indicators to be reviewed moving forward into 2016-17. The layout of the Equality Action Plan on Covalent to be adjusted to better reflect each Council Directorate input against each Equality Outcome. This will provide a better overview of who is contributing to what. Some services by their nature have a bigger involvement in Equality related actions and by flagging this up other services may have a clearer idea of where they can contribute.

2.6 Training on Equalities Issues

North Ayrshire Council uses an e-learning course. There is also a half day face to face training course predominantly aimed at manual staff. The e-learning and face to face courses are designed to raise awareness of equalities issues to all employees and to ensure that staff are knowledgeable about their responsibilities. An input on equality and diversity is also included in the Corporate Induction training day. In addition to these generic courses specific awareness and training is provided by Connected Communities on Cultural Awareness and the Health and Social Care Partnership on Sensory Impairment. Figures for training for 2015 to December 2016 are included in the tables below.

Table 1 _- Equality Based training 2016 and 2015

Courses for 2016 (until Q3)	Numbers Attending/completing	Courses for 2015 (until Q3)	Numbers Attending/completing
Equalities E-Learning	103	Equalities E-Learning	77
Equalities – Half day training*	0	Equalities – Half day training*	0
Cultural Awareness	16	Cultural Awareness	26
Sensory Impairment	10	Sensory Impairment	26

*On demand course

The totals for 2015/2016 are 258 staff attending an Equality based course, with 180 staff completing the generic online equality training.

Since basic equality training commenced 2,102 or 31 percent of staff have had an awareness session relating to Equality and Diversity issues.

Areas for Improvement
A review of the online training is required and re-issued to staff. Training programmes will be considered as part of a public sector partnership approach across Ayrshire.

2.7 Procurement
Procurement legislation ensures all procurement activity should be carried out in a transparent non-discriminatory manner. At North Ayrshire Council, we ensure that we comply with the Equality Act 2010 in all our procurement activities and the Council is committed to the development of positive action to promote equal opportunities for all. We also encourage our suppliers to do the same; use of the European Single Procurement Document ensures standardisation in pre-qualification for all bidders. Fair working practices are addressed and included as minimum conditions or scored within tenders, where all bidders are asked to sign an Equality Certificate. The Equality Certificate asks bidders around the considerations of 'users' needs and whether diversity issues need to be considered, e.g. accessibility, religious requirements. One of the key questions asks –

'Is it your policy as an employer and as a Service Provider to comply with your statutory obligations under the Equality Act 2010 and, accordingly your practice not to treat any person or any group of people with protected characteristics less favourably than others?'

Failure to complete and sign the Equality Certificate may lead to exclusion from the tender process.

2.8 Accessibility Audit
The Council aims to provide convenient access to all buildings offering open public access to members of the public. The current portfolio has been audited and any issues identified have been reported with necessary corrective actions noted.

As part of our ongoing Estate re-modelling strategy, it is proposed to improve our 'Public Accessible' buildings during any refurbishment or new build programmed works. The re-modelling of the Estate has also allowed us to identify surplus buildings that are considered no longer fit for purpose. This has led to the disposal of certain surplus buildings, which has had an impact on previous grade C and D assessed buildings.

In general and where practical, any minor re-decoration works will take into consideration the recommendations outlined in the Audits previously commissioned. The works will be carried out with reference to and guidance from British Standard 8300, which deals specifically with Equality requirements.

The replacement/installation of appropriate signage and acoustic equipment, such as induction loop systems will also be taken into consideration and addressed accordingly.

The 2016 figures were reported as follows –

A Grade properties = 3.96%
B Grade properties = 61.39%
C Grade properties = 34.65%
D Grade properties = 0%

The above indicates a 0.26% increase in properties meeting the Grade A standard and a 3.09% increase in properties meeting the Grade B standard since 2015

The 2015 figures were reported as follows –

Grade A properties = 3.7%
Grade B properties = 58.3%
Grade C properties = 38%
Grade D properties = no more Council properties of this grading.

Grade A -   properties are considered to be fully compliant.
Grade B -   properties are considered to be reasonably compliant and currently provide ease of access to all users in terms of the services offered.
Grade C -   Are non-compliant with a degree of working required to meet the standard; properties have been analysed and all faults found have been extracted from the main report and categorised, with high priority issues noted and will be actioned as soon as possible.
Grade D -   Non-compliant with a high level of work requiring to be carried out; properties require substantial works to be carried out in order to make them partially compliant.

Overall properties considered accessible = 65.35% in comparison to 2015 figures, which was 62%.

Additional Information
An increase in the current accessible properties % shown reflects exiting leased buildings at 1 Glebe Street, Stevenston and Rivergate House, Irvine, which were classed as C Grade buildings and completion of refurbishment works, including to Bridgegate House, automated door system installed to Harbour Arts Centre and Refurbishment works to West Kilbride Community Centre. New build Dirrans Day Centre replaces previous and the opening of the refurbished Stevenston Institute.

All Services have been requested to complete online training relating to 'Equality Awareness', those considered 'Public Facing' will assist with improving awarded access grades given to each relevant building. (Note: From 101. properties, 91 are now considered operational, 4 previously B Graded properties are now surplus; 37 are graded C, (5 C Graded and 1 D Graded property are now surplus).

Protected Characteristic Supported: Disability

2.9 Human Resources
The Council's Human Resource and Organisational Development teams continue to support and promote the Equality Agenda, through the development of Policies and Procedures and through support for training. Key areas of work carried out include –

Agile Working
The Council continues to cascade information on agile working to all staff. Agile working procedures were reviewed in September 2014 and support employees to maintain or achieve better worklife balance. During 2016 changes to Flexitime and Special Leave policies are were introduced to further promote agile and flexible working for all employees (including for the first time Chief Officials), promoting our family friendly policies, and include completely flexible working hours (no core hours), increases in flexi leave entitlement and flexi hours carry forward, and new on-line booking system.

Revised and re-launched Domestic Abuse Policy and Guidelines
With support from Elected Members, we reviewed and updated our Domestic Abuse Policy, to align it with the Council's Violence Against Women Strategy 2015-18 and reinforce the Council's view that domestic abuse is unacceptable and inexcusable, bringing together, in a single document, our policy statement, taking into account recent best practice advice and template policy guidance from COSLA, as well as strengthening and incorporating our existing guidance for Managers and Employees to support any employee, male or female, who may be experiencing domestic abuse and encourage them to come forward and seek support. We have also updated contact details for sources of support, both within and outwith the Council through the HR Operations and Health & Safety teams and external support organisations.

Employee Stress Survey
A Survey of all employees (including Ayrshire & Arran Health Board employees as part of the Health & Social Care Partnership) was undertaken during 2016, using email and paper questionnaires and externally procured software to produce report statistics and action plans. Over 3100 employees (40%) responded, and Team Managers are being encouraged to discuss results with colleagues and produce action plans to address potential workplace stressors identified. It is proposed to repeat the Survey every 2 years.

Dignity and Respect at Work
Council policy and procedures, applicable to all employees, were reviewed and updated during 2016, to further reinforce routes to investigate and resolve complaints of harassment, bullying and victimisation, in particular improving guidance on mediation to resolve disputes.

Shared Parental Leave
A policy and Human Resource guide on Shared Parental leave has been developed in line with legislation. This allows employees to share their maternity leave with their partner.

Equality Impact Assessment (EIA) Guidance
New Guidance for HR team members was issued on completing EIA's effectively, to augment and complement our existing on-line EIA toolkit.

3. Mainstreaming the Equality Duty <u>Across</u> North Ayrshire
The Council carries out a wide range of activities that supports equality work both across its communities and within Council Services. This section highlights examples of work carried out that helps to advance equality of opportunity or foster good relations between those who share a protected characteristic and those who do not.

Redburn Gypsy Travellers Partnership 2015 - 2016
The Gypsy Travellers partnership provides a range of activities for residents who live on the Redburn Travellers site. The partners include various Council services as well as Police Scotland, NHS Ayrshire and Arran, Parenting and Early Years.

Activities over the year have included:
- A Consultation on potential learning opportunities
- NHS nurse practitioners run health checks and various health initiatives are in place including Childsmile, opticians, and GP surgery on Friday mornings
- Following on from a successful funding bid with the Scottish Government (as part of the Public Building Wi-Fi Access Program), the Wi-Fi in the site Community Room was upgraded in Sept 2016 and is now being used with the existing Ipads. All children residing on site were given cash for kids vouchers in December 2015
- Education Tutors (Primary and Secondary) are on site for three sessions per week during term time (Tuesday, Thursday and Friday), one session specifically for literacy and numeracy
- Barnados have been Assisting with Benefit and Money Advice
- NAC Parenting and Early Years (Play team) provided play sessions. The team attended the site for a total of 27 play sessions, covering 32.5 hrs of play. During these sessions, the team interacted with 203 children.
- Welfare Reform Team have been onsite offering benefit maximisation sessions.

<u>*Areas for Development*</u>

- Youth group multimedia project
- Provide learners with up to date Driving theory and mock tests

Protected Characteristics Supported – Race, Pregnancy and Maternity, Age, Sex

Ayrshire Minority Ethnic Communities Association (AMECA)
AMECA is a local organisation that represents various cultural groups across North Ayrshire. The Association organises multicultural activities and provides guidance, support and advocacy to members of Minority Ethnic communities.

The association has been supported by the Council since its inception. We currently provide a sessional worker to support its work. International Women's Day was promoted on 7 March 2015,

with a local event that was attended by over 100 people. The Association also has its own Sessional worker who links with the Council to support the delivery of Cultural Awareness training to staff.

The AMECA centre, which is based in Irvine, has been supporting new families from Afghanistan on day to day living issues. Key areas of work supported by the Council include:

- Training and support for the AMECA management committee, which consists of (Black and Minority Ethnic) membership, in managing the centre, and providing support to the Support Worker from the BME community.
- In order to encourage more BME membership, AMECA have been working with CEMVO to provide support. CEMVO facilitated three consultation events (one in North Ayrshire, one in East Ayrshire, and one in South Ayrshire) to discuss the future role of AMECA. The Three events scheduled were held: Tues 25th Sept 2016 – Ayrshire College Kilwinning, Thurs 27th Sept 2016 – Ayrshire College Ayr Campus, and Tuesday 1st Nov 2016– EAC HQ, Kilmarnock

Chinese Community
In July 2015, and September 2016 the Chinese Community were given assistance to apply for funding for the Kat O Lok Fu Chinese Elderly Lunch Group, which meets every two weeks in the Volunteer Rooms, Irvine. The community were also supported in applying for Community Development Grant Scheme funding for the Chinese Information and Advice centre based at Parterre Halls in Irvine.

As Parterre Hall has been requested for an asset transfer, the Chinese Information and Advice Centre were assisted in relocating their equipment to the Volunteer Rooms.

Support for Syrian and Afghan Families
Information sheets for new Syrian families – 'Welcome to North Ayrshire- (Ardrossan, Stevenston and Saltcoats)' were created. The sheets were translated into Arabic, and issued to each family prior to arriving in area.

Through the Ayrshire Equality Partnership, ongoing discussions have taken place about the feasibility of collectively working across all three councils in providing additional support in overcoming potential isolation for Afghan and Syrian Families within Ayrshire.

Protected Characteristics Supported – Race, Age, Gender

Youth Services Work
- Lesbian Gay Bi-sexual and Transgender (LGBT) History Month – 'Leap out the Closet' Twitter campaign - young people sharing a message a day to empower LGBT people and educate people on language and pronouns, during 2016 a 29 day social media campaign was carried out, with over 5000 hits during the month.
- Twenty-young people carried out a 24 hour fitness fund-raiser, running nearly 700 miles and using a cross-trainer, raising over £1200. The distance represented the distance between their local group in Kilwinning to Cologne in Germany - where the first LGBT memorial statue was resurrected in memory of LGBT people persecuted in WW1
- LGBT youth groups continue to run on a weekly basis in Kilwinning and two new groups were piloted during 2016 in Saltcoats and Kilbirnie. In partnership with Arran Youth Foundation a new group has been developed on Arran.
- All youth work staff trained in LGBT awareness and trans awareness training and LGBT+ training took place for 12 teachers.
- Three young people from North Ayrshire sit on the National Youth Council LGBT forum.

Support offered to Older People

Luminate (2015), Scotland's Creative Ageing Festival, '*celebrating our creative lives as we age'*. This annual national event show cases some of the many creative talents of older people from across Scotland.

As part of this event North Ayrshire Council partners supported the following events:

Celebration of the Achievements of Older Peoples Arts Exhibition, 14-21 October 2015
- Celebration showcased a range of Art, photography, intergenerational projects and craft work older people were involved in **34** people exhibited, **42** people attended the launch.

Access all Areas 'Come and Try' event 26-30th October 2015
- A Local Art group (all over 65) planned and delivered an exhibition and free come and try art sessions with **20** participants.

Talent on Tour 27.10.15
- 28 members of a community singing group (oldest member 94) entertained residents from residential units in an afternoon of song. A combined total of **78** participants on the day.

Living Voices, March-October 2015
- (Partnership between Community Development Team and Scottish Poetry library).
- Pilot project which used storytelling to explore common themes, **8** older women took part in the programme. This culminated in a 'Sharing Event' (21.10.15) which was attended by **35** people.

Protected Characteristics Supported – **Age**

Intergenerational Work
A wide range of intergenerational work is facilitated by the Council's Community Development team. A sample of activities are outlined below –

- West Kilbride World War 2 Project.
- Intergenerational Quizzes
- Facilitating connections between Age Concern and Secondary Schools
- Celebration of the achievements of older people's Art Exhibition.
- Access All areas 'Come and Try' art event
- 'Talent on Tour' singing group (oldest member 94 years), entertained residents in residential units
- Lifting Voices storytelling programme

In total approximately 400 people from older groups and children from primary schools have been involved in events over the year.

Art Exhibition October-December 2016
Eighteen artists from Castlepark Community Art Club exhibited a small selection of their paintings at Irvine Library.

Support to Elderly Forums
The Participation and Empowerment Team provide Capacity Building support to Elderly Forums in Irvine, Kilwinning, Ardrossan, Stevenston, Saltcoats and the Islands of Arran and Cumbrae. Support is offered to the Three Towns disability forum and North Ayrshire Access Panel.

Protected Characteristic Supported: Age, Gender.

English for Speakers of Other Languages (ESOL)
North Ayrshire Council has committed to supporting the increased demand for lower level ESOL (English for Speakers of other Languages) including pre-literacies level support. In the last year, ESOL provision has been offered over 3 localities and is now available 5 days per week. Learning activities have included participating in local community events.

ESOL support has been introduced to Ayrshire College Kilwinning Campus for students attending mainstream classes, for whom English is not their first language. An Esol evening class has also been introduced in response to increasing demand.

Due to a successful funding bid, in 2016, ESOL became integral to an Employability project targeted primarily at Syrian Refugees, delivered by The Workers Education Association (WEA).

3.2 Health and Social Care Partnership
The Health & Social Care Partnership came into existence on 2^(nd) April 2015 and was the first integrated partnership in Scotland. By working in partnership, Primary Health and Social Care Services provide a seamless care service to local people in North Ayrshire and ensure their health and care needs are met.
The partnership is committed to ensuring all people in North Ayrshire are able live a safe, health and active life regardless of a person's background or unique characteristics. The partnership's vision is underpinned by its 7 values; for each person we support, we will be: Person Centred, Respectful, Efficient, Caring, Inclusive, Honest, and Innovative.

In our first year we have supported the equality agenda by:

Getting it right for you: North Ayrshire Children's Services Plan 2016-2020
Contributing to the development of the North Ayrshire Children's Services Plan 2016-2020. The plan aims to address the key needs identified by the young people of North Ayrshire. The plan outlines key promises, that services will deliver to children and young people to support them have the best start in life. Children services with the HSCP will be restructured in order to meet the requirements of the plan.

Scottish Transgender Alliance
Initiating a national survey carried out by the Scottish Transgender Alliance. This research gathered the views of Trans people's experience of engaging with addiction support services. This research has produced a series of recommendations to improve services for this service user group.

Locality Planning
The HSCP has initiated Locality Planning forums who will undertake a key role in future strategic planning of services. The development of these forums will allow for the unique needs of each locality to be identified and addressed. The forums will engage with local people and afford them an opportunity to shape health and care services in their local communities.

Carers
In preparation for the implementation of the Carers (Scotland) Act 2016, service are moving towards making North Ayrshire a 'Caring Community'. This involves engaging local businesses and services to support them fully understand the needs of unpaid carers. Many local business have signed up to a Carers Appreciation card that will afford unpaid carers various discounts and promotions with local businesses.

4. Employee Information

As part of this mainstreaming equalities report a breakdown of North Ayrshire Council and "Education Authority" employee information is required. This is detailed below for North Ayrshire Council staff as a whole and for "Education Authority" staff (i.e. teaching staff) separately in relation to the themes of race, disability, gender and equal pay.

4.1 Race

The race employment monitoring statistics for 2015/16 (all employees) in Table 1 (2016) and 2 (2015) are presented in detail. These figures indicate that the percentage number of staff in each year has remained relatively stable. Employees classed as 'white', have seen a drop from 80.6% to 80.3% or a 0.3% decrease from 2015 – 2016. The 'Other ethnicity' category has remained the same at 0.8%.

Data from the 2011 Census indicates that approximately 1.1% of the population of North Ayrshire were from an ethnic background other than white. This is more than the current ethnic workforce of 0.8% or 51 employees. To place this in context, due to the small numbers involved an additional 18 staff from the 'Other Ethnicity' category would bring the Council in line with the population statistics for North Ayrshire.

The majority of minority ethnic staff, 24 employees or 0.7% of the total workforce are employed in grades 4 – 7. The highest percentage of minority ethnic staff as a total percentage of any particular grade sit within Grades 8 -10 (7 staff or 0.8%) and 11 – 17 (2 staff, 0.8%), This is a change from the previous year, where Grades 1 – 3 and 11 – 17 had the highest Percentages. This indicates a balanced spread of staff by 'other ethnicity' across the Council by grade.

Education Staff

The percentage of 'Other Ethnicity' in the general teaching grade is 1.0% (12 employees), this is a reduction of 0.5% from the previous year or a difference in 4 staff members. This is slightly lower than the population average (1.1%), to place this in context an additional member of staff would raise this percentage to the North Ayrshire average. The promoted teacher posts have reduced from 2 to 1 or 0.6% to 0.3%.

Table 1 – Race Employment Monitoring Statistics 2016

2016	White		Other Ethnicity		Not Disclosed		Total
	Number	%	Number	%	Number	%	
Chief Officer	11	68.8%	0	0.0%	5	31.3%	16
Grades 1 - 3	793	84.0%	5	0.5%	146	15.5%	944
Grades 4 - 7	2,603	85.0%	24	0.7%	459	14.3%	3,086
Grades 8 - 10	753	84.3%	7	0.8%	151	14.9%	911
Grades 11 - 17	249	82.7%	2	0.8%	42	16.6%	293
Other	14	77.8%	0	0.0%	4	22.2%	18
Promoted teacher	296	82.5%	1	0.3%	62	17.3%	359
Teacher	740	63.4%	12	1.0%	416	35.6%	1,168
Total Workforce	**5,459**	**80.3%**	**51**	**0.8%**	**1,285**	**18.9%**	**6,795**

Table 2 - Race Employment Monitoring Statistics 2015

2015	White		Other Ethnicity		Not Disclosed		Total
	Number	%	Number	%	Number	%	
Grades 1 - 3	793	84.0%	5	0.5%	146	15.5%	944
Grades 4 - 7	2,603	85.0%	24	0.7%	459	14.3%	3,086
Grades 8 - 10	753	84.3%	7	0.8%	151	14.9%	911
Grades 11 - 17	249	82.7%	2	0.8%	42	16.6%	293
Other	14	77.8%	0	0.0%	4	22.2%	18
Chief Officer	11	68.8%	0	0.0%	5	31.3%	16
Promoted teacher	296	82.5%	1	0.3%	62	17.3%	359
Teacher	740	63.4%	12	1.0%	416	35.6%	1,168
Total Workforce	**5,459**	**80.3%**	**51**	**0.8%**	**1,285**	**18.9%**	**6,795**

Training Figures by Ethnicity

Table 3 and 4 highlight training by ethnicity, indicating that relative to the other categories the percentage of 'Other Ethnicity' staff (89.3%) attending some form of training during 2016 is higher than 'white' staff (71.7%) and non-disclosed. This is much higher than the 2015 figure of 51.2%, although overall staff numbers are lower, a reduction from 43 - 28.

With temporary staff the number trained as a percentaqe is similar to the 'White' category, although actual numbers are similar as there were 4 less staff in 2016, overall 2 more staff from the 'Other ethnicity' category were trained in 2016.

Table 3 – Training figures by Ethnicity 2016

Permanent	Headcount	Received Training	%	Temporary	Headcount	Received Training	%
White	3,840	2,752	71.7%	**White**	583	332	56.9%
Other Ethnicity	28	25	89.3%	**Other Ethnicity**	10	6	60.0%
Not Disclosed	577	445	77.1%	**Not Disclosed**	230	123	53.5%

Table 4 – Training figures by Ethnicity 2015

Permanent	Headcount	Received Training	%	Temporary	Headcount	Received Training	%
White	5,011	2,795	55.8%	White	672	337	50.1%
Other Ethnicity	43	22	51.2%	Other Ethnicity	14	4	28.6%
Not Disclosed	887	417	47.0%	Not Disclosed	221	82	37.1%

Retention figures by Ethnicity

Table 5 and 6 highlight retention by ethnicity by year, with 2016 figures showing a higher percentage turnover for 'other ethnicity' for permanent (14.3% vs 8.3% for white) and temporary (30% vs 18.9% for white) staff. Due to lower numbers of 'Other Ethnic' staff slight changes to this number will affect the percentages in a larger direction. Although the percentage of leavers during 2016 is double that of 2015, the numbers are very similar, 4 and 3 respectively and is due to overall lower number of staff in these categories in 2016.

Table 5 – Retention figures by Ethnicity 2016

Permanent	Headcount	Leavers	% turnover	Temporary	Headcount	Leavers	% turnover
White	3,840	318	8.3%	White	583	110	18.9%
Other Ethnicity	28	4	14.3%	Other Ethnicity	10	3	30.0%
Not Disclosed	577	37	6.4%	Not Disclosed	230	37	16.1%

Table 6 – Retention figures by Ethnicity 2015

Permanent	Headcount	Leavers	% turnover	Temporary	Headcount	Leavers	% Turnover
White	5,011	286	5.7%	White	672	177	26.3%
Other Ethnicity	43	3	7.0%	Other Ethnicity	14	4	28.6%
Not Disclosed	887	48	5.4%	Not Disclosed	221	59	26.7%

Application figures by Ethnicity

Applicants/Employees as they move from application to leaving the Council.
The percentage of Applicants from the 'other ethnic' category during 2016 was 2.98%, an increase from 2015 of 0.1% (or 1.3% from 2014). This is an additional 32 applicants and the low percentage increase is reflected in the larger overall number of applicants from the 'White' category which jumped 804 from 2015 – 16. The number of new starts from the 'Other Ethnicity' fell from 8 – 3 between 2015 -16 and as a percentage of new starts decreased overall by 0.5%. Of note is the increase in the numbers interviewed from the previous year, both in number (an additional 5) and percentage (additional 0.4%).

Table 7 - Application figures by Ethnicity 2016

2016	White			Other Ethnicity		Not disclosed		Total
	Number	%		Number	%	Number	%	
Applicant	4608	94.76%		145	2.98%	110	2.26%	4,863
Interviewed	2038	94.53%		26	1.21%	92	4.27%	2,156
New start	290	48.41%		3	0.50%	306	51.09%	599
Leavers	92	69.17%		1	0.75%	40	30.08%	133

Table 8 - Application figures by Ethnicity 2015

2015	White		Other		Not disclosed		Total
	Number	%	Number	%	Number	%	
Applicant	3,804	95.2%	113	2.8%	77	1.9%	3,994
Interviewed	1,519	95.1%	29	1.8%	50	3.1%	1,598
New Start	470	64.5%	8	1.1%	251	34.4%	729
Leavers	463	80.2%	7	1.2%	107	18.5%	577

4.2 Disability

The disability employment monitoring statistics (all employees) are provided at Tables 9 (2016) and Table 10 (2015). The percentage of employees recorded as having a disability reduced slightly by 0.1% from 147 to 136, the not-disabled reduced by 2.4%. The Not Disclosed increased by 2.8%, although there is no information available as to this change.

The highest number of staff registered as having a disability are within grades 4 – 7, (58 people), the highest percentage categories fall within Other (5.6% or 5 staff) and grades 11 – 17 (2.4% or 7 staff), these figures are similar to 2015.

Table 9 -Disability Employment Monitoring (2016)

2016	Disabled		Not Disabled		Not Disclosed		Total
	Number	%	Number	%	Number	%	
Grades 1 - 3	22	2.3%	746	79.0%	176	18.6%	944
Grades 4 - 7	58	1.9%	2,456	79.6%	572	18.5%	3,086
Grades 8 - 10	19	2.1%	717	78.7%	175	19.2%	911
Grades 11 - 17	7	2.4%	238	81.2%	48	16.4%	293
Chief Officer	0	0.0%	11	68.8%	5	31.3%	16
Other	1	5.6%	13	72.2%	4	22.2%	18
Promoted teacher	5	1.4%	283	78.8%	71	19.8%	359
Teacher	24	2.1%	699	59.8%	445	38.1%	1,168
Total Workforce	**136**	**2.0%**	**5,163**	**76.0%**	**1,496**	**22.0%**	**6,795**

Table 10– Disability Employment Monitoring (2015)

2015	Disabled		Not Disabled		Not Disclosed		Total
	Number	%	Number	%	Number	%	
Grades 1 - 3	22	2.4%	776	84.2%	124	13.4%	922
Grades 4 - 7	60	1.9%	2,496	81.1%	523	17.0%	3,079
Grades 8 - 10	21	2.3%	743	81.2%	151	16.5%	915
Grades 11 - 17	9	3.2%	231	81.1%	45	15.8%	285
Other	5	5.0%	84	83.2%	12	11.9%	101
Chief Officer	0	0.0%	11	61.1%	7	38.9%	18
Promoted teacher	4	1.2%	268	79.3%	66	19.5%	338
Teacher	26	2.2%	762	64.0%	402	33.8%	1,190
Total	**147**	**2.1%**	**5,371**	**78.4%**	**1,330**	**19.4%**	**6,848**

Education Staff

The levels of staff with a disability has remained relatively static between 2015 – 2016 at 3.4% (30 people) and 3.5% (29 people) respectively.   The actual number of staff employed with a disability during 2015 was 26 teaching staff and 4 staff in a promoted post to 24 teaching staff and 5 promoted posts in 2016.

There are no recent comparable census figures are available for disability. The 2011 census did not ask a specific question on disability.

Training Monitoring Statistics for Disabled Employees

Tables 11 and 12 provide information highlighting the percentage of disabled staff receiving training and shows a slightly higher number of non-disabled staff (72.4% vs 70.5%) receiving training during 2016. This figure was much closer than in 2015 (55.8% vs 51.3%). Interestingly all categories show an increase in staff participating in training from 2014 to 2015.

Training for temporary staff indicates a higher percentage of disabled staff receiving training than non-disabled staff during 2016 and 2015.

Table 11 – Staff Development/Training for Permanent and Temporary Disabled Employees 2016

Permanent	Headcount	Received Training	%	Temporary	Headcount	Received Training	%
Disabled	78	55	70.5%	**Disabled**	29	18	62.1%
Not Disabled	3,631	2,629	72.4%	**Not Disabled**	550	316	57.5%
Not Disclosed	736	538	73.1%	**Not Disclosed**	244	127	52.0%

Table 12 – Staff Development/Training for Permanent and Temporary Disabled Employees 2015

Permanent	Headcount	Received Training	%	Temporary	Headcount	Received Training	%
Disabled	115	59	51.3%	**Disabled**	32	17	53.1%
Not Disabled	4,728	2,639	55.8%	**Not Disabled**	643	324	50.4%
Not Disclosed	1,098	536	48.8%	**Not Disclosed**	232	82	35.3%

Retention figures for Disabled Employees
Tables 13 and 14 provide retention figures for all disabled and non-disabled employees. The percentage turnover for disabled staff is slightly higher in 2015 and 2016 (7.8% vs 5.7%) and 9.0% vs 6.8% respectively, although the actual number of leavers is higher in 2015.. The figures do not indicate an issue in relation to retention of disabled employees however with any change these will be monitored over subsequent years to identify any emerging patterns.

Table 13 – Retention figures 2016

Permanent	Headcount	Leavers	% turnover	Temporary	Headcount	Leavers	% turnover
Disabled	78	7	9.0%	Disabled	29		0.0%
Not Disabled	3,631	247	6.8%	Not Disabled	550	3	0.5%
Not Disclosed	736	105	14.3%	Not Disclosed	244	147	60.2%

Table 14 – Retention figures 2015

Permanent	Headcount	Leavers	% Turnover	Temporary	Headcount	Leavers	% Turnover
Disabled	115	9	7.8%	Disabled	32	7	21.9%
Not Disabled	4,728	269	5.7%	Not Disabled	643	167	26.0%
Not Disclosed	1,098	59	5.4%	Not Disclosed	232	66	28.4%

Application Figures for Disabled Employees
The number of applicants has increased slightly from 3.7% (2015) of all applicants to 3.87% (2016) of all applicants, with only a slight reduction in the percentage of new starts during 2016 (down 0.56%). There were 7 less new starts during 2016, however the number of leavers was drastically down from 16 in 2015 to 2 in 2016. However the number interviewed as a percentage of applicants has remained fairly high at 4.4% and 4.31% each year respectively. Discrepancies between some of the figures relate to applicants during one year and interviews taking place in the next year.

Table 15 – Application Figures 2016

	Not Disabled		Disabled		Not disclosed		Total
	Number	%	Number	%	Number	%	
Applicant	4567	93.91%	188	3.87%	108	2.22%	4863
Interviewed	1978	91.74%	93	4.31%	85	3.94%	2156
New start	259	43.24%	14	2.34%	326	54.42%	599
Leavers	70	52.63%	2	1.50%	61	45.86%	133

Table 16 – Application Figures 2015

	Not-Disabled		Disabled		Not Disclosed		Total
	Number	%	Number	%	Number	%	
Applicant	3,756	94.0%	149	3.7%	89	2.2%	3,994
Interviewed	1,478	92.5%	70	4.4%	50	3.1%	1,598
New Start	471	64.6%	21	2.9%	237	32.5%	729
Leavers	463	80.2%	16	2.8%	125	21.7%	577

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4.3 Gender

The gender employment monitoring statistics are provided at Table 17 (2016) and Table 18 (2016). During 2016, 73.5% of staff were female and 26.5% were male, these figures are virtually the same as 2015. The proportion of males to females employed by North Ayrshire Council has remained fairly static over the last 2 years.

As we move through the grades to more senior roles, in general the number of female to male staff decreases. These figures are similar for 2015.

Table 17 – Gender Employment Monitoring 2016

2016	Females		Males		Total
	Number	%	Number	%	
Grades 1 - 3	700	74.2%	244	25.8%	944
Grades 4 - 7	2,282	73.9%	804	26.1%	3,086
Grades 8 - 10	603	66.2%	308	33.8%	911
Grades 11 - 17	175	59.7%	118	40.3%	293
Other	3	16.7%	15	83.3%	18
Chief Officer	9	56.3%	7	43.8%	16
Promoted teacher	274	76.3%	85	23.7%	359
Teacher	951	81.4%	217	18.6%	1,168
Total Workforce	**4,997**	**73.5%**	**1,798**	**26.5%**	**6,795**

Table 18 – Gender Employment Monitoring 2015

2015	Females		Males		Total
	Number	%	Number	%	
Grades 1 - 3	666	72.2%	256	27.8%	922
Grades 4 - 7	2,292	74.4%	787	25.6%	3,079
Grades 8 - 10	606	66.2%	309	33.8%	915
Grades 11 - 17	164	57.5%	121	42.5%	285
Other	57	56.4%	44	43.6%	101
Principal Officer	11	61.1%	7	38.9%	18
Promoted teacher	255	75.4%	83	24.6%	338
Teacher	974	81.8%	216	18.2%	1,190
Total	**5,025**	**73.4%**	**1,823**	**26.6%**	**6,848**

Applicants by Gender

Table 19 and 20 show applicants, interviews, new starts and leavers by gender for 2016 and 2015. This shows that there were a higher percentage of female applicants in 2016 than in 2015 (61.5% vs 60%), conversely there were slightly less male applicants as a percentage of total applicants in 2016 (37.06% vs 38.8%) These figures fluctuate slightly year on year but no overall trend has been identified. In proportion to the number of applicants and new starts, a higher percentage of female staff were interviewed and employed compared to male staff. The number of female staff leaving the Council during 2016 was much higher than in 2015.

Table 19 –Applicants by Gender 2016

	Female		Male		Not disclosed		Total
	Number	%	Number	%	Number	%	
Applicant	2994	61.57%	1802	37.06%	67	1.38%	4863
Interviewed	1437	66.65%	650	30.15%	69	3.20%	2156
New start	427	71.29%	172	28.71%	0	0.00%	599
Leavers	97	72.93%	36	27.07%	0	0.00%	133

Table 20 – Applicants by Gender 2015

	Female		Male		Not Disclosed		Total
	Number	%	Number	%	Number	%	
Applicant	2,395	60.0%	1,549	38.8%	50	1.3%	3,994
Interviewed	1,031	64.5%	532	33.3%	35	2.2%	1,598
New Start	528	72.4%	201	27.6%	0	0.0%	729
Leavers	341	59.1%	236	40.9%	0	0.0%	577

Charts 1 and 2 show the percentage of male/female staff by grade.
As you go up the Grades from 1 to 17 the prevalence of female staff declines as a percentage whereas it increases for male staff. Similarly this same pattern is visible in the move from Teacher to Promoted Teacher. Although North Ayrshire has a higher percentage of female staff in the top 5% paid employees, the trend seen in chart 1 (2016) was similar to that seen in 2015 (and 2014) and is generally a reflection of current practices in the workplace.
The other category comprises both Modern Apprentices and Craft apprentices.

Chart 1

Chart 2

% Gender Staff by Grade 2015
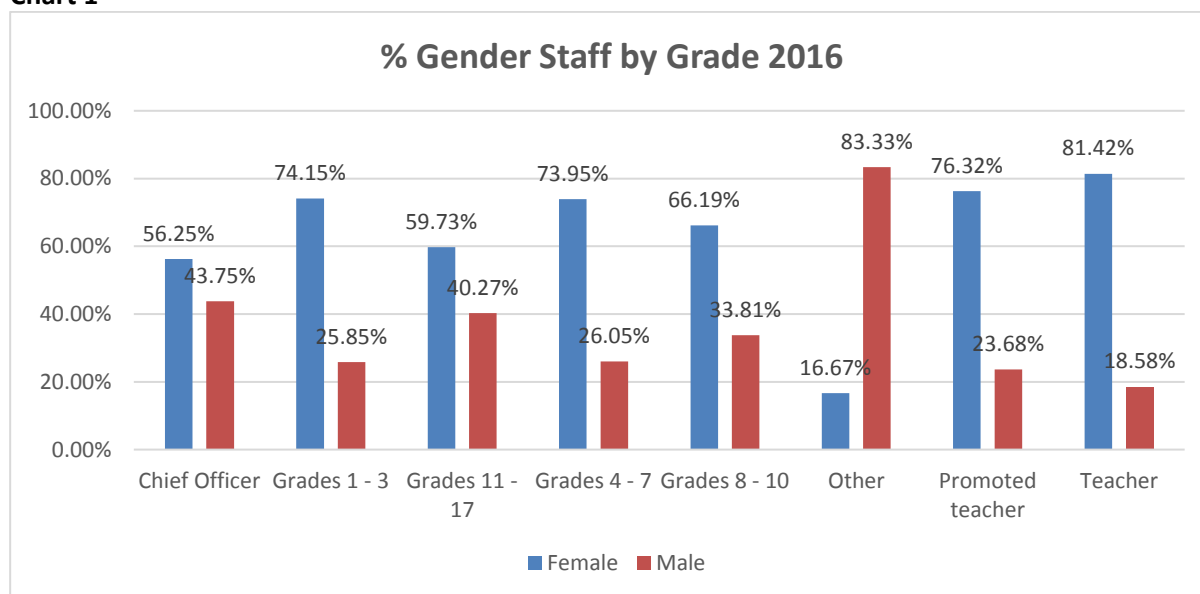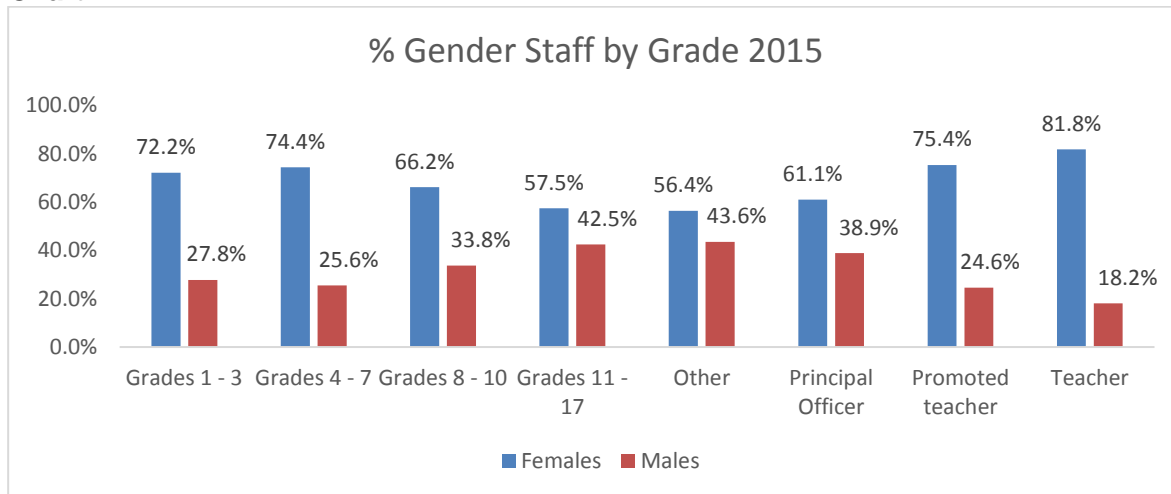
Training and development by Gender

Table 21 indicates that during 2016 and 2015 a slightly higher percentage of male permanent staff participated in training than female staff. Occupational segregation is often used to explain the differences in the types of training available that will be relevant to staff depending on their role, with a higher percentage of male staff tending to work in traditional manual based jobs. Although still requiring training to support them to perform their duties, many occupations will not have as wide a training requirement as others, which in turn may impact on training figures.

Table 21 - Staff Development/Training for Permanent and Temporary staff by Gender 2016

Permanent	Headcount	Received Training	%	Temporary	Headcount	Received Training	%
Female	3,137	2,265	72.2%	**Female**	635	352	55.4%
Male	1,308	957	73.2%	**Male**	188	109	58.0%

Table 22- Staff Development/Training for Permanent and Temporary staff by Gender 2015

Permanent	Headcount	Received Training	%	Temporary	Headcount	Received Training	%
Female	4,370	2,291	52.4%	**Female**	655	315	48.1%
Male	1,571	943	60.0%	**Male**	252	108	42.9%

Staff Retention Figures by Gender

During 2015, there was a slightly higher percentage of male leavers to female leavers in permanent staff across the Council. The percentage turnover figures were reversed in 2016 with more female staff leaving. This figure is not significant and again could be due to changes in certain occupations and will be monitored over time to identify potential trends.

Table 23–Staff Retention figures Permanent and Temporary staff by Gender 2016

Permanent	Headcount	Leavers	% turnover	Temporary	Headcount	Leavers	% turnover
Female	3,137	276	8.8%	**Female**	635	100	15.7%
Male	1,308	83	6.3%	**Male**	188	50	26.6%

Table 24 –Staff Retention figures Permanent and Temporary staff by Gender 2015

Gender	Headcount	Leavers	Turnover	Gender	Headcount	Leavers	% turnover
Females	4,370	229	5.2%	Females	655	112	17.1%
Males	1,571	108	6.9%	Males	252	128	50.8%

Pregnancy and Maternity

As one of the key protected characteristics, the Council has a range of family friendly policies to support staff, including Maternity, Adoption, Paternity and Shared Paternal Leave policies. Research by the Equality and Human Rights Commission found that 'three quarters of pregnant women and new mothers experience discrimination at work and one in nine may lose their job as a result'. Tables 25 – 26 provide information on maternity leave by grade and termination of employment, showing that 191 staff (Table 25) took maternity leave during 2016 and of that number 10 staff left employment (Table 26). This is equivalent to 5.2% of those taking maternity leave and compares favourably against the national average of 11%. There is no evidence linking maternity leave conditions and return to work as the reasons for termination of employment.

Table 25 – Number of Employees taking Maternity Leave by Grade (2016)

	Number of Employees taken Maternity Leave 2016					
Grade	Econ & Comm	Education & Youth Empl	Finance & Corp Support	Health & Social Care	Place	Total
Grades 1 - 3	1	1		5	4	11
Grades 4 - 7	2	20	9	25	8	64
Grades 8 - 10	1		4	16	3	24
Grades 11 - 17		1		2		3
Teacher		81				81
Promoted teacher		7				7
Chief Officer			1			1
Total	4	110	14	48	15	191

Table 25 also indicates that middle to senior management staff (grades 11 – 17) returned to and remained in employment following maternity leave. Although the numbers are low this does not point to middle to senior staff being affected by their position and ability to return to work. Further research would be required to determine if these staff returned to their normal substantive post, either full or part-time employment.

Table 26 – Number of Employees leaving Employment by grade, after Maternity Leave (2016)

	Number of Employees Who Terminated After Maternity Leave 2016			
Grade	Education & Youth Empl	Finance & Corp Support	Health & Social Care	Total
Grades 4 - 7	2	1	1	4
Grades 8 - 10		1	2	3
Teacher	3			3
Total	5	2	3	10

4.4 Employee Monitoring Statistics - Age

The council has a predominantly ageing workforce. Table 27 provides a breakdown of applicants, interviews and appointments per age grouping for 2016, indicating a larger proportion of applicants in the 20 – 29 and 55 - 59 age ranges, which is similar for 2016. In 2016, the highest percentage of interviewed staff took place in the not disclosed category (40.7%) and the 35 – 39 (36%) and 40 – 44 (36.8%) age groups. North Ayrshire has a relatively high percentage of unemployed young people and has been implementing a range of measures to try and support young people into work. These include the modern apprentice programme and the Graduate Trainee programme.

Table 27 - Employment Monitoring Statistics 2016

	Applicant		Interviewed		
Group	Number	%	Number	%	Total
Under 20	329	69.9%	142	30.1%	471
20-24	861	78.4%	237	21.6%	1098
25-29	791	71.3%	319	28.7%	1110
30-34	550	68.6%	252	31.4%	802
35-39	472	64.0%	265	36.0%	737
40-44	435	63.2%	253	36.8%	688
45-49	469	65.6%	246	34.4%	715
50-54	426	69.4%	188	30.6%	614
55-59	292	71.2%	118	28.8%	410
60-64	112	67.1%	55	32.9%	167
65-69	14	77.8%	4	22.2%	18
Not Disclosed	112	59.3%	77	40.7%	189

Table 28 - Employment Monitoring Statistics 2015

	Applicant		Interviewed		Total
Group	Number	%	Number	%	
Under 20	237	61.2%	150	38.8%	387
20-24	646	79.3%	169	20.7%	815
25-29	642	77.0%	192	23.0%	834
30-34	458	73.0%	169	27.0%	627
35-39	416	70.0%	178	30.0%	594
40-44	419	68.2%	195	31.8%	614
45-49	412	66.6%	207	33.4%	619
50-54	351	68.2%	164	31.8%	515
55-59	255	72.4%	97	27.6%	352
60-64	71	74.0%	25	26.0%	96
65-69	7	70.0%	3	30.0%	10
70 and Over	3	75.0%	1	25.0%	4
Not Disclosed	77	61.6%	48	38.4%	125

5. North Ayrshire Council Equal Pay Statement, Gender, Race and Disability

Statement of Commitment

North Ayrshire Council is committed to the principal of equality of opportunity in employment for all our employees and aims to determine pay and conditions of employment that do not discriminate unlawfully and are free from bias by ensuring that equal pay is in place for like work, work rated as equivalent and work of equal value. This includes equality on the basis of gender, race, age, pregnancy and maternity, gender reassignment, sexual orientation, religion or belief, marital/civil partnership status, and disability.

North Ayrshire Council understands that the right to equal pay between women and men is a legal right under both domestic and European Law.

In addition, the Equality Act 2010 (Specific Duties) (Scotland) Regulations require North Ayrshire Council to:

- Publish gender pay gap information.

- Publish a statement on equal pay and information on occupational segregation between women and men, people who are disabled and those who are not, and people who fall into a minority racial group and those who do not.

Objectives

In line with the General Duty of the Equality Act 2010, our equal pay objectives are to:

- Eliminate unfair, unjust or unlawful practices and other discrimination that impact on pay equality
- Promote equality of opportunity and the principles of equal pay throughout the workforce

Actions

North Ayrshire Council will:

- Examine existing and future pay practices for all employees to ensure that they comply with best equal pay practice and current legislation

- Take appropriate action to eliminate pay gaps/differences that cannot satisfactorily be explained on grounds other than a protected characteristic, with a particular focus on gender, race and disability

- Set aside appropriate resources to achieve equal pay.

- Use an analytical job evaluation system, jointly agreed with the relevant trades unions, to assess the relative value of local government employee jobs within the Council that determines the allocation of jobs within the relevant pay and grading structure

- Monitor and analyse areas of occupational segregation and identify appropriate equalities action and outcomes

- Provide training and guidance on equal pay for those involved in determining pay and grading matters in terms of job evaluation and appointments.,

- Enable employees to understand how their pay is determined through effective communication and administration of fair and transparent pay systems

- Respond to equal pay complaints timeously in accordance with our agreed procedure

- Discuss the equal pay policy with trades unions and professional associations as appropriate

Monitoring

Equal Pay Audits will be carried out every three years Actions arising from the Equal Pay Audit will be planned and implemented having consulted with the relevant trades unions.

Equality monitoring statistics will be included in the Council's annual equality report.

Policy Review

This policy will be reviewed every 3 years in consultation with all relevant stakeholders.

Responsible Person

Through delegated authority, and on behalf of the Executive Leadership Team, the Head of People and Transformation is responsible for the design and review of all policy related to pay and benefits.

6. Occupational Segregation

Occupational Segregation is one of the key factors influencing the gender pay gap. It concerns aspects of employment that see men and women being clustered into different occupations. There are a number of causes influencing Occupational Segregation and these include gender norms and stereotyping (for instance, into roles considered suitable for males or females), lack of flexible working (this can impact on women more as they are more likely than men to have caring responsibilities), undervaluing roles and occupations (especially roles traditionally taken on by women).

There are two main types of Occupational Segregation, which are considered as 'Horizontal' and 'Vertical –

Horizontal Segregation refers to people with certain protected characteristics being clustered into certain job types, so for women this could be occupations that are associated with low pay and fewer opportunities for progression, such as care work, cleaning, catering and administration work. In comparison men may be more often found in occupations that pay higher wages, including the trades, engineering or technical work.

Vertical Segregation, where women may be more likely to be clustered into certain positions and be more absent from senior management and executive positions.

The tables below contain information on Occupational Segregation in North Ayrshire Council, both horizontal (by Service) and vertical (by Grade), in relation to gender, race and disability. Further relevant drill-down analysis is provided under each table.

Table 31 - % Employees by Gender

Service/ Grade	Democratic Services		Economy & Community		Education & Youth Employm't		Finance & Corporate Services		Health & Social Care		PLACE		Total	
Gender	F	M	F	M	F	M	F	M	F	M	F	M	F	M
1-3	4.1	1.4	12.1	7	0.9	0	3.6	1.1	5.9	1.2	29	10.8	10.3	3.6
4-7	27	6.7	27.1	9.1	33.7	1.6	47.4	9.9	54.8	7.2	12.6	31.5	33.6	11.8
8-10	13.5	9.4	18.2	14	2.1	0.4	16.9	10.2	19.3	5.2	5.3	6.5	8.9	4.6
11-17	29.7	5.4	4.3	7.3	1	0.1	5.9	4.3	4	2.2	1.3	1.8	2.6	1.7
Teacher	0	0	0	0	37.5	8.5	0	0	0	0	0	0	14	3.2
Promoted Teacher	0	0	0	0	10.8	3.3	0	0	0	0	0	0	4.1	1.3
Chief Official	1.4	1.4	0.9	0	0	0.1	0.5	0.2	0.1	0.1	0.1	0.2	0.2	0.1
Totals	75.7	24.3	62.6	37.4	86	14	74.3	25.7	84.1	15.9	48.3	50.7	73.7	26.3

As can be seen from the table above, horizontal segregation is most prominent in Education and Youth Employment and Health & Social Care (both having predominantly female staff in traditional teaching and social care roles), whilst the highest male numbers can be found in PLACE. Separate drill down analysis within PLACE shows that the highest male numbers are in Waste Operations (98%), Streetscene (96%), Roads (93%) and Building Services (92%), whilst Facilities Management is predominantly female (84%) and found in occupations such as catering and cleaning.

Table 29 below highlights these services with percentage breakdown against grading and is an example of Horizontal Segregation. Within Facilities Management (mainly catering and cleaning) we can see that 71.7% of female staff are clustered within Grades 1 – 3, these posts will predominantly be part-time. In comparison Building Services (75.9%), Roads (51.3%) and Streetscene (73.9%), more traditional male occupations, have the greatest % of their male staff in Grades 4 – 7. The main exception amongst these five services, is Waste Operations with 60.2% male staff in grades 1 – 3.

Table 29 – Selected Services within Place (Gender % against Grade)

Service/ Grade	Facilities Management		Building Services		Waste Operations		Roads		Streetscene	
Gender	F	M	F	M	F	M	F	M	F	M
1-3	71.7	6.6	0.8	0.0	0.6	60.2	0.0	2.5	1.0	17.7
4-7	10.9	9.4	6.2	75.9	1.2	35.4	2.5	51.3	2.0	73.9
8-10	1.1	0.0	0.4	11.2	0.0	1.9	5.0	33.8	1.0	3.4
11-17	0.0	0.3	0.4	0.8	0.0	0.6	0.0	5.0	0.0	1.0

Recognising the difference gender balances across services and occupations is the first step in identifying these trends. The challenge lies in addressing these issues and can be linked to the Council's recruitment practices to a degree but is also bound up in the wider cultural and society norms around 'appropriate' occupations for each gender and the remuneration for the these occupations.   The Council has carried out work in promoting the Science, Technology, Engineering and Maths (STEM) programmes within schools and promoted the uptake of female staff into craft modern apprenticeships. Further work is required to explore these areas in more detail.

In terms of Vertical Segregation, females predominate in all grade groupings, but are particularly prevalent in Teacher and low to middle Local Government grades. Traditionally, a higher % of male staff would be found in senior positions, there is a good balance of female/male staff at chief official/officer level. However at the middle/senior management level (Grades 11 – 17) we see examples of a higher relative percentage of male staff to female staff; so within Economy and Community, with 62.6% female staff, only 4.3% fall into the 11 – 17 category compared to 7.3% being male staff. Education and Health and Social Care Partnerships have a higher ratio of female staff in these grades.

Table 30 - % Employees by Race (W = White, O = Other)

Service/ Grade	Democratic Services		Economy & Community		Education & Youth Employm't		Finance & Corporate Services		Health & Social Care		PLACE		Total	
Race	W	O	W	O	W	O	W	O	W	O	W	O	W	O
1-3	100	0	96.8	3.2	100	0	100	0	100	0	99.6	0.4	99.5	0.5
4-7	100	0	98.3	1.7	99.1	0.9	98.8	1.2	99.1	0.9	99.7	0.3	99.2	0.8
8-10	100	0	100	0	100	0.4	100	0	98.5	1.5	99.5	0.5	99.2	0.8
11-17	96.2	3.8	100	0	96.3	3.7	100	0	100	0	100	0	99.3	0.7
Teacher	0	0	0	0	99	1	0	0	0	0	0	0	99	1
Promoted Teacher	0	0	0	0	99.7	0.3	0	0	0	0	0	0	99.7	0.3
Chief Official	100	0	100	0	100	0	100	0	100	0	100	0	100	0
Totals	98.6	1.4	98.8	1.2	99.1	0.9	99.3	0.7	99.1	0.9	99.7	0.3	99.2	0.8

Table 30 provides a breakdown of grade by Ethnicity and Service. As stated previously in the report, at 0.8% of the total workforce the 'other ethnicity' figure is slightly lower than the average figure of 1.1% for the local population. There are no Chief Officials in this category and staff appear to be spread across various Services, with 3.8% falling within the 11-17 grade within Democratic Services and 3.7% within Education and Youth Employment.

Table 31 - % Employees by Disability (D = Disabled, N = Not Disabled)

Service/ Grade	Democratic Services		Economy & Community		Education & Youth Employm't		Finance & Corporate Services		Health & Social Care		PLACE		Total	
Disability	**D**	**N**	**D**	**N**	**D**	**N**	**D**	**N**	**D**	**N**	**D**	**N**	**D**	**N**
1-3	0	100	3.2	96.8	0	100	0	100	5.3	94.7	1.9	98.1	2.3	97.7
4-7	0	100	2.5	97.5	1.7	98.3	2.8	97.2	2	98	1.8	98.2	1.9	98.1
8-10	0	100	2.8	97.2	1.6	98.4	1.7	98.3	2.5	97.5	1.4	98.6	2.1	97.9
11-17	0	100	7.9	92.1	0	100	0	100	3	97	1.8	98.2	2.4	97.6
Teacher	0	0	0	0	2.1	97.9	0	0	0	0	0	0	2.1	97.9
Promoted Teacher	0	0	0	0	1.4	98.6	0	0	0	0	0	0	1.4	98.6
Chief Official	0	100	0	100	0	100	0	100	0	100	0	100	0	100
Totals	0	100	3.3	96.7	1.8	98.2	2	98	2.4	97.6	1.8	98.2	2	98

Table 31 shows the breakdown by Grade and Service for employees with a disability. The 'non-disclosed' figure has been included in the 'not disabled' category. The figures for staff with a disability appear to be low (2.0%) and likely do not reflect the number of Council staff that have a disability. For those services employing staff with a disability, there appears to be an even spread across the grades; notably Economy and Communities have the highest percentage (7.9% in grades 11 – 17). Further work is required to encourage staff to disclose if they have a disability and as this is the first time these figures have been considered in this format and will be monitored over time to identify any trends.

6. Pay Gap Figures for Gender, Race and Disability

Table 32 - Gender Pay Gap (2016)

	Mean Pay Difference (basic hourly rate)	
	2016	**2012**
Female	£14.41	£13.57
Male	£14.59	£13.98
Difference (%)	1.22%	2.97%

The basic gender pay gap in table 32 has been showing downward trends over the last few years, from 2.97% in 2012 to 1.22% in 2016. Further work is required to consider any differences by occupation and grade across Council Services.

Table 33 - Disability Pay Gap (2016)

Status	Mean Pay Difference (basic hourly rate)
Disabled	£14.25
Not Disabled	£14.26
Difference (%)	0.08%

The Disability Gap figures for 2016 (table 33), indicate a minimal difference between disabled and not disabled staff of 0.08%. As this is the first time reporting these statistics, the figures in table 27 will be used as a baseline moving forward.

Table 34 - Race Pay Gap (2016)

Status	Mean Pay Difference (basic hourly rate)
Other Ethnicity	£14.81
White	£14.25
Difference (%)	- 3.95 %

The Race Gap figures for 2016 (table 34), indicate 3.95% variance in favour of staff from the 'Other Ethnicity' Category. As this is the first time reporting these statistics, the figures in table 28 will be used as a baseline moving forward.

The paygap information contained in the tables above, indicates an overall positive trend, for gender, race and disability. Some work is still required to narrow the gender paygap. The paygap information for Race and Disability show positive figures and will be monitored annually to identify any trends.

Tables 35 and 36 on page 31 show the difference in average hourly pay by gender for 2016 and 2015 across staff grades, including teaching and promoted teaching posts, which is sitting at 2.0% in favour of male staff. The total figures show a slight increase in the gap between female and male average pay of 0.2% or £0.03 per hour in favour of male staff. There are variances between grades, with grades 1-3 showing a 1.7% swing in male to female pay, meaning female staff in these grades are earning on average 0.5% more pay than male staff in 2016 compared to 2015.

Female staff are earning more than male staff in Grades 1 – 3 (0.5%), 8 – 10 (2.0%), Chief Officer (7.9%) and Teacher (1.5%). Grades indicating a higher percentage pay for male staff are in 4 – 7 (5.6%, which is a 0.2% decrease since 2015) and promoted teaching staff where this has increased by 0.3% in 2016 to 4.9%. Issues such as occupational segregation require further exploration.

Table 35 – Average Hourly Pay by Gender 2016

Average Hourly Rate			
2016	**Female**	**Male**	**% Variance**
Grades 1 - 3	£7.71	£7.67	-0.5%
Grades 4 - 7	£10.53	£11.15	5.6%
Grades 8 - 10	£17.58	£17.24	-2.0%
Grades 11 - 17	£23.52	£23.98	1.9%
Chief Officer	£51.90	£48.10	-7.9%
Teacher	£20.75	£20.45	-1.5%
Promoted teacher	£27.70	£29.12	4.9%
Total Workforce	**£14.41**	**£14.71**	**2.0%**

Table 36 - Average Hourly Pay by Gender 2015

Average Hourly Rate			
2015	**Female**	**Male**	**% Variance**
Grades 1 - 3	£7.73	£7.82	1.2%
Grades 4 - 7	£10.58	£11.23	5.8%
Grades 8 - 10	£17.64	£17.32	-1.8%
Grades 11 - 17	£23.52	£24.03	2.1%
Chief Officer	£50.46	£48.10	-4.9%
Teacher	£20.81	£20.70	-0.5%
Promoted teacher	£27.76	£29.09	4.6%
Total Workforce	**£14.43**	**£14.70**	**1.8%**

7. Specific Report on Education and Youth Employment

Education and Youth employment in North Ayrshire recognises and celebrates its role in the delivery of positive outcomes for all children and young people. We undertake a number of positive interventions to support equalities education for the benefit of both children and young people and for NAC staff across our educational establishments. Education and Youth employment recognises the main duties for local authorities in relation to equality and diversity.

- Eliminate unlawful discrimination, harassment and victimisation and other conduct that is prohibited by the Equality Act 2010,
- Advance equality of opportunity between people who share a relevant protected characteristic and those who do not; and
- Foster good relations between people who share a protected characteristic and those who do not.

The public sector equality duty covers the following protected characteristics: age, disability, gender, gender reassignment, pregnancy and maternity, race, religion or belief and sexual orientation. The public sector equality duty also covers marriage and civil partnerships, with regard to eliminating unlawful discrimination in employment. Education and Youth employment are able to evidence a range of interventions to support all people, including those in minority groups, who face inequality.

The directorate priorities clearly show the direction of travel for Education and Youth Employment across our educational establishments and how equality and diversity sit at the very heart of our work, embedded in educational provision, training and relationship development. These priorities are

1. Reducing inequalities and delivering improved outcomes for children and young people
2. High quality learning and teaching taking place in all our establishments
3. Self-evaluation and performance improvement are embedded in our schools and central support teams
4. Levels of attainment and achievement are improving for all learners
5. High numbers of our young people are entering positive and sustained post school destinations.

North Ayrshire Education and Youth Employment

North Ayrshire Council schools are implementing Curriculum for Excellence. This aims to achieve a transformation in education by providing a coherent, flexible and enriched curriculum for all children and young people from 3-18.

In conjunction with this, the Council is continuing to develop staff understanding of **Getting It Right for Every Child (GIRFEC)**, the principles of which are now embedded in many of the processes within the council.

Furthermore, the implementation of the Children and Young People (Scotland) Act 2014, which brings the GIRFEC approach into legislation, is a further focus for our work across the council and especially within Education and Youth Employment. Through GIRFEC, staff will be able to determine proportionate, timely and appropriate help for young people improving each child's situation and reducing risk. The approach supports the achievement of good outcomes for all children, demonstrated through Children's Plan targets. All children have the entitlement to support which is appropriately developed and monitored using the GIRFEC practice model.

Nurture/Health and wellbeing

Nurture/Health and wellbeing contributes to North Ayrshire's vision of being a nurturing authority. We aim to build emotional resilience in children and train teachers to foster stronger relationships with Children and young people through a nurturing approach. Evidence shows that this can reduce instances of non-engagement with children and young people and raise attainment

The **Rights Respecting Schools programme** is being promoted and introduced into many schools in North Ayrshire. The Rights Respecting Schools Award (RRSA) recognises achievement in putting the United Nations Convention on the Rights of the Child (UNCRC) at the heart of a school's planning, policies, practice and ethos.

A Rights-Respecting School Programme teaches about children's rights, but also models rights and respect in all relationships, whether they be between teachers or other adults and pupils, between adults and between pupils. The UNCRC provides a clear link for pupils between building up their rights-respecting school, understanding their rights and for children's rights to be realised everywhere. Children and young people in rights-respecting schools develop a stronger sense of the need to act for global justice. (UNICEF/RRSA).

A revised anti-bullying policy is being developed along with enhanced and more accurate reporting and recording of prejudiced based bullying. Training is being developed for delivery in session 2016/17 in partnership with "Respect Me".
This will lead to better responses by professionals and better outcomes for young people. A more accurate data collection system, using SEEMIS is currently being developed by Educational Services to improve understanding and target priority needs in all areas.

LGBT education forms part of the learning (primarily in the secondary schools) focussing not only on the sexual health aspects for children and young people, but also on the social and emotional side, including supporting mental health in relation to relationships, sexuality and sexual behaviour.

A number of programmes are used in schools including

- SHARE (Sexual health and relationships education) - NHS resource
- Fit (Stonewall resource)
- See Me! resources
- Stonewall information/ resource
- LGBT Scotland
- Bespoke programmes of study which include discussions on sexuality and sexual behaviour
- Risky behaviours

In some of our secondaries, there are groups for Lesbian Gay Bisexual Transgender (LGBT) children where they can meet up for mutual support.

In primary schools, while the focus is not so much on specific LGBT education, schools would, as a matter of course, cover relationships, the importance of recognizing difference and take a nurturing approach to support positive mental health and emotional wellbeing.

In North Ayrshire, education and youth employment, we strive to support and encourage independence in our children and young people. With this in mind, we have recently set up a 'Glow' tile on our local intranet, where children and young people can access information and support on a range of issues which may be relevant to them. These include organizations which help to support children's mental health and LGBTI (and intersex) pupils, for example stonewall and LGBT Scotland. Our health and social care partnership also offer support to LGBT young people, including support groups which meet locally in a range of locations.

Training and development for pastoral care staff in secondaries takes place via network meetings and a range of other courses and programmers designed to extend their skill base. Most recently this includes work on restorative practice and nurture. Our Health and Wellbeing network leads across early years, primary and secondary also benefit from training opportunities on a range of issues including LGBTi education.

Reducing inequality and delivering improved outcomes for all children and young people

A key feature of our work is the delivery of a fully inclusive approach which is suited to the needs of all children and young people and their families. This work intends to extend nurturing approaches, develop restorative practice across our schools and early year's establishments, and develop our Rights Respecting School work and to develop a culture of inclusiveness within schools.

We consistently review our Anti bullying, child protection, ASN support and Outreach programmers to support children and young people with particular vulnerabilities.

High quality learning and teaching provision for all

To achieve the vision of providing a high quality service for all children and young people across the authority, a number of supports are in place to ensure delivery. Through our quality improvement framework, the curriculum is regularly reviewed, both in the Broad General Education (BGE) and the senior phase. We support and strengthen the capacity of staff through training (CLPL), and to support and challenge all staff to increase their capacity to deliver effectively .We continue to modernize and develop the school estate to improve the educational environment for all. This work underpins our commitment to equality for all, parity of provision and our commitment to offering the highest possible quality education across the authority.

Self-evaluation and performance improvement

Extending self-evaluation processes are key to improving the service. In order to promote equality; education and youth employment have extended the processes to broaden and extend self-evaluation to further include pupil and parent voice. How Good Is Our School (HGISO) 4 asks schools to consider the quality indicator "inclusion, equality and wellbeing" as part of self-evaluation. Schools use this document to review processes, policies and practice as part of their evaluative work. Parent and pupil questionnaires are used to seek their views and these are reflected in school improvement planning. Vision, values and aims as well as curriculum rationales are also shared with, and consulted upon by schools, including consultation with key stakeholders, partners and the wider community.
Our Quality Improvement Visit 3 has a particular focus on Health and Wellbeing- capturing good practice evidence on the schools ability to support the emotional wellbeing and development of our young people

Levels of attainment and achievement are improving for all learners

We are working closely with all educational establishments to develop and accredit innovative approaches to teaching and learning through the BGE and into senior phase. We work with schools at all levels to develop alternative curricular pathways for our most vulnerable pupils in order to appropriately meet needs. Integrating a range of wider achievement options into programmes enhance learner skills and qualifications is a focus for schools**.**

The Senior Phase is intended to build on the experiences, skills, knowledge and understanding developed by each learner in the Broad General Education (BGE) and offer them the opportunity to extend and deepen their learning as they build a portfolio of qualifications which recognises their learning and offers pathways to positive destinations when they leave school.

The recent Organisation for Economic Cooperation and Development (OECD) report "Improving Schools in Scotland" was broadly positive about the impact of Curriculum for Excellence (CfE) on our learners so far. It found that our schools are inclusive environments, where significant efforts are being made to meet the needs of all learners. The OECD report describes CfE as being at a "watershed" moment, where we have an excellent opportunity to evaluate our implementation to date and make further enhancements. It calls for a strengthening of the professional leadership of CfE through further mutual support and learning across partnerships, networks, schools and local authorities. Our plans for the future development of both the Senior Phase and BGE are consistent with this recommendation.

There are clear upward trends in levels of attainment and in positive destinations in North Ayrshire (as indicated in other reports to Cabinet: SQA Examination Results 2015 (October 2015) and School Leaver Destinations 2014-15 (February 2016).

One of the key drivers for change in the Senior Phase is the publication of Scotland's Youth Employment Strategy 2014, which focuses on implementing the recommendations of the Commission for Developing Scotland's Young Workforce. This strategy sets out the key expectations in terms of deliverables with milestones of a range of partners including schools, colleges and employers. It gives us a clear focus on ensuring we work with others so that our young people experience a high quality work-relevant education which equips the future workface with the relevant skills, attitude and motivation to lead them to success.

More of our young people are choosing to remain at school for longer. The three-year average rate for pupils staying on into S5 in North Ayrshire is now 84% compared to 72% five years ago. Furthermore, 64% of our S4 pupils are now staying on until the end of S6, compared to 52% five years ago. With this increased stay-on rate comes a need to examine our curriculum to ensure that the full range of educational pathways is being catered for.

There is an increased use of data to analyse what is going well in our schools and to identify areas for further development. The introduction of the national benchmarking tool *Insight* has provided schools with a broader range of national measures against which to benchmark their own performance.

There is an increasing focus not only on breadth of learning but also on depth of learning and *Insight* is increasingly recognising achievements of our young people what has been regarded as traditional school subjects. We are using this data from the Senior Phase, alongside data from the Broad General Education to contribute towards setting our priorities for improvement. Indeed, the increased use of progress data in our schools contributes directly to the principles and priorities of the new National Improvement Framework, published in January 2016.

High numbers of our young people are entering positive and sustained post school destinations.

North Ayrshire schools have performed particularly well at supporting all of their school leavers into a positive destination – at the last count, the 3rd highest % in Scotland. Prior to 2008, North Ayrshire's % was always below the national average. Since 2008 there has been year-on-year improvement. One key strategy adopted in this improvement has been the focus on vulnerable young people – those who have historically been least likely to make a positive post-school transition. Key named teachers in schools have responsibility for ensuring that any young person leaving school has a secured positive destination. Any youngster who does not have a confirmed offer of a place in education, employment or training is signposted to the post-school agency best suited to support them.

Almost all leavers from our ASN establishments, secure an initial positive destination and for these youngsters, we work with specialist agencies such as Enable Scotland who provide post-school support. Our local college has a good range of provision for post-school learners with ASN. We recognize that longer-term outcomes for this group are not as good as the mainstream cohort and we work in partnership with a range of post-school partners to improve this.

The national "Developing Young Workforce" (DYW) strategy has equalities as a key theme and in turn this has been incorporated into our local authority operational plan. Similarly the regional employer led DYW group has equalities as a key theme and they are working to challenge stereotypes in employer recruitment policies etc. Further, Ayrshire College is working collaboratively with our schools and local employers to promote positive opportunities for all their learners.

DYW has a focus on the promotion of STEM (Science, Technology, Engineering and Maths). We know that in North Ayrshire, proportionally very few of our girls select to move in some sectors such as engineering. The reasons for this are complex but we have worked with employers to run a very successful annual "Girls into STEM careers" event and this model is now also being replicated in individual schools.

8. Licensing

There are two licensing bodies in North Ayrshire:

(a) Licensing Board (alcohol and gambling): this is legally separate from NAC, although its Members are all NAC Councillors.

(b) Licensing Committee (taxis, landlords etc.): this is a Committee of NAC, like Committees dealing with Planning and Education.

Support for the Licensing Board and Committee is provided by North Ayrshire Council staff and the Board employs no staff. Accordingly, equalities reporting in relation to staffing matters forms part of the North Ayrshire Council reporting

All forms (other than those whose content is set by legislation) contain explanatory guidance notes, and the Council's website contains extensive information on the Licensing process. Staff can always be contacted by Licensees and the public for advice on the Licensing system.

(a) Licensing Board

Board policy is primarily contained in its Licensing Policy Statement which includes an overprovision assessment. This policy and all Board policies are subject to equalities impact assessment. However the prohibition in section 27(6) (c) of the Licensing (Scotland) Act 2005, which prohibits the Board from imposing licence conditions which deal with matters dealt with under other legislation, means that conditions can only be used to promote equalities in individual premises if these are relevant to the sale of alcohol in those premises, or directly relevant to the licensing objective of 'improving and protecting public health". Under section 27(6)(c) the Board are expressly prohibited by legislation from having Licence conditions which deal with matters already dealt with by other legislation.

Section 179 of the Criminal Justice and Licensing (Scotland) Act 2010 has not yet been commenced but when it is we will draw the attention of Applicants for the Grant of a Premises Licence to provide the Board with a 'Disabled Access and Facilities Statement'.

North Ayrshire Licensing Board has adopted and published a Licensing Policy Statement, setting out their policy for the exercise of their functions under the Licensing (Scotland) Act 2005. This strategy contains provisions relevant to some 'protected characteristics' and their implementation will support the mainstreaming of equalities.

The Board regards under-age drinking as a problem which the whole licensed trade should address. A person who appears to be under the age of 25 who tries to buy alcohol should be asked to provide Proof of Age (due to a statutory licence condition). The Board expects Premises to be vigilant to the widespread problem of 'agency' sales, where an adult buys alcohol on behalf of under-18s.

The Licensing Board is aware of wide public concern within its area and elsewhere in Scotland surrounding sectarian conduct which focuses on the religious divide between Christian denominations. Accordingly any Premises Licence will have this condition:

'(1) The Licensee shall not engage in, or permit, conduct or activities on the Premises:

(a) which cause offence, or

(b) which are likely to cause offence to a reasonable person, or

(c) which constitute a threat to public order or safety, or

(d) which are likely to discourage a particular part of the community from using the Premises, on racial, religious, sectarian or other discriminatory grounds.

(2) The Licensee shall take reasonable steps to prevent any other person from engaging in such conduct or activities.

(3) The association of any Licensed Premises with a particular football club or the display of football programmes or football memorabilia within the Licensed Premises shall not of itself breach this condition: provided that any such material displayed does not contain any design, insignia, word or groups of words which discriminate on the basis of race, religion or are sectarian or which could reasonably be construed as being discriminatory or inciting racial, religious or sectarian hatred or violence.' (Standard Condition A.15)

If a Licensee behaves in such a fashion, or condones such behaviour by others, he may cause offence. Members of the public may consider themselves excluded from the Premises by reason of their religious beliefs or affiliations. Such conduct can also be intimidating, incite religious or sectarian hatred, and constitute a threat to public order or safety. Several Licensing Objectives are engaged:

'Preventing Crime and Disorder'

'Securing Public Safety'

'Preventing Public Nuisance'

In addition to Condition A.15 ("Prevention of racial or sectarian conduct"), the local conditions applying to on-sales Premises include:

C.11 Disabled Facilities

C.11.1 Staff shall when requested use all reasonable endeavours to assist Disabled People to enter, leave, and use all the facilities (other than toilets) of the Premises;

C.11.2 At all times when the Premises are open to the public there should be a member of staff on duty who can assist Disabled People in the event of an emergency evacuation of the Premises."

The Board's Licensing Policy Statement states that it will deal with all of its business in an open and transparent way. Information and assistance will be made available to those who wish to apply for a Licence, to make representations or to object to an Application. The Board is also aware of the need to ensure that the Licensing process is accessible to all.

The Gambling Act 2005 is like the alcohol-licensing legislation in that it also has Licensing Objectives (such as "protecting children and other vulnerable persons from being harmed or exploited by gambling") and it also creates offences to protect children. The legislation also requires each Board to publish a "Statement of Principles", and since North Ayrshire Licensing Board considers that all under-18s need to be protected from Gambling, the Statement for North Ayrshire states that "Young Persons" (aged 16-17) are treated as "vulnerable".

9. North Ayrshire Council Equality Outcomes

Progress Report 2015 – to end 2016

During 2012, the Council developed nine Equality Outcomes, these were developed by utilising the Equality and Human Rights Commission Outcome Framework and carrying out focus sessions with groups representing the protected characteristics. These Outcomes will be reviewed during 2016 and new or adjusted outcomes published in April 2017.

The Outcomes, highlighted below were supported by a range of actions, representing Services across the Council. These actions are reported on through the Council's Covalent Performance Management System.

North Ayrshire Outcomes
1. More disabled people are in work or training.
2. The incidence of violence against women is reduced
3. The incidence of hate crime is reduced
4. Older people are more active and independent in their communities
5. Vulnerable people have improved access to financial advice, services and products
6. More young people are leaving schools for positive, sustained destinations
7. Pupils feel safer in schools
8. More Council employees are working flexibly
9. Employees feel they have increased capacity to respond more confidently and appropriately to the needs of colleagues and customers

North Ayrshire Council Equality Actions

1. Outcome- More Disabled People in Work and Training

Actions
- Learning Disability Services continue to deliver Employment Support activities to service users. As at December 2016, 25.39% of Learning Disability (LD) service users were accessing Employment Support, short of the target of 30%. The LD Service is reviewing the referral and assessment processes for the Job Support service and will hopefully improve access. An Employability group has been established and will look at developing further opportunities for people with learning disabilities. We have also contributed to the new Social Enterprise Strategy.
- Through its Mental Health services, the Health and Social Care Partnership (HSCP) is working with the Scottish Association for Mental Health (SAMH) to deliver the Positive Steps programme, which will support service users to access a range of employability options.

2. Outcome – Violence Against Women is Reduced

Actions
- The Violence Against Women Strategy has been reviewed and updated and was launched during 2015.
- North Ayrshire Violence Against Women Partnership branding developed and launched during a very successful 16 Days of Action campaign in November 16, when the number of White Ribbon pledges signed increased by 35% on 2015 and attendees at our Reclaim the Night event doubled. This event attracts hundreds of people who march from Irvine town centre to Irvine harbour.
- Two "VAW: A Workplace Issue" workshops delivered during the 16 days campaign at North Ayrshire Council and Ayrshire College, are anticipated to lead to follow up actions during 2017-18.
- The Multi Agency Domestic Abuse Response Team (MADAR) continues to increase its effectiveness on reducing reported domestic abuse across North Ayrshire. Rates of

domestic abuse in North Ayrshire are decreasing, where they are generally increasing across Scotland. In the year January to December 2015, MADART had a total of 599 incidents referred throughout the year. This represents a reduction on the 691, reported the previous year. This trend continues quarter on quarter.

- The Council's website highlighted a 'Claim back the Night' walk, supported by hundreds of participants, which made its way from Irvine town centre to Irvine harbour, which happens on an annual basis.

3. Outcome – The Incidence of Hate Crime is reduced

Actions
- The Council's Youth Services team have the LGBT Chartermark and are working towards the Gold Chartermark. To support this 80% of staff in the team have been trained in LGBT issues, Transgender awareness and Third Party Hate Crime reporting.
- Youth Services continue to support the North Ayrshire LGBT Youth Group, providing guidance and support to help them to arrange a variety of activities to raise awareness of LGBT issues. The group provides a safe space for young people to meet and interact with like-minded people, which can be seen from the following quotes:

"To me the group is a place to meet new people and make new friends, a place where we needn't feel scared to be who we are or have to hide who we are, a place where we needn't have to worry about anything, a place where can have a good laugh with each other and support each other"

"The group is a safe place. You can be yourself without being scared of what people think. It's like having a family that you can tell anything to and can give you support and help"

"The group for me was somewhere I felt comfortable. I was attending before I came out and it made the whole process easier. I've met some of my best friends attending the group. It's like a family to me".

4. Outcome - Older People are more active and independent in their communities

Actions
- Since integration, much development work has been carried out to improve services to Older People. This has included increasing capacity of Care at Home service to better support service users to remain at home for longer. In December 2016, 37.05% of over 65s assessed as having intensive care needs are being supported by Care at Home.
- We continue to expand the use of Telecare to help people stay safe and independent at home. In December 2016, 763 people had some form of Telecare installed in their home.
- Our Intermediate Care and Enablement Service (ICES) has helped 932 people in their own homes in 2016 by supporting them at times of need. In addition, as a result of new multi-disciplinary teams we also facilitated 321 discharges from acute wards into the Ward 1 Woodland View. This meant that people were being better supported to be home ready as soon as they were medically fit.
- 14 GP practices in North Ayrshire have been allocated a 'Community Connector', whose role it is to provide advice and signposting to redirect people away from GP Practices on to more suitable community based services.

5. **Outcome – Vulnerable People have improved access to financial advice**

   <u>**Actions**</u>
   - A key priority of the HSCP is to tackle inequalities North Ayrshire, as such we work with people to deal with their financial difficulties. The Money Matters Team have advised and supported the most vulnerable people in our communities to access more of the benefits available to them. Roughly 1200 people have been referred to the Money Matters Service in calendar year 2016 and for these, the Money Matters team generated an additional £7,783,876 for service users.

6. **Outcome – More Young People are leaving schools for positive, sustained destinations**

   <u>**Actions**</u>
   Through our Accessibility Strategy, ensure that all young people have equality of access to the curriculum

   - There are clear upward trends in levels of attainment and in positive destinations in North Ayrshire (as indicated in other reports to NAC Cabinet: SQA Examination Results 2015 (October 2015) and School Leaver Destinations 2014-15 (February 2016).

   - For the school session 2014/2015, 96.1% of North Ayrshire school leavers progressed to a first positive destination. This is North Ayrshire's best ever performance and is the 3rd best percentage rate in Scotland.   Within this statistic, there are improving outcomes for disadvantaged groups - the gap is being reduced year on year

   - The NAC Accessibility Strategy outlines the key actions that will be undertaken to support and sustain young people with ASN in mainstream school placements has been reviewed by E&YE ELT and presented to NAC Cabinet.

   - As part of the Accessibility Strategy staff have been trained to support the effective provision of an accessible curriculum for all children and young people.

   - The Education and Youth Skills Directorate has developed proposals to ensure high quality inclusive education can continue to be delivered to children and young people with ASN in North Ayrshire. A capital bid has been submitted for a new ASN school, which will replace current provision and have continued to consult with Parent Councils during this period.

   - The three-year average rate for pupils staying on into S5 in North Ayrshire is now 84% compared to 72% five years ago. Furthermore, 64% of our S4 pupils are now staying on until the end of S6, compared to 52% five years ago

   Provide high quality education and support to narrow the outcomes gap for children from disadvantaged groups
   - The Psychological Service has been working closely with senior managers and has established a 'writing group' for the Communication and Language Strategy. A menu of training has been devised for levels 1-3 of staged intervention.
   - Significant progress has been made in our aim to deliver high quality training with a focus on numeracy and literacy. Learning Academy staff team have been in post since October 2015.

Develop and implement a strategy to reduce the extent to which inequality and deprivation constrains educational outcomes and life chances

- Good progress is being made in implementing the Nurture Strategy to support children and young people in meeting their learning needs and improving their attainment.
- The Development of a 'restorative' practice approach has involved training for headteachers by psychological services.
- A Pan-Ayrshire network has been set up to enhance quality of comparative data across our primary and secondary schools

Continue to support young people with additional support needs (ASN) to secure a sustainable destination that meets their needs

- Our aim of encouraging employers, (in partnership with Economy & Communities) to create opportunities for young people with ASN has continued to present us with a number of challenges. As such, we have not been able to progress this action as we would have wished. However, through the Chamber of Commerce we are increasing our database of employers offering placements to young people with ASN.

Health and Social Care Partnership

- 'Child's Plan' training for staff using the new SEEMIS model. This will ensure appropriate plans are in place for children exhibiting ASN at 2nd and 3rd level of staged intervention and those who are vulnerable inc. LAAC/ LAC.
- The development of 'Activity Agreements' in partnership with the 3rd Sector is currently ongoing with the aim of providing increased opportunities for young people with significant barriers to employment.
- Both the Throughcare and Rosemount Service continue to support vulnerable young people to access employment support opportunities. This includes access to activities such as, Duke of Edinburgh Awards, John Muir Awards and Activity Agreements.
- At December 2016, 33.8% of young people accessing Throughcare where accessing some form of Employment, Education or Training. Further, 21 young people supported by the HSCP were accessing an Activity Agreement

7. **Outcome - Pupils Feel Safer in School**

   <u>Actions</u>

Continue to develop nurturing approaches to promote inclusion across all education establishments

- The nurture programme is almost 60% complete and a training programme has been established, with Headteachers from all of the 15 Primary schools identified to have nurture bases having e attended Co-ordinator Nurture Training.
- We have established a number of additional nurture classes in mainstream primary school settings within identified areas of deprivation
- School self-evaluations indicate almost all (90%+) children feel safe in school.

Develop approaches across our schools to support the well-being of our children, teachers, parents and carers in partnership with North Ayrshire Health and Social Care Partnership

- In partnership with NHS Partners we have established a Health and Well Being (H&WB) Strategy Group to promote health and well-being across the BGE and the Senior Phase. A sub-group, which includes Penumbra and CAHMS Practitioners, has also been established to further develop the capacity of the H&WB Strategy Group

8. **Outcome - More Council Employees are working flexibly**

   Action
   - Support Agile Working for North Ayrshire Council employees.
     As part of the Council's current office refurbishment programme, Services are supported via a 'Cultural Exemplar Approach', as part of this Cultural workshops are available as required.

9. **Outcome - Employees feel they have increased capacity to respond more confidently and appropriately to the needs of colleagues and customers**

   Actions
   - During 2016, the Council achieved Level 2 of the Disability Confident Scheme.
   - Employee engagement Surveys carried out in 2015, identified that HSCP Staff (from both NAC and NHS) are clear and fully understand what is expected of them in their daily role, and a high volume reported that they will 'go the extra mile' or 'strive' to find better ways to deliver services.
   - Over 70% of HSCP partnership staff agreed that they have had opportunities to continue their personal and professional development.

Learning and future Developments

The North Ayrshire Equality Outcomes and supporting actions highlight the range of work going on across the Council that supports the Equality Agenda and helps the Council meet its duties against the Equality Act. Going forward the Senior Management team are keen to develop the Council's approach to Equality and Diversity and take a much more proactive approach in supporting and promoting this agenda. Key areas for consideration are highlighted below –

- Develop more Equalities Champions across North Ayrshire Council Services
- Focus on wider general issues relevant to the area, e.g. sectarianism
- Develop systems that make it easier for Services and staff to report on Equality work.
- Enhance and promote the training and awareness of Equality issues to Council staff

These areas for consideration will be developed into a Corporate Equality Plan that will support the wider actions that Services already carry out and report on through the Council's Performance reporting system.

The Council continues to make progress in carrying out its duties under the Equality Act, and is keen to do more to drive this work forward.

Please direct any queries relating to this report to Andrew Hale, Equality and Health Officer, North Ayrshire Council. Telephone: 01294 324148 Email: ahale@north-ayrshire.gov.uk

Joint Ayrshire and North Ayrshire Council Equality Outcomes and Actions 2017 – 2021

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1. Introduction

This report presents the Equality Outcomes and actions (Appendix 1) being taken forward by North Ayrshire Council and a number of public sector partners across Ayrshire.

All public authorities in Scotland must comply with the public sector equality duty set out in the Equality Act 2010. This means that all public authorities, as part of their day to day business, must show how they will:

- Eliminate unlawful discrimination, harassment and victimisation and any other conduct that is prohibited under this Act

- Advance equality of opportunity between people who share a relevant protected characteristic and those who do not share it;

- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

The protected characteristics referred to, as listed in the Equality Act are age, marriage and civil partnership, disability, religion and belief, gender reassignment, pregnancy and maternity, race, sex and sexual orientation. We are all likely to have more than one protected characteristic which make up our individual identities.

All public sector organisations are required to set Equality Outcomes every four years, and this is our second set of outcomes building on those set previously during 2012/13.

By reviewing, revising and publishing equality outcomes on a regular basis, we aim to make better, fairer decisions and be able to show that they are bringing tangible benefits for our communities and our staff.

2. What are Equality Outcomes?

National guidance on setting equality outcomes notes that these should be proportionate and relevant to the functions and strategic priorities of the organisations setting them, and that they may include both short and long term benefits for people with protected characteristics.

From the outset of the development process, the following definition was applied to ensure consistency and rigour.

Outcomes are not what we do, but the beneficial change or effect which results from what we do. These changes may be for individuals, groups, families, organisations or communities.

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Equality Outcomes have been developed on the basis that they are short to medium term (1 – 4 years) and link with longer term and national outcomes.

It should be noted that a number of these equality outcomes link with already existing policies and strategies, in order that the Outcomes become integral to the work of the various partners to drive a more focused effort on areas for improvement specifically to improve equality and reduce inequalities.

3. About Us

Ayrshire

Ayrshire is a county in South-West Scotland, located on the shores of the Firth of Clyde. Ayrshire is home to three local authority areas – North, East and South Ayrshire - as well as the Isles of Arran and Cumbrae.

National Records for Scotland (NRS) estimated the 2015 mid-year population of Ayrshire to be 370,590. Of the three local authority areas in Ayrshire, East Ayrshire accounts for 33 per cent (122,060) of the total population, **North Ayrshire 37 per cent (136,130)** and South Ayrshire 30 per cent (112,400).

North Ayrshire

North Ayrshire has a diverse range of local communities ranging from some of the most deprived in Scotland to affluent coastal retirement towns as well as the Isles of Arran and Cumbrae.

Population projections in North Ayrshire for 2015 to 2025 shows that males aged 80 years and over are projected to increase by 51 per cent and females aged 80 years and over by 28 per cent. The largest projected decrease is for both males and females of working age and this has potential implications for the number of formal and informal carers available in the future.

Overall life expectancy in North Ayrshire for both men and women has continued to increase and is similar to the Scottish average. In the last decade average male life expectancy in North Ayrshire increased from 73.8 years to 76.1 years. For females during the same decade, average life expectancy increased from 78.9 years to 80.3 years.

Meeting the needs of our communities is an integral part of our comprehensive partnership working arrangements. In addition, we also carry out specific targeted work and campaigns to benefit specific communities. The organisations that contributed to the development of the Joint Equality Outcomes are –

- North Ayrshire Council
- East Ayrshire Council
- South Ayrshire Council

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- NHS Ayrshire and Arran
- Ayrshire College
- North, South and East Ayrshire Health and Social Care Partnerships
- The Ayrshire Joint Valuation Board
- The South West Community Justice Authority

4. Rationale for Joint Equality Outcomes

A number of organisations across Ayrshire deliver public services to local communities. In delivering services, these organisations must ensure that no person or group are discriminated against on the basis of any protected characteristics they may possess.

In Ayrshire, each public sector organisation, referred to above, has a requirement to develop and publish a set of equality outcomes. Considering the often close working links between many of the public sector organisations, it was proposed that closer working around the development of equality outcomes should be undertaken. More importantly, as all organisations are delivering, or supporting the delivery of, services to the same communities, their experience could be improved if approaches were consistent and this could be driven through the development of joint equality outcomes. Therefore, a decision was taken that public sector organisations across Ayrshire could develop a shared set of equality outcomes whilst still maintaining individual accountability for their part.

This overarching equality outcomes document builds on already established partnership working relationships and outlines the actions and actives to be undertaken to provide a range of quality services for local people.

5. Ayrshire Equality Outcome Working Group

On 13 June 2016, an event was held in St Kentigern's Church in Kilmarnock to consider the possibility of developing a set of shared equality outcomes. Delegates attended from all of the aforementioned organisations.

The event sought to elicit the benefits and risks of taking a joint approach to setting equality outcomes as well as the broad themes emerging for each of the organisations. Overall it was clear that there were more benefits than there were risks, coupled with the fact that a previous mapping exercise highlighted strong similarities in priorities and themes.

In a changed landscape, having so many different sets of equality outcomes represents a challenge in mainstreaming equalities. A shared set of equality outcomes between the Ayrshire public sector organisations would help facilitate the cultural shift required to mainstream equalities.
The outcome from the discussions and workshops was clear consensus for progressing the development and delivery of equality outcomes for April 2017 on

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a partnership basis. With regards to the need to show clear lines of accountability, it was agreed that this would be shown through the specific actions to be taken forward by each partner that would ultimately result in the overarching delivery of the outcomes.

To this end, a core group of partnership employees established a working group to drive this forward.

6. Evidence Review

As public bodies, the foundation of existing good practice on equalities, established and committed to through our previous equality outcomes, allowed us to build upon and reinforce taking this agenda forward. Given this, it makes sense to ensure that equality outcomes are aligned explicitly with existing Scottish Government policy priorities, as well as evidence from local engagement, and integrated into current performance management systems.

This approach to implementation aims to provide coherence, minimise duplication and support the ongoing mainstreaming of equality into business across Ayrshire**.**

We took a joint approach to the development of our equality outcomes including:

- A desk-based research and evidence review, across our Community Planning partners,that presented a baseline selection of the key facts and figures we know about groups that meet one or more of the protected characteristics. The review drew on the evidence collected from previous engagement and consultation exercises as well as the wider national policy context.

- An online survey monkey questionnaire seeking views from our communities to build upon previous discussion and consultation with equality groups. As well as the online survey, we mirrored this through the use of paper based survey forms which were available at various locations across Ayrshire. This form of consultation elicited over 250 responses.

- A further desk-based exercise in collaboration with Community Planning partners to review and consider local comment, intelligence and evidence gathered from the consultation and engagement work was carried out to help shape the final outcomes and actions to deliver on these.

- Face to face discussion with equalities groups and individuals with protected characteristics. Some groups were not able or did not wish to be directly involved asked that the notes of previous discussions be used to inform our work.

In this way our first set of equality outcomes were identified and agreed, and represent outcomes that can be achieved in the short to medium term and that, between the whole set, cover all of the protected characteristics.

The agreed equality outcomes for the period 2017-2021 are set out in Appendix 1 of this document. These outcomes will be reviewed during the four year period 2017-2021 and a progress report published in 2019.

7. Engagement and Consultation

The law requires us to involve and consult with people in developing our equality outcomes. These people should have a wide range of backgrounds and characteristics and should be drawn from our services users, staff and from communities across Ayrshire and Arran. Following the desktop research work to identify our thematic areas, engagement and consultation in the development of our specific Equality outcomes took place over a number of months. Appendix 2 outlines our involvement and consultation with people in developing these outcomes. As well as the specific face-to-face engagement events, we involved communities and staff using a variety of methods including online surveys, engagement through our local Public Partnership Forums, and engagement at community and staff events.

Within North Ayrshire an additional survey was distributed during January 2017 highlighting the key actions that Services will be carrying that support the new Equality Outcomes. This survey elicited 207 responses, 187 from individuals, 13 people responding from an organisation and 12 from a group. Staff within the Community Development team conducted a workshop with Youth LGBT group around the actions supporting the outcomes.

8. National Policy Context

The challenge for public bodies is to translate the legislative requirements of the Equality Act into an approach that mainstreams equality into policy and practice, which aims in turn to tackle inequalities and improve outcomes for all our communities.

Actions to deliver on equality and address inequalities are not mutually exclusive but intrinsically linked i.e. health inequalities reflects the systematic differences in health (health gaps) which are associated with people's unequal positions in society. Given this, health inequalities relate to and interact with other structures of inequality, for example, socio-economic, gender, ethnicity and disability etc.

Therefore, in order to address health inequalities effectively, consideration has to be given to the associated implications for people with equality characteristics and the complex intersections between these.

In order to provide coherence, minimise duplication and support the ongoing mainstreaming of equality into policy and practice across Ayrshire, it is important to ensure that equality outcomes are aligned explicitly with existing organisational and governmental policy priorities.

The Christie Commission Report on the Future Delivery of Public Services published in June 2011 also called for radical reform of Scotland's public services in terms of delivery of services and also signalled a need for cultural change. The report detailed four objectives of a reform programme centred around people and communities and building up their autonomy and resilience; greater emphasis on public sector organisations working together; prioritising prevention, reducing inequalities and promoting equality and continued emphasis on improving performance whilst at the same time reducing costs.

We have taken all of the above national policy context into consideration in the development of our joint equality outcomes to ensure robust and effective outcomes are set for the next four years.

9. Finalising Our Equality Outcomes

As well as the face-to-face engagement events to establish potential equality outcomes, and actions and activities to deliver on these outcomes, the partners consulted on their final proposed outcomes and actions to deliver our equality outcomes for a four week period.

In the development of our equality outcomes many people gave us their experiences, views and not least their time freely and willingly to make sure that the information contained not only met our legal requirements but also the specific needs of the people we serve. For this and all the other people who have supported the development of this publication and its ongoing work to ensure successful outcomes, we thank them all for their contribution.

10. North Ayrshire Equality Outcomes
The Joint Equality Outcomes adopted by North Ayrshire Council and public sector partners across Ayrshire are –

Equality Outcome 1: In Ayrshire people experience safe and inclusive communities.

Equality Outcome 2: In Ayrshire people have equal opportunity to access and shape our public services.

Equality Outcome 3: In Ayrshire people have opportunities to fulfil their potential throughout life.

Equality Outcome 4: In Ayrshire public bodies will be inclusive and diverse employers

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Appendix 1 - North Ayrshire Equality Action Plan

Equality Outcome 1:	In Ayrshire people experience safe and inclusive communities					
Links to National Outcomes	We have tackled the significant inequalities in Scottish Society We have improved the life chances for children, young people and families at risk We live our lives safe from crime, disorder and danger We have strong, resilient and supportive communities where people take responsibility of their own actions and how they affect others					
Outputs	**Actions**	**Performance indicators**	**Protected Characteristics**	**General Duty**	**Timescale**	**Lead Officer/Service**
Increased awareness of hate crime	Raise staff awareness to better identify hate crime	Number of staff trained	Disability, Sex Gender Reassignment, Race Religion and Belief, and Sexual Orientation	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2021	Equality Officer
	Work with partners to raise awareness of hate crime	Number of crimes reported and detected	Disability, Gender Reassignment, Race Religion and Belief, and Sexual Orientation	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2021	Equality Officer

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
Increased use of third party reporting	Increase the awareness of third party reporting	Increased third party reporting using a variety of media tools and promotion materials	Disability, Gender Reassignment, Race Religion and Belief, and Sexual Orientation	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2021	Equality Officer
Implementation of the 'Keep Safe' initiative across partner agencies in Ayrshire	Deliver partner training as appropriate	Number of training courses/briefing sessions delivered Number of staff trained	Disability	Eliminate Discrimination Advance Equality of Opportunity	March 2021	Equality Officer
	Conduct a baseline of 'Keep Safe' places	Audit of existing 'Keep Safe' places	Disability	Eliminate Discrimination Advance Equality of Opportunity	March 2018	Equality Officer
	Support the development of the 'Keep Safe' initiative in Ayrshire	Increase in the number of establishments registered for 'Keep Safe'	Disability	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2021	Equality Officer

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
People are aware of prevent	Raise staff awareness to better identify radicalisation	Number of staff trained	All	Eliminate Discrimination Foster Good Relations	March 2019	Civil Protection Manager
Established reporting protocols in place	Increase awareness of reporting procedures	Published briefings and leaflets in all key areas	All	Eliminate Discrimination Foster Good Relations	March 2019	Civil Protection Manager

North Ayrshire Service Actions

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
Provision of a range of early and effective interventions that support preventing violence and promoting women's safety and wellbeing.	Implement the Violence Against Women Strategy	tba	Gender, Age	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2018	VAW lead (PLACE)

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
Provision of a range of interventions that support reductions in levels of crime, anti-social behaviour, re-offending, fear of crime; and increases in crimes being detected.	Implement the Anti-Social Behaviour Strategy	Levels of crime and antisocial behaviour have reduced and crimes being detected have increased Reoffending has reduced; Fear of crime and antisocial behaviour has reduced;	Race, Disability, Sexual orientation, Gender reassignment, Religion and Belief.	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2018	(PLACE)
Strategic Vision for education for all	Evaluate and enhance the curriculum in the Broad General Education (BGE) and senior phase Support and strengthen the professional capacity of staff. Modernise the school estate to improve educational environment	Performance review information Attainment Challenge data Professional Review & Development (PRD) information and feedback evaluation HGIOS4 Q1 2.3/2.4	Age, Race, Disability, Sexual orientation, Gender reassignment, Religion and Belief.	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2021	Education Priority 2

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
Developing fully inclusive approaches suited to the needs of all our young people and their families	Extend nurturing, restorative and RRS approaches extending the culture of inclusiveness within all schools. Updating anti bullying, Child Protection , Additional Support Needs support and extended outreach support for all of our pupils and those with particular vulnerabilities Modernise the school estate to meet the needs of the curriculum and children and Young People.	Collaborative based evidence from the Professional Learning Academy Workstream. Data for the Integrated services plan Family resilience reports Boxall profile reports. How Good Is Our School 4 (HGIOS4) QI 2.1 3.1 challenge questions	Age, Race, Disability, Sexual orientation, Gender reassignment, Religion and Belief.		March 2021	Education Priority 1

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
We Promise to make sure your rights are protected	Ensure 90% have achieved Rights Respecting Schools status	Integrated Children's Services Plan (ICSP) Getting It Right For You (GIRFY) data. Reports on Corporate parenting plan promise	ALL	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2021	Education Priority 1
We Promise to Work closely with each other and your family so that you are safe and protected	Share Child Protection information within 1 day of reporting to ensure each Young Person is safe.	ICSP GIRFY data and reporting on stage promises Reports on Corporate parenting plan promises	Age, Race, Disability, Sexual orientation, Gender reassignment, Religion and Belief.	Foster Good Relations	March 2021	Education Priority 1
We Promise to Care for your health and disability needs	A robust child's plan will guide Additional Support for Young People.	ICSP GIRFY data and reporting on stage promises Reports on Corporate parenting plan promises HGIOS4 QI 2.1, 2.4	Age, Race, Disability, Sexual orientation, Gender reassignment, Religion and Belief.	Foster Good Relations	March 2021	Education Priority 1

Equality Outcome 2	In Ayrshire people have equal opportunity to access and shape our public services						
Links to National Outcomes	We have tackled the significant inequalities in Scottish society We live in well-designed, sustainable places where we are able to access the amenities and services we need Our public services are high quality, continually improving, efficient and responsive to local people's needs						

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
The experiences of marginalised or under-represented groups continue to inform decision-making	Through the partnership undertake a mapping exercise to identify marginalised and under-represented groups in Ayrshire.	A list of marginalised and under-represented groups to be developed and maintained	Disability, Gender Re-assignment, Race and Sexual Orientation	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2018	Equality Officer
	Ensure processes are in place which welcome, encourage and support marginalised and under-represented groups to inform decision-making	Evidence inclusion of marginalised and under-represented groups in decision-making	Disability, Gender Re-assignment, Race and Sexual Orientation	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2019	Equality Officer

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
	Explore joint approach for the commissioning of translation, interpretation and communication support (TICS) services	TICS usage reports Increased customer satisfaction	Disability and Race	Eliminate Discrimination Advance Equality of Opportunity	Dec 2018	Equality Officer
As part of the Sheltered Housing re-provisioning programme we are incorporating community hubs within the complexes	Provide physical activity and other services to ameliorate social isolation and promote well-being.	No. of residents participating in activities	Age	Foster Good Relations	March 2021	Place – Housing
Extend the Self-evaluation processes	Broaden and extend self-evaluation to further include pupil/parent voice	Parent /pupil questionnaires – outcomes to be reflected in school improvement plans Bespoke vision values aims Curriculum rationales ratified by staff	Disability Age Sex	Foster Good Relations	March 2021	Education Priority 3

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
		pupils and parents and community partners.				
Extend use of data and research	Data packs to include information on Protected Characteristics (PC)	Analysis of data in relation to PC	ALL	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2021	Education
Reporting and practice to reflect the requirements of the National Improvement Framework (NIF)	Evaluative Reporting in terms of the NIF drivers	Self-Evaluation around NIF drivers Parental engagement , School improvement Performance review information Attainment Challenge data HGIOS4 QI 2.5, 2.4, 1.		Advance Equality of Opportunity Foster Good Relations	March 2021	Education Priority 3

Equality Outcome 3	In Ayrshire people have opportunities to fulfil their potential throughout life						
Links to National Outcomes	We realise our full economic potential Equality Outcome 3 : In Ayrshire people have opportunities to fulfil their potential throughout life with more and better employment opportunities for our people We are better educated, more skilled and more successful, renowned for our research and innovation Our young people are successful learners, confident individuals, effective contributors and responsible citizens Our children have the best start in life and are ready to succeed We live longer, healthier lives						

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
Increase the number of modern apprentices who are BME	Conduct audit of existing modern apprenticeships by protected characteristics	Baseline of number of Black and Minority Ethnic (BME) modern apprentices in Ayrshire	Age, Race	Eliminate Discrimination Advance Equality of Opportunity	Dec 2018	Equality Officer/MA Team
	Work with internal and external stakeholders to promote uptake across protected characteristic groups	Increase in BME modern apprentices		Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2021	Equality Officer/MA Team

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
Increase the number of modern apprentices who have a disability	Conduct audit of existing modern apprenticeships by protected characteristics	Baseline of number of disabled modern apprentices in Ayrshire	Age, Disability	Eliminate Discrimination Advance Equality of Opportunity	December 2018	Equality Officer/MA Lead
	Work with internal and external stakeholders to promote uptake across protected characteristic groups	Increase in modern apprentices who have a disability	Age, Disability	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2021	Equality Officer/MA Lead
Increased no of people in non-traditional gender roles including modern apprenticeships	Conduct an audit of existing modern apprenticeships roles by gender	Baseline of number of modern apprenticeship roles by sex in Ayrshire	Age, Gender	Eliminate Discrimination Advance Equality of Opportunity	December 2018	Equality Officer/MA Lead
	Work with internal and external stakeholders to promote uptake across protected characteristic groups	Increase in non-traditional roles by both sexes	Age, Sex	Eliminate Discrimination/ Advance Equality of Opportunity Foster Good Relations	March 2021	Equality Officer/MA Lead

North Ayrshire Council Service Actions						
Outputs	**Actions**	**Performance indicators**	**Protected Characteristics**	**General Duty**	**Timescale**	**Lead**
By March 2019 NAC and partners would like to achieve the following in North Ayrshire: • 110 operating social enterprises • £6.9m annual income for SEs • 1,000 full time equivalent employees in the local SE sector • 1,050 volunteers active in the sector • Sustainable NASEN established, led by the sector with at least 55 SE members	Implement Social Enterprise Strategy including developing social impact framework	TBC	Age, Disability, Race	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 19	Economy and Communities – Economic Growth Service (Business Development)

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
Strengthen partnership links with Further Education and employers	Set up / Evaluate activity agreements with partners.	Analysis of the activity agreement evaluations	Age, Sex, Disability	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2021	Education Priority 5
Support Any Young Person with ASN into sustained destinations meeting their needs	Evaluate the numbers and quality of sustained destinations	Data analysis Performance review information				
Develop employability skills in Young People Introduce National Carer and Work experience Standards	Key skills analysis of Young People and build a portfolio of their skills	Attainment Challenge data	Age, Sex, Disability			
Introduce modern apprenticeship programmes.	Moderate provision of Work Experience with young people	Self-Evaluation of PS wider achievement through School Quality improvement arrangements.		Eliminate Discrimination Advance Equality of Opportunity		
Developing Young Workforce Plan (DYW) : More young people will be participating	Moderate provision and quality of Modern Apprentice programmes Working with guidance and the	Quality Improvement Framework	Age, Sex, Disability	Foster Good Relations	March 2021	Education Priority 5.

in work experience placements at an appropriate time and more closely linked to their career aspirations.	work experience contractor, pupils and employees will be consulted to ensure a better match	wider achievement. DYW : Data and progress reports (LC) HGIOS4 QI 3.3, 2.2, 2.7 challenge questions				
Outputs	**Actions**	**Performance indicators**	**Protected Characteristics**	**General Duty**	**Timescale**	**Lead**
Raise attainment and achievement throughout the BGE	Develop and accredit innovative approaches to learning and teaching in the BGE and Senior Phase. Devise a range of alternative curricular pathways leading to achievements of qualifications and awards at all levels	BGE visits and evaluations of all schools Standardised assess data	Age, Race, Disability, Sexual orientation, Gender, Gender reassignment, Religion and Belief.	Advance Equality of Opportunity Foster Good Relations	March 2021	Education Priority 4.

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
We will challenge gender stereotyping of career choices from early years classrooms to secondary schools. DYW Plan	Integrate a range of wider achievement options into programmes to enhance skills and qualifications of learners. Through activities such as our "Girls into Stem Careers" event, we will promote opportunities to both sexes in industry sectors where labour market information reveals gender split.	Map and analyse the quality of alternative provision and planning in schools and the outreach service. Measure the extent of personalisation and choice within the curriculum. HGIOS4 QI 2.1, 3.3, 2.2, 2.7 challenge questions	Gender, Age, Gender, Age,	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2021	Education Priority 4. Education Priority 4.

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
We will ensure that young disabled people have access to work experience placements and vocational education opportunities	By encouraging systemic change in how we work with disabled young people to create equity of opportunity	HGIOS4 QI 2.1, 3.3, 2.2, 2.7 challenge questions	Age, Disability	Advance Equality of Opportunity Foster Good Relations	March 2021	Education Priority 4.
Monitor the outcomes for black and minority ethnic pupils to ensure that they are not disadvantaged	Through analysis of data available on attainment and school leaver progressions.	HGIOS4 QI 2.1, 3.3, 2.2, 2.7 challenge questions	Race, Age	Advance Equality of Opportunity Foster Good Relations	March 2021	Education Priority 4.
We will continue to close the gap on educational and post school progressions for care leavers.	Targeted interventions and guidance for those most at risk	HGIOS4 QI 2.1, 3.3, 2.2, 2.7 challenge questions	Age, Race, Disability, Gender, Religion and Belief.	Advance Equality of Opportunity Foster Good Relations	March 2021	Education Priority 4.
Youth Services will achieve the LGBT Youth Chartermark	Develop peer-led programmes for LGBT in each locality across North Ayrshire	Programmes developed in each locality	Age, Sexual Orientation.	Foster Good Relations	Dec 2017	Economy and Communities, Connected Communities, Community Development, Participation and Empowerment,

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
A range of ESOL (English for Speakers of other languages) opportunities are delivered which respond to changing demographics	Provide English as a Second Language (ESOL) learning opportunity across North Ayrshire	Number of volunteers trained/number of training courses	Race,	Advance Equality of Opportunity Foster Good Relations	March 2021	Economy and Communities, Connected Communities, Community Development, Participation and Empowerment, Cat Hester

Equality Outcome 4	: In Ayrshire public bodies will be inclusive and diverse employers					
National Outcomes	We realise our full economic potential with more and better employment opportunities for our people We are better educated, more skilled and more successful, renowned for our research and innovation					

Outputs	Actions	Performance indicators	Protected Characteristics	General Duty	Timescale	Lead Officer/Service
Recruitment Practices	Public bodies have a diverse workforce reflective of the local population	Use alternative opportunities for advertising posts	More diverse applications for posts within the public sector	All	December 2018	HR & OD
	Achieve and maintain Level 2 of the Disability Confident Scheme	Level 2 award achieved and maintained	Disability	All	March 2019	HR & OD
	Progress work to achieve level 3 of the Disability Confident Scheme	Level 3 award achieved	Disability	All	March 2021	HR & OD

North Ayrshire Council Service Actions						
Outputs	**Actions**	**Performance indicators**	**Protected Characteristics**	**General Duty**	**Timescale**	**Lead Officer/Service**
There will be an increase in the uptake of industry recognised vocational qualifications available to pupils in the Senior Phase. Young people will be supported when transitioning from college to post college destinations and post-college destinations	Schools will build capacity in-house to broaden their curricular offer to pupils. To ensure equity of opportunity We will work with the college to address other priorities in Developing Young Workforce i.e. STEM, inequalities	DYW Data and update reports HGIOS4 QI 3.1 3.3,3.2, 2.2, 2.7 challenge questions	Age, Disability, Gender	Eliminate Discrimination Advance Equality of Opportunity Foster Good Relations	March 2021 March 2021	Education Priority 5. Education Priority 5
Strategic Vision for education for all	Support and strengthen The professional capacity of staff to support Equality work	PRD information and feedback evaluation				Education Priority 2

NORTH AYRSHIRE COUNCIL

Agenda Item 5

14 November 2017

Audit and Scrutiny Committee

Title:	Equal Pay in Scotland
Purpose:	To inform the Committee of the findings of the Audit Report on Equal Pay in Scottish Councils and provide an update on North Ayrshire Council's position on the settlement of equal pay claims.
Recommendation:	That the Committee notes the content of the Accounts Commission report on Equal Pay in Scottish Councils and the Council's position to settle all current equal pay claims.

1. Executive Summary

1.1 The Accounts Commission published a report on 'Equal Pay in Scottish Councils' dated 7th September 2017'. The report's focus is on the historic and current position of all 32 Scottish Local Authorities Councils on equal pay claims.

1.2 This report provides information on the historic and current position in settling outstanding equal pay claims and on the Council's approach to proactively reporting and carrying out equality work in relation to gender pay gap.

1.3 The Council and its legal representatives continue to work with the claimant Trade Unions and their Solicitors to settle all current outstanding claims..

2. Background

2.1 North Ayrshire Council has been managing potential equal pay claims since before the implementation of the revised pay and grading scheme in July 2007 and Employment Tribunal (ET) equal pay claims thereafter.

2.2 Equal Pay claims are complex, however, put simply an equal pay claim is a challenge of pay inequality in relation to sex discrimination for like work, work rated as equivalent or work of equal value.

2.3   The Scottish Joint Council (SJC) pay and grading scheme was implement in 2007, following protracted negotiations with the Trade Unions. The implementation resulted in several hundred equal pay claims being brought against Councils for pay inequalities between men and women for like work, which, when evaluated within the new Job Evaluation scheme, provided the females with a male comparator who was then rated as equivalent. The number of actual claims received at that time is not available as there was no requirement to hold this information due to data retention requirements.

2.4   The negotiation with the Trade Unions on the implementation of the new pay and grading scheme included discussion on pay preservation (red circling – pay held at the same rate for a period of three years) which was believed to be a legitimate action with the aim of lessening the impact of pay reduction.

2.5   The emergence of high profile developments in equal pay case law since 2007 in relation to pay protection meant that Councils were under a greater risk of additional equal pay claims for the three year pay protection period.

2.6   In March 2016 the Employment Appeal Tribunal judged that there was no justification for applying a pay protection scheme and therefore the pay protection applied was deemed to be discriminatory and could not be objectively justified.

2.7   Emerging case law and subsequent appeals were a key factor in progressing settlement of North Ayrshire claims.

Accounts Commission Report

2.8   The key messages from the Accounts Commission report are attached at Appendix 1. The full report can be found at : - http://www.audit-scotland.gov.uk/uploads/docs/report/2017/nr_170907_equal_pay.pdf

Current Equal Pay Settlement Position

2.9   As at April 2016, no new equal pay cases could be brought against North Ayrshire Council for claims relating to the implementation of the SJC pay and grading scheme, nor for the pay protection period. The Council has been working closely with the Trade Union claimants' solicitors to negotiate a settlement outwith the employment tribunal process for the outstanding equal pay claims.

2.10 North Ayrshire Council's claims are currently held in abeyance (sisted) at the ET, subject to periodic review, pending resolution. If there is no resolution to the claims, the ET or the claimants' solicitors may move to hear the claims via the ET. Negotiations between North Ayrshire Council and the Trade Union solicitors are now at an advanced stage and it is unlikely that these cases will be brought forward to be heard at the ET.

2.11 The Council and the solicitors are working towards equal pay settlement and payments being made to the claimants. The Memorandum of Understanding (MOU), which is a key document, is with the claimants solicitors and as soon as this is signed we will settle outstanding claims.

SJC (Scottish Joint Council) Job Evaluation(JE) Scheme to mitigate against Equal Pay Claims

2.12 North Ayrshire Council evaluates and grades all new or significantly changed job profiles, using the Scottish Councils' equality impact assessed, Job Evaluation Scheme (2nd Edition) which was implemented in 2007. Appeals relating to this were heard up until 2011.

2.13 In 2014 an Independent Technical Job Adviser to the SJC reviewed the Council's processes and integrity of application of the Scottish Council Job Evaluation Scheme. The review was positive with minor guidance provided. The review outcomes were shared with the Trade Unions.

Job Evaluation Scheme - Version 3 (V3)

2.14 In 2015 the Scottish Joint Council established a joint technical working group to review the Job Evaluation Scheme in light of the introduction of the Gender Equality Duty on public sector employees and the Equality Act 2010. A revised job evaluation scheme has now been endorsed by the SJC and each council is working towards implementation.

2.15 The Council is currently engaging with the Trade Unions on V3 and aiming for implementation by March 2018.

Gender Pay Gap and Equality Reporting

2.16 The audit report gives brief coverage to reducing the Gender pay gap and the subsequent paragraphs summarise key activities across the Council.

2.17 Promoting equality is one of the North Ayrshire Council's core values. The principles of equality and fairness are central to all of the council's activities.

2.18   The Council fulfils the public sector equality duties and publishes a variety of documents on the Council's website and Intranet:

- North Ayrshire equality outcomes and actions 2017-2021
- Equality mainstreaming report and equalities outcome report (2015– 2016) which includes detailed council analytics and information on gender pay. The next report is due in 2019, however, the Council provides an annual interim report to the Audit and Scrutiny Committee.
- Equal Pay Policy Statement
- Proactive work being undertaken by the officer and members Corporate Equality working group
- Equality Impact Assessment toolkit and Equality Impact Assessments that assess policies and proposals.

2.19   Economy and Communities Directorate provide a bi-annual briefing to members on socio-economics which considers the gender pay gap and levels of female employment. Project work earlier this year, examined gender pay issues within North Ayrshire in more depth. This topic was presented in February 2017 to the Leadership Conference.

2.20   Gender Pay Gap also features in the "Fair for All" pledges including supporting interventions to increase the levels of women in employment. The Council also contributed to the Scottish Parliament Economy, Jobs, and Fair Work Committee's inquiry into the Gender Pay Gap in March 2017.

2.21   Work around the 2020 expansion of free childcare to 1140 hours has begun with Education and Youth Employment to help support women maximise opportunities of childcare to gain or return into employment.

3.   Proposals
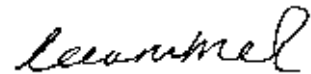
3.1   That the Committee notes the content of the Accounts Commission report on Equal Pay in Scottish Councils and the Council's position on current equal pay claims.

4. Implications

Financial:	The Council has made provision for current and potential future claims.
Human Resources:	Settlement of outstanding equal pay claims will resolve historic issues in respect of pay differentials.
Legal:	Employment Tribunal claims are currently in abeyance pending review, due to negotiations being at an advanced stage to settle equal pay claims.
Equality:	The Council's approach supports pay equality throughout its workforce.
Environmental & Sustainability:	None
Key Priorities:	Good governance arrangements help to underpin the delivery of the Council's key priorities.
Community Benefits:	None

5.   Consultation

5.1   Consultation in relation to the settlement of equal pay claims has taken place with the Trade Unions and in addition to this the Equalities Officer and the Economy & Communities Directorate have been consulted during the preparation of this report.

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LAURA FRIEL
Executive Director (Finance and Corporate Support)

Reference :
For further information please contact Ainsley Young, HR Operations Manager on Tel: 01294 324671.

Background Papers
None.

Key messages

1 Under equality legislation all employers have a legal responsibility to ensure that women and men receive equal pay for equal work. In 1999, Scottish councils and trade unions reached the Single Status Agreement. The aim of the agreement was to harmonise local government pay and employment terms and conditions, and eliminate pay inequality.

2 Implementing the Single Status Agreement was a complex process that required all councils to undertake a large-scale job evaluation exercise. Councils underestimated the challenges involved and all but one missed the agreed implementation date of 2004. It was not until 2010 that all councils in Scotland had single status in place. This was 11 years after the agreement was signed, with implementation taking twice as long as initially planned.

3 There has been a lack of collective national leadership to overcome the challenges and address equal pay issues in a timely way.

4 Councils initially worked on the basis that they could offset the costs of implementing single status with savings from changes to staff conditions and by improving staff productivity. Councils received no additional funding to implement their new pay and grading structures. In reality, single status brought significant costs and some councils and trade unions found themselves balancing the risk of industrial unrest with affordability. This meant that some of the approaches taken by councils when implementing single status did not always prioritise pay equality and were later found to be discriminatory.

5 Councils sought to compensate workers who had historically been unfairly paid by offering payments if they signed compromise agreements. Councils paid around £232 million to approximately 50,000 workers in this way. The payments made were often of a relatively low value compared with the difference in pay over time, so some people refused them. Even while councils were implementing single status, they continued to receive thousands of equal pay claims for historical pay discrimination.

6 All councils received equal pay claims after implementation. There were many reasons for these claims, for example claims against pay and bonus protection given to predominately male workers and discrimination in job evaluation schemes. Since 2004, around 70,000 equal pay claims have been lodged against councils. The cost of compensation agreements and settling claims, along with legal fees, amounts to around £750 million. The number of claims made against councils varies widely. Some of this variation can be explained by how actively 'no-win no-fee' lawyers have encouraged claims in different council areas. There are almost 27,000 live equal pay claims and workers could potentially still make new claims against councils.

7 Councils need to be confident they have fair and transparent pay arrangements and take necessary action, such as regular equal pay audits, to deliver pay equality in line with their public sector equality duty. Elected members need to continue to oversee, scrutinise and challenge councils' approaches to delivering equal pay and reducing the gender pay gap.

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Appendix 2

Subject Matter	Current Position
Equal Pay Policy Statement	• The Council Equal Pay Policy statement is published on the Council's web site along with information on the Gender Pay Gap and a statement on equal pay in relation to occupational segregation.
Assessing the impact of any changes that may affect equal pay	• An Equality Impact Assessment tool kit to assess the impact on policies and proposals • The Council will implement a revised version of the Job Evaluation Scheme (V3) to help ensure equality of pay and grading
Publish Gender Pay Gap information	• As part of the Council duty and proactive work around gender pay gap the Council produces Equality mainstreaming reports and equalities outcome reports. These reports include council analytics and information on gender pay as per the Equality Act 2010. In addition further annual interim report is provided and reported to Committee
Use EHRC guidance	• The Council refers to the Equality and Human Rights Commission guidance when developing reports and the Equal Pay Policy Statement

Use Close the Gap guidance on meeting the Public sector equality duty.	• The Council considered this guidance when developing the main stream reporting and outcomes in relation to gender and employment in areas such as
	   o Gender mainstreaming;
	   o Developing equality outcomes;
	   o Calculating and using gender pay gap information
	   o Publishing an equal pay statement on gender, including occupational segregation information.

Ensure Risk Registers are up to date	• Risk assessments are conducting using the Equality Impact assessment tool kit. Assessments are published on connects and the website.
SJC Job Evaluation Scheme	• North Ayrshire Council is working with the trade unions towards implementing the SJC Version 3 Job Evaluation Scheme. The implementation is expected to be complete by March 2018.

NORTH AYRSHIRE COUNCIL

Agenda Item 6

14 November 2017

Audit and Scrutiny Committee

Title:	**Scottish Roadworks Commissioner Annual Performance Report**
Purpose:	The Committee is invited to note the report prepared by The Office of the Scottish Road Works Commissioner on North Ayrshire Council's Roads Service.
Recommendation:	That the Committee (a) notes the content of the Commissioner's Report and (b) notes the improvements made in our performance.

1. Executive Summary

1.1 The Office of the Scottish Road Works Commissioner was established in 2007. The purpose of the Scottish Road Works Commissioner is to work with those involved in road works to oversee improvements to the planning, co-ordination and quality of road works in Scotland.

1.2 The Commissioner has developed a number of indicators to measure the performance of both the Roads Authorities and Statutory Undertakers in relation to how works information is recorded in the Scottish Road Works Register (SRWR).

1.3 The Commissioner has provided a report on North Ayrshire's performance and copy of which is attached at Appendix 1.

2. Background

2.1 The Scottish Road Works Commissioner is an independent public official established under section 16 of the Transport (Scotland) Act 2005 and is accountable to the Scottish Ministers and ultimately the Scottish Parliament.

2.2 The Commissioner's aim is to improve the planning, co-ordination and quality of road works throughout Scotland.

2.3 In terms of Section 118(1) of the New Roads and Street Works Act 1991, Roads Authorities have a statutory duty to co-ordinate the execution of works of all kinds in roads for which they are responsible:

a) in the interests of safety,
b) to minimise the inconvenience to persons using the road,
c) to protect the structure of the road for which they are responsible.

2.4 The Commissioner monitors performance, promotes and encourages good practice across both utility companies and Roads Authorities. The Commissioner also has powers to impose financial penalties on Roads Authorities who systematically fail in their duty to co-ordinate road works and upon utility companies who systematically fail to co-operate when undertaking road works.

2.5 To monitor performance the Commissioner has developed a number of indicators and information on our performance across these metrics is attached at Appendix 2.

2.6 In respect of North Ayrshire's performance the Commissioner considers that we demonstrated average performance across the indicators.

2.7 Specific actions required by the Commissioner for North Ayrshire Council are:-

a) To minimise our use of Early Start Notices
b) To minimise our use of Late Start Notices
c) To reduce our use of Works Extension by estimating more realistic works duration periods.
d) To undertake 100% sample inspections of sample of public utility works.

2.8 While our use of early starts at 26% was higher than the Roads Authority average of 25 %, this was a significant improvement from last year's use of early starts at 53% of our works. It is intended that the trend in our improved performance will continue.

2.9 Our use of late starts at 3% was 1% higher than the Roads Authority average, however this is an improvement in last year's performance of 9%. It is also intended that this improvement trend will continue.

2.10 Our use of works extensions at 24% is higher than the Roads Authority average of 17%. This is however a significant improvement since last year's performance of 38%.

2.11 While we did not achieve 100% of generated sample inspections of utility works our performance of 89% is higher than the Roads Authority average and is an improvement on last year's performance of 63%.

2.12　It should be noted that a number of the late starts and works extensions have been due to delays following poor weather. However in order to ensure that the required actions are delivered measures have been put in place to more closely monitor the 'Noticing' of all our works on the SRWR. In addition we have designated one of our Roads Inspectors with specific responsibility for ensuring all sample inspections are undertaken.

3.　Proposals

3.1　That the Committee (a) notes the findings of the Road Works Commissioner's report and (b) notes the improvements achieved and intended continued improvement in our performance.

4.　Implications

Financial:	None
Human Resources:	None
Legal:	The Council has a statutory duty under section 118(1) of the New Roads & Street Works Act 1991 to co-ordinate the execution of all works in roads which we are responsible for.
Equality:	None
Environmental & Sustainability:	None
Key Priorities:	None
Community Benefits:	The coordination and management of works in our roads will ensure the provision of a road network that will benefit local communities.

5.   Consultation

5.1   Road work performance of both Roads Authorities and Statutory Undertakers is discussed regularly at quarterly Area Roads Authority & Utility Committee (RAUC) meetings.

CRAIG HATTON
Executive Director (Place)

Reference : CD/RM/JA
For further information please contact Campbell Dempster, Team Manager Network on 01294 324845

Background Papers
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OFFICE OF

THE SCOTTISH RO△D WORKS COMMISSIONER

Ms Elma Murray
Chief Executive
North Ayrshire Council
Cunninghame House
Irvine
North Ayrshire KA12 8EE

Contact: Nisha Bunting
Direct Tel: 0131 244 9937

24 August 2017

Our Ref: PER/NB/2017/NAC

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Dear Ms Murray

Scottish Road Works Commissioner 2016/17 Annual Performance Review

Please find enclosed North Ayrshire Council's 2016/17 annual road works Performance Review in respect of the period 1 April 2016 to 31 March 2017.

My review is presented in a similar format to last year utilising data from two full business years for comparison purposes. Roads authority and utility company averages are included where appropriate.

In terms of section 118(1) of the New Roads and Street Works Act 1991 (the 1991 Act), roads authorities have a statutory duty to co-ordinate the execution of works of all kinds (including works for road purposes) in roads for which they are responsible:

  a) in the interests of safety;
  b) to minimise the inconvenience to persons using the road; and
  c) to protect the structure of the road and integrity of apparatus in it.

This review considers how well you are meeting your statutory obligations.

In addition to your annual review, North Ayrshire Council road works performance is routinely discussed at quarterly Area Roads Authorities and Utilities Committee meetings. A mid-year interim performance review is also issued to your designated senior manager.

Management and Performance Reports

Organisations are expected to routinely monitor their own performance utilising reports which are downloadable from the Scottish Road Works Register (SRWR). This ongoing performance review process allows your organisation to take appropriate action throughout the year to improve performance. If your performance falls at any point during the year, it is expected that an explanation will be provided to my representative at your Area RAUC meeting.

Organisations can also generate reports to assist benchmarking against similar authorities.

E Spur, Saughton House, Broomhouse Drive, Edinburgh, EH11 3XD
Tel: 0131 244 9936   enquiries@srwc.gsi.gov.uk   www.roadworksscotland.gov.uk

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Consistent failure to achieve the expected level of performance may result in further formal action.

Whilst not an exhaustive list, your review includes the following areas:

Performance	Expected Performance	RA Average Performance
Noticing Failures	Between 5% and 10%	10%
Percentage of unplanned works	<4%	4%
Works Notices per 100km	No target pending greater consistency and confidence in current RA performance	
Fixed Penalty Notices issued	Participation expected but no target set	
Contact Details* provided on notices	100%	
Early Starts	15%-25%	25%
Late Starts	0%-2%	2%
Works Extensions	10%-17%	17%
Over-running works (at year end)	0	
Works awaiting closure (at year end)	0	
Misuse of Traffic Management "Not Yet Known"*	0	
Gazetteer update submissions	4	
Sample Inspections Undertaken	100%	87%
Attendance at Area RAUC Meetings	100%	
Vault update submissions	4	

* "Contact Details" and "Traffic Management Not Yet Known" are available as standard reports from Q3 of 2016/17.

North Ayrshire Council Performance

The following statistics show how well North Ayrshire Council is performing with regard to the above:

- Noticing Failure Rate

  North Ayrshire Council   10% (10 failures per 100 road works registered)

  Roads Authority average   10% (10 failures per 100 road works registered)

  Utility Company average   8% (8 failures per 100 road works registered)

- Percentage of unplanned works

  Use of the correct works categories can demonstrate that effective works planning is taking place and that roads authorities are meeting their statutory duty to co-ordinate road works.

  Percentage of "Emergency", "Urgent" or "Remedial Dangerous" (unplanned) categories :

  North Ayrshire Council   6%

  Roads Authority Average   4%

- Work Notices per 100km

  This statistic was introduced in 2015/16 as it was evident that many authorities were not noticing all of their qualifying works. Authorities are expected to carry out a comparable number of works per 100km in relation to their peers.

  North Ayrshire Council registered 46 works per 100 km of road network

  SCOTS Group - Semi-urban Group peer group average 64 works per 100 km of road network

- Fixed Penalty Notices (FPNs) Issued

  Currently 20 of the 32 Scottish Council Roads Authorities issue FPNs to Utility Companies. The average conversion rate from "potential noticing failures" generated by the Scottish Road Works Register to "Actual" FPNs across the 20 authorities was 37%.

  North Ayrshire Council issued 148 FPNs.

North Ayrshire Council applied an "actual" FPN to 67% of all "potential noticing failures".

- Contact Details provided on notices

  Organisations are required to register both the originator name and telephone number and the contractor name and telephone number in the Scottish Road Works Register before works take place.

  North Ayrshire Council failed to enter full contact details in 4% of all works registered in Q3 (including Permission Notices) and in 0% of all works registered in Q4.

- Management and Timing of Works

	North Ayrshire Council	Roads Authority Average
Use of Early Starts	26%	25%
Use of Late Starts	3%	2%
Use of Works Extensions	24%	17%
Over-running Works (at year end)	0	
Works awaiting closure (at year end)	0	

- Misuse of Traffic Management "Not Yet Known"

  The correct Traffic Management choice **must** be entered on notices of seven days or less prior to works commencing.

  North Ayrshire Council had 1 works incorrectly registered with Traffic Management "Not Yet Known" at the year end.

- Gazetteer Update Submissions

  North Ayrshire Council submitted 4 gazetteer updates.

- Sample Inspections Undertaken

  It is expected that roads authorities undertake 100% of their target of sample inspections in each of the three categories.

North Ayrshire Council undertook 89% of their planned sample inspections as follows:

Category A Done   89%

Category B Done   89%

Category C Done   90%

- Attendance at Area RAUC Meetings

  Regular attendance at Area RAUC meetings, and convening Local RAUC meetings, demonstrates a commitment to meeting your statutory obligation to co-ordinate road works.

  North Ayrshire Council attended 100% of Area RAUC meetings.

- Vault Update Submissions

  Provision of data to Vault is not a statutory requirement, however, in the interest of co-ordination, co-operation and good communications, I strongly encourage all roads authorities to regularly submit updates to Vault.

  North Ayrshire Council submitted 3 Vault updates.

Commentary

In general terms, North Ayrshire Council demonstrate average performance across the majority of metrics measured.

Please continue to focus on your statutory obligations, with particular emphasis on the need to achieve 100% of agreed "Sample Inspections".

Specific action is required in respect of:

Early Starts - At 26% your use of early starts is higher than the roads authority average of 25%. Whilst a managed use of early starts can suggest that works are being well coordinated, excessive use suggests that works are unplanned. Appropriate planning should be undertaken to minimise this.

Late Starts - At 3% your use of late starts is over against the roads authority average of 2%. Excessive use of Late Starts could suggest that works are not well planned.

Works Extensions - Your use of work extensions is high at 24% against the roads authority average of 17%. This suggests that the planned work duration periods are unrealistic and the processes for setting the duration should be reviewed.

Sample Inspections Undertaken - You are expected to undertake 100% of your agreed targets in each of the three categories. I make use of these results to monitor the work of the utilities, therefore information provided must be complete and accurate.

Details of how your organisation intends to improve performance across the matters outlined above should be submitted to my office no later than 1 October 2017.

As you are aware I am currently reviewing the performance of organisations to decide whether or not further scrutiny is required. I will use the information provided to inform my decision.

Should you wish to discuss your Performance Review further, please do not hesitate to contact my office.

Yours sincerely

Angus Carmichael
Scottish Road Works Commissioner

OFFICE OF THE
SCOTTISH RO△D WORKS COMMISSIONER

NORTH AYRSHIRE COUNCIL KEY MANAGEMENT INDICATORS (April 2015 to March 2017)

Noticing Failures (2a) per Works Started (9a)
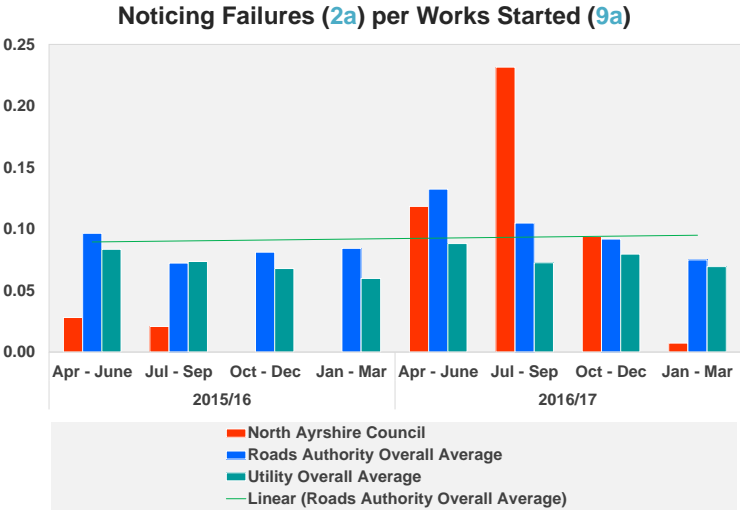
The number of noticing failures made by the roads authority as a ratio of actual starts as compared with the overall Utility and Roads Authority averages across Scotland.

Works Started (9a) per 100 km (Scottish Transport Statistics)
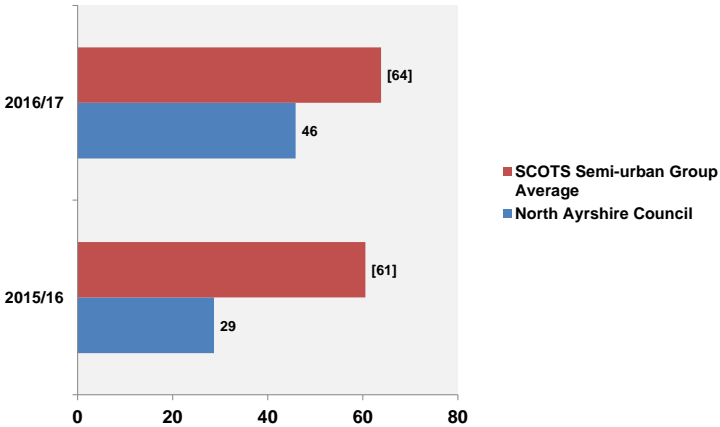
The number of works started notices entered per 100 km of road in authority area as compared to the authorities SCOTS grouping.

Works Started (9a) and Completed (9b)
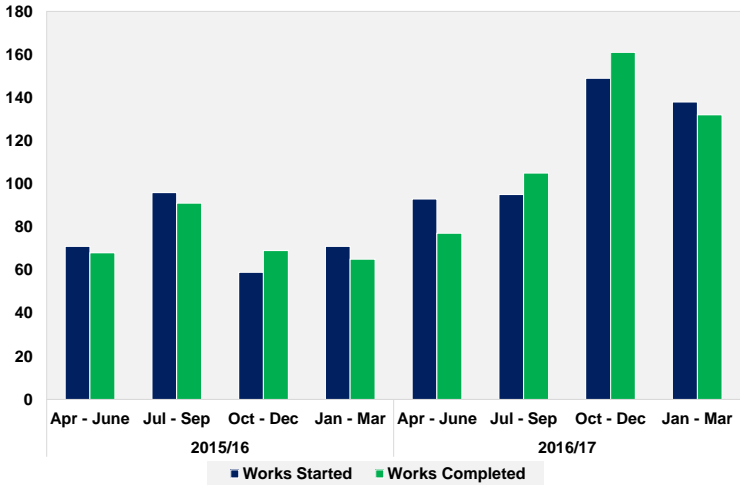
The number of works started and works completed in each quarter.

Overrunning Works (6)
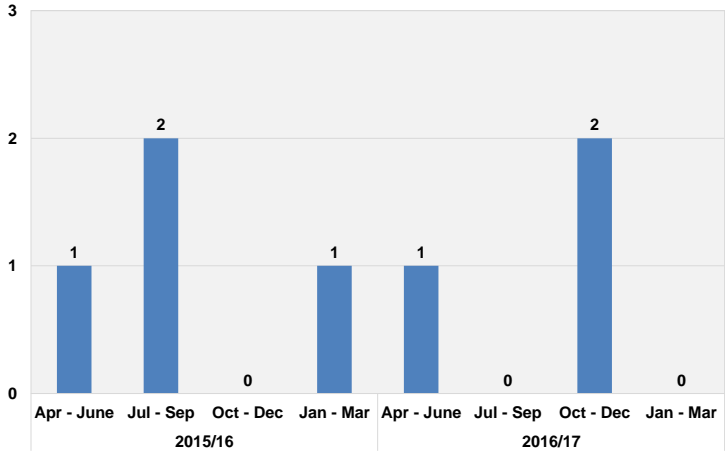
The number of roads authority overrunning works outstanding

Fixed Penalty Notices (1)
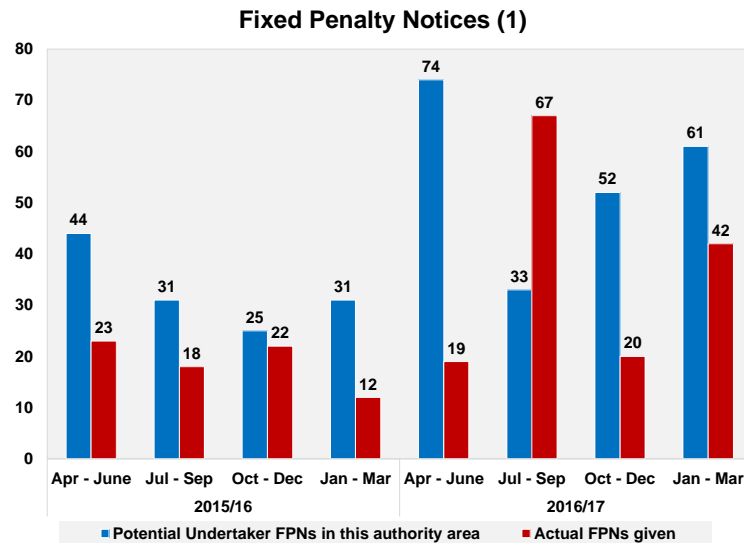
The number of actual fixed penalty notices issued to undertakers operating in the authority area compared with the potential fixed penalty notices.

Sample Inspections Done

The percentage of Sample Inspections carried out by the authority shown as a percentage of those expected to be achieved.

Area RAUC Attended 2016/17

100%

■ Attended   ■ Not Attended

The Commissioner wishes to ensure that a minimum of 75% of Area RAUC(S) are attended by the roads authority

North Ayrshire Council

Scottish Road Works Commissioner Annual Performance Review -   (April 2015 to March 2017)

Noticing Activity and FPNs

Noticing Failures

The Commissioner wishes to measure the accuracy of the information held on notices and that the appropriate timescales are being met. This report measures the number of error messages generated by the Scottish Road Works Register (SRWR) which would flag a potential Fixed Penalty Notice offence were the same error made by a utility company. The failure rate is based on a comparison with the number of Actual Start Notices which are issued.

		2015/16				2015/16	2016/17				2016/17
		Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Year	Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Year
Number of Noticing Failures	**Indicator Report 2a**	2	2	0	0	4	11	22	14	1	48
Noticing Failures per Actual Start Notices	**Indicator Report 2a**	0.03	0.02	0.00	0.00	0.01	0.12	0.23	0.09	0.01	0.10
Roads Authority Overall Average		*[0.10]*	*[0.07]*	*[0.08]*	*[0.08]*	*[0.08]*	*[0.13]*	*[0.10]*	*[0.09]*	*[0.07]*	*[0.10]*
Utility Overall Average		*[0.08]*	*[0.07]*	*[0.07]*	*[0.06]*	*[0.07]*	*[0.09]*	*[0.07]*	*[0.08]*	*[0.07]*	*[0.08]*

Noticing Management Information

The Commissioner wishes to determine if roads authorities are meeting their duty to enter notices for all of their works on the SRWR. This is done by measuring the number of Actual Start Notices and Completion Notices entered on to the SRWR. The Commissioner also wishes to keep under review the designations given to works.

		2015/16				2015/16	2016/17				2016/17
		Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Total	Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Total
Works Started	**Indicator Report 9a**	71	96	59	71	297	93	95	149	138	475
Works Completed	**Indicator Report 9b**	68	91	69	65	293	77	105	161	132	475
Permits/Consents/Works Under Licence	**Indicator Report 9c**	78	71	63	71	283	76	73	57	66	272
Emergency, Urgent or Remedial Dangerous Works	**Indicator Report 9a**	1	2	1	0	4	1	4	6	19	30
Minor, Standard, Major Works and Road Restrictions	**Indicator Report 9a**	70	92	57	70	289	90	85	143	114	432

Works Notices per 100km

The Commissioner wishes to ensure that all roads authorities are entering all their notices. To this end the number of notices issued by each authority has been analysed to give a figure representative of works per 100km. This figure is being used as a benchmark to compare information for each authority from the same SCOTS grouping (island, rural, semi-urban, urban and city). Road Lengths are taken from Chapter 4, Table 4.2 Public Road Lengths by Council Area and Class of the Scottish Transport Statistics.

		2013/14	2014/15	2015/16	Road Length (2015)	2016/17
North Ayrshire Council		32	27	29	1035	46
SCOTS Group - Semi-urban Group						
East Ayrshire Council		44	25	28	1147	26
East Lothian Council		46	41	38	931	37
Fife Council		86	90	86	2388	72
Midlothian Council		38	34	40	666	35
South Ayrshire Council		36	31	36	1161	31
South Lanarkshire Council		95	97	156	2271	186
Stirling Council		54	59	51	1011	52
West Lothian Council		110	75	80	1023	90
SCOTS Semi-urban Group Average		*[60]*	*[53]*	*[61]*	*[11,698]*	*[64]*

Fixed Penalty Notices

The Commissioner is monitoring the number of roads authorities which are issuing Fixed Penalty Notices. This is included for information only as the issuing of FPNs is at the discretion of the roads authority.

		2015/16				2015/16	2016/17				2016/17
		Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Total	Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Total
Potential Undertaker FPNs in this authority area	Indicator Report 1	44	31	25	31	131	74	33	52	61	220
Actual FPNs given	Indicator Report 1	23	18	22	12	75	19	67	20	42	148
FPNs given for Road (Scotland) Act Offences	Indicator Report 3	0	1	0	0	1	0	0	0	1	1

Contact Details

The Commissioner wishes to ensure that all roads authorities are entering accurate contact details to ensure good communication.The SRWR triggers a warning if a notice is created without contact details for the Originator of the notice and the Contractor carrying out the works.Data is presented as a percentage of R9a & R9c to include works started and those works under licence and permissions.

	2015/16				2015/16	2016/17				2016/17
	Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Total	Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Total
Number of works recorded without correct contact details	N/A	N/A	N/A	N/A	0	N/A	N/A	9	0	9
Percentage of works input under this category	N/A	N/A	N/A	N/A	0%	N/A	N/A	4%	0%	2%

Management and Timing of Works

Timing of Works

The Commissioner wishes to review the use of RAUC(S) agreed procedures relating to Early Starts, Late Starts, Overrunning Works and Works Extensions. Early Starts, Late Starts and Work Extensions are presented as a percentage of all works.

		2015/16				2015/16	2016/17				2016/17
		Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Total	Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Total
Number of Early Starts	Indicator Report 10	36	39	24	58	157	19	48	21	36	124
Percentage of Early Starts		51%	41%	41%	82%	53%	20%	51%	14%	26%	26%
Roads Authority Early Starts Average		[24%]	[21%]	[21%]	[28%]	[24%]	[24%]	[25%]	[23%]	[27%]	[25%]
Number of Late Starts	Indicator Report 10	8	10	4	4	26	7	2	2	3	14
Percentage of Late Starts		11%	10%	7%	6%	9%	8%	2%	1%	2%	3%
Roads Authority Late Starts Average		[2%]	[2%]	[1%]	[2%]	[2%]	[2%]	[2%]	[2%]	[2%]	[2%]
Number of Overrunning Works	Indicator Report 6	1	2	0	1	1 outstanding	1	0	2	0	0 outstanding
Number of Work Extensions	Indicator Report 12	10	38	32	33	113	22	38	29	24	113
Percentage of Work Extensions		14%	40%	54%	46%	38%	24%	40%	19%	17%	24%
Roads Authority Work Extensions Average		[19%]	[16%]	[24%]	[22%]	[20%]	[16%]	[14%]	[19%]	[17%]	[17%]
Works Awaiting Closure	Indicator Report 16	0	0	0	0	0 outstanding	0	0	0	0	0 outstanding

Traffic Management Not Yet Known

Misuse of "Not Yet Known" Traffic Management Type

The Commissioner wishes to monitor the misuse of this category. The SRWR triggers a warning if Traffic Management "Not Yet Known" is still selected at the follow-up notice stage (7 days before the start of the works). Data is presented as a ratio of all Works Started.

	2015/16				2015/16	2016/17				2016/17
	Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Total	Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Total
Number of works recorded late as "Traffic Management not yet known"	0	0	0	0	0	0	1	0	0	1
Percentage of works input under this category	0%	0%	0%	0%	0%	0%	1%	0%	0%	0%

Gazetteer Updates

The Commissioner wishes to monitor the frequency of submission of Gazetteer updates made to the SRWR. These submissions should be made every quarter, but on the rare occasions there are no new roads in the council area the submitter can report that there is no update required.

	2015/16				2015/16	2016/17				2016/17
	Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Total	Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Total
Submissions made	Update Submitted	Update Submitted	Update Submitted	Update Submitted	**4 Successful Submissions**	Update Submitted	Update Submitted	Update Submitted	Update Submitted	**4 Successful Submissions**

Sample Inspections Undertaken

The Commissioner wishes to ensure that all roads authorities are undertaking their statutory sample inspections as required.

		2015/16				2015/16	2016/17				2016/17
		Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Total	Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Total
Statutory Sample Category A Done	Quarterly Inspections	41	9	13	21	84	23	20	41	75	159
Passed	Reports	39	8	11	20	78	21	19	38	71	149
Pass Rate Percentage		95%	89%	85%	95%	93%	91%	95%	93%	95%	94%
Statutory Sample Category B Done		35	29	18	28	110	25	26	39	70	160
Passed		35	29	18	27	109	25	25	37	65	152
Pass Rate Percentage		100%	100%	100%	96%	99%	100%	96%	95%	93%	95%
Statutory Sample Category C Done		66	40	23	37	166	42	57	43	19	161
Passed		62	39	23	37	161	42	57	42	19	160
Pass Rate Percentage		94%	98%	100%	100%	97%	100%	100%	98%	100%	99%
Sample Inspection Target	SRWR Inspection Statistics	141.75	141.75	141.75	141.75	567	134.25	134.25	134.25	134.25	537
Sample Inspection Done		142	78	54	86	360	90	103	123	164	480
Percentage of Samples Done		100%	55%	38%	61%	63%	67%	77%	92%	122%	89%

Attendance at Meetings

The Commissioner wishes to ensure that at least 75% of Area RAUC(S) meetings are being attended to ensure co-operation and co-ordination takes place.

	2015/16				2015/16	2016/17				2016/17
	Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Attendance	Apr - June	Jul - Sep	Oct - Dec	Jan - Mar	Attendance
Area RAUC Attended **SW RAUC**	Y	Y	Y	Y	100%	Y	Y	Y	Y	100%

NORTH AYRSHIRE COUNCIL

Agenda Item 7

14 November 2017

Audit and Scrutiny Committee

Title:	**Self-directed Support Progress Report 2017 (Audit Scotland)**
Purpose:	To update Audit and Scrutiny Committee on Self-directed Support progress from a national and local perspective.
Recommendation:	The Audit and Scrutiny Committee are invited to note recommendations from the external Self-Directed Support Progress Report 2017

1. Executive Summary

1.1 The Social Care (Self-directed Support) (Scotland) Act 2013 gives people flexibility around how their social care is arranged, delivered and managed. It assists people to make informed decisions about how much choice, responsibility and ongoing control they want over their own support arrangements.

1.2 The Health and Social Care Partnership (HSCP) has a legal duty to assess people in need of social care. We also have a duty to offer and explain the nature and impact of how they choose to receive their support.

1.3 There are four options to choose how support is arranged, delivered and managed. The options following assessment and application of eligibility criteria are:

- Direct Payment – person receives a cash payment from the Council and arranges, pays for and manages the support they choose to meet their assessed need.
- Individual Service Fund – Council arranges and pays for the support the person chooses but the person manages this with the provider to meet their assessed need.
- Council Arranged Services – Council chooses, arranges, delivers and pays for the support they think best meets the person's needs.
- Mixture of the above three options.

1.4   There are four statutory principles to guide the HSCP in implementing Self-directed Support (SDS) duties.   These are participation and dignity, involvement, informed choice and collaboration (Appendix 1). These express the ethos of SDS whilst carrying legal weight, fundamentally, all principles should be applied to every health and social care assessment process to allow people to have greater independence, choice and control resulting in more meaningful support.

2.   Background

2.1   The National Self-directed Support (SDS) Strategy 2010 – 2020 is a joint Scottish Government and COSLA 10-year plan dedicated to driving the personalisation of social care in Scotland.

2.2   Currently we are 7 years in to a 10 year strategy, since 2012 the Scottish Government has contributed almost £70 million to support SDS implementation.

2.3   The first and second tranches of the transition of social care focused on the promotion and awareness of SDS and production of guidance on how to apply SDS Implementation Plan 2016-2018 (Appendix 2).

2.4   The Self-directed Support 2017 Progress Report is part of the third phase of the Strategy and highlights the issues currently faced in implementing SDS, as well as positive steps made.

2.5   The report is based around 5 Key Messages

- SDS implementation stalled during the integration of health and social care services
- SDS Strategy not fully implemented
- Lack of staff awareness
- Limited public resources and funding
- Pressure on service providers to offer flexibility to service users

3.   Proposals

3.1   Within North Ayrshire we are tackling the Key Messages above by:
- Working in partnership with service users, carers and providers to design more flexibility and choice into support options.
- Providing information on sources of support to those who are accessing SDS.
- Working with Learning and Development to provide staff with further training and help on identifying and planning for outcomes.
- Sharing good practice and offering staff guidance and support, through a nominated Practitioners Forum.
- Reviewing processes to support transition between services.
- Providing support to service users and carers who have identified as critical after applying the Eligibility Criteria.

- Working with Service Design and Procurement & Carefirst to streamline processes and data collection.
- Employing a SDS Practitioner post (funding agreed) to further develop and embed SDS as part of daily practice.
- Practitioner consultation and Audit Action Plan established (Appendix 3 & 4)

4.   Implications

Financial:	Across Scotland local authorities are working with limited public resources and reduced funding. The aim for the HSCP is to better manage demand and expectations and ensure everyone understands their role in the context of our financial envelope.
Human Resources:	The key is to fully work in partnership to deliver SDS across HSCP. This involves social care workers, allied health professionals, finance, commissioners and regulators of support, advice and guidance services but most importantly supported people and their unpaid carers.
Legal:	Taking into consideration the values and principles of both the Social Care (Self-directed Support) (Scotland) Act 2013 and the North Ayrshire Eligibility Criteria for social care and support, the HSCP need to provide fair, transparent and sustainable services in order that we meet our statutory duties.
Equality:	Taking into consideration the values and principles of both the Social Care (Self-directed Support) (Scotland) Act 2013 and the North Ayrshire Eligibility Criteria for social care and support, the HSCP need to provide fair, transparent and sustainable services in order that we meet our statutory duties.
Environmental & Sustainability:	The development of systems and processes that focus on the person and are easy to navigate, reporting continues to be a challenge. HSCP will involve and seek guidance from our Care First colleagues at the earliest possible juncture.
Key Priorities:	Supporting service users to be supported in new and effective ways through SDS, thus improving their quality of life. Providing staff with training and offering support to apply their professional judgement. To encourage greater application of choice between all four options.
Community Benefits:	Raising awareness to service users, carers and providers will provide true choice and control.

5.   Consultation

5.1   This paper has been developed in conjunction with the SDS Team.

5.2   This report provides Key Messages from the SDS Progress Report 2017, and identifies current practice within North Ayrshire. The Full report can be found in
http://www.audit-scotland.gov.uk/uploads/docs/report/2017/nr_170824_self_directed_support.pdf

STEPHEN BROWN
Director (North Ayrshire Health and Social Care Partnership)

Reference : KO/CA
For further information please contact Isabel Marr, Senior Manager, Long Term Conditions on 01294 317828.

Background Papers
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Appendix 1

Four Principles of Self-directed Support

- **Involvement**

Is the support services through its practice ensuring that the supported person is able to have as much involvement as they wish in the day to day implementation of the support which they have purchased? Are staff evidencing skills which enhance the opportunities for individuals to express opinions, to direct their support, to make choke and to make their feelings know? Are staff skilled in ensuring that their support and carer are achieving the outcomes identified in the support plan?

- **Collaboration**

Providers must collaborate with the supported person in the provision of any support identified and agreed on completion of their assessment in order for them to be supported to achieve the outcomes they have identified. Is this evident in the practice of the support organisation and its representatives? Are other key stakeholders such as families and advocates as fully engaged and involved as they might be? Is the organisation robust in dealing with complaints and concerns?

- **Informed Choice**

The supported person must be provided with any assistance that is reasonable to assist them to express their own view about the support that is being provided or to make any changes to that support including the specific involvement of individual staff in their lives. Is it clear that the individual understands the range of choices available to them and are they supported by appropriate communication supports to make such choice?

- **Participation and Dignity**

This applies to the whole relationship between a provider and the supported person. It seeks to place person-centred support based on an individual being able to exercise their human rights at the heart of all social care support and delivery. Clearly there is a close relationship between this statutory principle and the National Care Standards, so inspection will seek to highlight the degree to which systematically, and on an individual basis, the supported person worker/organisational relationship is embedded within an emphasis on individual autonomy and dignified care and support. It will be of particular importance when making decisions around risk enablement and personal safety.

Healthier Scotland
Scottish Government

COSLA

2010-2020

Self-directed Support Strategy

Implementation Plan
2016-2018

> " **Self-directed Support can let you do your absolute favourite things and lets you live the life you want.**

Lewis Drummond, 19

Foreword

When he was four, my son Lewis was diagnosed with moderate learning difficulties and hypotonia (decreased muscle tone). Lewis always had an avid interest in music and singing – musical instruments and nursery rhymes always held his attention when not much else would. When he was growing up we took him to all the free music events we could – bagpipe championships, choirs and hymns at church. But as a teenager Lewis needed more in his life than his family and school, and that's when his social worker introduced him to Self-directed Support and the Community Brokerage Network.

Self-directed Support has been crucial in helping Lewis excel in his talent and experience many new things. He has learned so much over the last couple of years, not just musically but socially too.

Information, advice and encouragement from the Brokerage Network helped to match opportunities to Lewis' individual wishes and interested. They played a huge part in this success for Lewis.

Lewis now attends the Royal Conservatoire of Scotland with a support worker. This gives him time away from the family environment with peers who have much the same interests. Lewis can finally have meaningful conversations about in-depth classical music notations, scales and compositions. His musical composition lecturers commented on how much he has matured over the last year, that he is more able to listen and he is calmer.

**Gillian Drummond,
Kilmarnock**

....

I would like to see my pieces being performed by a band or orchestra. I would like to go to the Royal Conservatoire of Scotland full time – although I don't know what Ayrshire college would do without me! I still need to learn important things in college like following the law and learn how to do a job, hopefully in music. I'm hoping to learn to go out by myself and how to look out for traffic without any help. My main wish is to go to RCS full time.

Lewis Drummond, 19

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Introduction

What is Self-directed Support?

Self-directed Support allows people, carers and families to make informed choices about what their social care support is and how it is delivered. It aims to empower people to be equal partners in their care and support decisions and to participate in education, work and social life.

Local authorities have a legal duty to offer people who are eligible for social care four options about how their care and support is delivered. Local authorities must also ensure they have access to support to help them make informed choices. The options are (1) a Direct Payment (a cash payment); (2) funding allocated to a provider of your choice (sometimes called an individual service fund, where the council holds the budget but the person is in charge of how it is spent); (3) the council can arrange a service for you; or (4) you can choose a mix of these options for different types of support.

The principles of choice and control should apply to any assessment process, contact with universal public services and engagement with voluntary organisations about care and support.

You can find out more on the dedicated Scottish Government information site www.selfdirectedsupportscotland.org.uk.

The Self-directed Support Strategy

The National Self-directed Support Strategy 2010-2020 is a joint Scottish Government and COSLA 10-year plan, dedicated to driving forward the personalisation of social care in Scotland. In the first phase of the strategy, from 2010-2012, we developed information to promote understanding of Self-directed Support. The second phase, 2012-2016, was focused upon development of the Social Care (Self-directed Support) (Scotland) Act 2013, guidance, and supporting innovation. We have now reached the third phase, and there is still a lot more to do.

A wide set of public service reforms have been taken forward since the Strategy was launched in 2011, most notably health and social care integration. Set in this

> " **People must be empowered to make choices and have greater control over their lives. Our shared journey to creative and flexible support has started, but we need to continue to work together to make this a reality for everyone.**
>
> **Aileen Campbell, Minister for Public Health and Sport**

context, the priority for 2016-2018 is to **consolidate the learning** from innovative practice and the application of guidance; and to embed Self-directed Support as Scotland's mainstream approach to social care. Since 2011 Scottish Government has invested £58.8m in facilitating this transition.

Thousands of people across Scotland have worked tirelessly to create the changes that have already been achieved. This includes people from disabled peoples' organisations, social care providers, independent support and information organisations, local authorities, health boards, regulators, and of course people who use social care services and support.

The Scottish Government, COSLA, Self Directed Support Scotland (SDSS), Social Work Scotland, Scottish Social Services Council (SSSC), Coalition of Care and Support Providers in Scotland (CCPS), Care Inspectorate, Scottish Care and Healthcare Improvement Scotland have worked together to produce this plan; and we will continue to work together to deliver the actions.

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> *Councils and their integration partners are committed to reforming health and social care services and changing the way we think about care and support. We want to build on people's strengths and I'd encourage all stakeholders to support this by focusing on how they can help deliver the outcomes set out in this plan.*

Councillor Peter Johnston, COSLA Health and Wellbeing spokesperson

About this plan

This implementation plan reinforces the human rights based values and principles enshrined in the Social Care (Self-directed Support) (Scotland) Act 2013.

Values	Principles
Respect	Involvement
Fairness	Collaboration
Independence	Informed Choice
Freedom	Participation
Safety	Dignity

The content of this plan is drawn from evidence produced in the first two phases of the strategy, practice evidence and analysis of 18 months of engagement activity.

Renews our vision that:

The lives of people who require support are enriched through greater independence, control, and choice. This leads to improved or sustained health and wellbeing, and the best outcomes possible.

Self-directed Support is the mainstream approach by which we deliver social care and support, ensuring people can make real informed choice which enables them to achieve their identified outcomes.

Set against four **strategic outcomes**, this plan sets out what has started to change, what national partners will do during 2016-2018 to address the **challenges** that have been identified, and what success will look like. It ends with how we will evaluate impact.

Who is the plan for?

This plan is for people who believe in the values and principles of Self-directed Support and must continue to make the changes necessary to realise the vision. It should be read by people leading strategic change within health and social care partnerships, social workers, people who manage social care services, care workers, supported people, commissioners of social care support, organisations providing information and advice, centres for inclusive living, allied health professionals, unpaid carers and those working in national organisations that support improvement in, and provide regulation of, the social care workforce and services.

Your action counts

The vision and strategic outcomes will not be realised through the actions in this plan alone. It will take the commitment of many more partners working collaboratively within local communities and nationally to achieve this. There is a key role for local authorities who hold many statutory duties under the Self-directed Support Act 2013. They will continue to take a lead role in collaborating with a full set of local partners, including the arrangements put in place with NHS Boards for integrated health and social care, to drive the changes necessary within their local authority areas to deliver the strategic outcomes and realise the vision in this plan.

To date there has been considerable innovation driven by voluntary organisations and local communities, working together with statutory partners. Learning from this and creating more of it will make a significant contribution to the success of this plan.

While the actions detailed in this plan will be led by the named partners, your contribution to this work is essential. You will find details of how you can get involved on our website.

You can also share practical tools, stories of change, and evidence of what you are doing by sending them to us.

Website: www.selfdirectedsupportscotland.org.uk
Email: selfdirectedsupport@gov.scot
Twitter: @SG_SDSPolicy

Strategic Outcomes

The following **strategic outcomes** relate to the ambitions of the Self-directed Support Strategy and set out the changes we want to see in making Self-directed Support a reality. These outcomes contribute to all of the Health and Wellbeing Outcomes.

1 **Supported people have more choice and control**

Citizens are engaged, informed, included and empowered to make choices about their support. They are treated with dignity and respect and their contribution is valued.

2 **Workers are confident and valued**

People who work in health and social care have increased skills, knowledge and confidence to deliver Self-directed Support and understand its implications for their practice, culture and ways of working.

3 **Commissioning is more flexible and responsive**

Social care services and support are planned, commissioned and procured in a way that involves people and offers them real choice and flexibility in how they meet their personal outcomes.

4 **Systems are more widely understood, flexible and less complex**

Local authorities, health and social care partnerships and social care providers have proportionate, person-centred systems and participatory processes that enable people who receive care and support live their lives and achieve the outcomes that matter to them.

Challenges

At this stage in the 10-year strategy it was important to take stock of what has been achieved and what has been challenging to achieve.

People told us these are the things that continue to be challenges to making Self-directed Support work for everyone who receives social care support:

- **Commissioning** – How to develop good flexible commissioning and procurement arrangements which place people at the heart of decision making.
- **Risk enabling practice** – How we better support people to achieve their agreed outcomes creatively whilst balancing the need for protection.
- **Working with limited public resources** – How we better manage demand and expectations through effective use of resources and develop a shared understanding of how this can be achieved in the context of reduced public funding.
- **Knowledge and awareness** – How we increase awareness and understanding of Self-directed Support amongst the workforce, supported people, carers and communities.
- **Major system change** – How we understand and work with other public sector reform agendas to ensure that Self-directed Support remains a high priority, particularly in the new integrated arrangements.
- **Systems and processes** – How we develop systems and processes for delivering Self-directed Support which are easy to navigate, transparent and focused on the person.

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> **Having greater control of your life and decision making leads to improved health and wellbeing.**

Strategic Outcome 1

Supported people have more choice and control

Citizens are engaged, informed, included and empowered to make choices about their support. They are treated with dignity and respect and their contribution is valued.

What has changed?

Over phases 1 and 2 of the Self-directed Support strategy we have observed that:

- There is a greater understanding of Self-directed Support and how it can lead to positive outcomes.
- There is greater use of local facilities, community groups and personal networks as part of people's care and support.
- There are better conversations between workers and supported people that help to understand what matters to them.
- People are seeking and receiving help and advice from a variety of sources, including independent support organisations and health and social care services as well as their social workers.
- More social care providers are offering flexible, personalised and outcome based support.
- Supported people, their carers and family members are increasingly being recognised as equal partners in decisions made about their care and support.
- Technology is being used more effectively to give people greater choice and control over their support.

What we will do during 2016-18 to facilitate change

- Scottish Government will implement new human rights based National Health and Care Standards across health and social care services.
- Scottish Government will continue to invest in the 34 projects of the Support in the Right Direction programme. These are building the capacity and availability of independent information, advice and support services across Scotland to enable more people to exercise choice and control.
- SDSS will support more user-led disabled people's organisations to build their capacity and standing within the localities they operate.
- Scottish Government will evaluate the role of quality information and advice to enable people to make genuine individual choices and promote independent living.
- Scottish Government and SDSS will lead a national communication group to promote a clearer, shared understanding of Self-directed Support across Scotland.
- SDSS will carry out a survey of service users experience of Self-directed Support every two years.
- We will share learning from tests of direct payments within residential care homes across Moray and East Renfrewshire.
- All partners will continue to capture and share stories and evidence, of what is working well, and what still needs to change.

Success

We will know this outcome is being achieved when:

- There is a shared understanding across supported people, carers, care providers and commissioners of what Self-directed Support is and how it can work.
- More people report they had a good quality conversation about what matters to them with workers, that enabled them to make genuine individual choices, empowered them to take control and promoted independent living.
- Specific tests teach us how Self-directed Support can work for more people, for example, people with mental health problems, children and families, people who are homeless or recovering from addictions.
- Care Inspectorate and Healthcare Improvement Scotland Inspections of registered services demonstrate more people experience the principles of the new National Health and Care Standards: dignity and respect, compassion, be included, responsive care and support and wellbeing.
- Strategic Commissioning plans help us better understand how major system changes such as integration of health and social care support the implementation of Self-directed Support.

" "

Citizens are engaged, informed, included and empowered to make choices about their support.

Strategic Outcome 2

Workers are confident and valued

People who work in health and social care have increased skills, knowledge and confidence to deliver Self-directed Support and understand its implications for their practice, culture and ways of working.

What has changed?

Over phases 1 and 2 of the Self-directed Support Strategy we have observed that:

- Workers and operational managers tell us they have increased skills, knowledge and confidence in implementing Self-directed Support.
- Workers and operational managers are recognised and supported to deliver strength based, outcomes-focused support for individuals.
- Social care providers are changing the way that they organise and deliver support, adopting a more person-centred, outcomes-focused approach.
- Organisations have fostered a culture of continual learning and development and reflective practice.
- Technology is being used more effectively to share information and innovations across a diverse workforce.

What we will do during 2016-18 to facilitate change

The Scottish Government will:

- Continue to invest in SSSC Integration and Self-directed Support workforce development programme to build the confidence and capacity of workers in health and social care partnerships for problem solving and improvement approaches.
- Continue to invest in Social Work Scotland programme to support the integrated partnership workforce to better understand and implement Self-directed Support.
- Continue to invest in Providers and Personalisation (P&P), a policy and practice change programme hosted by CCPS. The programme will deliver workshops and events to share practice; discuss and address challenges; and explore the application of Self-directed Support in new service areas www.ccpscotland.org/pp/.

- Continue to invest in the 21 projects of the Innovation Fund to enable third sector organisations to promote culture change that will enable more flexible and creative social care support.
- Review the actions in the Vision and Strategy for Social Services to create a socially just Scotland with excellent social services delivered by a skilled and valued workforce.

Success

We will know this outcome is being achieved when:

- There is a shared understanding across the whole workforce, including for example finance and administration, of what Self-directed Support is and how it can work.
- The workforce and supported people feel more confident in managing risk together, and develop a culture that supports innovation and creativity. This will balance the need for protection and compliance with legislation.
- There is an understanding of how to support practice which is focused on assets, personal outcomes and prevention is widespread, within the context of reduced public funding.
- More communities will be engaged in addressing needs within their communities.
- There will be a sustainable social care workforce who are equipped and endorsed to work collaboratively and develop partnerships at both a local and national level.

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Good conversations empower people to take control and promote independent living.

Strategic Outcome 3

Commissioning is more flexible and responsive
Social care services and support are planned, commissioned and procured in a way that involves people and offers them real choice and flexibility in how they meet their personal outcomes.

What has changed?
Over phases 1 and 2 of the Self-directed Support strategy we have observed that:
- Commissioners, providers and communities are working together to create more innovative approaches to ensuring greater choice of support, for example, through the development of micro and social enterprise.
- We have seen increased interest in collaborative approaches to commissioning including alliance contracting and public-social partnerships.
- New social care procurement legislation and guidance promotes flexible contracting which will facilitate more choice and control for supported people.
- There is now more understanding of Option 2 (Self-directed Support Act 2013) by commissioners and providers and more flexible approaches to support provided through Option 3.
- There is significant interest in making Option 2 work from a commissioning and procurement perspective.

What we will do during 2016-18 to facilitate change
- The improvement hub (ihub) at Healthcare Improvement Scotland and the Care Inspectorate, will work with the health and social care partnerships and national bodies to support co-production, and engagement of local communities, in the provision of social care services. This will help ensure that a range of services are available to people to meet their needs.

- Coalition of Care Providers in Scotland will deliver events and workshops for providers and commissioners to share learning about commissioning, market facilitation and the impact of procurement on Self-directed Support Option 2.
- CCPS will deliver a collaborative learning programme to bring together providers, commissioners and service users to discuss working within financial constraints.
- Care Inspectorate and Healthcare Improvement Scotland will scrutinise strategic commissioning as part of their joint inspection programme.

Success
We will know this outcome is being achieved when:
- More health and social care partnerships are taking collaborative approaches to commissioning to deliver more flexible and responsive support and services.
- The flexibilities available within new procurement legislation are being used to develop more innovative approaches to delivering social services, including models of care developed by and for local communities. In particular, where there is a shortage of providers within an area.
- Health and social care partnership strategic commissioning and implementation plans clearly support flexible and innovative services that promote Self-directed Support.

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People are able to live their lives and achieve the outcomes that matter to them.
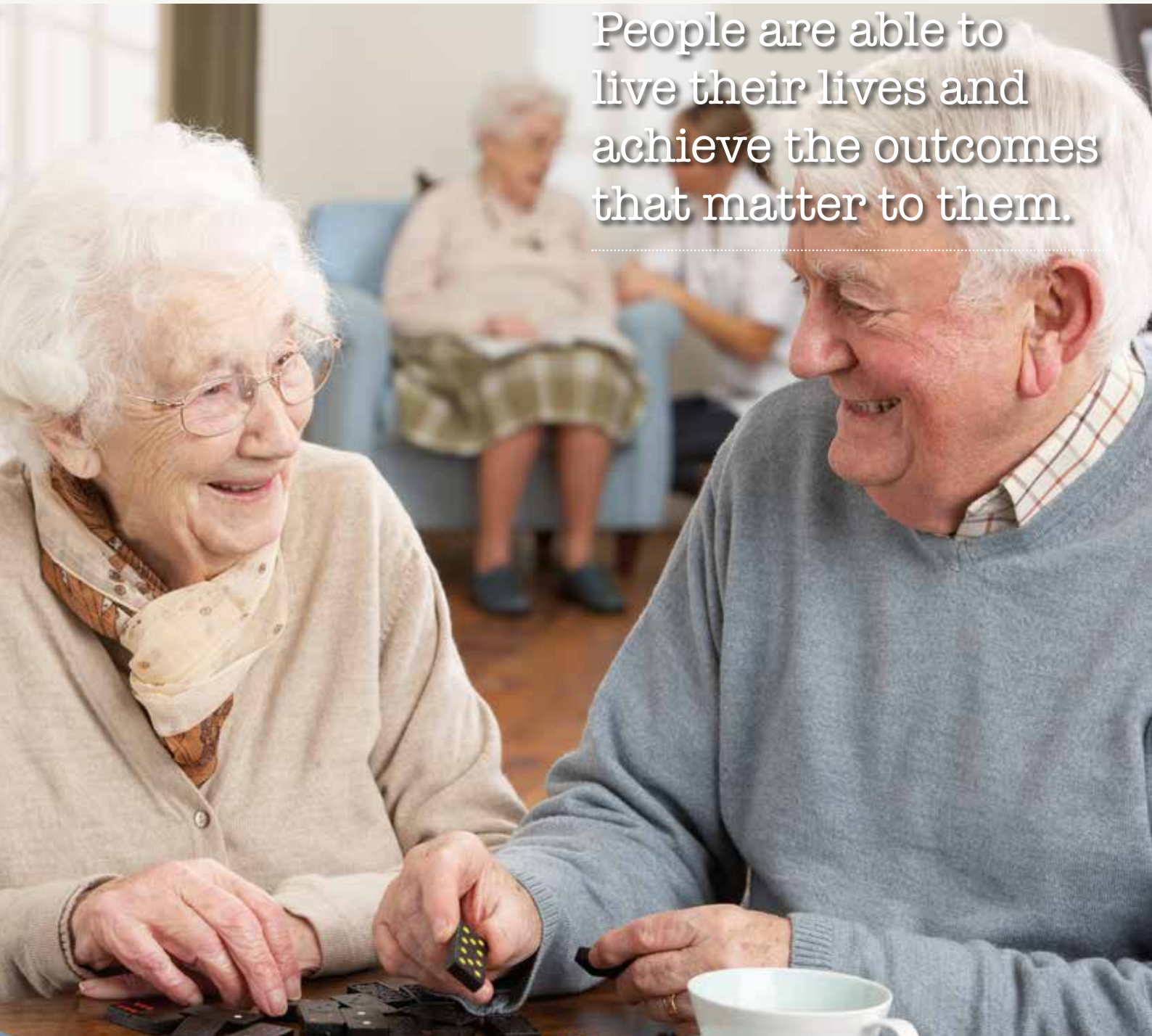
Strategic Outcome 4

Systems are more widely understood, flexible and less complex

Local authorities, health and social care partnerships and social care providers have proportionate, person-centred systems and participatory processes that enable people who receive care and support live their lives and achieve the outcomes that matter to them.

What has changed?

Over phases 1 and 2 of the Self-directed Support strategy we have observed that:

- Social work services, commissioners and providers are re-designing their assessment and support systems to focus on people's strengths and on the outcomes they want to achieve.
- We have better information about the choices people are making through Self-directed Support, and can use this to help plan flexible services for the future.
- Statutory services and care providers are beginning to work more effectively together to provide earlier interventions, build relationships with people who are disengaged or isolated, and deliver more personalised care.
- Health and social care partnerships are working with communities and providers to plan for more joined-up health and social care support which gives people greater choice and control.

What we will do during 2016-18 to facilitate change

- Scottish Government will invest £3.52m in local authorities to embed culture change and continue to develop simple and effective systems which are easy to navigate and enable people to access the support they need.
- Scottish Government, COSLA and Social Work Scotland will carry out a survey of local authority implementation of Self-directed Support. The information gathered will help shape improvement support.
- CCPS P&P programme will continue with their three-year commissioned research project into provider experiences of implementation of Self-directed Support and the sector's responses to this.
- Scottish Government, COSLA and Social Work Scotland will lead a project to support local authorities, health and social care partnerships and providers to overcome barriers to system changes.
- The Care Inspectorate, Healthcare Improvement Scotland, SSSC and NHS for Education Scotland will support social care and primary health care leaders to develop more integrated services and commissioning arrangements, which support the implementation of Self-directed Support across the health and social care system.
- SSSC will facilitate the co-design of a Self-directed Support Systems Map and resources that will help to overcome barriers to system change.
- Scottish Government and the Care Inspectorate will work with three localities to test and refine a national outcomes based improvement framework for Self-directed Support.
- The Care Inspectorate will highlight successful practice, and areas for improvement, in the implementation of Self-directed Support across social work, social care and commissioning practice.

Success

We will know this outcome is being achieved when:
- Local authorities, partnerships and providers have effective systems and processes which are easy to navigate and enable people to access the support they need.
- Input of the whole workforce, including finance, legal and procurement staff, is valued and its impact on how people experience support is recognised.
- The information we have about the choices people are making and the difference that this is making to their lives is improved.
- Scrutiny evidence demonstrates improved outcomes for people.

How will we know?

We will review a full range of evidence to evaluate impact across the four strategic outcomes including:
- Social Care Survey.
- Health and Social Care Experience survey.
- Survey of local authority implementation.
- Support in the Right Direction six-monthly programme reports.
- Innovation Fund six-monthly programme reports.
- Self Directed Support Scotland survey of service users experience.
- Audit Scotland Self-directed Support Audit
- Care Inspectorate and HIS Service Inspection Reports.
- Care Inspectorate and HIS Strategic Inspection Reports.
- Scottish Government-led evaluation of the role of information and advice to support people to make informed choices about their care and support.
- Evaluation of specific projects and programmes.
- Health and Social Care Partnership Strategic Commissioning Plans.
- Health and Social Care Partnership Performance Reports.
- Ongoing review of learning from activity contained in this plan.

What's working well	What could be improved	Priority/quick win
• **Approach & ethos** applied and able to be **more flexible** and **creative (minority)** • **Training** was ok & understood **(minority)** • **Budget approval (minority)** • **Eligibility** does not apply **(two services)** advice/guidance and support is for all • **Dual Support (minority)** • **Holistic assessment**/one plan • **Direct Payment** despite lack of clear process/structure/timescale • **Quality of assessment (minority)** engagement and effective relationships being built • **Services help** service users to remain in their own home as independently as possible for as long as possible	• **Paperwork** – more system than person friendly does not promote ownership for the SU • **Action Plan** – is not an effective tool, sits separately and does not report outcomes • **SU & Staff general understanding** and expectations of care and support from each option of SDS • Make EVERYTHING more simple with less duplication – **What does it mean for me? (staff, SU, Carer)** • **Clarity/agreement on supports** permitted by all Senior Managers (Travel, Socialisation) • **RAS** is not used in every case/team and does not capture the needs/outcomes of SU/Carers. It is time and task based • **Eligibility** does not apply as some of our duties i.e. advice/guidance is for all – low level needs • **Budget Approval and Sign Off (majority)** particularly for DP • **Early interventions and prevention** – needs to be more of • **Dual Support (majority)** balancing traditional and alternatives • **Choice of Support Providers and their ability to recruit staff (all agree)** • **Carers** … How do we identify and split support appropriately • **Respite** – alternatives to and the development of services	• Pathfinder **paperwork**/approach a preferred option **(minority)** • **Clear, simple, practical guidance** development within the teams to truly embed SDS (Practice Forum strictly for SDS) • **System** to support the ethos and process and not the reverse • **Carers** … how do we identify and split supports • **RAS** (consider review of CwD match bands of Eligibility) • **Clear Eligibility** (consider review of CwD) • **Transition cases** – Invite adult care providers onto tender for framework • **Reviews** – staff to improve reporting of 'distance travelled' for SU/Carer**. Work on Support Plan Review.** • **Encourage Option 2 – Individual Service Fund** • **Training** – Financial aspects of SDS. Finance/AILN/Helen Jones joint effort

• **Budget Management** – has made services more cautious and prone to screening assessment/plans	• **Socialisation 'v' Social Isolation** with the feeling that we have fallen back into service land • **Pathfinder** We need to draw a line in the sand • **Option 2 Process** is too bureaucratic and needs streamlined • **Charging Policy** is applied in all cases and equally • **Community Connectors** to connect with or be based in the teams • **Confident staff** who can advise, guide, support and manage • **Disparity of Budgets** – more £ available for Adults = age discrimination • **Equal PA Rates** - complexity of some PA roles and clear guidance on what can/can't be paid • Accuracy of **assessment and action plan** completion and recording • **Contingency Planning** and ultimate duty of care • **Reviews** – needs to be quicker and more often • Teams looking more to **natural supports** and having the difficult conversation with services users around strengths rather than deficits • **Equity of options** • **Budgets are not appropriately aligned for services**	• **Faster decision making and/or one decision maker for Adults & Older People** – with reasoning for the decision and consistency with timescales attached • **Contingency Planning** – more attention and time spent on capturing and recording • **Accurate Assessments**

	Audit Findings/Actions	Audit Priority	Actions Required	Lead	Due Date
1	Staff to record the correct option selected by the service user on Care First	2	1.1 Review the effectiveness of the CF system. Identify system changes required & report to Panel.	Neil McLaughlin/Kim Mroz	30/06/17
			1.2 Prepare a prompt/note to be discussed with teams.	Kim Mroz	
			1.3 Extract quarterly reports for submission to panel to Audit Performance.	Kim Mroz	
2	Signed assessment & support plan paperwork must be held on file for all service users. Arrangements will be made to have all paperwork signed by service user/representative	2	2.1 Review to be carried out on 2,025* SDS cases to confirm numbers unsigned. Allocate cases unsigned to worker for signature.	Kim Mroz	31/03/17
			2.2 To avoid future occurrences of unsigned paperwork, guidance to be issued detailing the reasons for authorisation. To be discussed at Team Meetings.	Kim Mroz	
			2.3 Monitoring arrangements on authorisation to be put in place and quarterly casefile audit and report to Paul.	Kim Mroz	
3	Financial assessment/budgetary calculations to be retained on service user file	1	3.1 Assess functionality of RAS Calculator on Care First. Refine as necessary and then retain calculations.	Lisa Duncan/Neil McLaughlin/ Kim Mroz	31/12/16
4	Finance to ensure evidence is provided by service user to support all	2	4.1 Short-life working group to review Direct Payment Procedure and report to Paul.	Helen Jones/ Anne Harrison/	31/3/17 to Panel

	transactions where in receipt of Direct Payment			Euan pope/Kim Mroz	
5	Review of underspends to be undertaken every 6-months	2	5.1 To be addressed by DP working group as above.	Helen Jones/ Anne Harrison/ Euan pope/Kim Mroz	31/3/17 to Panel
6	Support Reviews to be held with service user reviews at least annually (as per Section 12 of SDS Act 2013)	2	6.1 Each service user must have at least an annual review of their care and support action plan from the date of initial assessment.	Mary Francey/John McCaig/Dale Meller/Mae Henderson	30/09/17
			6.2 Care First flag a review date automatically from the date of initial assessment. Extract quarterly reports for submission to Paul to Audit Performance	Neil McLaughlin/Kim Mroz	

*As at Aspire Reporting June 2016
Audit Priority: 1 – Control weakness requiring prompt attention
                      2 – Control weakness needs to be rectified, but where there is no material impact on the achievement of the control objectives
                      3 – Minor weakness

Update

1. Review of effectiveness of Carefirst System and ongoing working with Carefirst Team.
2. Internal audit completed, and Action Plan produced. Guidance issued to practitioners and monitoring procedures put in place.
3. Completed
4. Ongoing with quarterly checks in place
5. Ongoing 6 monthly - Clawbacks agreed by Senior Management, and forwarded to Finance for processing.
6. Ongoing updates

NORTH AYRSHIRE COUNCIL

Agenda Item 8

14 November 2017

Audit and Scrutiny Committee

Title:	**Internal Audit Reports issued**
Purpose:	To inform the Committee of the findings of Internal Audit work completed between 1 August and 31 October 2017.
Recommendation:	That the Committee (a) considers the outcomes from the Internal Audit work carried out; and (b) challenges services where there are significant weaknesses in internal controls.

1.   Executive Summary

1.1   The Council's local Code of Corporate Governance requires effective arrangements to be put in place for the objective review of risk management and internal control.   Internal Audit is an important element in this framework as it reviews internal controls and offers Elected Members and officers an objective and independent appraisal of how effectively resources are being managed.

1.2   The remit of the Audit and Scrutiny Committee includes the monitoring of Internal Audit activity. The submission and consideration of regular reports assists the Committee in fulfilling this remit.

2.   Background

2.1   This report provides information on the Internal Audit reports published between 1 August and 31 October 2017. Internal control reviews have been completed in respect of the areas detailed in Appendix 1 to this report. The aim of these reviews is to provide assurance that the internal control framework within the areas examined is appropriate and operating effectively.

2.2 The findings from each audit assignment have been notified in writing to the Chief Executive, the Executive Director (Finance and Corporate Support) and the relevant Executive Director and service managers on the completion of each assignment. Where appropriate, this has included an action plan detailing recommendations for improving internal control. Appendix 1 includes the executive summary and action plan from each audit.

2.3 Full copies of all Internal Audit reports are provided to all Elected Members, in confidence, through the Council's intranet site. Reports are held within the dedicated 'Members' information' area at:

http://naconnects.north-ayrshire.gov.uk/elected-members/audit-reports/audit-reports.aspx

2.4 The findings from 6 separate audit assignments are detailed at Appendix 1 to this report. The key findings are as follows:

- the audit trail for bookings and income transactions requires to be improved at the Arran Outdoor Centre, alongside adherence to the Council's Standing Orders relating to Contracts;
- system controls around access to sensitive information require to be tightened in Health and Social Care, especially in relation to officers who are changing their job roles.

3. Proposals
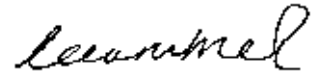
3.1 It is proposed that the Committee (a) considers the outcomes from the Internal Audit work carried out during the period; and (b) challenges services where there are significant weaknesses in internal controls.

4. Implications

Financial:	None.
Human Resources:	None.
Legal:	None.
Equality:	None.
Environmental & Sustainability:	None.
Key Priorities:	The work of Internal Audit helps to support the efficient delivery of the strategic priorities within the Council Plan 2015-2020.
Community Benefits:	None.

5. **Consultation**

5.1 The relevant services are consulted on Internal Audit findings during each audit assignment.

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LAURA FRIEL
Executive Director (Finance and Corporate Support)

Reference :
For further information please contact Paul Doak, Senior Manager (Internal Audit, Risk and Fraud) on 01294-324561.

Background Papers
None.

EXECUTIVE SUMMARY
ARRAN OUTDOOR EDUCATION CENTRE

Background

The audit was conducted as part of the 2017/18 audit plan.

Key Objectives

The main objectives of this audit were to:
- Ensure prices quoted by the Centre are in line with those approved by Cabinet
- Ensure cash handling is in line with Council regulations
- Review external income for the period of the audit
- Ensure compliance with procurement procedures
- Review compliance with HR policies and procedures
- Establish whether inventory is being managed efficiently and effectively
- Ensure data and IT equipment are being stored appropriately

Key Findings and Actions

All the recommended actions arising from this audit are detailed in the action plan which follows this Executive Summary. The key findings are as follows:

- Prices being charged by the Centre do not match those approved by Cabinet.
- A procedure for dealing with cash at the weekends must put in place immediately.
- A more detailed filing system is required for bookings, to ensure a full audit trail is available for every transaction.
- The Council's 'Standing Orders relating to Contracts' are not always being applied when procuring goods/services.
- Inventory records need to be reviewed

Audit Opinion

Overall, limited assurance was obtained with regard to the systems and procedures in place at Arran Outdoor Education Centre.

Staff should prioritise improving the audit trail for income transactions, and ensuring that 'Standing Orders relating to Contracts' are being adhered to. These two areas represent the most risk to the Council, both financially and reputational.

ACTION PLAN
ARRAN OUTDOOR EDUCATION CENTRE

Action	a
Action Description	Update the Centre's website, and all printed literature to show the prices approved by Cabinet.
Risk	In situations where the actual charge is higher than that approved by Cabinet – staff do not have the authority to charge the inflated price. In situations where the actual charge is lower than that approved by Cabinet - potential income is being lost.
Priority (1, 2, 3)	1
Paragraph Reference	3.2
Assigned to	Centre Manager
Due Date	31st December 2017
Management Response	The Centre Manager and Connected Communities staff were already working with Business Support to develop a revised business model and cost structure for the centre which would ensure the viability of the centre. This work is ongoing and once completed will be submitted for Cabinet approval during 2017.

Action	b
Action Description	Ensure that all future price uplifts are rounded to the nearest pound.
Risk	Calculating prices to the penny is unusual for the type of service being provided by the Centre, and wouldn't look right when quoted in marketing literature etc. It overcomplicates any cash purchases.
Priority (1, 2, 3)	3
Paragraph Reference	3.3
Assigned to	Centre Manager
Due Date	31st December 2017
Management Response	This action will be included within action point a

Action	c
Action Description	Receipts must be given for ALL cash taken by the Centre.
Risk	Incomplete cash records increase the risk of theft/loss. A full audit trail of cash transactions helps to mitigate these risks.
Priority (1, 2, 3)	1
Paragraph Reference	3.5
Assigned to	Centre Manager
Due Date	Completed
Management Response	Each Transaction is now completed within a NAC 3 page receipt book.

Action	d
Action Description	Paying by debit/credit card in advance should be actively promoted by staff, especially for weekend private courses/holidays. Weekend instructors/staff must be given access to a lockable receptacle, and a cash receipts book. This will ensure that all weekend cash receipts are safely stored, and accurately recorded. In addition, consideration should be given to producing basic paperwork for instructors to complete for weekend courses. Names of those booked on to a particular weekend course could be printed off by office staff on a Friday and left for the instructors. The instructors could then use this as a register to confirm who attended on the day, and could note on this any cash received, along with the corresponding cash receipt book number. This would give a more robust audit trail for weekend courses and any cash receipts.
Risk	Cash could be lost/stolen. The audit trail of receipts is incomplete which increases the risk of fraud/error.
Priority (1, 2, 3)	1
Paragraph Reference	3.6
Assigned to	Centre Manager
Due Date	Completed
Management Response	All Course Directors are briefed on the procedure should they receive a cash payment at weekends. Any weekend cash will be stored in a secure container which is then placed in the manager's office in a locked drawer. Centre Admin staff take control of any weekend cash at the earliest opportunity.

Action	e
Action Description	A detailed booking recording system needs to be put in place – to ensure a full audit trail is kept for all bookings. This doesn't have to be bespoke software, but just a simple electronic filing system. A unique filing reference would be allocated to each booking, and then ALL correspondence/paperwork regarding that booking should be filed electronically using this reference.
Risk	Income could be missed or incorrectly charged due to a lack of a detailed audit trail.
Priority (1, 2, 3)	1
Paragraph Reference	3.9
Assigned to	Centre Manager
Due Date	Completed
Management Response	An electronic booking system to record all communications relating to a booking which used by the Facilities Team of Connected Communities has been installed on designated staff PCs along with the Centre Manager and Depute. Training for this software took place on 26th Sept. This will provide additional resilience to the current system in place.

Action	f
Action Description	All customers must be charged the full rates approved by Cabinet. If staff feel that offering discount rates for larger bookings and/or repeat customers would be beneficial for business, then approval must be sought from Cabinet to offer such incentives – and the criteria for qualifying for a discount must be clearly stated (e.g. 20% discount for parties of over 20, 10% for return customers etc.)
Risk	Customers are not all charged for services equally, exposing the Council to the risk of being accused of favouritism, collusion etc.
Priority (1, 2, 3)	1
Paragraph Reference	3.10
Assigned to	Senior Manager Community Development
Due Date	31st December 2017
Management Response	The Centre moved to a business model after the 2014 reorganisation that required a more proactive approach to securing bookings with the approval of Senior management. This flexibility has ensured a significant rise in external bookings throughout the calendar year. This point will be made transparent in the revised business plan, action point a.

Action	g
Action Description	A stricter procedure must be put in place, and enforced, when dealing with school bookings. The 8 week notification point for schools confirming attendance numbers must be adhered to. If schools don't confirm at this point, the Centre should charge the school based on the provisional numbers originally submitted. 8 weeks' notice gives the Centre enough time to ensure they are staffed to the appropriate ratios during the school visit.
Risk	The Centre is being financially disadvantaged by schools changing attendee numbers very close to the booking date. The Centre is ending up over-staffed - which creates a financial burden. Changing attendee numbers at short notice leaves insufficient time to try to fill the vacant places.
Priority (1, 2, 3)	2
Paragraph Reference	3.14
Assigned to	Senior Manager Community Development
Due Date	31st December 2017
Management Response	Senior Managers will meet Head Teachers during November and December to reinforce the requirements for booking, payment and using the centre to reduce risk to the Council.

Action	h
Action Description	Purchase orders should be raised as part of the process of placing an order, rather than after the goods have been received.
Risk	Purchases could be made without being formally authorised.
Priority (1, 2, 3)	2
Paragraph Reference	3.17
Assigned to	Centre Manager
Due Date	Completed
Management Response	Purchase Orders are now raised for orders as a first step.

Action	i
Action Description	Procurement Card authorisation limits should be reviewed.
Risk	Limits are set too low to allow the Centre Manager to deal with routine expenditure for the Centre. This adds an unnecessary delay in the procurement process as authorisation must be sought from another authoriser.
Priority (1, 2, 3)	2
Paragraph Reference	3.18
Assigned to	Senior Manager Community Development
Due Date	31st October 2017
Management Response	Limits will be reviewed with finance officers

Action	j
Action Description	The Council's 'Standing Orders relating to Contracts' must be immediately applied to all relevant expenditure. Support should be sought from the Corporate Procurement team, to ensure that all Council premises in Arran, who are using the same local businesses, are rolled up into one contract
Risk	Council is not demonstrating openness, fairness and non-discrimination in its procurement process, which could prove detrimental to its reputation. Council is not achieving value for money when procuring goods and services.
Priority (1, 2, 3)	1
Paragraph Reference	3.20
Assigned to	Senior Manager Community Development
Due Date	31st October 2017
Management Response	Procurement on Arran involves a number of establishments, of which the Arran Outdoor Education Centre is the smallest member. Contact will be made with NAC Procurement Team to pursue a whole island approach.

Action	k
Action Description	Inventory records need to be reviewed. This review should include:- • Ensuring assets are not being double counted • Ensuring all recent purchases/disposals have been noted • Adding additional columns to record detailed disposals information (e.g. date of disposal, any proceeds, who authorised the disposal) • Creating records for all office/ICT equipment • Creating records for all residential assets e.g. catering kitchen, TV's, furniture and fittings
Risk	Detailed records of assets are not being kept, which makes identifying loss/theft of assets more difficult.
Priority (1, 2, 3)	2
Paragraph Reference	3.24
Assigned to	Centre Manager
Due Date	Completed
Management Response	The Centre works to meet AALA (Adventure Activities Licensing Authority) requirements in relation to all outdoor equipment which is logged and monitored on a daily basis. This is recorded in a spreadsheet of every item within the Centre in all its locations, both indoor and outdoor. An amended spreadsheet to meet the actions within this report has been produced and includes all office, ICT, internal furnishing and large kitchen equipment.

Action	l
Action Description	Perform a review of data security procedures within the Centre, paying particular attention to those surrounding the use and storage of the photographic images of children. Advice should be sought from the Council's Data Protection team, but the review should include:- • Amending the wording within the Parent/Guardian consent form. This needs to include a statement that images will be shared with other parties (i.e. copy of photos will be passed to school/group who organised the trip). • Parental consent must be requested on an 'opt in' basis, rather than an 'opt out'. • The Centre's website should include a link to its 'Privacy Policy'
Risk	Breach of Data Protection legislation could result in hefty fines for the Council. In addition, the Council's reputation could be damaged if it is deemed to be using data or images without explicit consent
Priority (1, 2, 3)	2
Paragraph Reference	3.36
Assigned to	Centre Manager
Due Date	30th November 2017
Management Response	The amendments to the consent form will be reviewed and amended with guidance from the Council data protection team.

EXECUTIVE SUMMARY
FOSTER CARE, ADOPTION AND KINSHIP CARE PAYMENTS

Background

Foster carers, kinship carers (i.e. members of extended family or friends looking after a child who cannot stay with their parents) and some adoptive parents receive a variety of allowances and fees from the Council. Some children and young people are also fostered via agencies, who then invoice the Council for agreed fees.

The audit focussed on the procedures for making these payments within Financial Services.

Key Objectives

The main objectives of this audit were to ensure that:
- Suitable procedures are in place in relation to fostering, adoption and kinship payments
- Payments are supported by relevant documentation, correct and properly authorised
- Any overpayments are identified and pursued
- There are suitable data security arrangements in place.

Key Findings and Actions

All the recommended actions arising from this audit are detailed in the action plan which follows this Executive Summary. The key findings are as follows:
- Procedure notes produced by Financial Services require to be expanded and updated for business continuity purposes
- The spreadsheet used to track recovery of overpayments was not up-to-date
- 8 employees from both Finance and the Health and Social Care Partnership (HSCP) who had left the Council still had access to the Childcare folder in the Financial Services team's shared drive and therefore potentially the Council's network
- 3 agency workers who were no longer engaged by Finance still had access to the Childcare folder and therefore potentially the network. 2 other users who were not Council employees also had access removed.
- 90 current Council employees and 1 NHS employee based in Cunninghame House, who do not require access to the Childcare folder for their current role, were found to have access.

Audit Opinion

There were no significant concerns regarding the payments made for foster care, adoption and kinship care.

However, only limited assurance can be given in this area due to concerns around access to information. Data security testing identified 104 users, including 8 leavers and 3 agency workers no longer engaged by the Council, with inappropriate access to the shared drive which holds personal and sensitive data about looked after children and their carers.

ACTION PLAN
FOSTER CARE, ADOPTION AND KINSHIP CARE PAYMENTS

Action	a
Action Description	Financial Services should review and update their procedure notes for foster care, adoption and kinship care payments.
Risk	If the officer who usually prepares the payments is unavailable at short notice, the person picking up the task has insufficient or out-of-date information
Priority (1, 2, 3)	2
Paragraph Reference	3.2
Assigned to	Senior Finance Manager
Due Date	30th November 2017
Management Response	Detailed procedures to be updated and shared with relevant officers

Action	b
Action Description	The spreadsheet used to track overpayments should be kept up-to-date
Risk	If the officer who usually prepares the payments is unavailable at short notice, the person picking up the task would not know which overpayments have already identified and debtors' invoices raised
Priority (1, 2, 3)	2
Paragraph Reference	3.9
Assigned to	Senior Finance Manager
Due Date	7th October 2017
Management Response	Revised procedure will include raising debtors' accounts for any overpayments and recording details of the account on a spreadsheet. Tracking of instalments is not required.

Action	c
Action Description	Financial Services should consider purchasing monitor privacy filters for the computer monitors of team members who regularly deal with personal and sensitive data.
Risk	Passers-by in the open-plan office can read personal and sensitive data
Priority (1, 2, 3)	3
Paragraph Reference	3.12
Assigned to	Head of Finance
Due Date	Complete
Management Response	A review of security and access arrangements to the second floor have been undertaken and security arrangements have been confirmed as adequate. As a result, the purchase of privacy filters is not recommended.

Action	d
Action Description	Financial Services should ensure that where agency workers are given access to drives and systems, IT are notified to remove their access when their engagement finishes.
Risk	Access given to agency workers is left open because the leavers' process for employees doesn't apply
Priority (1, 2, 3)	1
Paragraph Reference	3.15
Assigned to	Senior Finance Manager
Due Date	Complete
Management Response	Access to drives to be updated as part of leavers procedures.

Action	e
Action Description	Finance and Corporate Support and the HSCP should remind line managers that where officers change job roles, either by changing post or changing functions of a post, access to shared drives and systems should be reviewed and removed as appropriate. Also, when requesting access for new starters, care should be taken when nominating other team members whose access is to be cloned.
Risk	Users who have access to Council systems have inappropriate access to drives and systems which they do not require for their job role.
Priority (1, 2, 3)	1
Paragraph Reference	3.16
Assigned to	Head of Finance, Senior Manager (Children and Families)
Due Date	Complete
Management Response	FACS response: An instruction has been issued to all line managers to remind them of their responsibilities in relation to IT Security. HSCP response: Completed for this year and an annual review to be undertaken going forward of employees to ensure that access to the network is necessary. Also review to be undertaken when staff change jobs or when functions of a post alter.

Priority Key used in Action Plan

1 (High)	Control weakness where there is a material impact on the achievement of the control objectives, generally requiring prompt attention.
2 (Medium)	Control weakness which needs to be rectified, but where there is no material impact on the achievement of the control objectives.
3 (Low)	Minor weakness or points for improvement.

EXECUTIVE SUMMARY
HSCP ESTABLISHMENT VISITS

Background

This audit was conducted as part of the approved 2017/18 Internal Audit Plan and reviewed financial and other controls within a sample of operational establishments within the Health and Social Care Partnership (HSCP). Four HSCP establishments were visited as part of this audit, namely, one of the Children's Unit, a Day Care and Resource Centre, Community Based Services and an Area Team.

Key Objectives

The main objectives of this audit were to ensure:
- All cash and income is properly accounted for, banked timeously and held securely;
- Income and expenditure relating to independent funds is recorded in line with procedures;
- Petty cash purchases are valid, authorised and properly accounted for in line with procedures;
- Service User accounts are properly accounted for in accordance with departmental policy;
- Purchases made via procurement card or E-procurement are valid, authorised and administered in line with procedures;
- Staff are complying with the Council's Financial Regulations and other financial instructions.

Key Findings and Actions

All the recommended actions arising from this audit are detailed in the action plan which follows this Executive Summary. The key findings are as follows:
- Petty cash vouchers were completed for all petty cash transactions at the Children's Unit which is a duplication of work for those transactions supported by a receipt.
- Petty cash withdrawals at the Children's Unit were approved without the petty cash spreadsheet being uploaded to the procurement card system to show details of the individual transactions.
- Cash held at the Children's Unit was over the insurance limit.
- It was found that keys for the cash tins at Community Based Services were held with the cash tins in the safe.
- Proper cashbook records and supporting receipts were not being maintained for an independent fund at Community Based Services.
- The procurement process could be streamlined by keying purchase orders locally rather than sending requisitions to be processed centrally.

Audit Opinion

Substantial assurance was obtained with regard to the Area Team office regarding the financial and other controls tested as part of this audit as no issues of concern were identified.

Reasonable assurance was obtained with regard to both the Children's Unit and the Day Care and Resource Centre. A small number of control weaknesses were identified together with some improvement actions.

Only limited assurance was obtained with regard to Community Based Services as a wider range of issues were identified which require to be rectified.

ACTION PLAN
HSCP ESTABLISHMENT VISITS

Action	a
Action Description	Ensure the daily record sheets are signed by a member of staff and a senior and petty cash vouchers only need to be completed if there is no receipt obtained to support the expenditure.
Risk	Duplication of work and inefficient use of staff time.
Priority (1, 2, 3)	1
Paragraph Reference	3.2
Assigned to	Acting Unit Manager
Due Date	9th October 2017
Management Response	Agreed

Action	b
Action Description	If money requires to be ring-fenced for a specific purpose, it should be spent accordingly. If not, the number of funds should be streamlined to reduce the administration burden.
Risk	Money is not being spent in line with requirements or inefficient administration process.
Priority (1, 2, 3)	2
Paragraph Reference	3.3
Assigned to	Acting Unit Manager
Due Date	April 2018
Management Response	Funds for each child are managed on an individual basis and therefore requires to be ring-fenced and this cannot be altered. The unit will review the other funds to determine if the number of funds can be streamlined.

Action	c
Action Description	Consideration should be given to utilising existing taxi contract frameworks, ensuring a reputable company is used for transporting young persons and to allow the unit to be invoiced on a monthly basis.
Risk	Young persons looked after by the Council are exposed to risk by using unlicensed taxis.
Priority (1, 2, 3)	3
Paragraph Reference	3.4
Assigned to	Acting Unit Manager
Due Date	N/A
Management Response	Consideration was given to the risks attached but it was felt that it would not be practical as young people generally use taxis themselves later into the evening and they will utilise the first taxi that is available. They also pay for these taxis themselves and therefore are not in a position to only make use of taxis under a taxi contract.

Action	d1
Action Description	Procurement card cardholders and approvers should be reminded that transactions should be reviewed and approved by the 28th of the month in line with the Procurement Card Policy and Procedure Reference Guide.
Risk	Approval is not granted prior to the credit card bill being paid.
Priority (1, 2, 3)	2
Paragraph Reference	3.5, 3.14, 3.28
Assigned to	Acting Unit Manager
Due Date	Complete
Management Response	Children's Unit – reminder issued that transactions require to be reviewed and approved as per above Policies and Procedures.

Action	d2
Action Description	Procurement card cardholders and approvers should be reminded that transactions should be reviewed and approved by the 28th of the month in line with the Procurement Card Policy and Procedure Reference Guide.
Risk	Approval is not granted prior to the credit card bill being paid.
Priority (1, 2, 3)	2
Paragraph Reference	3.5, 3.14, 3.28
Assigned to	Senior Manager
Due Date	Complete
Management Response	Day Care and Resource Centre – relevant Managers have all been re-issued with the Procurement Card Policy and Procedure Reference Guide. All relevant Managers have electronic diary reminders to review and approve transactions. These reminders are in diaries for between 24 and 27 of each month.

Action	d3
Action Description	Procurement card cardholders and approvers should be reminded that transactions should be reviewed and approved by the 28th of the month in line with the Procurement Card Policy and Procedure Reference Guide.
Risk	Approval is not granted prior to the credit card bill being paid.
Priority (1, 2, 3)	2
Paragraph Reference	3.5, 3.14, 3.28
Assigned to	Unit Manager
Due Date	25/09/2017
Management Response	Community Based Services – all transactions will be reviewed and approved by the 28th of every month.

Action	e
Action Description	Petty cash spreadsheets should be uploaded to the procurement card system on a timely basis to allow the expenditure items to be checked by the approver. The approver should contact the cardholder if the spreadsheet is not attached before approving.
Risk	Non-council purchases have been made.
Priority (1, 2, 3)	1
Paragraph Reference	3.6
Assigned to	Acting Unit Manager
Due Date	To be actioned from 1st October 2017
Management Response	Agreed

Action	f
Action Description	Care should be taken to ensure that only small amounts are transferred to carried forward monies or money should be spent in full to remove the need for carried forward monies and subsequent administration of this money.
Risk	Unnecessary build-up of carried forward monies and inefficient use of staff time.
Priority (1, 2, 3)	2
Paragraph Reference	3.7
Assigned to	Acting Unit Manager
Due Date	Complete
Management Response	Agreed

Action	g
Action Description	Consideration should be given to ordering food provisions online, delivered to the establishment and paid by procurement card.
Risk	Inefficient use of staff time.
Priority (1, 2, 3)	2
Paragraph Reference	3.8
Assigned to	Acting Unit Manager
Due Date	Complete
Management Response	Agreed

Action	h1
Action Description	The establishment should raise and receipt goods/services via the Integra system directly.
Risk	Inefficient use of staff time.
Priority (1, 2, 3)	2
Paragraph Reference	3.9, 3.15, 3.27
Assigned to	Acting Unit Manager
Due Date	N/A
Management Response	Children's Unit – staff do not have a high number of orders to be processed and therefore the system is not cost effective and can tie up staff which is not time effective when they have young people to care for.

Action	h2
Action Description	The establishment should raise and receipt goods/services via the Integra system directly.
Risk	Inefficient use of staff time.
Priority (1, 2, 3)	2
Paragraph Reference	3.9, 3.15, 3.27
Assigned to	Senior Manager
Due Date	31st January 2018
Management Response	Day Care and Resource Centre – there has been a half day planning session organised in October 2017 between the Service personnel and Business Support to map out and review the current process and to agree a strategy of support to achieve the desired action with timescales clearly outlined.

Action	h3
Action Description	The establishment should raise and receipt goods/services via the Integra system directly.
Risk	Inefficient use of staff time.
Priority (1, 2, 3)	2
Paragraph Reference	3.9, 3.15, 3.27
Assigned to	Unit Manager
Due Date	30/09/2017
Management Response	Community Based Services – Manager will contact finance to find out if this could be a possibility and ensure appropriate training attended on use of Integra.

Action	i1
Action Description	Inventory records should be updated on a continuous basis.
Risk	Council owned items cannot be traced to the establishment.
Priority (1, 2, 3)	2
Paragraph Reference	3.10, 3.16, 3.29, 3.33
Assigned to	Senior Manager
Due Date	Complete
Management Response	Day Care and Resource Centre – all relevant managers have been reminded of the importance of keeping accurate inventory records and to review and update their inventories monthly.

Action	i2
Action Description	Inventory records should be updated on a continuous basis.
Risk	Council owned items cannot be traced to the establishment.
Priority (1, 2, 3)	2
Paragraph Reference	3.10, 3.16, 3.29, 3.33
Assigned to	Unit Manager
Due Date	30th September 2017
Management Response	Community Based Services – the manager has met with Admin staff and day service staff to ensure that all inventory records are maintained and recorded on a continuous basis. Manager will audit this 3 monthly.

Action	j
Action Description	Cash should be held within the safe insurance limits.
Risk	Insurance would not cover the full amount in the safe if money was stolen during a break-in.
Priority (1, 2, 3)	1
Paragraph Reference	3.11
Assigned to	Acting Unit Manager
Due Date	Complete
Management Response	Monies within the safes are monitored to ensure they do not exceed the stipulated amount of cash.

Action	k
Action Description	Keys for the cash tin should be held securely when not in use.
Risk	Increases the risk of money being misappropriated.
Priority (1, 2, 3)	1
Paragraph Reference	3.18, 3.20, 3.21
Assigned to	Unit Manager
Due Date	15th September 2017
Management Response	The person responsible for each cash tin will keep the keys in a safe place and not within the main safe.

Action	l
Action Description	A cash tin should be purchased to hold Lunch To Go money.
Risk	Increases the risk of money being misappropriated.
Priority (1, 2, 3)	2
Paragraph Reference	3.19
Assigned to	Unit Manager
Due Date	15th September 2017
Management Response	A cash tin has been purchased and the purse is now kept within the cash tin and securely locked in the main safe.

Action	m
Action Description	The cashbook should be amended to include the opening and closing bank balance to allow regular bank reconciliations to be carried out.
Risk	Incomplete bank reconciliations.
Priority (1, 2, 3)	2
Paragraph Reference	3.22
Assigned to	Unit Manager
Due Date	30th September 2017
Management Response	The cash book will be amended and opening and closing balances will be recorded as required.

Action	n
Action Description	Overs/shortages in the café cash reconciliation should be noted rather than using balancing figures.
Risk	Cash differences are not being monitored.
Priority (1, 2, 3)	2
Paragraph Reference	3.23
Assigned to	Unit Manager
Due Date	30th September 2017
Management Response	All cash differences will be recorded in the cash book as shortage or overs with explanation as to why. This will be monitored by the manager.

Action	o
Action Description	Bank statements should be submitted to Finance on an annual basis to ensure independent fund money is being monitored.
Risk	HSCP Finance are not aware of the amount of independent fund money accumulating in bank accounts and money is not being spent for the good of the establishment.
Priority (1, 2, 3)	2
Paragraph Reference	3.24
Assigned to	Unit Manager
Due Date	30th September 2017
Management Response	All bank statements will be sent to Finance every six months. Meeting to be arranged with senior manager to discuss use of independent fund.

Action	p
Action Description	Proper records should be maintained for the Sparkly Crafts Independent Fund. This should ensure all income and expenditure is recorded at the time incurred and expenditure is supported by receipts which are properly referenced.
Risk	Misappropriation of funds.
Priority (1, 2, 3)	1
Paragraph Reference	3.26
Assigned to	Unit Manager
Due Date	30th September 2017
Management Response	Sparkly Crafts are now recording all transactions and the manager will monitor on a regular basis to ensure this is being carried out.

Priority Key used in Action Plan

1 (High)	Control weakness where there is a material impact on the achievement of the control objectives, generally requiring prompt attention.
2 (Medium)	Control weakness which needs to be rectified, but where there is no material impact on the achievement of the control objectives.
3 (Low)	Minor weakness or points for improvement.

EXECUTIVE SUMMARY
SOCIAL CARE CLIENTS – FINANCIAL ASSESSMENTS

Background

An audit of social care financial assessments was carried out in 2014/15. The previous audit had focussed on the financial assessment process for those in residential care, so this time the audit concentrated on the assessments for those receiving non-residential care services.

Key Objectives

The main objectives of this audit were to:

- ensure the processes and procedures in place are adequate to comply with legislative requirements
- ensure all financial assessments are being properly calculated
- confirm that financial assessments are being updated to reflect additional benefits obtained for clients via income maximisation reviews
- ensure that the handling of personal and sensitive data complies with corporate policies, and the requirements of the Data Protection Act.

Key Findings and Actions

All the recommended actions arising from this audit are detailed in the action plan which follows this Executive Summary. The key findings are as follows:

- The Council's Charging Policy for non-residential care needs to be updated as a priority
- A few simple changes to the current procedure for calculating financial assessments and annual upratings would help mitigate the risk of error.

Audit Opinion

Overall, reasonable assurance was obtained with regard to the way the Council is performing financial assessments for those receiving non-residential care.

ACTION PLAN
SOCIAL CARE CLIENTS – FINANCIAL ASSESSMENTS

Action	a
Action Description	The charging policy for non-residential care needs to be updated. The 2017/18 COSLA guidance should be referenced when doing this, to ensure that best practice is being achieved.
Risk	The lack of up to date guidance increases the risk of inconsistencies in the treatment of cases by staff – as they are being forced to interpret situations, rather than having set guidance to follow. The Council's reputation may be damaged by not having up to date charging policy to provide to users. This reduces the transparency of the whole charging process.
Priority (1, 2, 3)	1
Paragraph Reference	3.3
Assigned to	Senior Manager (Locality Services)
Due Date	31st March 2018
Management Response	Agreed.

Action	b
Action Description	The Council's website needs to be updated. As soon as the charging policy is updated (action a) it must be uploaded, but in the meantime it would be useful to load the 2017/18 COSLA guidance. Proposal to create temporary post from challenge fund monies to review charging policy.
Risk	Users don't have access to up to date information, which reduces the transparency of the whole charging process.
Priority (1, 2, 3)	1
Paragraph Reference	3.4
Assigned to	Senior Manager (Locality Services)
Due Date	31st March 2018
Management Response	Agreed

Action	c
Action Description	A system of checking/approval of calculations should be built into the uprating process. The Senior Welfare Rights Officer should be removed from the exercise of actually calculating upratings, and should instead concentrate on reviewing the calculations of the rest of the team. The high volume of records being updated in a limited time period make a 100% check unrealistic; however a risk based approach could be taken. For example, all assessments which have increased by more than 5% could be reviewed (i.e. movements in excess of what would be expected from a standard inflationary increase).
Risk	Human error is inevitable when performing such a manual uprating exercise for such a huge volume of records, however the current system of having no checks being performed means that no steps are being taken to mitigate this risk.
Priority (1, 2, 3)	1
Paragraph Reference	3.22
Assigned to	Team Manager (Money Matters)
Due Date	31st March 2018
Management Response	Currently the only audit in the charging process is at the 28 day Initial Charge. Cases are currently authorised for closure by Senior Welfare Rights Officer. We have identified that the audit process has to include the Uprating Exercise and following Charging reassessment when a case is referred for closure. Current resources have precluded this however with Money Matters Service redesign new audit procedures will include Charging work when resources allow.

Action	d
Action Description	Carefirst should always be updated with all available benefits/client information even if, at that point in time, it will be irrelevant to the client's financial assessment – for example if the client has chosen to not disclose their financial position.
Risk	A full picture of a client's position is not being held in Carefirst, which might cause issues should the client's position change.
Priority (1, 2, 3)	3
Paragraph Reference	3.28
Assigned to	Team Manager (Money Matters)
Due Date	Complete
Management Response	This was implemented during the Uprating exercise 2017 and all staff have been advised of the changes.

Action	e
Action Description	Prior to the uprating exercise a programme of checking records to CIS should be implemented – concentrating on those most likely to have changed. In particular, resources should be concentrated on checking clients who are currently recorded as being on one of the benefits that the DWP is actively working to migrate clients away from.
Risk	By not checking every client's benefits to CIS there is the risk that changes are missed. If a client's income has increased and this is not picked up, the maximum weekly charge could be set too low. If a client's weekly income has reduced and this is missed, then the Council could create financial hardship by charging more than the client can afford to pay.
Priority (1, 2, 3)	2
Paragraph Reference	3.31
Assigned to	Team Manager (Money Matters)
Due Date	31st March 2018
Management Response	If Finance can provide Money Matters with a 6 monthly report of the service users' benefits in September and March, Money Matters will undertake the necessary checks to check service users' current benefits. If Finance cannot do this Money Matters could liaise with Carefirst to do this. The alternative to this is checking every case to see the current benefits service users are in receipt which is significantly more time consuming and resource led.

Priority Key used in Action Plan

1 (High)	Control weakness where there is a material impact on the achievement of the control objectives, generally requiring prompt attention.
2 (Medium)	Control weakness which needs to be rectified, but where there is no material impact on the achievement of the control objectives.
3 (Low)	Minor weakness or points for improvement.

EXECUTIVE SUMMARY
EGLINTON COUNTRY PARK

Background

The audit was included in the 2017/18 audit plan on the reserve list. Eglinton Country Park was previously audited in 2014/15.

Key Objectives

The main objectives of this audit were to ensure that:

- there are sufficient controls in place for cash holding and security
- cash handling procedures are being followed
- customers are being charged accurately and in line with procedures
- there are adequate controls over non-Council funds handled by park staff
- all purchases are made and authorised appropriately and records of assets are properly maintained

Key Findings and Actions

All the recommended actions arising from this audit are detailed in the action plan which follows this Executive Summary. The key findings are as follows:

- Financial procedures are being observed
- Tournament Café safe contents regularly and substantially exceed set insurance limits
- CCTV needs to be reviewed and Data Protection signage conventions adhered to
- Management information is not available in real time
- Key and digital security in the Visitor Centre is weak

Audit Opinion

Overall, reasonable assurance was obtained with regard to handling of cash and compliance with financial procedures. Monthly financial reports prepared on site and uploaded via the network should be reviewed alongside the publication of the revised Financial Procedures.

General security of the estate requires immediate review and repairs to be completed where required.

The Country Park's internet presence is currently being updated. Ownership of the site requires to be established and information available online reflects current activities.

ACTION PLAN
EGLINTON COUNTRY PARK

Action	a
Action Description	The website is currently being reviewed. This review should take into consideration changing technologies, better customer information, more accessible booking forms and on-line payment processes. Regular seasonal updates will ensure that the information available to the public is up to date and links to online forms and documents work.
Risk	On line access is unavailable to the public and resource time is used dealing with general information.
Priority (1, 2, 3)	2
Paragraph Reference	3.1
Assigned to	Cultural Development Manager
Due Date	31 March 2018
Management Response	The website is currently under review with customer and business needs being assessed.

Action	b
Action Description	Safe keys are accounted for and suitable arrangements made for security and key handover.
Risk	Keys are unaccounted for and unauthorised access is obtained to the offices
Priority (1, 2, 3)	1
Paragraph Reference	3.2
Assigned to	Cultural Development Manager
Due Date	30 November 2017
Management Response	A key audit is completed and safe key accounted for.

Action	c
Action Description	Digital codes should be known only to responsible staff and changed on a regular basis (good housekeeping) or when a member of staff leaves. A register of key holders should be completed.
Risk	Heightened risk to the security of funds held on site Keys are unaccounted for and unauthorised access is obtained to the offices
Priority (1, 2, 3)	1
Paragraph Reference	3.3
Assigned to	Cultural Development Manager
Due Date	30 November 2017
Management Response	Digital codes will be changed. If it is possible for employees to be trained by Fortress then action will be completed. If employees are not trained by Fortress a cost analysis will be undertaken to assess value for money. A register of keys will be completed

Action	d
Action Description	Upgrade cash collections by G4S during busy periods or purchase a replacement safe in the Tournament Café. Employees should be made aware of the insurance limits and bank income as soon as practicable when this limit is reached.
Risk	In the event of an incident the Council is not covered for the loss of funds.
Priority (1, 2, 3)	1
Paragraph Reference	3.3
Assigned to	Business and Commercial Officer, Facilities Management
Due Date	31 March 2018
Management Response	The cash collection process will be reviewed and a business case to extend G4S collections or purchase a new safe will be completed.

Action	e
Action Description	A review of CCTV and relevant signage should be undertaken.
Risk	The construction of a new housing estate within the park will lead to more activity outwith core business hours and a greater risk of unauthorised access, property damage and theft on site. There is also the risk that the Council is paying for a service that it is not receiving and in breach of Data Protection legislation.
Priority (1, 2, 3)	2
Paragraph Reference	3.7
Assigned to	Cultural Development Manager
Due Date	31 March 2018
Management Response	A review of CCTV is currently being completed and results will inform future decisions regarding CCTV coverage.

Action	f
Action Description	With the publication of new Financial Procedures better use of electronic completion of forms and shared drive storage would enhance management information of the Tournament Café financial performance.
Risk	Management information is misleading affecting planning
Priority (1, 2, 3)	2
Paragraph Reference	3.15, 3.16
Assigned to	Business and Commercial Officer, Facilities Management
Due Date	31 March 2018
Management Response	A review of all documents in place and password controls will be implemented to protect key data.

Priority Key used in Action Plan

1 (High)	Control weakness where there is a material impact on the achievement of the control objectives, generally requiring prompt attention.
2 (Medium)	Control weakness which needs to be rectified, but where there is no material impact on the achievement of the control objectives.
3 (Low)	Minor weakness or points for improvement.

EXECUTIVE SUMMARY
GIFTS AND HOSPITALITY

Background

The purpose of the audit was to examine compliance with the Council's guidance on Gifts and Hospitality within the Employee Code of Conduct. Each directorate is responsible for their own arrangements for recording gifts and hospitality. The HR Operations team are the document owners of the Employee Code of Conduct.

Key Objectives

The main objectives of this audit were to ensure that:

- all employees are made aware of the Employee Code of Conduct and have access to an up-to-date copy
- gifts and hospitality are being recorded as required in the Employee Code of Conduct and that gifts and hospitality are only being accepted as permitted in that document

Key Findings and Actions

All the recommended actions arising from this audit are detailed in the action plan which follows this Executive Summary. The key findings are as follows:

- There are no corporate arrangements to remind officers about the requirements of the Employee Code of Conduct in relation to gifts and hospitality.
- Place Directorate and HSCP regularly remind their employees about the requirements for recording gifts and hospitality. Other services have sent out reminders but not on a regular basis.
- Economy and Communities Directorate did not have a central record of declarations of gifts and hospitality. It was agreed during the audit that they would do this in future.
- The Employee Code of Conduct requires the Provost to authorise declarations of gifts and hospitality by the Chief Executive, but this does not satisfy good governance. In practice, gifts and hospitality received by the Chief Executive have been authorised by either the Section 95 Officer or the Monitoring Officer and the Employee Code of Conduct will be updated to reflect this.
- 2 instances were identified where officers had accepted hospitality from an organisation doing business with the Council at that time. There were justifying circumstances in each case and there was no suggestion of impropriety.

Audit Opinion

Overall, substantial assurance was obtained with regard to compliance with the Employee Code of Conduct in respect of gifts and hospitality.

ACTION PLAN
GIFTS AND HOSPITALITY

Action	a
Action Description	The HR Operations team should consider distributing a periodic (e.g. annual) reminder to all employees about the requirements of the Employee Code of Conduct in relation to Gifts and Hospitality.
Risk	Employees do not record offers of Gifts and Hospitality as required.
Priority (1, 2, 3)	2
Paragraph Reference	3.2
Assigned to	HR Operations Manager
Due Date	30th November 2017
Management Response	The HR E-Bulletin and Staff News will host a communication in relation to this annually with the first reminder being provided initially in November 2017 and thereafter in May each year.

Action	b1
Action Description	Education and Youth Employment should consider issuing reminders to employees on a regular basis (e.g. annual) about the arrangements in their directorates for recording offers of Gifts and Hospitality
Risk	Employees are unaware of how they would go about making a declaration of an offer of gifts or hospitality
Priority (1, 2, 3)	2
Paragraph Reference	3.3
Assigned to	Executive Director (Education and Youth Employment)
Due Date	31st August 2017
Management Response	We will issue a reminder to all staff and schools at the start of each academic session in August of the guidance and the requirement to declare and note any hospitality or gifts.

Action	b2
Action Description	Finance and Corporate Support should consider issuing reminders to employees on a regular basis (e.g. annual) about the arrangements in their directorates for recording offers of Gifts and Hospitality
Risk	Employees are unaware of how they would go about making a declaration of an offer of gifts or hospitality
Priority (1, 2, 3)	2
Paragraph Reference	3.3
Assigned to	Head of People & Transformation (on behalf of FACS)
Due Date	30th November 2017
Management Response	On behalf of the Directorate issue a reminder about Hospitality & Gifts, initially in November 2017 and annually thereafter.

Action	b3
Action Description	Economy and Communities should consider issuing reminders to employees on a regular basis (e.g. annual) about the arrangements in their directorates for recording offers of Gifts and Hospitality
Risk	Employees are unaware of how they would go about making a declaration of an offer of gifts or hospitality
Priority (1, 2, 3)	2
Paragraph Reference	3.3
Assigned to	Executive Director (Economy & Communities)
Due Date	4th September 2017
Management Response	A central record will be established for the recording of any gifts or hospitality in line with the guidance and an annual reminder to staff will be issued.

Action	b4
Action Description	Democratic Services should consider issuing reminders to employees on a regular basis (e.g. annual) about the arrangements in their directorates for recording offers of Gifts and Hospitality
Risk	Employees are unaware of how they would go about making a declaration of an offer of gifts or hospitality
Priority (1, 2, 3)	2
Paragraph Reference	3.3
Assigned to	Head of Democratic Services
Due Date	31st October 2017
Management Response	Agreed

Action	c
Action Description	The Employee Code of Conduct should be amended to state that "Any employee offered a gift of value/hospitality or giving a gift/hospitality has to inform their Head of Service…or, in the case of the Chief Executive, the Executive Director (Finance and Corporate Support) or the Head of Democratic Services."
Risk	Requirement for an Elected Member to authorise the Chief Executive's declarations does not meet good governance.
Priority (1, 2, 3)	1
Paragraph Reference	3.8
Assigned to	HR Operations Manager
Due Date	31st October 2017
Management Response	The Employee Code of Conduct will be updated with the required changes. Once complete this will be published on Connects and notification of this change will be provided through the HR E-Bulletin and Staff News.

NORTH AYRSHIRE COUNCIL

Agenda Item 9

14 November 2017

Audit and Scrutiny Committee

Title:	**Internal Audit Plan 2017/18: Mid-year Update**
Purpose:	To provide a progress update at 30 September 2017 in delivering the 2017/18 Internal Audit plan.
Recommendation:	That Committee (a) notes the mid-year position and (b) approves the withdrawal of one audit from the plan.

1.   Executive Summary

1.1   The current Internal Audit plan, covering the period April 2017 to March 2018, was approved by the Audit and Scrutiny Committee in February 2017. The plan sets out the areas of work which Internal Audit intends to cover during the current financial year.

1.2   This report updates the Committee on the position at 30 September.

2.   Background

2.1   Appendix 1 to this report is the approved audit plan for 2017/18. For each audit, additional information has been provided to show the actual activity to 30 September and for completed audits, dates when the final report was published and reported to the Committee.

2.2   As the information provided is at 30 September and the audit team has continued to work on delivering the plan, further progress has been made and some of the audits that were incomplete at that date have now been finalised and are reported to the Committee elsewhere on the agenda.

2.3   9 reports have been published during the first half of 2017/18; 6 of these were from the 2016/17 plan and the remaining 3 have been completed from the current plan. A further 5 reports were at draft stage at 30 September, 11 audits were being worked on and the remaining planned audits are scheduled during quarters 3 and 4.

2.4 It is proposed that one audit is withdrawn from the approved plan. This relates to the Modern Apprentice programme; the audit work was requested by Economy and Communities during the preparation of the 2017/18 plan but the matter was reviewed as part of another audit of external grant funding at the end of 2016/17.

2.5 7 of the 9 audits published during the first half of 2017/18 (78%) have been completed within the budgeted days; this is slightly ahead of the target of 75%. Both of the assignments that exceeded the budget required some additional planned time once the audit commenced as they were more complex than originally anticipated. Another audit, relating to the Arran Outdoor Centre, which was still at draft report stage at 30th September but which has since been finalised and is reported elsewhere on the agenda for this meeting, required significant additional time due to the scope of the audit programme.

2.6 The 'cost per productive audit day' has been calculated for 2016/17 as £331.97; in 2015/16, the equivalent cost per day was £387.37 (a reduction of 17%). During 2015/16, an external organisation was engaged to assist in delivering the audit plan due to part-year vacancies within the team; this was no longer a factor during 2016/17. There was also a reduction in support costs in 2016/17.

3. Proposals

3.1 It is proposed that Committee (a) notes the mid-year position and (b) approves the withdrawal of one audit from the plan.

4. Implications

Financial:	None.
Human Resources:	None.
Legal:	None.
Equality:	None.
Environmental & Sustainability:	None.
Key Priorities:	The work of Internal Audit helps to support the efficient delivery of the strategic priorities within the Council Plan 2015-2020.
Community Benefits:	None.

5.   Consultation

5.1   The relevant services are consulted on Internal Audit findings during each audit assignment. No additional consultation has been required in the preparation of this report.

leanmel

LAURA FRIEL
Executive Director (Finance and Corporate Support)

Reference :
For further information please contact Paul Doak, Senior Manager (Internal Audit, Risk and Fraud) on 01294-324561.

Background Papers
None.

NORTH AYRSHIRE COUNCIL
INTERNAL AUDIT PLAN 2017-18

PROGRESS REPORT at Quarter 2

PRODUCTIVE TIME - AUDIT PLAN

Key Corporate Systems	Audit Objective	Planned Audit Days	Actual Days @ 30/09/17	Variance Fav / (Adv)	Current Progress @ 30/09/17	Final Report issued	Report to Audit and Scrutiny
CHRIS HR/Payroll system	Examine the controls around the absence recording interface between SEEMIS and CHRIS.	15	0	15	Planned Q3		
Customer Services	Carry out a review of controls in Customer Services, including those relating to the LAGAN CRM system.	15	0	15	Planned Q3		
Procurement and Accounts Payable	Review controls within the Procurement and Accounts Payable section.	15	6	9	Fieldwork ongoing		
TOTAL AUDIT DAYS		**45**	**6**				

Other Systems	Audit Objective	Planned Audit Days	Actual Days @ 30/09/17	Variance Fav / (Adv)	Current Progress @ 30/09/17	Final Report issued	Report to Audit and Scrutiny
Social Media	Review the use of Social Media by the Council.	15	0	15	Planned Q4		
Modern Apprentice programme	Carry out a review of the Council's Modern Apprentice programme.	10	0	10	Audit withdrawn.	n/a	n/a
Procurement of Educational supplies	Review controls around procurement within Education and Youth Employment.	15	17	-2	Fieldwork ongoing		
Business Continuity	Consider the adequacy of the Council's Business Continuity arrangements.	15	0	15	Planned Q4		
Revenue Budget Monitoring	Review the effectiveness of revenue budget monitoring arrangements within one of the Council's directorates.	15	0	15	Planned Q3		
Social Care Clients - financial assessments	Consider the financial assessment process carried out for Health and Social Care Partnership clients by the Finance team.	15	15	0	Draft report with service	04/10/2017	14/11/2017
Foster care/adoption/kinship carers payments	Review fostering, adoption and kinship carer payments made on behalf of the Health and Social Care Partnership.	15	17	-2	Draft report with service	23/10/2017	14/11/2017
Blue Badge Scheme	Review the arrangements that are in place for adminstering the 'Blue Badge' scheme.	15	13	2	Finalised	26/07/2017	22/08/2017
Integration Joint Board audit days	Carry out audit work within the Health and Social Care Partnership as agreed by the Performance and Audit Committee of the Integration Joint Board.	15	2	13	Fieldwork ongoing		
Building Services procurement	Review controls around procurement within Building Services.	15	11	4	Fieldwork ongoing		
Fuel controls	Carry out a review of controls in relation to the purchase, storage and issue of fuel.	10	0	10	Planned Q4		
Recycling and Landfill	Examine controls in relation to recycling and landfill.	15	18	-3	Finalised	26/07/2017	22/08/2017
Facilities Management - procurement	Review controls around procurement within Facilities Management.	15	0	15	Planned Q3		
School meals income	Review the collection of meals income across the Council's schools.	15	0	15	Planned Q4		
Roads procurement	Carry out a full follow-up review of controls around procurement within Roads.	15	4	11	Fieldwork ongoing		
Housing Rents income and arrears	Examine a range of controls within Housing.	15	9	6	Fieldwork ongoing		
TOTAL AUDIT DAYS		**230**	**106**				

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ICT Auditing	Audit Objective	Planned Audit Days	Actual Days @ 30/09/17	Variance Fav / (Adv)	Current Progress @ 30/09/17	Final Report issued	Report to Audit and Scrutiny
Network Controls	Review a range of controls within the Corporate network.	20	5	15	Fieldwork ongoing		
IT procurement and desktop support	Carry out a review of IT procurement and desktop support	20	0	20	Planned Q4		
TOTAL AUDIT DAYS		**40**	**5**				

Governance	Audit Objective	Planned Audit Days	Actual Days @ 30/09/17	Variance Fav / (Adv)	Current Progress @ 30/09/17	Final Report issued	Report to Audit and Scrutiny
Community Capacity building	Review the accounts and monitoring information submitted by a sample of Community Associations.	5	0	5	Planned Q4		
Recruitment	Review controls around employee recruitment.	10	0	10	Planned Q4		
Gifts and Hospitality	Examine compliance with the Council's guidance on Gifts and Hospitality within the Employee Code of Conduct.	10	9	1	Finalised	08/08/2017	14/11/2017
TOTAL AUDIT DAYS		**25**	**9**				

Regularity Audits	Audit Objective	Planned Audit Days	Actual Days @ 30/09/17	Variance Fav / (Adv)	Current Progress @ 30/09/17	Final Report issued	Report to Audit and Scrutiny
Outdoor Education	Carry out a review of controls within the Outdoor Education Service.	10	28	-18	Draft report with service	10/10/2017	14/11/2017
Secondary Schools	Review financial controls within the Council's secondary schools using self-assessment audit questionnaires and investigate any concerns which arise.	25	9	16	Fieldwork ongoing		
HR/Payroll transaction testing	Use computer audit software to interrogate the HR/Payroll system and examine any anomalies which arise.	10	9	1	Fieldwork ongoing		
Accounts Payable transaction testing	Use computer audit software to interrogate the Accounts Payable system and examine any anomalies which arise.	10	3	7	Fieldwork ongoing		
Social Services Establishments	Review financial and other controls within a sample of operational establishments within the Health and Social Care Partnership.	20	26	-6	Draft report with service	23/10/2017	14/11/2017
TOTAL AUDIT DAYS		**75**	**75**				

Following the Public Pound	Audit Objective	Planned Audit Days	Actual Days @ 30/09/17	Variance Fav / (Adv)	Current Progress @ 30/09/17
Community Councils	Annual audit of Community Councils accounts' to ensure Council funding is used in accordance with the Council's Scheme of Administration.	10	8	2	As required.
Tenants and Residents Associations	Annual audit of the accounts of various Tenants and Residents Associations.	2	2	0	As required.
TOTAL AUDIT DAYS		**12**	**10**		

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Other Work	Audit Objective	Planned Audit Days	Actual Days @ 30/09/17	Variance Fav / (Adv)	Current Progress @ 30/09/17
Prior year audit work	Completing audits from the previous year's audit plan that were not fully complete by the end of March 2017 or starting audits early from the 2018/19 audit plan.	20	12	8	All 16/17 audits were finalised within Q1.
Audit consultancy: ad-hoc advice	Providing advice to council services in response to ad-hoc queries	10	5	5	As required.
Audit consultancy: project work	Participating in project work to support developments in other council services.	20	13	7	As required.
Follow-up	Follow up of previous audit reports to ensure that appropriate action has been taken.	15	4	11	As required.
Audit planning and monitoring	Preparing audit plans and monitoring progress and performance against plans.	20	11	9	As required.
Audit and Scrutiny Committee	Supporting the Council's Audit and Scrutiny Committee by preparing reports, attending meetings and delivering training for elected members as required.	20	13	7	As required.
Governance documents	Review of governance documents	5	1	4	As required.
Development of the Audit service	Carry out developmental work to further enhance the efficiency of the audit section.	5	1	4	As required.
Internal Audit self-assessment against PSIAS	Undertake a quality assurance programme for Internal Audit in line with the requirements of the Public Sector Internal Audit Standards (PSIAS).	2	0	2	As required.
Internal Audit EQA (assess or being assessed)	Participate in the Scottish Local Authorities Chief Internal Auditors Group (SLACIAG) review network for the external quality assessment programme.	10	0	10	
Grant claims	Certification of expenditure funded by specific grants from external funding bodies	5	3	2	As required.
Annual Accounts	Work in relation to the Council's annual accounts, including stock counts, reviewing imprests and preparing the Annual Governance Statement.	3	1	2	As required.
TOTAL AUDIT DAYS		**135**	**64**		

TOTAL	PRODUCTIVE TIME - AUDIT PLAN	562	275	

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PRODUCTIVE TIME - CONTINGENCIES AND INVESTIGATIONS

Special Investigations	Audit Objective	Planned Audit Days	Actual Days @ 30/09/17	Variance Fav / (Adv)	Current Progress @ 30/09/17	Final Report issued	Report to Audit and Scrutiny
0			0				
TOTAL	**PRODUCTIVE TIME - CONTINGENCIES AND INVESTIGATIONS**	**24**	**0**				

PRODUCTIVE TIME - RESERVE AUDITS

Reserve Audits	Audit Objective	Planned Audit Days	Actual Days @ 30/09/17	Variance Fav / (Adv)	Current Progress @ 30/09/17	Final Report issued	Report to Audit and Scrutiny
Library and Information service	Review a range of controls within the Library and Information service.	15	0	15			
Environmental Health	Review a range of controls within the Council's Environmental Health service.	15	0	15			
Placing Requests	Carry out a review of the placing requests process within Education and Youth Employment.	10	1	9	Fieldwork ongoing		
Throughcare payments	Examine the controls around Throughcare payments within Finance and the Health and Social Care Partnership.	10	0	10			
Covalent system	Carry out a review of the controls around the Council's Performance Management system, Covalent.	10	0	10			
Country Parks	Carry out a review of controls at Eglinton Country Park.	10	15	-5	Draft report with service	06/10/2017	14/11/2017
Additional Special Needs schools	Review controls within the Council's additional special needs schools establishments.	15	0	15			
Nursery establishments	Review controls within a sample of the Council's nursery education establishments.	15	0	15			
TOTAL	**PRODUCTIVE TIME - RESERVE AUDITS**	**100**	**16**				

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NON-PRODUCTIVE TIME

		Planned Audit Days	Actual Days @ 30/09/17	Variance Fav / (Adv)	Current Progress @ 30/09/17
Management		18	12	6	Additional management time required in Q1 and Q2 due to the appointment of 2 new staff.
Administration		18	10	8	On target
Meetings		36	17	19	On target
Training		15	16	-1	Additional training has taken place during Q1 and Q2 mainly due to the appointment of 2 new staff.
TOTAL	**NON-PRODUCTIVE TIME**	**87**	**55**		
TOTAL DAYS		**673**	**346**		

	ANNUAL BUDGET	ACTUAL to 30/09/17
PRODUCTIVE DAYS	586 87.1%	291 84.1%
NON-PRODUCTIVE DAYS	87 12.9%	55 15.9%
TOTAL DAYS	**673 100.0%**	**346 100.0%**

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NORTH AYRSHIRE COUNCIL

Agenda Item 10

14 November 2017

Audit and Scrutiny Committee

Title:	**Internal Audit and Corporate Fraud Action Plans: Quarter 2 update**
Purpose:	To advise the Audit and Scrutiny Committee on the progress made by Council services in implementing the agreed actions from Internal Audit and Corporate Fraud reports as at 30 September 2017.
Recommendation:	That the Committee (a) notes the current position with the implementation of Internal Audit and Corporate Fraud actions; and (b) challenges those services that have not implemented actions within the previously agreed timescales.

1. Executive Summary

1.1 The CIPFA document 'Audit Committee Principles in Local Authorities in Scotland' highlights that Audit Committees should monitor and review the progress made in implementing audit recommendations.

1.2 Service managers are responsible for ensuring that agreed actions arising from Internal Audit and Corporate Fraud reviews are implemented. This provides assurance that identified control weaknesses have been addressed and are being managed effectively.

1.3 All actions are monitored on the Covalent system and service managers are responsible for updating Covalent as they progress each action. This enables Internal Audit to monitor progress on a 'real-time' basis and address any delays in implementation.

1.4 This report details the position at 30 September 2017.

2. Background

2.1 The last report to the Audit and Scrutiny Committee on 22 August 2017 highlighted that there were 50 actions outstanding at the end of June 2017: 11 that had not been started or were only partially implemented and 39 where the due date had not yet passed.

2.2 In addition to these 50 'carried forward' actions, there have been 19 new actions agreed during quarter 2, giving a total of 69 action points for review.

2.3 Services have completed 33 actions since the last report. All services are required to retain evidence of work carried out in completing their actions and Internal Audit carries out 'spot-checks' on a sample of completed actions on an ongoing basis.

2.4 Of the remaining 36 actions, 9 were either not started or only partially complete at 30 September and the remaining 27 were not due for completion until after that date.

2.5 Appendix 1 to this report provides the Committee with full details of the 9 actions that were not complete within the agreed timescales.
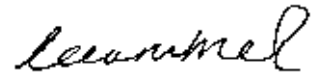
3. Proposals

3.1 It is proposed that the Committee (a) notes the current position with the implementation of Internal Audit and Corporate Fraud actions; and (b) challenges those services that have not implemented actions within the previously agreed timescales.

4. Implications

Financial:	None.
Human Resources:	None.
Legal:	None.
Equality:	None.
Environmental & Sustainability:	None.
Key Priorities:	The effective implementation of agreed Internal Audit actions helps to support the efficient delivery of the strategic priorities within the Council Plan 2015-2020.
Community Benefits:	None.

5.   Consultation

5.1   Council Services are consulted during the completion of each Internal Audit and Corporate Fraud review and have also provided updates on progress made in implementing action points.

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LAURA FRIEL
Executive Director (Finance and Corporate Support)

Reference :
For further information please contact Paul Doak, Senior Manager (Internal Audit, Risk and Fraud) on 01294-324561

Background Papers
None.

Actions due by 30th September 2017 but not yet started or partially complete

Generated on: 26 October 2017

Code	IA2016PA021a	Description	The Corporate Transport Hub, supported by Legal Services, should continue to liaise with SPT to finalise a mutually acceptable Agency Agreement and have this signed at the earliest opportunity.		
Priority	1	Latest Note	**2017/18- Quarter Two Update**: An Information Sharing Exchange and Processing Agreement, which was a main issue has now been executed. The Council continues to apply pressure on SPT to finalise the main Agency Agreement, and the terms of this are nearly agreed. Expected completion date 1 December 2017, although this is largely outwith the Council's control.		
Progress Bar	95%	Original Due Date	31-Mar-2016	Due Date	30-Sep-2016
Parent Code & Title	IA2016PA021 Transportation			Managed By	Andrew Fraser; Russell McCutcheon
				Assigned To	Susan Adamson; Gordon Mitchell; Nicola Shearer

Code	IA2016PA024d	Description	Passwords controls for staff in the schools accessing the Education network should be tightened in line with best practice.		
Priority	2	Latest Note	**2017/18- Quarter Two Update**: This action has been delayed to allow a self-service password tool to be implemented otherwise the impact of this change could affect operation for the customer. Testing is currently underway. It is expected that the forced password change will be implemented late November 2017.		
Progress Bar	90%	Original Due Date	30-Jun-2016	Due Date	30-Sep-2017
Parent Code & Title	IA2016PA024 Education Network Controls			Managed By	Esther Gunn
				Assigned To	Iain Chisholm; Lorna Morley

Code	IA2016PA029g	Description	The Head of Democratic Services should consider renewing the Data Sharing Protocol for procurement with the Police	
Priority	2	Latest Note	**2017/18- Quarter Two Update**: On 6 Oct 2017, the final version of the document was circulated for any last comments. Police Scotland have agreed our changes. Expected completion date 1 December 2017	
Progress Bar	95%	Original Due Date	31-Mar-2017	Due Date	31-Mar-2017
Parent Code & Title	IA2016PA029 Serious Organised Crime		Managed By	Andrew Fraser
			Assigned To	Andrew Fraser

Code	IA2017PA016c	Description	A review of high volume subjects should be undertaken to determine whether common themes exist which could be improved through targeted training	
Priority	2	Latest Note	**2017/18- Quarter Two Update**: A key tool for identifying Common Themes is scrutinising trends by Worker. Two of our largest Service areas (Health and Community Locality Services, and Children & Families Fieldwork teams) are being restructured this autumn, and this will temporarily disrupt this approach. Existing Common themes will continue to be reported. Through further analysis, new themes may be identified in support of the new structures and processes. A target of 31 March 2018 has been set for the ownership of captured records to become robust.	
Progress Bar	90%	Original Due Date	30-Sep-2017	Due Date	30-Sep-2017
Parent Code & Title	IA2017PA016 CareFirst System		Managed By	Jo Gibson
			Assigned To	Caroline Cooper; Larry McMahon

Code	IA2017PA016d	Description	Where substantial data quality improvements are identified the Data Quality Officer should consult with the relevant manager to determine whether good practice can be obtained. Thereafter examples should be shared with underperforming sections		
Priority	3	Latest Note	**2017/18- Quarter Two Update**: Two of our largest Service areas (Health and Community Locality Services, and Children & Families Fieldwork teams) are being restructured this autumn. Whilst teams, workers and systems bed down, interpreting the benchmarking data below service level will not be fruitful, until about January 2018. In the meantime, the Locality Services Team Managers have been invited to blitz their Data Quality Improvement (DQI) issues in 'Bite sized chunks'. This action will continue whilst new team structures bed down, and a target of 31 March 2018 has been set for the ownership of captured records to be robust.		
Progress Bar	10%	Original Due Date	01-Jul-2017	Due Date	01-Jul-2017
Parent Code & Title	IA2017PA016 CareFirst System			Managed By	Jo Gibson
				Assigned To	Caroline Cooper; Larry McMahon

Code	IA2017PA018a	Description	Estates Procedure Manuals should be expanded to give more information about how amendments are input to the K2 system.		
Priority	2	Latest Note	**2017/18- Quarter Two Update**: PMI has identified and trained suitable members of staff to enable them to input information into the K2 system. Contract Compliance, Estates and Sustainability staff were trained on the K2 system in May 2017 and they are now using the system. A record of the staff who are trained and able to use the system is being maintained. System users are removed from the system when they leave. The Estates Procedure Manual is currently being updated and the removal of users when permission is no longer required is included in this update. This will be complete by the end of December 2017.		
Progress Bar	80%	Original Due Date	30-Sep-2017	Due Date	30-Sep-2017
Parent Code & Title	IA2017PA018 Asset Management System			Managed By	Yvonne Baulk
				Assigned To	Laurence Cree

3

Code	IA2017PA018b	Description	PMI should review the retention of records within the K2 system with advice from the Council's Information Governance team and establish a clear policy for how they will deal with this issue.		
Priority	1	Latest Note	**2017/18- Quarter Two Update**: The Council's document retention/disposals schedule has been obtained and actions noted for the retention of asset management information. The Council's Information Governance Team are in discussions to review and ensure the retention procedures are correct. The review will be complete by the end of December 2017.		
Progress Bar	25%	Original Due Date	30-Sep-2017	Due Date	30-Sep-2017
Parent Code & Title	IA2017PA018 Asset Management System			Managed By	Yvonne Baulk
				Assigned To	Laurence Cree

Code	IA2017PA022b	Description	The process for retrieving records should be reviewed, if possible including the use of the new database for recording retrievals.		
Priority	3	Latest Note	**2017/18- Quarter Two Update**: As the new database has not been completed and consignments of records continue to be added to the existing system, it has not been possible to review the retrieval process which continues as-is. The development of the new database has now been allocated to the Data Project team. Estimated completion date: 30/06/2018.		
Progress Bar	2%	Original Due Date	30-Sep-2017	Due Date	30-Sep-2017
Parent Code & Title	IA2017PA022 Information Governance			Managed By	Esther Gunn
				Assigned To	Lauren Lewis

4

Code	IA2018PA011i	Description	Staff should establish whether a data sharing arrangement is in place between the Council and Northgate. If data security isn't explicitly covered in any of the existing agreements/contracts then staff should arrange for a specific agreement be prepared and signed by both parties.		
Priority	2	Latest Note	**2017/18- Quarter Two Update**: Contact has been made with Northgate to establish existing level of data sharing agreement. In addition advice received from Data Protection Officer to have dialogue with Transport Scotland to identify who is data controller as this may be Transport Scotland and NAC the data processor. Awaiting response and advice from Transport Scotland. Extend end date to 01/04/18		
Progress Bar	50%	Original Due Date	30-Sep-2017	Due Date	30-Sep-2017
Parent Code & Title	IA2018PA011 Blue Badge Scheme			Managed By	Julie Davis
				Assigned To	Lynne Ferguson; Larry McMahon

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NORTH AYRSHIRE COUNCIL

Agenda Item 11

14 November 2017

Audit and Scrutiny Committee

Title:	**External Audit Action Plans: Quarter 2 Update**
Purpose:	To update the Committee on progress made in implementing the agreed action plans arising from the external audit of the Council's 2015/16 and 2016/17 accounts.
Recommendation:	That the Committee notes the progress made in completing the action plans.

1. Executive Summary

1.1 Each year, on completion of the audit of the Council's annual accounts, a report is prepared by the External Auditor on their findings. This includes an action plan for the Council.

1.2 Internal Audit has responsibility for monitoring progress against these actions. This report provides the Audit and Scrutiny Committee with an update on the progress at 30 September 2017.

2. Background

2.1 The 2015/16 'Review of Main Financial Systems' action plan was reported to the Audit Committee on 23 May 2016 and contains 5 actions. The last update provided to the Committee in May 2017 indicated that four were complete at that time and the other one was partially complete. This action remains open and is now scheduled for completion by December 2017. The latest update on this action is included in the Appendix to this report.

2.2 The action plan relating to the 2016/17 annual accounts was reported to the Audit and Scrutiny Committee on 19 September 2017 and contains four actions; none of these are yet due for completion and so have not been included in this update.
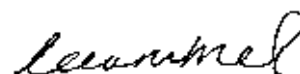
3. Proposals

3.1 It is proposed that the Committee notes the progress made in completing the action plan.

4. Implications

Financial:	None.
Human Resources:	None.
Legal:	None.
Equality:	None.
Environmental & Sustainability:	None.
Key Priorities:	The work of External Audit helps to support the efficient delivery of the strategic priorities within the Council Plan 2015-2020.
Community Benefits:	None.

5. Consultation

5.1 No consultations have been required in the preparation of this report.

LAURA FRIEL
Executive Director (Finance and Corporate Support)

Reference :
For further information please contact Paul Doak, Senior Manager (Internal Audit, Risk and Fraud) on 01294-324561.

Background Papers
None.

External Audit Action Plan Report

Parent Action								
Code	**Description**	**Note**	**Priority**	**Progress**	**Due Date**	**Original Due Date**	**Managed By**	**Assigned To**
EA2016KC	Key Controls Action Plan 2015-16			98%				

Sub Actions								
Code	**Description**	**Latest Note**	**Priority**	**Progress**	**Due Date**	**Original Due Date**	**Managed By**	**Assigned To**
EA2016KC05	It is council policy for reliefs to be reviewed at intervals not exceeding every five years to confirm that the eligibility criteria are still being met by the claimant. Sample testing of a variety of discounts and reliefs highlighted a small number which had breached the five year review (i.e. some sports clubs, nursing homes, charities). Our enquiries established that these have all been scheduled for review during 2016/17. We note that Small Business Bonus Reliefs, which we reported last year had not been reviewed for over five years, were reviewed as planned during 2015/16. Risk: Non domestic rates relief may be granted to claimants who are no longer eligible.	**2017/18- Quarter Two Update**: The review of non domestic rates is on track for completion by December 2017. The bulk of the reviews are complete and reminder letters will be issued in October and November to ratepayers who have not responded, in order to complete the review.		90%	31-Jan-2017	31-Jan-2017	Laura Friel	Stephen Humphries

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NORTH AYRSHIRE COUNCIL

Agenda Item 12

14 November 2017

Audit and Scrutiny Committee

Title:	**Corporate Fraud Team: Mid-year Progress**
Purpose:	To provide the Audit and Scrutiny Committee with a mid-year progress update on the work of the Corporate Fraud team.
Recommendation:	That the Committee notes the work carried out by the Corporate Fraud team between April and September 2017.

1. **Executive Summary**

1.1 The Corporate Fraud team provides the Council with the capacity to investigate fraud both within and against the organisation.

1.2 Committee receives bi-annual updates on the work of the team. This report provides an overview of the activity of the Corporate Fraud team between April and September 2017.

2. **Background**

Internal Investigations

2.1 Four internal investigation referrals have been received by the Corporate Fraud Team between April and September 2017.

2.2 Two of these investigations have been finalised and are the subject of reports elsewhere on the agenda for this meeting, one investigation remains ongoing and the other was closed without issue.

External Investigations

2.3 Referrals for investigation have been made to the team from a number of different sources, including Revenues and Benefits and Housing, members of the public and other agencies and local authorities. The publicity used by the team, including posters and leaflets in public areas, advertising on Council vans and contact information on the Council website, has been successful in generating a stream of referrals.

2.4 Investigations have been carried out across a range of areas including Council Tax, Discretionary Housing Payments, Scottish Welfare Fund, Blue Badges and Housing Tenancy issues. Although responsibility for investigating Housing Benefit fraud now lies with DWP, issues may be identified by the Corporate Fraud Team which can result in changes being made to benefits in payment.

2.5 The team received 182 referrals for investigation during the first half of 2017-18. A number of referrals were also made by the team to DWP, the Council's Anti-Social Behaviour Investigation Team and other local authorities.

2.6 The team also investigates all tenancy abandonments which are referred by Housing. While Housing focus on recovering the tenancy, the Corporate Fraud Team can add value by locating the missing tenant, which can often lead to changes to benefits or discounts in payments elsewhere, as well as enabling Housing to recover costs associated with house clearances and cleaning.

2.7 All referrals made to the team are investigated although many can subsequently prove unfounded. However, as a result of the work carried out by the team during the first half of 2017-18:

- financial recoveries of over £12,000 were achieved;
- 18 Council houses were recovered through joint working with Housing in relation to tenancy abandonments;
- 1 Council housing application was withdrawn;
- 1 Blue Badge was recovered.

Pro-active Work

2.8 In addition to the reactive investigation work outlined above, the team has also carried out a number of pro-active exercises during the first half of 2017-18.

2.9 A data match between the Council Tax and Payroll systems carried out by the team has resulted in new recovery arrangements being put in place for £238,000 of Council Tax debt.

2.10 The team also visited all non-domestic properties across North Ayrshire which were in receipt of Empty Property Relief. This exercise resulted in the withdrawal of a total of £33,000 of relief from 14 properties.

2.11   Investigators have started to explore other options for data matching between Council systems to identify potential frauds for further investigation. A recent match between the Landlord Register and the Council Tax system was carried out to identify potential Houses of Multiple Occupation (HMOs) that are not registered and a number of potential matches have been passed back to the service for further investigation.

Other Updates

2.12   The Corporate Fraud Team continues to co-ordinate the investigation of potential National Fraud Initiative (NFI) matches from the 2017 data match. This is due for completion by the end of March 2018 and any outcomes will be the subject of a future report to Committee.

2.13   International Fraud Awareness Week takes place between 13th and 17th November and a number of awareness-raising events are being planned by the team in public areas across North Ayrshire.
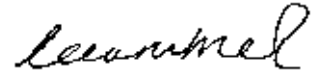
3.   Proposals

3.1   It is proposed that the Committee notes the work carried out by the Corporate Fraud Team.

4.   Implications

Financial:	None.
Human Resources:	None.
Legal:	None.
Equality:	None.
Environmental & Sustainability:	None.
Key Priorities:	The work of the Corporate Fraud Team helps to support the efficient delivery of the strategic priorities within the Council Plan 2015-2020.
Community Benefits:	None.

5.   Consultation

5.1   No consultation has been required in the preparation of this report.

LAURA FRIEL
Executive Director (Finance and Corporate Support)

Reference :
For further information please contact Paul Doak, Senior Manager (Internal Audit, Risk and Fraud) on 01294-324561.

Background Papers
None.

NORTH AYRSHIRE COUNCIL

Agenda Item 13

14 November 2017

Audit and Scrutiny Committee

Title:	Counter Fraud Maturity Assessment
Purpose:	To advise the Committee of the outcome of a self-assessment of the Council's Counter Fraud arrangements using the Scottish Government Counter Fraud Maturity Model.
Recommendation:	That the Committee notes the positive assessment.

1. Executive Summary

1.1 A self-assessment of the Council's Counter Fraud arrangements has been carried out using the Scottish Government Counter Fraud Maturity Model.

1.2 This report provides an overview of the assessment and the proposed action to further improve compliance.

2. Background

2.1 The Council has a Counter Fraud and Corruption Strategy, last approved by the Audit and Scrutiny Committee in November 2016, which outlines the Council's zero-tolerance approach to fraudulent or corrupt activity, whether perpetrated by employees, Elected Members, partner organisations, suppliers or service users.

2.2 The responsibility for creating a strong anti-fraud culture lies both with Elected Members, in particular the Cabinet and the Audit and Scrutiny Committee, and the Executive Leadership Team. It is essential that strong controls are in place to help prevent fraud.

2.3 Heads of Service are responsible for implementing and testing robust control mechanisms, which will also be subject to periodic review by Internal Audit in line with the approved audit plan.

2.4 In order to provide the Audit and Scrutiny Committee with further assurance over the adequacy of the Council's Counter Fraud arrangements, a self-assessment has been carried out using the Scottish Government's 'Counter Fraud Maturity Model'. This model has been developed to help organisations self assess their Counter Fraud approach and identify gaps in their counter fraud controls. Eight categories of counter fraud controls have been identified with five available levels of compliance against each.

2.5 The Scottish Government model has been attached for information at Appendix 1 and the outcome of the self-assessment is attached at Appendix 2. This shows the level of compliance with each of the counter fraud controls and the evidence which supports the assessment.

2.6 The self-assessment has identified that the Council's Counter Fraud arrangements are:

- 'leading' against four of the controls;
- 'progressive' against another three, and;
- 'established' against the training and development control.

2.7 Overall, this is an extremely positive position. In order to further improve compliance with the training and development control, the Corporate Fraud team will develop additional targeted training for staff within those areas of the Council's business that are identified in the Counter Fraud and Corruption Strategy as being at greatest risk of fraud. This will help to achieve 'progressive' status against this control area.

2.8 No further actions are considered necessary in relation to the other control areas at the present time. Compliance with the framework will be reviewed again in the future and further action may be considered at that time to move to a 'leading' position against all of the controls.
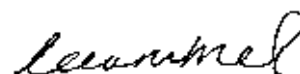
3. Proposals

3.1 It is proposed that Committee notes the positive self-assessment against the Counter Fraud Maturity Model at Appendix 2 and the proposed action by the Corporate Fraud team.

4. Implications

Financial:	None.
Human Resources:	None.
Legal:	None.
Equality:	None.
Environmental & Sustainability:	None.
Key Priorities:	The work of the Corporate Fraud team helps to support the efficient delivery of the strategic priorities within the Council Plan 2015-2020.
Community Benefits:	None.

5. Consultation

5.1 No consultation has been required.

LAURA FRIEL
Executive Director (Finance and Corporate Support)

Reference :
For further information please contact Paul Doak, Senior Manager (Internal Audit, Risk and Fraud) on 01294-324561.

Background Papers
None.

Counter Fraud Maturity Model

Counter Fraud Controls	Initial	Developing	Established	Progressive	Leading
Ethics	Ethical standards are in place and communicated but are not comprehensive.	Clear ethical standards are in place including a formal counter fraud policy.	Clear ethical standards are in place through a formal counter fraud policy, and codes of conduct.	Clear ethical standards are promoted through a formal counter fraud policy, and codes of conduct including the prevention of bribery and corruption.	Counter fraud policy is embedded within the overall organisational strategy and business planning.
Policies	A fraud response plan is in place.	A fraud response plan is in place alongside other policies such as register of interests.	A fraud action plan is in place alongside other policies such as register of interests.	Fraud is dealt with effectively through implementation of a comprehensive fraud action plan, and other policies such as register of interests.	Focus is on continual improvement in updating policies regularly to respond to, and communicate, any changes to governance standards.
Training & Development	Guidance in preventing fraud, bribery and corruption is available to staff.	Guidance in preventing fraud, bribery and corruption is available to staff. Training is promoted but not supported corporately.	Guidance and training in preventing fraud, bribery and corruption is available to staff.	All staff and stakeholders are supported in their responsibilities in preventing fraud, bribery and corruption through guidance and training.	Knowledge and skills are updated regularly keeping up to date with any changes to professional standards.
Risk Assessment	Fraud risk assessments are ad hoc.	Fraud risk assessments are undertaken in key areas of the organisation.	Fraud risk assessments are undertaken across the organisation.	Fraud risk assessments are comprehensive and undertaken across the organisation.	Fraud risk assessments are embedded within the overall organisational risk assessment processes.
Monitoring Controls	Designing, operating and reviewing internal controls are not integrated.	Managers are encouraged to counter fraud designing, operating and reviewing internal controls.	Support is available for designing, operating and reviewing internal controls.	Managers are provided with specialist support in designing, operating and reviewing internal controls.	Using data, and technology, efficiently in current and future systems, to combat fraud and error.
Reporting Arrangements	Processes for reporting suspicions of fraud are not clear.	A process is in place for reporting suspicions of fraud.	Protecting members of staff through a robust process for reporting suspicions of fraud.	Members of staff are protected through a robust process for reporting suspicions of fraud, bribery and corruption.	Quantitative and qualitative reporting of fraud metrics is in place for the organisation.
Investigation & Response	Allegations of fraud are investigated as a priority as resources allow.	All allegations of fraud are investigated.	All allegations of fraud are investigated by skilled staff.	A comprehensive and coordinated approach is applied to all allegations of fraud including professional investigation by skilled staff.	High-risk areas are proactively assessed and analysed for potential fraud by professionally trained staff.
Communication	Communications to deter fraud are issued occasionally to staff.	The commitment to deter fraud is communicated by raising awareness of policies to staff.	The commitment to deter fraud is communicated by raising awareness of policies to all staff on a regular basis.	The commitment to deter fraud, bribery and corruption is communicated by raising awareness of policies to all staff on a regular basis.	Comprehensive communication lines in place to deter fraud, bribery and corruption by raising awareness of policies to all staff and stakeholders.

Counter Fraud Controls	Initial	Developing	Established	Progressive	Leading
Ethics	The Council has clear ethical standards in place through the Employee Code of Conduct, Elected Members Code of Conduct, Financial Regulations and the Counter Fraud and Corruption Strategy.				Counter Fraud policy is embedded within the overall organisational strategy and business planning.
Policies	The Council has in place a register of interests for Elected Members and senior officers, as well as a range of policies to address the fraud risk including the Counter Fraud and Corruption Strategy, Defalcation Procedures and the Corporate Fraud team plan.				Focus is on continual improvement in updating policies regularly to respond to and communicate any changes in governance standards.
Training and Development	The Corporate Fraud team delivers face-to-face training to all staff who have any responsibility for handling cash as part of their job role. In addition, the team provides training and awareness sessions to staff groups who may encounter the risk of fraud and corruption, such as Revenues and Benefits or Housing staff. Other training events are arranged with external partners such as Police Scotland. The Council also has an e-learning module on the Bribery Act 2010.			All staff and stakeholders are supported in their responsibilities in preventing fraud, bribery and corruption through training.	Knowledge and skills are updated regularly keeping up-to-date with any changes in professional standards.
Risk Assessment	Comprehensive risk assessments have been undertaken across the Council to help inform and direct the Counter Fraud and Corruption Strategy and identify the main areas of focus for the Corporate Fraud team.				Fraud risk assessments are embedded within the overall organisational risk assessment processes.
Monitoring Controls	Regular reviews of internal controls across the Council are carried out by Internal Audit. The Corporate Fraud team also review controls as part of any internal investigation which is carried out. Internal Audit provide advice and guidance on controls, either on an ad-hoc basis or as part of the project team for larger projects such as new system implementations. Corporate Fraud use the IDEA software to interrogate systems for potential frauds.				

Counter Fraud Controls	Initial	Developing	Established	Progressive	Leading
Reporting Arrangements	The Council has a high-profile Corporate Fraud Team, with well-publicised arrangements for referring potential frauds through a telephone hotline and e-mail account. The Team has a range of publicity methods and carries out regular awareness sessions with staff groups and the general public. The Council also has a Whistleblowing Policy and reporting hotline through the Head of Democratic Services. Fraud metrics are reported to the Executive Leadership Team (ELT) and the Audit and Scrutiny Committee twice a year and the Audit and Scrutiny Committee also receives detailed reporting on all investigations into suspected employee fraud.				
Investigation and Response	All referrals to the Corporate Fraud Team are investigated by professionally trained staff. For each investigation an analysis of high risk areas is carried out using a checklist approach to ensure that all appropriate data held across Council systems is reviewed and interrogated. The Corporate Fraud Team also adds value to investigations carried out by other Council teams such as Housing and Licensing.				
Communication	The Cabinet has approved the Counter Fraud and Corruption Strategy, which confirms that the Council has committed to a zero-tolerance approach to fraud and corruption. The Corporate Fraud Team delivers presentations to staff and union groups and regular information stands in public areas as well as issuing fraud bulletins. International Fraud Awareness Week in November each year is used to focus awareness on the zero-tolerance approach. The Council also uses HR e-bulletins to make employees aware of any changes to policies and annual reminders are sent to Elected Members and employees about the requirement to declare offers of gifts and hospitality.				

NORTH AYRSHIRE COUNCIL

Agenda Item 14

14 November 2017

Audit and Scrutiny Committee

Title:	**External Inspection Reports**
Purpose:	To seek agreement that the Committee should receive reports on the outcome of all external inspections.
Recommendation:	That the Committee agrees to receive reports on the outcome of all external inspections.

1. Executive Summary

1.1 The Council is subject to external inspection and review by a range of national agencies.

1.2 This report recommends that the outcome of all such external reviews should be reported through the Audit and Scrutiny Committee.

2. Background

2.1 The Audit and Scrutiny Committee receives regular reports from the Council's external auditor, currently Deloitte LLP, and from Audit Scotland, in the form of national studies of particular service areas.

2.2 The Council is also subject to external scrutiny from a range of other external agencies.

2.3 Some of these, including the Care Inspectorate, Education Scotland and the Scottish Housing Regulator, form the Local Area Network which publishes the Local Scrutiny Plan. The plan for 2017/18 was reported to Audit and Scrutiny Committee on 22nd August 2017. Inspection by these agencies may be at a Service level or at individual establishments.

2.4 Other reviews are carried out by agencies such as the Scottish Environmental Protection Agency (SEPA) or the Office of the Surveillance Commissioner.

2.5 It is considered that the outcome of all such external inspections and reviews should in future be reported to the Audit and Scrutiny Committee, in order that the Committee receives a comprehensive view of all external assurance received by the Council.

2.6 Inspection reports at a Service level will be reported as they are

published, whereas annual summary reports will be provided of inspection reports at establishment level.

2.7 The appropriate Council Directorate will report to Committee on the outcome of external inspections.
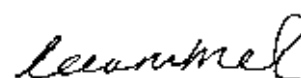
3. Proposals

3.1 It is proposed that the Committee agrees to receive update reports from all inspection agencies which carry out external scrutiny of the Council, as outlined above.

4. Implications

Financial:	None.
Human Resources:	None.
Legal:	None.
Equality:	None.
Environmental & Sustainability:	None.
Key Priorities:	Effective external scrutiny helps to ensure that good governance arrangements are in place, underpinning delivery of the Council's key priorities.
Community Benefits:	None.

5. Consultation

5.1 Executive Directors have provided information on the external scrutiny and inspection to which their Directorates are subject.

LAURA FRIEL
Executive Director (Finance and Corporate Support)

Reference :
For further information please contact Paul Doak, Senior Manager (Internal Audit, Risk and Fraud) on 01294-324561.

Background Papers
None.