Cabinet

A Meeting of the **Cabinet** of North Ayrshire Council will be held in the **Council Chambers**, **Ground Floor, Cunninghame House, Irvine, KA12 8EE** on **Tuesday, 29 November 2022** at **14:30** to consider the undernoted business.

Meeting Arrangements - Hybrid Meetings
This meeting will be held on a predominantly physical basis but with provision, by prior notification, for remote attendance by Elected Members in accordance with the provisions of the Local Government (Scotland) Act 2003. Where possible, the meeting will be live-streamed and available to view at https://north-ayrshire.public-i.tv/core/portal/home.

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
The accuracy of the minutes of meeting of the Cabinet held on 1 November 2022 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).

EDUCATION ITEMS FOR DECISION

3 Mayfields Housing Development, Saltcoats and Proposed Catchment Boundary Changes
Submit a report by the Executive Director (Communities and Education) seeking approval to carry out a Statutory Public Consultation on the proposal to amend the primary school catchment boundary lines between Saltcoats and Stevenston (copy enclosed).

4   **North Ayrshire Children's Services Plan 2020-23: Progress Report 2021-22**
Submit a report by the Director (HSCP) presenting the draft North Ayrshire Children's Services Plan 2020-23: Progress Report covering 2021-22 (copy enclosed).

GENERAL BUSINESS FOR DECISION

Reports by the Chief Executive

5   **Establishment of a Policy Advisory Panel**
Submit a report by the Chief Executive seeking approval to establish an Elected Member Policy Advisory Panel to assist in the preparation of policy proposals for consultation by Cabinet (copy enclosed).

6   **The Investigations Manual of the Ethical Standards Commissioner's office - Consultation**
Submit a report by the Head of Service (Democratic Services) advising that the Ethical Standards Commissioner is consulting on the content of the draft Complaints Investigation Manual and seeking approval for the Council's proposed submission to the consultation (copy enclosed).

7   **Revenue Budget 2022/23: Financial Performance to 30 September 2022**
Submit a report by the Head of Service (Finance) on the financial performance of the Council at 30 September 2022 (copy enclosed).

8   **Capital Programme Performance to 31 March 2023**
Submit a report by the Head of Service (Finance) on progress in delivering the Capital Investment Programme for 2022/23 (copy enclosed).

9   **Treasury Management and Investment Mid-Year Report 2022/23**
Submit a report by the Head of Service (Finance) providing Cabinet with a Treasury for the period 1 April to 30 September 2022 (copy enclosed).

10   **Procurement Annual Activity Report (21-22)**
Submit a report by the Head of Service (Finance) providing an update on Procurement activity for the period 21/22 (copy enclosed).

Reports by the Executive Director (Communities and Education) / Director (HSCP)

11   **Cost-of-Living Crisis**
Submit a report by the Executive Director (Communities & Education) on the Council's response to the current cost-of-living crisis and associated investments and funds (copy enclosed).

North Ayrshire Council, Cunninghame House, Irvine KA12 8EE

12   Financial Inclusion
Submit a report by the Director (HSCP) providing Cabinet with an update on Financial Inclusion services (copy enclosed).

13   Community Asset Transfer Application – Ardeer Quarry Football Ground and adjacent land
Submit a report by the Executive Director (Communities & Education) seeking approval for the transfer of ownership of Ardeer Football Ground and adjacent land (copy enclosed).

Reports by the Executive Director (Place)

14   Tackling Climate Change: Public Bodies Climate Change Duties Report and Review of North Ayrshire's Environmental Sustainability & Climate Change Strategy 3 (ESCCS3)
Submit a report by the Executive Director (Place) on the Cabinet's net zero journey, including highlights from the Public Bodies Climate Change Duties (PBCCD) 2021/22 report and proposed strategic principles to be followed for the review of ESCCS3 (copy enclosed).

15   Ayrshire Local Flood Risk Management Plan
Submit a report by the Executive Director (Place) on progress and next steps in relation to the publication of the Second Ayrshire Local Flood Risk Management Plan and the Final Progress Report on the First Ayrshire Local Flood Risk Management Plan (copy enclosed).

16   Flexible Advanced Manufacturing Space, i3 Irvine: Phase 1, Full Business Case
Submit a report by the Executive Director (Place) on the Full Business Case (FBC) for Phase 1 of the Flexible Advanced Manufacturing Space Project at i3, Irvine (copy enclosed).

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

Webcasting

Please note: this meeting may be filmed/recorded/live-streamed to the Council's internet site and available to view at https://north-ayrshire.public-i.tv/core/portal/home, where it will be capable of repeated viewing. At the start of the meeting, the Provost/Chair will confirm if all or part of the meeting is being filmed/recorded/live-streamed.

You should be aware that the Council is a Data Controller under the Data Protection Act 2018. Data collected during the webcast will be retained in accordance with the Council's published policy, including, but not limited to, for the purpose of keeping historical records and making those records available via the Council's internet site.

Generally, the press and public seating areas will not be filmed. However, by entering the Council Chambers, using the press or public seating area or (by invitation) participating remotely in this meeting, you are consenting to being filmed and consenting to the use and storage of those images and sound recordings and any information pertaining to you contained in them for webcasting or training purposes and for the purpose of keeping historical records and making those records available to the public. If you do not wish to participate in a recording, you should leave the meeting. This will constitute your revocation of consent.

If you have any queries regarding this and, in particular, if you believe that use and/or storage of any particular information would cause, or be likely to cause, substantial damage or distress to any individual, please contact dataprotectionofficer@north-ayrshire.gov.uk.

Cabinet Sederunt

Elected Members

Marie Burns (Chair)
Shaun Macaulay (Vice-Chair)
Scott Davidson
Tony Gurney
Alan Hill
Margaret Johnson
Christina Larsen

Church Representatives

Mr Andrew Bruce
Ms Elizabeth Turbet
Rev Mark Goodman
Teaching Representative

Ms Jackie MacKenzie

Youth Council Representatives

Chair:

Apologies:

Attending:

North Ayrshire Council, Cunninghame House, Irvine KA12 8EE

Cabinet
1 November 2022

IRVINE, 1 November 2022 - At a Meeting of the Cabinet of North Ayrshire Council at 2.30 p.m.

Present
Marie Burns, Scott Davidson, Tony Gurney, Alan Hill, Margaret Johnson, Christina Larsen and Shaun Macaulay.

Also Present
Cameron Inglis and Davina McTiernan.

In Attendance
C. Hatton, Chief Executive; M. Boyd, Head of Service (Finance); F. Walker, Head of Service (People & ICT) (Chief Executive's Service); R. McCutcheon, Executive Director, Y. Baulk, Head of Service (Physical Environment), L. Kirk, Senior Manager (Regeneration), T. Reaney, Head of Service (Recovery & Renewal), F. Ellis, Senior Manager (Housing Strategy & Development), J. Barrett, Senior Manager (Homelessness & Community Safety), A. Cowley, Senior Manager (Roads) and C. Dempster, Senior Manager (Roads) (Place); A. Sutton, Executive Director and R. Arthur, Head of Service (Connected Communities) (Communities & Education); C. Cameron, Director (Health and Social Care Partnership); N. McIlvanney, Senior Manager and M. Ritchie, Regeneration Manager (Growth and Investment); A. Craig, Head of Service, J. Hutcheson, Senior Communications Officer, C. Stewart and H. Clancy, Committee Services Officers (Democratic Services).

Chair
Marie Burns in the Chair.

1.   **Minutes**

The Minutes of the Meeting of the Cabinet held on 27 September 2022 were confirmed and the Minutes signed in accordance with Paragraph 7 (1) of Schedule 7 of the Local Government (Scotland) Act 1973.

2.   **Declarations of Interest**

There were no declarations of interest by Members in terms of Standing Order 11 and Section 5 of the Code of Conduct for Councillors.

3.   **Proposals for Community Investment Fund (CIF) Expenditure**

Submitted a report by the Executive Director (Communities and Education) on applications by Locality Partnerships to allocate CIF funding to proposed projects. The proposals from Beith Playpark Action Group (BPAG) were set out in Appendix 1 to the report, with the CIF application from Children 1st and the CIF application in relation to the Localities Priority Officer from North Coast and Cumbrae Locality Partnership being set out at Appendices 2 and 3, respectively, to the report.

Members asked questions and were provided with further information in relation to the link in with money advice support services as well as third sector partner engagement with the local community.

The Cabinet (a) reviewed the enclosed applications from the Garnock Valley, Irvine, and North Coast and Cumbrae Locality Partnerships in line with CIF criteria; and (b) agreed to approve (i) the CIF application in relation to Beith Playpark Action Group (BPAG) in the amount of £100,000, (ii) the CIF application in relation to Children 1st in the amount of £97,580 and (iii) the CIF application in relation to the Localities Priority Officer from North Coast and Cumbrae Locality Partnership in the amount of £41,000.

4.   **Update on Humanitarian Protection for People from Ukraine**

Submitted a report by the Executive Director (Place) on the range of supports being offered by the Council and its community planning partners to those people seeking sanctuary from the conflict in Ukraine.

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

- the range of supports available to help integrate those seeking sanctuary from the Ukraine conflict with the local community; and
- access to education, health, medical care, and translation services for Ukrainian Displaced People.

The Cabinet agreed (a) to note (i) the support provided to date to Ukrainian Displaced People (UDPs) who have settled in North Ayrshire, (ii) the plans to reinstate 30 decommissioned one bedroom Council properties at Glebe Place, Saltcoats as temporary accommodation for Ukrainian Displaced People, using funding of £0.486m allocated by Scottish Government for this purpose; and (b) that officers would continue to investigate further options to accommodate people displaced by the Ukraine conflict.

5.   **Strathclyde Partnership for Transport – Regional Transport Strategy consultation**

Submitted a report by the Executive Director (Place) seeking approval for the proposed North Ayrshire Council submission to the Strathclyde Partnership for Transport's (SPT) consultation on the new Regional Transport Strategy. The draft consultation response was set out at Appendix 1 to the report.

Members asked questions and were provided with further information in relation to the importance of ensuring adequate public transport provision, as well as early engagement with SPT should there be any change to service provision.
The Cabinet agreed to approve the submission of the proposed consultation response the new Regional Transport Strategy provided at Appendix 1 to the report.

6. **Millport Coastal Flood Protection Scheme: Update**

Submitted a report by the Executive Director (Place) on the latest position in respect of the award of contract for the construction of the Millport Coastal Flood Protection Scheme.

Members asked questions and were provided with further information in relation to ensuring good community engagement during the construction works of the Scheme.

The Cabinet agreed (a) to note (i) the tender position for the Millport Coastal Flood Protection Scheme, (ii) the importance of the scheme, (iii) the position in respect of the volatility in construction costs resulting in tender returns significantly exceeding the budget and (iv) the additional Scottish Government funding of approximately £17m; and (b) to approve the use of flexibility funding already included in the Capital Programme to fund the additional contribution to the Scheme from North Ayrshire Council of approximately £4m.

7. **Strategic Housing Investment Plan 2023-2028**

Submitted a report by the Executive Director (Place) seeking approval of the Strategic Housing Investment Plan 2023-2028 set out at Appendix 1 to the report.

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

- whether the "buy back" programme represented good value for money, given Council policy on sustainability and letting standards; and
- impact of rent levels on delivery of the Investment Plan and financial aspects of the Scottish Government Green Standards regarding new affordable housing.

The Cabinet agreed to (a) approve the Strategic Housing Investment Plan 2023-2028 at Appendix 1 to the report for submission to Scottish Government; and (b) grant delegated authority to the Executive Director (Place) and the Cabinet Member for Place to liaise directly with the Scottish Government in agreeing the North Ayrshire development programme and the rescheduling of projects, as required.

8. **Estates Based Regeneration Programme (EBRP) Update**

Submitted a report by the Executive Director (Place) on the delivery of the HRA Estates Based Regeneration Programme (EBRP) and seeking approval for a refreshed programme for 2022-2029. The EBRP to March 2022 and the EBRP scheduled for delivery in 2024/25 and beyond, was detailed at Appendices 1 and 2, respectively, to the report.

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

- engaging with tenants on individual proposals; and
- the identification of key development options with Registered Social Landlord (RSL) partners and estimated timescale on the outcome of these discussions.

The Cabinet agreed (a) to note (i) progress on, and revisions to, the EBRP to March 2022 as noted in Appendix 1, (ii) the revised programme for 2022/23 to recognise slippage in previous years, (iii) that the remainder of the projects in the Estate Based Regeneration Programme scheduled for delivery in 2024/25 and beyond, as shown in Appendix 2, may be subject to revision; and (b) to approve the detailed programme for 2023/24 as outlined in the body of the report.

9. Rapid Rehousing Transition Plan Progress

Submitted a report by the Executive Director (Place) on the implementation of the North Ayrshire Rapid Rehousing Transition Plan and seeking approval for the priorities identified for year four of the plan.

Members asked questions and were provided with further information in relation to hostel accommodation.

The Cabinet agreed (a) to note (i) the progress made to date in the implementation of the Rapid Rehousing Transition Plan, and (ii) the priorities set for delivering the Rapid Rehousing Transition Plan during 2022/2023.

10. Roads Winter Service and Weather Emergencies Plan 2022/23

Submitted a report by the Executive Director (Place) on the Roads Winter Service and Weather Emergencies Plan 2022/23. The Winter Preparation Action Plan 2022-23 and the Winter Service and Weather Emergencies Plan 2022-23 was set out at Appendices 1 and 2, respectively, to the report.

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

- adequate stock levels of grit for this winter; and
- what contingency arrangements were in place in the event of staff shortage and/or a sudden and unexpected change in short term priorities.

The Cabinet agreed (a) to approve the Roads Winter Service and Weather Emergencies Plan 2022/23 set out at Appendix 1 to the report; and (b) to note the preparations and developments contained in the Winter Preparation Action Plan set out at Appendix 2.

11. i3 – Sale of Land at Strategic Investment Campus

Submitted a report by the Director (Growth & Investment) on the proposal for the sale of 2 acres of land at the Strategic Investment Campus, i3, Irvine, subject to appropriate conditions.

The Cabinet agreed to (a) approve the proposal for the sale of 2 acres of land to System Five Off Site Ltd at the Strategic Investment Campus at I3 Irvine; and (b) note that appropriate related conditions to the sale and deed of conditions would be prepared and that the final sale price would be negotiated in conjunction with the Council's Estates and Legal Teams.

12.   Exclusion of the Public

Cabinet 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 Paragraphs 8 & 9 of Part 1 of Schedule 7A of the Act.

13.   Island Accommodation

Submitted a report by the Director (HSCP) on Island Accommodation on Arran.

The Cabinet agreed to approve the recommendation as detailed in the report.

The meeting ended at 4.10 p.m.

NORTH AYRSHIRE COUNCIL

29 November 2022

Cabinet (Education)

Title:	**Mayfields Housing Development, Saltcoats and Proposed Catchment Boundary Changes**
Purpose:	To seek approval from Cabinet to carry out a Statutory Public Consultation on the proposal to amend the primary school catchment boundary lines between Saltcoats and Stevenston.
Recommendation:	It is proposed that Cabinet: a) Approves the proposal to carry out a Statutory Public Consultation on the proposal to amend the primary school catchment boundary lines between Saltcoats and Stevenston

1. Executive Summary

1.1 An approved planning application for up to 370 new homes at the boundary between Saltcoats and Stevenston has resulted in the need to consider an existing school catchment boundary, over which this new development will be built.

1.2 Various options have been considered and, after early engagement with the local school communities, it is recommended that the preferred option to rezone all of the new housing development to Mayfield Primary School (non-Denominational) and St Anthony's Primary School (Denominational) is taken to statutory public consultation.

1.3 This report seeks approval to commence statutory public consultation on the boundary amendment proposal from Monday 9 January 2023. Following the conclusion of this consultation, a report will be prepared for consideration by Cabinet by May/June 2023.

2. Background

2.1 In Autumn 2019, North Ayrshire Council's Planning Committee approved an application from Persimmon Homes to build 275 units at Mayfield Farm (now known as 'Mayfields'), over 3 phases. An additional 95 units are planned to follow in Phase 4, completing the site by 2033/34 (subject to a further planning application being submitted in the longer term).

2.2 Work has now commenced on site with the first 18 units (including a number of flats) planned to be completed and sold by March 2023.

2.3 Education and Planning Services noted that the catchment boundary line for Saltcoats/Stevenston schools ran through the proposed site, which, if left unchanged, would lead to a situation whereby homes in the development would fall within the catchment areas of either Saltcoats schools or Stevenston schools, which are considerably further away. Further work was then undertaken to assess the impact of the new development on existing school catchments and to examine any feasible options for change.

2.4 The site entrance sits well within the Saltcoats town boundary. A map showing the site and current catchment boundary lines is attached at Appendix 1. Appendix 2 shows the site and proposed new catchment boundary lines.

2.5 The options considered to ensure that the layout of the new development does not adversely impact on the equitable distribution of the school catchment areas running through the site are as follows:

- Do nothing
- Redraw catchment boundary around the new homes
- Rezone existing streets to Dykesmains Primary School
- Rezone all new homes to Mayfield Primary School

The table at Appendix 3 outlines the advantages and disadvantages of each option. These have been presented and discussed with stakeholders as part of the early engagement outlined in the timeline at Appendix 4.

2.6 The recommended option is to rezone all the new homes to Mayfield Primary School, for non-denominational education, and St Anthony's Primary School for denominational education. This option makes geographical sense and current pupil roll projections indicate that the schools can accommodate the anticipated change to pupil numbers. The total number of catchment homes for Mayfield Primary School, which would absorb the majority of the additional pupil numbers, would rise in line with comparable single stream non-denominational primary school catchment sizes, such as Ardeer and Blacklands primary schools.

2.7 This recommended option requires a Statutory Public Consultation under the Schools Consultation Act 2010 and would affect the following primary schools, as the catchment boundary for each school would change:

- Mayfield Primary School, Saltcoats
- Glencairn Primary School, Stevenston
- St Anthony's Primary School, Saltcoats
- St John's Primary School, Stevenston

2.8 The current roll at Mayfield Primary School is 186 pupils over 8 classes. Around 2/3 of these children live within the current Mayfield Primary School catchment. A third of the children live out with the catchment area and parents/carers submit a placing request for their child(ren) to attend the school. The main reason for this is that children have previously attended Mayfield Primary Early Years class which has no geographical catchment area. The breakdown of the pupil roll showing numbers of children registered for primary 1 (P1) who reside within the catchment area and those outwith (placing requests) over the last 5 years is shown in the table at Appendix 5.

2.9 At its peak, the Mayfields housing development could contribute up to 12 children per year group to Mayfield Primary School, if all houses are zoned to its catchment. The average current catchment cohort per year group is 17 from the existing 761 homes.

2.10 Due to these **maximum** expected numbers and the number of placing requests into the school, it is recommended that the P1 intake for Mayfield Primary School is capped at 33 from August 2023. This means that approximately 4 places would be left for placing requests, on average, each session. This would limit the school roll to 8 classes, giving catchment children a P1 place, before consideration of placing requests (as per the current school admissions policy).

2.11 Whilst Mayfield Primary School was originally designed as a single stream (7-class) school as its opening in 2004, the school has operated comfortably with an 8-class structure in recent years. School roll projections indicate that Mayfield PS could cope with the predicted level of additional pupils which the new development may generate, and for this reason, it is recommended that Mayfield PS should be the non-denominational catchment school for the Mayfields development.

2.12 The other part of the proposal is to assign the new homes to St Anthony's Primary School catchment, which would mean a maximum of 30 new pupils. The pupil roll projection shows that the capacity of St Anthony's Primary School can comfortably accommodate these potential new children.

2.13 As noted at 2.6 above, the other schools directly affected by this proposal are Glencairn and St John's primary schools in Stevenston, with the potential reduction of new pupils through the proposed rezone. However, any parent/carer who wishes their children to attend either of these schools can submit a placing request, as is presently the case.

2.14 If Cabinet approves the commencement of the Statutory Public Consultation, this will start on 9 January 2023. An outcome report will be published in April 2023 and Cabinet approval sought in May/June 2023. The timeline for the proposal is attached at Appendix 4.

3. Proposals

3.1 It is proposed that Cabinet agrees to the commencement of a Statutory Public Consultation on the proposal to amend the catchment boundary between Saltcoats and Stevenston.

4. Implications/Socio-economic Duty

Financial

4.1 None.

Human Resources

4.2 None.

Legal

4.3 Whilst there are no legal implications arising from this report, if the decision is taken to go to full Statutory Public Consultation, then the Schools Consultation Act 2010 legal process will be followed.

Equality/Socio-economic

4.4 None.

Climate Change and Carbon

4.5 None.

Key Priorities

4.6 The following key priorities are supported by this proposal:
- Children and young people experience the best start in life
- Active and strong communities
- Vibrant, welcoming, and attractive places
- An efficient Council that maximises resources and provides value for money

Community Wealth Building

4.7 The community wealth building objectives of the project are supported by this report.

5. Consultation

5.1 Consultation has taken place with the Head Teachers and Parent Councils of the 4 directly affected primary schools. Local Elected Members have also been consulted.

Caroline Amos
Head of Service (Education)

For further information please contact **Lynn Taylor, Senior Manager (Education),** on **01294 324437.**

Background Papers
Appendix 1 - Current Catchment Map with Housing Development
Appendix 2 - New Catchment Map with Housing Development

Appendix 3 – Options Considered
Appendix 4 – Mayfields Rezone Timeline
Appendix 5 – P1 Intake Data - 2018 - 2022

Dykesmains PS

St Anthony's PS

Mayfield PS

St John's PS
Catchment Area

Housing Development Site

Glencairn PS
Catchment Area

Denominational Catchment

Non Denominational Catchment

18

Dykesmains PS

St Anthony's PS

Mayfield PS

St John's PS
Catchment Area

Housing Development Site

Denominational Catchment

Non Denominational Catchment

Glencairn PS
Catchment Area

19
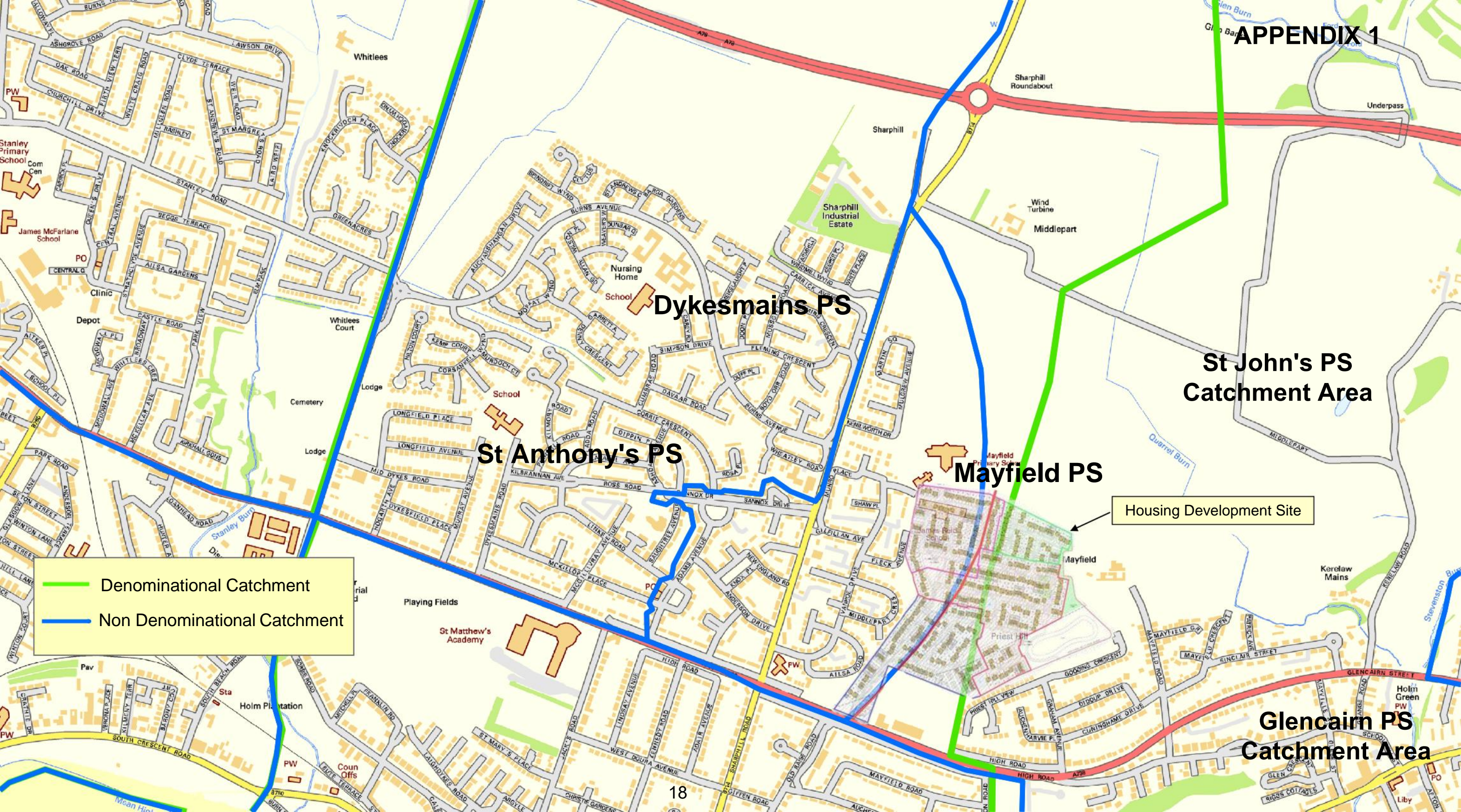
Appendix 3

	Options Considered	Pros	Cons	Rec
1	Do Nothing	➢ No SPC	➢ Some new homes and some streets will be split between Saltcoats and Stevenston schools.	X
2	Redraw catchment boundary around new homes	➢ New children spread across 4 schools (not two)	➢ SPC required ➢ Children with Saltcoats addresses will be zoned for Stevenston schools	X
3	Rezone five existing streets to Dykesmains Primary School	➢ Makes Dykesmains/ Mayfield PS boundary line neater	➢ SPC required ➢ Local opposition? ➢ Issues with siblings ➢ Secondary school zoning issue	X
4	Rezone all new homes to Mayfield Primary School	➢ Makes geographical sense ➢ Total number of catchment dwellings acceptable in comparison with other NAC single stream schools	➢ SPC required ➢ Recommend capping Mayfield PS P1 intake at 33 to limit placing requests into Mayfield Primary School	√

Appendix 2 - OPTIONS

Appendix 4 – Mayfields, Saltcoats Catchment Boundary Amendment Timeline

Time Required	Dates	Method / Action
	17 June 2022	Early engagement with Head Teachers
	25 August 2022 @ 2pm	Meet Saltcoats and Stevenston Local Elected Members via MS Teams
	Tue 22 November 2022	Cabinet Pre-Agenda Meeting
	Tue 22 November 2022 @ 630pm	Meet 4 Parent Councils with Head Teachers via MS Teams
	Thur 24 November 2022	Papers live on Council website
	Tue 29 November 2022	Seek Cabinet approval to commence Statutory Public Consultation
	Tue 6 December 2022	Call in expires
	Wed 4 January 2022	Public notice appears in Ardrossan and Saltcoats Herald
32 school days	Monday 9 January to 24 February 2023	Start of Consultation Period – ▪ Issue Proposal Document ▪ Meeting for the public on End of Consultation Period
3 weeks	Wed 1 March to 22 March 2023	Provide Education Scotland with all responses received and a summary of these Prepare Consultation Outcome Report Prepare Cabinet paper Receive report from Education Scotland
3 weeks	17 April to 8 May 2023	Publish Consultation Outcome Report
	May/June 2023	Cabinet decision

Appendix 5

Mayfield Primary School
P1 Intake Data

2018- 2022

2018/19

No Registered	16
PR Out	3
PR In	14
Deferrals	1
	26

2019/20

No Registered	25
PR Out	5
PR In	12
Deferrals	1
	31

2020/21

No Registered	20
PR Out	4
PR In	10
Deferrals	1
	25

2021/22

No Registered	12
PR Out	1
PR In	10
Deferrals	3
	18

2022/23

No Registered	12
PR Out	0
PR In	18
Deferrals	0
	30

NORTH AYRSHIRE COUNCIL

29 November 2022

Cabinet

Title:	**North Ayrshire Children's Services Plan 2020-23: Progress Report 2021-22.**
Purpose:	To present the draft North Ayrshire Children's Services Plan 2020-23: Progress Report covering 2021-22.
Recommendation:	That Cabinet: a) Approves the draft North Ayrshire Children's Services Plan 2020-23: Progress Report 2021-22; and b) Agrees that the Progress Report is submitted to the Scottish Government and published on the North Ayrshire Community Planning website, subject to sign-off by relevant Community Planning partners.

1. Executive Summary

1.1 The Children and Young People (Scotland) Act 2014 places a duty on Local Authorities, Health Boards, and other Community Planning partners to publish an annual progress report in terms of their Children Services Plans.

1.2 The North Ayrshire Children's Services Plan 2020-23: Progress Report 2021-22 is attached at Appendix 1.

1.3 A new Children's Services Plan covering the period 2023-26 is currently in development and will be presented to Cabinet in early 2023.

1.4 Following approval, the Children's Services Plan 2020-23: Progress Report 2021/22 will be submitted to the Scottish Government and published on the North Ayrshire Community Planning partnership website.

2. Background

2.1 The North Ayrshire Children's Services Plan 2020-23 was developed by the North Ayrshire Community Planning Partnership following a Strategic Needs Assessment which drew data from a range of sources including the views and experiences of our children and young people, school census data, child protection data and public health data.

2.2 The North Ayrshire Children's Services Plan 2020-23 was approved and published in October 2020 and sets out five key priorities which are outlined below to achieve our vision in North Ayrshire – "***for all our children and young people to have the best start in life and for North Ayrshire to be the best place in Scotland to grow up***".

Priority 1: Young people's rights and views are respected and listened to.

Priority 2: Acting early to improve what happens next.

Priority 3: Making things fairer and better.

Priority 4: Supporting mental health.

Priority 5: Helping children and young people to be active and healthy.

2.3 The Children and Young People (Scotland) Act 2014 places a duty on Community Planning Partners to produce an Annual Progress Report in terms of their Children's Services Plan.

2.4 A draft Progress Report covering 2021-22 is attached at Appendix 1 and sets out some of the key highlights in terms of achieving our Children's Services Plan 2020-23 vision. The Progress report is split into five sections covering the key priorities outlined at paragraph 2.2. above.

2.5 A selection of the highlights contained within the Progress Report are provided below:

Priority 1: Young people's rights and views are respected and listened to.

- We have allocated £250,000 in a Digital Families Fund, providing access to devices and connectivity for online learning and activities. This enabled us to provide over 1,000 laptops and connectivity solutions to our children and young people who need them the most. We also provided 265 devices which included 54 Chromebooks, 45 laptops and 25 iPads to children who are looked after and care leavers.

- Our Scottish Youth Parliament elections took place in November with young people from across North Ayrshire voting on their preferred candidates. Four members of the Scottish Youth Parliament (MSYPs) were elected and took their office in March to start their two-year term.

- Positive Steps with Partners is a structured development programme for individuals that have been developed by The Ayrshire Community Trust (TACT) (part of the North Ayrshire Third Sector Interface) in partnership with the Scottish Fire and Rescue Service Community Action Team. The programme helps people develop skills and gain practical work experience. In addition, participants gain accredited qualifications. Participants complete a programme of development modules before

commencing a placement with the Scottish Fire and Rescue Service Community Action Team.

Priority 2: Acting early to improve what happens next.

- We were able to support 314 children, parents and carers through the Rosemount Project which supports families and young people to remain together and in their communities. The service is committed to whole family support and, wherever possible, will include siblings, parents/carers and extended family members in the parenting interventions and family work that the service facilitates.

- 'Team Around the Parent' is a new way of working with families who have their child removed from their care. It was developed in conjunction with families with lived experience. The aim of Team Around the Parents is to help them feel supported and heard at the time of such a distressing event. This service helps them to link with any necessary supports which should assist them to take part in the parenting assessment. We developed a communication profile along with the parents to highlight where barriers have been experienced in either others communicating with them or what they need from others to feel included or heard.

Priority 3: Making things fairer and better.

- The Money Matters Team generated over £17.5m in financial gains for our residents in receipt of Welfare Benefits.
- We have extended universal free school meals (UFSM) to Primary 4 and 5 children and are working on the future provision for Primary 6 to 7. This is expected to greatly increase uptake. Currently the UFSM uptake for Primary 1 to 3 is around 80% and, if replicated across the other year groups, would represent a significant increase in children accessing healthy and nutritious food during the school day. This is likely to have an impact on local employment by increasing the number of jobs with local suppliers.
- We have been distributing winter aid funding directly to families to tackle fuel and clothing poverty and administered the Scottish Government child bridging payments. As well as administering the low-income pandemic payments, we have engaged with our vulnerable families regarding Covid-19 isolation grants and supported families to access services.

Priority 4: Supporting mental health

- The Communities Mental Health and Wellbeing Fund was established in 2021, with £15 million allocated to support mental health and wellbeing in communities across Scotland. The fund is being delivered and managed by Arran CVS supported by the Health and Social Care Partnership and the Community Planning Partnership.

- Our Health and Social Care Partnership's (HSCP), Service Access Team has been instrumental in the development of a Support Pathway for Children and Young people who have attempted suicide. The pathway is intended for young people up to 18 years old who have made a significant attempt at taking their life such as a non-fatal overdose, act of self-harm significant enough to require treatment and

intervention or deliberate act of a suicidal nature, and who are not open to any other social work services.

- The importance of perinatal mental health is recognised across North Ayrshire. Within Universal Early Years, 2021-22 saw an expansion to the support available to expectant and new mums experiencing mild to moderate mental health difficulties through the recruitment of a second Perinatal Mental Health Nurse within the integrated Universal Early Years' team. Between April 2021 and March 2022, 85 women were referred for early intervention support. Autumn of 2021 also saw the launch of the Ayrshire and Arran Perinatal Mental Health Service, which aims to offer support to expectant and new mums with severe and enduring mental health difficulties.

Priority 5: Helping children and young people to be active and healthy

- Our team of Health Visitors has continued to deliver full national universal health visiting pathways throughout the pandemic. This is despite more complex caseloads dealing with higher levels of vulnerability and staff absence partially due to Covid-19.

- We are working with children with a BMI on or above the 91st centile. Jumpstart Tots is a 10-session family and community focussed series of activities. The two-hour weekly programme focuses on healthy eating, physical activity, and positive health behaviour change, with children attending alongside their parents or carers. The number of referrals for the year was 17, with the consumption of fruit and vegetables increasing, whilst take away and high sugar consumption was drastically reduced.

- Working alongside KA Leisure and further community partners we provided a range of free places for our young people to participate in our holiday programme. These places were offered to families with low income within the care system or other children from vulnerable backgrounds. The summer programme also included free skating and swimming for young people which we funded. This year's opportunity proved extremely popular with Swimming attracting 91,35 and 5,527 taking part in skating.

2.6 Some of our areas of focus during 2022-23 are highlighted below:

Priority 1: Young people's rights and views are respected and listened to.

- CPP partners, notably Police Scotland and Scottish Fire and Rescue, will continue to build relationships with the Champions Board, Education and other partners and further support activity in relation to care experienced young people to ensure that they are active contributors in Corporate Parenting.

- We will introduce new models of provision for free period products across schools and communities.

- We will review our approach to nurture across our educational establishments.

Priority 2: Acting early to improve what happens next.

- Refresh and strengthen the focus of the school-college partnership and provide enhanced opportunities for achievement, e.g., through the Regional Improvement Collaborative, in the senior phase.

- Design tailored programmes with partners to provide enhanced support for specific groups of school leaders, including those with identified needs.

Priority 3: Making things fairer and better.

- Develop a three-year Raising Attainment Strategy to improve outcomes for all learners and reduce inequity of outcomes, including a focus on accelerating progress in early primary and early learning centres following the implementation of 1,140 hours of funded childcare for all 3–5-year-olds.

- Work closely across North Ayrshire services and third sector partners to reduce the cost of the school day and mitigate the impact of child poverty.

- The Ayrshire Community Trust will develop a strand of mentoring within the Positive Steps with Partners Project employability project. The project will have volunteer mentors who will support new referrals, supporting them to attend volunteer interviews and placements helping mentees to overcome worries and fears and helping to increase confidence in individual abilities and be more included in their communities.

Priority 4: Supporting mental health

- Review the impact of school counselling services and external counselling / community wellbeing supports and refresh provision, strengthening the relationship between school counselling and other available supports.

- Assist education establishments to implement the national mental health and wellbeing Whole School Approach, including curricular, professional learning, and parental supports.

- Promote staff mental health and wellbeing in a range of ways, including through the development of a programme of supported reflective practice sessions.

Priority 5: Helping children and young people to be active and healthy

- Recruit additional dental health support workers to support vulnerable families across NHS Ayrshire and Arran focusing on minority ethnic and our most deprived communities.

- As the cost-of-living increases, we are working to ensure that the whole family can be active for one affordable price. Ur family membership will launch later in the year and provide a tailored package of opportunities which suits each individual family's setup.

- We are working closely with Active Schools to develop a community programme on Arran. The recruitment of key delivery staff will allow us to ensure that the island's location does not restrict their opportunities to stay active.

2.3 It should be noted that officers are currently working with community planning partners, communities and children and young people to define priorities as they develop a new suite of strategic children's services documents including a Children's Services Plan 2023-26, a Child Poverty Strategy 2023-26, and a Children's Rights Report 2023-26. It is anticipated that these documents will come forward for approval early in 2023.

3. Proposals

3.1 It is proposed that Cabinet:

a) approves the draft North Ayrshire Children's Services Plan 2020-23: Progress Report 2021-22; and

b) agrees that the Progress Report is submitted to the Scottish Government and published on the North Ayrshire Community Planning website, subject to sign-off by relevant Community Planning partners.

4. Implications/Socio-economic Duty

Financial

4.1 None. All Children's Services commitments are aligned with the Council's agreed budgets.

Human Resources

4.2 None arising from this report.

Legal

4.3 The production of the Children's Services Plan 2020-23: Progress Report 2021-22 meets the Council's statutory obligations in terms of the Children and Young People (Scotland) Act 2014.

Equality/Socio-economic

4.4 None arising from this report.

Environmental and Sustainability

4.5 None arising from this report.

Key Priorities

4.6 The Children's Services Plan and Progress Report link directly to the key priorities contained the Local Outcomes Improvement Plan and the Council Plan 2019-2024.

Community Wealth Building

4.7 None arising from this report.

5.   Consultation

5.1 The Children's Services Plan 2020-23: Progress Report 2020/21 is the result of ongoing collaboration. The Community Planning Partnership and the Children's Services Strategic Partnership have influenced and been consulted on the production of this report.

Caroline Cameron
Director, (Health and Social Care Partnership)

For further information please contact **Neil Sugden, Policy Officer (Child Poverty and UNCRC)**, email: **NeilSugden@North-Ayrshire.gov.uk**, Telephone on **01294 324163**.

Background Papers
North Ayrshire Children's Services Plan 2020-23

Children's Services Plan 2020-23

Progress Report 2021-22

North Ayrshire Council
Comhairle Siorrachd Àir a Tuath

Contents

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Foreword

Welcome to our Children's Services Plan Report 2021/22. This report will provide a summary of what our Community Planning Partners (including our Council, NHS Ayrshire and Arran, Scottish Fire and Rescue, Police Scotland and Scottish Enterprise) have achieved in supporting our children and young people during the past year. Moving away from lockdown and moving to a more normal way of life has been a welcome relief. Our focus is now on recovery, building on our strong relationships and what we have learned during the past two years to improve the lives of all our residents. The impact from Covid-19 on our children and families cannot be underplayed and the longer term impact is yet to be fully understood, it is important that we are there to respond and provide support and guidance when and if needed.

Looking forwards we are developing our 2023-26 Children's Services Plan. We are currently working with our communities and our young people in particular to define our priorities for our Children's Services Plan 2023-26. We would welcome your views on what you feel is important. Please contact us at (01294 324648) or NorthAyrshirePerforms@north-ayrshire.gov.uk. It is important we always remember who this plan is for and ensure the voices of our children and young people are heard.

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Key Facts and Figures

Measure	North Ayrshire	Scotland
Child Protection Registrations per 1,000	5.2	2.3
Teenage pregnancies per 1000	36.1	29.2
Exclusivley breastfed at 6-8 weeks	22.0%	32.2%
Domestic abuse incidents per 10000	129.4	115.1
Looked after children of 0-17 years old population	2.1%	1.3%
Claimant Count as a % of 16-24 Population	10.59%	7.17%
% of leavers attaining literacy at SCQF level 5	85%	83.41
% of leavers attaining numeracy at SCQF level North Ayrshire	72.25%	72.7%
% of children living in poverty (after housing costs)	24.73%	20.86%
% of school leavers in a positive post school destination	95.2%	95.48%
% of care experienced leavers achieving level 5 in literacy	53.47%	40.96%
% of care experienced leavers achieving level 5 in numeracy	37.62%	27.37%
% of Care Experienced Leavers achieving a positive destination	94.06%	87.94%

Progress on our Priorities

Our Children's Services Plan 2020-23 has five priorities. This section explores the progress we have made in partnership with our Community Planning Partners (CPP).

Priority 1:

Young people's rights and views are respected and listened to.

Ensuring the rights, views and aspirations of children and young people are at the centre of everything we do.

⊙ Areas of Focus

During 2022-23 we will:

▸ CPP partners, notably Police Scotland and Scottish Fire and Rescue, will continue to build relationships with the Champions Board, Education and other partners and further support activity in relation to care experienced young people to ensure that they are active contributors in Corporate Parenting.

▸ We will introduce new models of provision for free period products across schools and communities.

▸ We will review our approach to nurture across our educational establishments.

▸ We will raise the awareness of children's rights (UNCRC) across all our partners.

▸ Police Scotland are building on the excellent work already carried out by Campus Officers in school by identifying other ways that they can provide mentor support and enhance life skills for school leavers. This will be extended to include young people who have already left school or further education.

▸ Police Scotland will work with partners over the coming three years to conduct focussed activity with individuals and support them into employment or other positive destinations. They have identified an Inspector to lead on this work and engagement has already begun with partners.

Key Activities

- We have reviewed the way we reach those in our communities who struggle to access period products:
  - We have rebranded from Period Poverty to Period Dignity.
  - We are promoting the service with the aim of broadening awareness.
  - We have launched a range of promotional updates using various marketing platforms including press releases and social media.
  - We are expanding the number of distribution sites and using the 'Pick Up My Period' app to direct our residents.
  - We launched a consultation to seek views of the current service provision to shape future improvements based on user led experiences.
- We have allocated £250,000 in a Digital Families Fund, providing access to devices and connectivity for online learning and activities. This enabled us to provide over 1,000 laptops and connectivity solutions to our children and young people who need them the most. We also provided 265 devices which included 54 Chromebooks, 45 laptops and 25 iPads to children who are looked after and care leavers.
- The EQUAL Programme within our Council supports parents, young people and people with disabilities into employment. It works in partnership with other services to identify employment opportunities and support our residents. We have worked with 135 people with a disability during 2021/22 with 34 progressing to employment.
- The Ayrshire Community Trust (part of the North Ayrshire Third Sector Interface) provides placement opportunities for volunteers within TACT to support the development of employability skills. Several people who volunteered at TACT have secured employment within the organisation.

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We have worked with 135 people with a disability during 2021/22 with 34 progressing to employment.

- Our Scottish Youth Parliament elections took place in November with young people from across North Ayrshire voting on their preferred candidates. We have appointed four Members of the Scottish Youth Parliament (MSYPs) who took office in March to start their two-year term. These young people are the representative voice of young people locally and nationally.
- The Police Scotland Youth Volunteering scheme in North Ayrshire builds life skills, enhances confidence and provides a supportive platform for the young people to move on to the next stage in their lives. It seeks to support care experienced young people in this programme to contribute to achieving better outcomes for them.
- Our Champions Board goes from strength to strength, established three years ago as a group of care experienced young people who work alongside corporate parents to create change in the care system.

The Champions Board has been split into two groups to focus on specific issues in relation to young people aged 12 to 21 and for those up to aged 26 to consider the specific needs of different groups.

▶ Positive Steps with Partners is a structured development programme for individuals that have been developed by The Ayrshire community Trust (TACT) (part of the North Ayrshire Third Sector Interface) in partnership with the Scottish Fire and Rescue Service Community Action Team. The programme helps people develop skills and gain practical work experience. In addition, participants gain accredited qualifications. Participants complete a programme of development modules before commencing a placement with the Scottish Fire and Rescue Service Community Action Team.

▶ The Scottish Fire and Rescue Service Youth Volunteer Scheme gives our young people who are aged from 12 to 18 years the opportunity to learn new skills and contribute to a safer Scotland. By participating, our young people gain a really good understanding of the Scottish Fire and Rescue Service and develop skills to help them actively contribute to their communities.

▶ The Police Scotland Youth Volunteering scheme in North Ayrshire builds life skills, enhances confidence and provides a supportive platform for our young people to move on to the next stage in their lives. It seeks to support care experienced young people in this programme to contribute to achieving better outcomes for them.

£250,000

in a Digital Families Fund, providing access to devices and connectivity for online learning and activities.

Priority 2:

Acting early to improve what happens next.

Focussing on early intervention and prevention.

➔ Areas of Focus

During 2022-23 we will:

▶ Refresh and strengthen the focus of the school-college partnership and provide enhanced opportunities for achievement, e.g. through the Regional Improvement Collaborative, in the senior phase.

▶ Design tailored programmes with partners to provide enhanced support for specific groups of school leavers, including those with identified needs.

▶ Improve the quality and accessibility to services for children and young people who themselves (or whose parent/care givers) are at risk of the harmful effects of alcohol or drug use, by establishing a specialist support team in partnership with the Alcohol and Drug Partnership.

Key Activities

▶ Our Health & Social Care Partnership has worked to enhance the support and services it provides to parents/carers, children and young people. We are now able to offer the following:
  • **Family Centred Wellbeing Service** – Created to provide early intervention family support.
  • **Community-Based Short Breaks Service** – Created to provide short break carers for children aged from birth to 16 years old who reside in the community with birth parents, as well as for children and young people who are placed with kinship carers.
  • **Enhanced Early Years Support Programme** – Created to see a shift in relationship-based support with identified families from the ante-natal period to a child starting nursery.

▶ We were able to support 314 children, parents and carers through the Rosemount Project who supports families and young people to help families remain together and in their communities. The service is committed to whole family support and, wherever possible, will include siblings, parents/carers and extended family members in the parenting interventions and family work that the service facilitates.

▶ 'Team Around the Parent' is a new way of working with families who have had their child removed from their care. It was developed in conjunction with families with lived experience. The aim of Team Around the Parents is to help families feel supported and heard at the time of such a distressing event. This service helps them to link with any necessary support which should assist them to take part in the parenting assessment. We worked with parents to identify barriers in communication.

▶ We Work for Families, in particular via Health Visiting teams, link strongly with our Council. "We Work For Families," delivered by the Lennox Partnership, is a key partner of the universal Early Years' service, supporting parents/carers to access training, education and employment. Health Visitors and Family Nurses have referred around 650 individuals since early 2018. Recently, support has extended to include low-income households as well as those who are unemployed, and new pathways with social work colleagues have been developed.
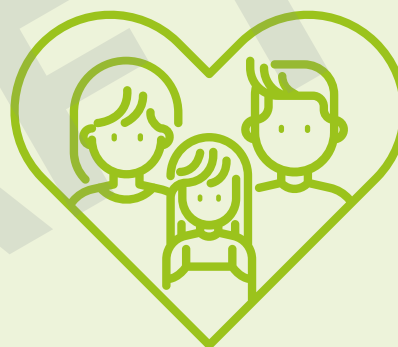
314

We were able to support 314 children, parents and carers through the Rosemount Project who supports families and young people to help families remain together and in their communities.

Priority 3:

Making Things Fairer and Better.

Reducing inequalities and improving outcomes.

→ Areas of Focus

During 2022-23 we will

▶ Develop a three-year Raising Attainment Strategy to improve outcomes for all learners and reduce inequity of outcomes, including a focus on accelerating progress in early primary and early learning centres following the implementation of 1,140 hours of funded childcare for all 3–5-year-olds.

▶ Reprioritise our targeted interventions to reduce the poverty-related attainment gap in North Ayrshire, maximising the coherence and impact of our work.

▶ Continue to work collaboratively in partnership across the local authority, South West Education Improvement Collaborative (SWEIC) and national networks to support sharing of highly effective practice that reduces the poverty related attainment gap.

▶ Work closely across North Ayrshire services and third sector partners to reduce the cost of the school day and mitigate the impact of child poverty.

▶ The Ayrshire Community Trust will develop a strand of mentoring within the Positive Steps with Partners Project employability project. The project will have volunteer mentors who will support new referrals, supporting them to attend volunteer interviews and placements helping mentees to overcome worries and fears and helping to increase confidence in individual abilities and be more included in their communities.

1,140
hours of funded childcare for all 3–5-year-olds

Key Activities

▶ We have been distributing winter aid funding directly to families to tackle fuel and clothing poverty and administered the Scottish Government child bridging payments. As well as administering the low-income pandemic payments, we have engaged with our vulnerable families regarding Covid-19 isolation grants and supported families to access services.

▶ We embarked on a two-year financial inclusion demonstrator project 'Better Off Hub' in October 2020. The Better Off Hub delivers vital financial advice services in a new holistic way, focussing on the individual's needs. Ultimately it is expected to build capacity by addressing the causes of financial issues and reducing future demand on services. The proposals align with Community Wealth Building ambitions and support our economic recovery. A total of 183 people from the Three Towns engaged with Better Off North Ayrshire during 2021-22. Of these residents, 35% were from vulnerable families, with supported families including a total of 64 children.

▶ We have extended universal free school meals (UFSM) to Primary 4 and 5 children and are working on the future provision for Primary 6 to 7. This is expected to greatly increase uptake. Currently the UFSM uptake for Primary 1 to 3 is around 80% and, if replicated across the other year groups, would represent a significant increase in children accessing healthy and nutritious food during the school day. This is likely to have an impact on local employment by increasing the number of jobs with local suppliers.

▶ Bags of Hope continue to make a difference to many of HSCP Families. Alongside the amazing donations by North Ayrshire's foodbank of hampers provided for our vulnerable families, which included butcher packs donated by Stalkers Butchers in Dalry, we were able to share some vouchers from our Hope bags to help those who are struggling. The delight from the families involved was immeasurable and obviously made a difference to their wellbeing.

▶ There is a focus by Police Scotland on supporting fair employment and procurement and they are exploring how best to contribute within the confines of national structures.

Money Matters

→ **The Money Matters Team generated over £17.5m in financial gains for our residents in receipt of Welfare Benefits.**

→ **Money Matters received 4,432 enquiries in 21/22 via their Advice Line.**

This included referrals from Health and Social Care Partnership (HSCP), NHS, Council employees and the website. It ensures our most vulnerable residents have support to check their entitlements and that they are receiving their legal rights to benefits.

→ **Money Matters began a two-year pilot with North Ayrshire Council's Communities and Education Directorate in August 2021, delivering a Welfare Rights service in seven secondary schools.**

The first six months focussed on establishing the project in the schools but also resulted in over 50 referrals – generating £38k in financial gains to families.

Priority 4:

Supporting mental health.

Supporting social, emotional and mental wellbeing.

Areas of Focus

During 2022-23 we will:

- Review the impact of school counselling services and external counselling/ community wellbeing supports and refresh provision, strengthening the relationship between school counselling and other available supports.

- Assist education establishments to implement the national mental health and wellbeing Whole School Approach, including curricular, professional learning, and parental supports.

- Promote staff mental health and wellbeing in a range of ways, including through the development of a programme of supported reflective practice sessions.

- Review approaches to promoting positive relationships and whole school nurture and continue to adapt our approaches based on an analysis of need.

- We will continue to prioritise mental health and wellbeing in schools and communities.

Key Activities

- Our Health and Social Care Partnership's (HSCP), Service Access team has been instrumental in the development of a Support Pathway for children and young people who have attempted suicide. The pathway is intended for our young people up to 18 years old who have made a significant attempt at taking their life such as a non-fatal overdose, act of self-harm significant enough to require treatment and intervention or deliberate act of a suicidal nature and who are not accessing any other social work services.

- The importance of perinatal mental health is recognised across North Ayrshire. Within Universal Early Years, 2021/22 saw an expansion to the support available to expectant and new mums experiencing mild to moderate mental health difficulties through the recruitment of a second Perinatal Mental Health Nurse within the integrated Universal Early Years' team. Between April 2021 and March 2022, 85 women were referred for early intervention support. Autumn of 2021 also saw the launch of the Ayrshire and Arran Perinatal Mental Health Service, which aims to offer support to expectant and new mums with severe and enduring mental health difficulties.

▶ Community Mental Health and Wellbeing Fund: The Communities Mental Health and Wellbeing Fund was established in 2021, with £15 million allocated to support mental health and wellbeing in communities across Scotland. The fund is being delivered and managed by Arran CVS supported by the HSCP and the Community Planning Partnership.

▶ Roslin House, a brand new, purpose-built respite facility for children and young people with additional support needs (ASN), welcomed its first guests on the 21st June 2021. Adjacent to the new Lockhart ASN Campus in Stevenston, it is an eight-bedroom, state of the art facility providing respite breaks for young people known to North Ayrshire Health and Social Care Partnership's Children and Families Disabilities Team as part of their care and support plan. As well as providing a comfortable, 'home from home' stay for young people, the new facility will provide a bespoke respite experience and offers a smooth transition from child to adult respite services in the familiar surroundings of the complex, with the adult respite facility Red Rose House being situated next door.

▶ We launched 'Confident Kids Can' in April 2021. This is a 12-week Pan-Ayrshire project delivered in partnership with the Child and Adolescent Mental Health Service (CAMHS) to support neuro divergent children and their families who are experiencing emotional, behavioural and mental health difficulties.

▶ Positive Steps with Partners is a structured development programme for individuals that has been developed by The Ayrshire Community Trust (TACT) (part of the North Ayrshire Third Sector Interface) in partnership with the Scottish Fire and Rescue Service Community Action Team. The programme helps people develop skills and gain practical work experience. In addition, participants gain accredited qualifications. Participants complete a programme of development modules before commencing a placement with the Scottish Fire and Rescue Service Community Action Team.

Priority 5:

Helping children and young people to be active and healthy.

Helping children and young people to be physically active and maintain a healthy lifestyle.

⊙ Areas of Focus

During 2022-23 we will:

▶ Recruit additional dental health support workers to support vulnerable families across NHS Ayrshire and Arran focusing on minority ethnic and our most deprived communities.

▶ As the cost-of-living increases, we are working to ensure that the whole family can be active for one affordable price. Our family membership will launch later in the year and provide a tailored package of opportunities which suits each individual family's circumstances.

▶ We are working closely with Active Schools to develop a community programme on Arran. The recruitment of key delivery staff will allow us to ensure that residents have opportunities to stay active.

Key Activities

▶ Our team of Health Visitors has continued to deliver full national universal health visiting pathways throughout the pandemic. This is despite more complex caseloads dealing with higher levels of vulnerability and staff absence partially due to Covid-19.

▶ We are working with children with a BMI on or above the 91st centile. Jumpstart Tots is a 10-session family and community focussed series of activities. The two-hour weekly programme focuses on healthy eating, physical activity, and positive health behaviour change, with children attending alongside their parents or carers. The number of referrals for the year was 17, with the consumption of fruit and vegetables increasing, whilst take away and high sugar consumption was drastically reduced.

▶ Our Active Schools team saw an increase in all areas work as the schools have returned much more to a normal environment. We continued our focus around extra-curricular provision across 43 primary schools, all nine secondaries and our Additional Support Needs school Lockhart campus. Across our Primary, Secondary and our ASN schools, 6,754 sessions were delivered. 107,036 visits were recorded, and 6,754 of our children and young people took part.

▶ Champions For Change uses sport and physical activity sessions to educate children and young people on the dangers of substance misuse including smoking, alcohol and drugs. A referral programme has been introduced for partner agencies to signpost individuals in addiction recovery to receive access to our gyms, classes, and pools. The new referral programme includes a buddy system to aid individuals recovering from addiction to attend our facilities.

▶ 56 of our young people graduated from our sector leading Leadership Programme. They volunteered over 1,600 hours across our schools and communities over the academic year. Each participant achieved between 15-18 sports and physical activity qualifications which can be added to their CV's.

▶ Working alongside KA Leisure and further community partners we provided a range of free places for our young people to participate in our holiday programme. These places were offered to families with low income within the care system or other children from vulnerable backgrounds. The summer programme also included free skating and swimming for young people which we funded. This year's opportunity proved extremely popular with Swimming attracting 91,35 and 5,527 taking part in skating.

56

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North Ayrshire Council
Comhairle Siorrachd Àir a Tuath

NORTH AYRSHIRE COUNCIL

29 November 2022

Cabinet

Title:	**Establishment of a Policy Advisory Panel**
Purpose:	To seek approval to establish an Elected Member Policy Advisory Panel to assist in the preparation of policy proposals for consideration by Cabinet.
Recommendation:	That Cabinet agrees to the establishment of a Policy Advisory Panel to support its work.

1. Executive Summary

1.1 During the previous Administration, the Council operated an Elected Member Advisory Panel to support policy development. During the pandemic the panel did not operate as initially set out due to the redirection of resources and focus.

1.2 This paper sets out proposals for the establishment of a new cross-party Policy Advisory Panel, chaired by the Depute Leader of the Council to assist in the development of policy proposals being prepared for consideration by Cabinet.

2. Background

2.1 A number of Elected Members have expressed an interest in reforming a cross-party Policy Advisory Panel to assist in the development of policy proposals being prepared for consideration by Cabinet.

2.2 During the last Administration, the Council operated a Policy Advisory Panel.

2.3 The panel was not part of the formal Constitutional Arrangements of the Council, although minutes were submitted to Cabinet for noting and published as an appendix to North Ayrshire News (the Members' Newsletter). However, during the pandemic the redirection of resources and focus resulted in infrequent meetings with agenda items, where meetings took place, focussing on updates on initiatives rather than policy development.

2.4 Members who have expressed an interest in reforming the Panel have asked that agendas are meaningful. Focusing on strategic policy development and that the frequency of meetings reflects this. A proposed Remit for the new Policy Advisory

Panel, which is not limited to any specific area of policy development, is attached at Appendix 1 for consideration.

3. Proposals

3.1 Cabinet is invited to consider the establishment of a new cross-party Policy Advisory Panel to assist in the preparation of policy proposals for consideration/approval by Cabinet.

3.2 It is proposed that the Advisory Panel will meet on a quarterly basis with the proviso that meetings can be cancelled where there is no substantive business or additional ones arranged should the need arise.

4. Implications/Socio-economic Duty

Financial

4.1 None.

Human Resources

4.2 Operation of the Panel will be supported from existing resources.

Legal

4.3 None.

Equality/Socio-economic

4.4 The establishment of a cross-party Policy Advisory Panel will ensure that implications on equalities are robustly assessed during the development of policies and strategies.

Climate Change and Carbon

4.5 The establishment of a cross-party Policy Advisory Panel will ensure that implications on climate change and carbon are robustly assessed during the development of policies and strategies.

Key Priorities

4.6 The establishment of a cross-party Policy Advisory Panel will support the development of key policies and strategies required to deliver priorities.

Community Wealth Building

4.7 The establishment of a cross-party Policy Advisory Panel will ensure Community Wealth Building principles are considered in the development of policy.

5.   Consultation

5.1   Consultation has taken place with the Executive Leadership Team, Political Group Leaders and Independent Elected Members on the establishment of a Policy Advisory Panel.

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Craig Hatton
Chief Executive

For further information please contact **Craig Hatton, Chief Executive,** on **01294 324124**.

Background Papers
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POLICY ADVISORY PANEL REMIT

Remit

The remit of the Policy Advisory Panel will be:

1. To consider Council Policies and Strategies both proposed and existing.

2. To consider and support the development of such Council policies and procedures as may be referred to by officers.

3. To ensure that the implications on finance, equalities, children and young persons, climate change and carbon, community benefits and islands impact of Council policies are properly assessed during the development of such policies.

4. To consider and support the development of such policies as may be remitted to it by Cabinet or Council.

5. To ensure proper alignment and consistency of Council policies and procedures with the Local Outcomes Improvement Plan, the Council Plan, the Integration Joint Board Strategic Plan, the Local Development Plan, Locality Plans and other major Strategic plans.

6. To consider such other reports from Officers where it is felt that cross-party consultation is required in order to facilitate consensus or produce a solution which commands cross-party support.

Note: The Policy Advisory is **not** *a formal Committee of the Council and will have no formal delegated power. The Audit and Scrutiny Committee will remain the primary means whereby Elected Members are able to scrutinise the work of Council. Consideration by the Advisory Panel does not prevent any policy or strategy from subsequently being 'called-in'' following the decision of Cabinet.*

Confidentiality

To allow free and frank discussion in the development of policies and strategies, business will be considered on a confidential basis.

Chair

The Policy Advisory Panel will be chaired by the Depute Leader of the Council.

Membership

Membership of the Policy Advisory Panel will be open to all Members of the Council on a meeting-by-meeting basis.

<u>Frequency of Meetings</u>

The Policy Advisory Panel will meet on a quarterly basis or as required to consider policies, strategies and developments thereof. If there is no or only limited business, meetings may be cancelled in consultation with the chair.

NORTH AYRSHIRE COUNCIL

29 November 2022

Cabinet

Title:	**The Investigations Manual of the Ethical Standards Commissioner's office – Consultation**
Purpose:	To advise Cabinet that the Ethical Standards Commissioner is consulting on the content the draft Complaints Investigation Manual and to seek approval for the proposed North Ayrshire Council submission to the consultation.
Recommendation:	That Cabinet (i) notes the draft consultation document and (ii) approves the submission of the proposed consultation response provided at Appendix 3.

1. Executive Summary

1.1 The Ethical Standards Commissioner, (ESC), established by statute, investigates complaints against Councillors, MSPs, members of Public Bodies and complaints about public appointments. The process manual for investigation of complaints was previously an internal document for use by the office of the ESC only. The ESC has determined that in the interests of transparency and good governance, this document should now be publicly available.

1.2 The draft investigations manual has been published and a consultation launched. The draft manual is provided at Appendix 1. The office of the ESC is seeking views on the document and it has been agreed that the submission of North Ayrshire Council can be submitted once Cabinet has determined the response.

1.3 A draft response to the questions asked has been prepared for consideration by Cabinet and is attached at Appendix 3. Cabinet is asked to consider the draft response and approve its submission to the office of the ESC, subject to any required amendments.

2. Background

2.1 The Ethical Standards Commissioner (ESC) is responsible for investigating allegations that local authority Councillors have breached the Councillor's Code of Conduct. The ESC is also responsible for investigating complaints about MSPs, lobbyists, board members of public bodies and complaints relating to public appointments.

2.2 Once the ESC has completed the investigation into a complaint, a final report is prepared and sent to the Standards Commission for Scotland (SCS). The SCS is responsible for making the final decision as to whether a Councillor has breached the Code of Conduct. If the ESC considers that a Councillor has breached the Code of Conduct then the case will likely proceed to a Hearing before the SCS. At the Hearing, the ESC has an opportunity to present the findings of their investigation. The Councillor has the opportunity to be heard and put forward a defence. If the SCS finds that there has been a breach of the Code of Conduct it may impose a sanction on the Councillor.

2.3 The draft Investigations Manual is a codification of the ESC's internal complaints handling process. Previous editions of the Manual were available for internal use only: this is the first time that the ESC's Manual has been made public. The Manual consolidates the complaint handling, investigatory and reporting processes of the different types of complaint the ESC can investigate and sets out processes and target timescales for completion of complaint assessments and investigations and production of reports. Proposed targets are as outlined in Appendix 2 for further Information. It should be noted that provision is made for operating a triage system to screen complaints, particularly when the ESC is operating with a backlog, as is currently the case. The website of the ESC advises that at present, it may take up to 9 months for the initial assessment to be completed. It is understood that the Commissioner is taking steps to have this addressed as a matter of urgency.

2.4 Proposed changes to the ESC's processes have been introduced in this edition of the Manual. These changes are set out in the Consultation document. There are some other changes which are being considered by the ESC which have not yet been included in the Manual. The procedures set out in the draft Manual are currently being applied pending the outcome of the consultation.

2.5 The following is a summary of the changes introduced in the Manual which are of relevance to local authority Councillors:

- Where the ESC decides that a complaint is inadmissible and will not be investigated, they will now send a copy of the dismissal letter to the Councillor about whom the complaint was made, provided the Councillor was already aware of the complaint and has contacted the ESC to request an update. Previously, dismissal letters were only sent to the complainer in these circumstances.
- The Manual now allows the ESC to accept a complainer's request to withdraw their complaint but then continue to pursue the complaint in the ESC's name, if this is considered to be in the public interest. The previous

practice was that the ESC had only two options if a complainer wished to withdraw their complaint: either refuse such a request (in which case the complaint proceeded in the complainer's name against their wishes) or allow the complaint to be withdrawn, in which case the investigation would stop.

- The Manual now allows the investigating officer to prepare a witness statement from what is discussed during interviews carried out as part of the investigation, or to contact interviewees in writing to confirm any substantive statements made during the interview. The interviewee will be invited to respond to the investigating officer to confirm or correct the substantive interview statements or witness statement. The interviewee may also be invited to review an interview or witness statement based on the interview, and to sign it to confirm it is accurate. It is anticipated these measures would only be used in serious cases, for example those involving bullying or harassment.

- The Manual now provides that the ESC's final report will in all cases be shared not only with the SCS, but also with the complainer, respondent (i.e. the Councillor) and the monitoring officer. Previously, if the ESC found that there had been no breach then the report would only be sent to the Commission, not to all parties.

- Section C13 of the manual sets out proposed target timescales for completing the complaint process. The ESC proposes to publish the extent to which these targets are met at least annually. Under the relevant legislation, an investigation should normally be completed within 3 months of the date when the investigation began. Assessment may take up to two months: if likely to take longer a letter will be issued to the complainer explaining why. Provision for triaging complaints is also included.

2.6 The following further changes are being considered by the ESC and are of relevance to Councillors:

- Where the ESC decides that a complaint is inadmissible and will not be investigated, consideration is being given to sending a copy of the letter of dismissal to the Councillor about whom the complaint was made whether or not they were previously aware of the complaint.

- Consideration is being given to increasing the frequency with which the ESC's investigative team contacts parties for information to progress the investigation and to provide an update. Currently updates are given every 3 months from the date a complaint is accepted.

3. Proposals

3.1 That Cabinet notes that the ESC is updating the Complaints Investigations Manual which will become a public document and approves the submission of the proposed consultation response provided at Appendix 3.

4. Implications/Socio-economic Duty

Financial

4.1 None

Human Resources

4.2 None

Legal

4.3 None

Equality/Socio-economic

4.4 The ESC will assess the outcomes of the consultation exercise for equality, diversity and socio-economic outcomes

Environmental and Sustainability

4.5 None

Key Priorities

4.6. None

Community Wealth Building

4.7 None

5. Consultation

5.1 The ESC has consulted with the Society of Local Authority Lawyers & Administrators in Scotland (SOLAR) and in particular with the Monitoring Officers' working group prior to publication of the draft manual. The comments of SOLAR have been taken into account and incorporated in the current draft. The ESC is now consulting publicly and will consider responses prior to finalisation of the document. The document and proposed responses to the consultation questions have been circulated to Members for consideration.

Aileen Craig
Head of Democratic Services

For further information please contact **Claire Cochrane, Solicitor,** by email to **clairecochrane@north-ayrshire.gov.uk**.

Background Papers

Appendix 1: Draft Manual
Appendix 2: Proposed target timescales for completing the complaint process
Appendix 3: Proposed consultation response

Ethical Standards Commissioner

DRAFT

INVESTIGATIONS MANUAL

Complaint Handling Processes and Procedures

For complaints about Councillors, Board Members, MSPs, Appointments and Lobbying

September 2022

Ethical Standards
Commissioner

CONTENTS

A. INTRODUCTION

1. As set out in our revised Strategic Plan for 2021-2024, the purpose of the office of the Ethical Standards Commissioner is to conduct, without fear or favour, investigations into the ethical conduct of individuals in public life in Scotland and to report honestly and transparently on our findings. We will conduct all of our activities in an ethical way, characterised by effective stewardship of public money, accountability, honesty, integrity, propriety, fairness and transparency. We will operate an effective complaints system that delivers successful and trusted outcomes, and provide assurance to the public and our stakeholders that our objectives are being met in accordance with our purpose and values. Our values matter to us. We have also undertaken to treat each individual and organisation that comes into contact with us with empathy, kindness and respect, recognising that their trust in us must be earned. We will also ensure that our commitment to equality, diversity and inclusion informs all of our work

2. This Investigations Manual has been created to codify our investigations processes across all aspects of the office's work. This includes the work of the Standards team, which investigates conduct complaints against local authority elected members, board members of public bodies and Ministers of the Scottish Parliament, and the Public Appointments team, which investigates complaints relating to public appointments and which examines the appointments practices of the Scottish Ministers.

3. This Investigations Manual has been finalised in consultation with our stakeholders, including the Scottish Government, the Scottish Parliament, the Standards Commission for Scotland (SCS), the Convention of Scottish Local Authorities (COSLA), the Society of Local Authority Lawyers & Administrators in Scotland (SOLAR) and the Society of Local Authority Chief Executives (SOLACE), and members of the public via public consultation which ended on [date]. This Manual is published on our website in line with our commitment to accountability, honesty and transparency. This Manual will be reviewed and updated regularly to ensure it remains a true reflection of our office's processes and takes account of any changes from applicable Code and guidance revisions and legislative amendments.

4. Any instructions and template documents included in this Manual are intended as guidelines for staff only, given the huge variation in circumstances that every investigation presents. Whilst we aim to set out general rules and guidance to help staff in the processing of complaints and when conducting investigations, they are not 'hard and fast' rules to be followed and divergence from them to suit the circumstances in a given case will sometimes be in order. Staff who wish to diverge from the Manual but are unclear about whether doing so is appropriate should seek guidance from a member of the Senior Management Team.

A.1 Legal Powers

5. The statutory functions of the Ethical Standards Commissioner ("the ESC") are set out in a document available from our [website](). One of the core functions of the Commissioner is to investigate complaints about the conduct of MSPs, local authority councillors, board members of public bodies (including conduct comprising of bullying, harassment and sexual harassment) and lobbyists. The Commissioner may also conduct investigations into allegations of breaches of the Code of Practice for Ministerial Appointments to Public Bodies in Scotland as well as more generally examining the appointments practices of the Scottish Ministers. The Commissioner's functions in relation to conduct are set out in various pieces of legislation which will be further referred to throughout this manual:

    a. the Ethical Standards in Public Life etc. (Scotland) Act (2000) (the "**2000 Act**"). The list of public bodies covered by the 2000 Act is set out in Schedule 3 to the 2000 Act;

    b. the Scottish Parliamentary Standards Commissioner Act (2002) (the "**2002 Act**");

    c. the Public Appointments and Public Bodies etc. (Scotland) Act 2003 (the **"2003 Act"**). The list of public bodies covered by the 2003 Act is set out in Schedule 2 to the 2003 Act.

    d. the Interests of Members of the Scottish Parliament Act (2006) (the "**2006 Act**");

    e. the Lobbying (Scotland) Act (2016) (the "**2016 Act**");

    f. the Scottish Parliamentary Standards (Sexual Harassment and Complaints Process) Act 2021 (the "**2021 Act**").

6. The Commissioner's functions may be discharged by any other person authorised for those purposes by the Commissioner. Unless the context requires otherwise, references in this document to the Commissioner should be understood to include anyone so authorised.

A.2 The Applicable Codes

A.2.a Councillors and Members - The 2000 Act

7. The 2000 Act provides for the introduction of updated codes of conduct for local authority councillors and members of relevant public bodies.

8. The current version of the code of conduct for local authority councillors ("**Councillors**") is the Councillors' Code of Conduct 2021 (the "**Councillors' Code**"), which was brought into force by the Scottish Ministers on 7 December 2021 following consultation, and with the approval of the Scottish Parliament, as required by the 2000 Act. This superseded a

previous version issued in 2018. Copies of both versions of the Councillors' Code are available here.

9. The code of conduct relevant to board members of public bodies ("**Members**") was the Model Code of Conduct for Members of Devolved Public Bodies 2021, (the "**Model Code**"), which was issued by the Scottish Ministers on 7 December 2021 following consultation, and with the approval of the Scottish Parliament. The revisions in the latest version brought the Model Code in line with the relevant parts of the Councillors' Code as revised. Public bodies have six months from the date of issue to adopt the Model Code, adapted for their own circumstances and subject to the approval of the Scottish Ministers. Copies of both of these codes are available here.

A.2.b MSPs - The 2002 Act

10. The 2002 Act provides that Members of Scottish Parliament (**MSPs**) are required to abide by what the 2002 Act describes as the "**relevant provisions**"[1]. These include the following (set out in section 3(3) of the 2002 Act):

    a. The Scottish Parliament's Code of Conduct for MSPs (as of 6 May 2021)

    b. The Standing Orders of the Scottish Parliament;

    c. Provisions in the Scotland Act 1998 (Transitory and Transitional Provisions) (Members' Interests) Order 1999;

    d. Provisions made by or under an Act of the Scottish Parliament pursuant to section 39 (members' interests) of the Scotland Act.

    The Scottish Parliament has produced guidance on the Code of Conduct to assist MSPs to comply with its provisions. The 2002 Act also gives the Scottish Parliament the power to issue Directions to the Commissioner, particularly as to the way in which complaints are to be investigated and reported on.

11. The 2021 Act is an Act of the Scottish Parliament to allow the Commissioner to investigate complaints of past sexual harassment made about members of the Parliament in respect of behaviour towards members of their own staff; to remove the default time limit for making complaints to the Commissioner; and to remove any requirement for the complainer's signature. The 2021 Act received Royal Assent on 21 April 2021. The relevant provisions of the 2021 Act, amending the 2002 Act, came into force at the end of the period of 6 months beginning with the day of Royal Assent.

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[1] A "relevant provision" is defined in s 3(3) of the 2002 Act, which is "any provision in force in the standing orders, in the Code, in the Scotland Act 1998 (Transitory and Transitional Provisions) or made by or under an Act of the Scottish Parliament in pursuance of section 39 (members' interests) of the Scotland Act.

12. The Commissioner has a duty to investigate and report on complaints that a person has or might have failed to comply with section 8(1) of the 2016 Act (Lobbying (Scotland) Act 2016), failed to provide accurate and complete information in an application made under section 9, to comply with the duty to submit information returns under section 11 or to supply accurate and complete information in response to an information notice in accordance with section 17. The Commissioner may make a finding of fact if satisfied on the balance of probabilities that the fact is established.

A.2.d Public Appointments – Code of Practice

13. The Commissioner has a duty under the Public Appointments and Public Bodies etc. (Scotland) Act 2003 to prepare a Code of Practice for Ministerial Appointments to Public Bodies in Scotland (the Code of Practice) and to promote compliance with its provisions. The Code includes guidelines on the methods and practices to be employed by the Scottish Ministers in making public appointments. The Scottish Ministers and the Scottish Government directorates on their behalf are expected to follow the Code to ensure that appointments are made on merit, after fair and open competition. The Code and the guidance on its application produced by the Commissioner have statutory force. The Commissioner is required to report to the Scottish Parliament in cases in which the Code has been breached and where that breach is material in nature.

A.3 General Approach to Investigations

14. The Commissioner is an officeholder appointed by the Scottish Parliament, and is expected to act independently. This is set out in section 4 of the Scottish Parliamentary Commissions and Commissioners etc. Act 2010 Act, as amended, which specifies that the Commissioner is not subject, in the performance of their functions, to the direction or control of any member of the Parliament, any member of the Scottish Government, or the Parliamentary Corporation. This applies to complaints received relating to Councillors, Members, MSPs, Lobbyists, or under the Code of Practice.

15. However, the Commissioner may be directed by the Standards Commission for Scotland (the "Standards Commission", the "Commission" or "SCS") (2000 Act, section 10), except as to how any investigation is carried out. Under section 12 (1) of the 2000 Act, it is for the Commissioner to decide whether, when and how to carry out any investigation – subject of course to the requirements of reasonableness in terms of administrative law. As at date of writing, the Standards Commission for Scotland has issued 3 Directions to the Commissioner in respect of complaints about councillors and members of devolved public bodies:

A. On 1 July 2020, the Standards Commission issued a Direction directing that the Commissioner submit interim reports to the Commission and update the parties where an investigation takes more than a three-month period (the "July Direction").

B. On 12 November 2020, the Standards Commission issued a further Direction directing that the Commissioner report to the Commission the outcome of each investigation undertaken pursuant to sections 9 and 12 of the 2000 Act so that the Commission can make the final decision on the complaint (the "November Direction").

C. On 1 March 2021, the Standards Commission issued a further Direction directing the Commissioner carry out an investigation into every complaint about a Councillor and Member save in specific circumstances set out in the Direction (the "March Direction").

16. The 2000 Act at section 12 (2) requires that investigations shall, so far as possible, be conducted confidentially. Whilst this requirement cannot be enforced within the 2000 Act, the Commissioner will request all parties to respect it. All parties to a complaint that has been accepted for investigation should bear in mind that the Councillors' Code and Model Code's Guidance contains a provision where disclosure of confidential information inclusive of information deemed confidential by statute is a breach of the confidentiality requirements under each Code (see paragraph 73 of the Councillors' Code Guidance and paragraph 76 of the Model Code Guidance). All parties to a complaint are informed of the confidential nature of the Commissioner's investigations. This is reflected in the Commissioner's template letters included in the Appendices to this Manual.

17. The 2002 Act also makes provision at section 4 for the Commissioner to be directed by the Scottish Parliament in the procedures to be followed when conducting investigations. The Scottish Parliament's Directions are issued by the Standards, Procedures and Public Appointments Committee (the "SPPAC") and do not direct the Commissioner as to whether or how any particular investigation is to be carried out. The latest version of the SPPAC's Directions, which are updated from time to time, are available to download from the Scottish Parliament's website. Additionally, the 2002 Act at section 5 requires the Commissioner to conduct each stage of an investigation in private.

18. All parties to a complaint are informed of the confidential nature of the Commissioner's investigations. This is reflected in the Commissioner's template letters included in the Appendices to this Manual.

19. When conducting investigations, the Commissioner is concerned to achieve an appropriate balance between speed and thoroughness. Timescales are important to anyone involved in making or answering a complaint. All investigations are therefore subject to targets for completion. However, the Commissioner is not prepared to compromise the outcome on the basis of shortcuts which involve making assumptions or which risk ignoring material facts and circumstances. This means that each Investigating

Officer ("IO") is expected to plan the investigation carefully, and to seek to avoid delay in carrying it through and in writing up their conclusion. If in doubt, reference should be made to the Senior Investigating Officer ("SIO") or to the Commissioner.

20. The Commissioner places a very high value on impartiality, and on dealing sensitively with those involved in the investigation of complaints. Experience has shown that even those who appear confident, or confident, may still find the process stressful, particularly where a public hearing is involved.

21. As such, all staff are required to work in accordance with the Commissioner's strategic objective – the operation of an effective complaints handling system that delivers successful and trusted outcomes. Their work will also be conducted in line with the office's values to investigate, without fear or favour, the complaints received. Staff are also required to communicate with kindness and empathy. To ensure that we are working in this way, those who are party to our work will be given the opportunity to provide anonymous feedback about us at the conclusion of every investigation. We will also publish the results of these surveys on our website.

A.4 Purpose of the Manual

22. This Manual outlines the steps which the Commissioner, their team or any appointed staff will normally take in conducting an investigation, and the legislative and policy context for so doing.

23. This Manual is intended for internal use only, is supplementary to, and should be read in conjunction with, other official (and publicly available) documents referred to within this document. However, as set out above, it is shared publicly in line with our commitment to accountability, honesty and transparency.

B. DEFINITIONS AND ACRONYMS

24. In this Manual, the following terms and definitions apply:

2000 Act	The Ethical Standards in Public Life etc. (Scotland) Act 2000
2002 Act	Scottish Parliamentary Standards Commissioner Act 2002
2003 Act	Public Appointments and Public Bodies etc. (Scotland) Act 2003
2010 Act	Scottish Parliamentary Commissions and Commissioners etc. Act 2010
2013 Order	The Public Services Reform (Commissioner for Ethical Standards in Public Life in Scotland etc.) Order 2013
2016 Act	Lobbying (Scotland) Act 2016
Appointments	The ESC's public appointments team consisting of the Public Appointments Manager and Public Appointments Officer
Assessment	Assessment refers to the consideration of a complaint as to whether it can be accepted for investigation. This is also referred to as the '**admissibility stage**' or '**screening**'. More information about this stage is available here. For consistency, 'assessment' is used in this Manual.
Body	A public body set out in Schedule 3 to the 2000 Act or in Schedule 2 to the 2003 Act
Breach	When a respondent has been found to have contravened one or more requirements of a relevant code of conduct or code of practice
CAU	Complaints About Us – a complaint about the ESC that requires to be resolved following the CHP
CHP	Complaint Handling Procedures (available here) for handling CAU
Case	The reference number assigned to a Complaint or set of Complaints about the same or a similar course of conduct.
Code of Practice	Code of Practice for Ministerial Appointments to Public Bodies in Scotland (available here)
Commissioner	The Commissioner for Ethical Standards in Public Life in Scotland

Complainer	Any person who has submitted a complaint or who has a complaint submitted on their behalf, with their consent
Complaint	An allegation that a Councillor or Member has breached a provision(s) of the Councillor's Code or Model Code (which may be in the Complaint Form or otherwise written format); an allegation that a MSP has breached an applicable provision covering MSP conduct; an allegation of failure to comply with the Code of Practice; an allegation of misconduct in breach of the Lobbying (Scotland) Act 2016.
Council	The local authority to which a councillor has been elected.
Councillor	A local authority elected member.
Councillors' Code	The Councillors' Code of Conduct pursuant to the 2000 Act and approved by the Scottish Ministers
CMS	The ESC's internal Case Management System
CST	The ESC's internal Corporate Services Team, comprising of the Head of Corporate Services, Business Officer and Corporate Services Officers
CSO	The ESC's Corporate Services Officer
ESC	The Commissioner's administrative office
Examination	The course of formal or systematic examination of the appointments practices of the Scottish Ministers in relation to one or more public appointments
Executive Director	The Executive Director appointed by the Standards Commission or his or her staff as appropriate.
FOI	Freedom of Information request pursuant to the Freedom of Information (Scotland) Act 2002
Hearing	A (usually public) formal meeting arranged by the Standards Commission for a Panel to consider a Commissioner's report
Investigation	The course of formal or systematic examination or research into a Complaint
IO	Investigating Officer of the Commissioner's office
IP	Investigations Paralegal of the Commissioner's office

JSF	Joint Statement of Facts prepared in advance of a Hearing
MSP	Member of Scottish Parliament
Member	A member of the board of a Body
Model Code	The Model Code of Conduct for Members of Devolved Public Bodies pursuant to the 2000 Act and approved by Scottish Ministers
Monitoring Officer	The officer, often referred to as the MO, designated by the Council in terms of section 5 of the Local Government and Housing Act 1989
PHM	Pre-Hearing Meeting held by the Standards Commission
Report	A document setting out the investigation into a Complaint and its outcome, at the end of Stage 2 (for investigations into Complaints about Councillors / Members / MSPs).
Respondent	Any person against whom a Complaint has been made.
Section 4 Direction	A direction issued by the Scottish Parliament to the Commissioner in terms of section 4 of the 2002 Act.
Section 10 Direction	A direction issued by the Standards Commission to the Commissioner in terms of section 10 (1) of the 2000 Act (such as the July, November and March Directions set out above).
Section 16 Direction	A direction issued by the Standards Commission to the Commissioner in terms of section 16 of the 2000 Act.
Section 14 Report	A report on the outcome of an investigation submitted by the Commissioner to the Standards Commission in terms of section 14 of the 2000 Act.
SIO	Senior Investigating Officer of the Commissioner's office.
Standards	The ESC's Complaint handling team which includes the SIO, IOs, and IP
Standards Commission, the Commission, or SCS	The Standards Commission for Scotland.
Standards Officer	An officer in a Body with functions roughly equivalent to those of the Monitoring Officer in a council.
SPPAC	Standards, Procedures and Public Appointments Committee
Template	An agreed template. Refer to Appendices containing templates.

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C. COUNCILLOR AND MEMBERS COMPLAINTS

C.1 What we can and cannot investigate

25. The Commissioner and their team can look into a complaint that someone in public office has not behaved in accordance with the provisions of the Councillors' Code or Model Code (relating specifically to Councillors and Members). More information is available from our website here.

26. The Commissioner and their team will not be able to assist with complaints relating to a public function which the Councillors' Code or Model Code does not cover. This includes complaints relating to a Council or Body's decisions, functions and service standards (such as missed refuse collections, delayed responses to queries etc.). The Codes cover conduct or behaviour expected of an individual, rather than that individual's performance in their role such as attendance at Council or Body's board meetings, rate of response to communications or political views. Where a complaint is made to the ESC relating to these issues, the ESC staff will try to be of assistance, where possible, by signposting the appropriate office or process where a complaint can be made. This will be indicated in any closure letter (Appendix xx – Template Correspondence (Dismissal letters)) issued to the Complainer. However, this is different from a situation where a Complainer is unhappy with the conduct of a Councillor or Member, or their decision, because the Complainer feels that a Councillor or Member has conducted themselves inappropriately pursuant to the applicable Code.

27. Throughout this Manual and in the monitoring of data, the terms "case" and "complaint" are used. The following provides more detailed information:

Complaint: When a Complaint is made against more than 1 Councillor or Member (for example 3 Councillors), the number of Complaints will reflect the number of Councillors or Members complained of (that would be 3 complaints), as there are potentially three separate outcomes.

Examples

- 1 Complaint with 1 signature from 1 Complainer against 1 Councillor = 1 Complaint
- 1 Complaint with 17 signatures from 17 Complainers against 1 Councillor = 17 Complaints
- 1 Complaint with 1 signature from 1 Complainer against 20 Councillors = 20 Complaints
- 1 Complaint with 11 signatures from 11 Complainers against 25 Councillors = 275 Complaints
- 15 Complaints with 1 signature from 1 Complainer each against 1 Councillor = 15 Complaints

Case: A case relates to a number of Complaints which are being considered or investigated (as applicable) together as the subject matters of the complaints are the same or related.

Examples

- 1 Complaint with 1 signature from 1 Complainer against 1 Councillor = 1 case
- 1 Complaint with 17 signatures from 17 Complainers against 1 Councillor = 1 case
- 1 Complaint with 1 signature from 1 Complainer against 20 Councillors = 1 case
- 1 Complaint with 11 signatures from 11 Complainers against 25 Councillors = 1 case
- 15 Complaints with 15 signatures from 15 Complainers against 1 Councillor and about the same matter (and considered / investigated together) = 1 case
- 4 Complaints with 4 signatures from 4 Complainers all against same 16 councillors and about the same matter (and considered / investigated together) = 1 case

OVERALL INVESTIGATION PROCESS

Screening
Each complaint received will be assessed to determine whether it is one that we will investigate in accordance with SCS Directions dated 1 March 2021.
Further information will be obtained from Complainer, if required.

Complaint **not** accepted for investigation.

Complaint accepted for investigation.

Complainer informed of reasons.

Respondent asked for comments.

Case closed*.

Further information obtained, if required.

Commissioner prepares a report detailing outcome of investigation and any findings of fact and its application to the Code, pursuant to the SCS Directions dated 12 November 2020.

Witnesses interviewed, if required.

Commissioner considers Code **not** contravened.

Commissioner considers Code contravened.

Commissioner may revisit conclusion based on representations.

Parties informed of conclusion.*

Respondent asked for representations.

Per Directions from the SCS dated 12 November 2020, a report is sent to the Standards Commission.

Report submitted to Standards Commission, who may:
a) Direct further investigation
b) Hold a hearing
c) Take no action.

If the Standards Commission hold a hearing, the Commissioner presents the case.

If the Standards Commission holds a hearing and decides the Code has been contravened, a sanction of censure, suspension or disqualification will be imposed.

* We are obliged to inform all parties that a person may be able to challenge a decision using judicial review proceedings. Judicial review is a form of court proceeding where a judge reviews whether a decision is lawful. A person may want to take legal advice before deciding if this is appropriate. Unfortunately, the Commissioner's office is unable to provide advice on the costs of, or access, to judicial review.

Respondent may have right of appeal (no right of appeal if no breach or censure).. .

28. Complaints vary greatly. They may contain an allegation against multiple Respondents, or allegations covering a course of conduct, or allegations of a breach of more than one part of the relevant Code (to name a few variations). IOs will work to follow the contents of the Complaint form as closely as possible during initial assessment and investigations. It is recognised this may not always be possible and summarisation of a Complaint or its separation into constituent parts may be required. Where a Complaint is set out into constituent parts, those parts will be referred to as 'issues' rather than 'heads' of Complaint. The following is a general approach for how IOs will record Complaints for the purposes of assessment or investigation:

   a. A recorded Complaint should only cover the factual elements of the alleged misconduct, such as the date and time the alleged misconduct occurred and the alleged misconduct itself;
   b. A recorded Complaint covering one incident or event should not be separated into separate parts or issues i.e. an email sent at the same date and time should not be separated into its constituent parts;
   c. A recorded Complaint covering more than one incident or event on separate dates and times should be separated into parts or issues for ease of understanding and assessment.
   d. The background to an alleged incident and/or the alleged impact or consequences of the conduct will be considered as part of the investigation, but may not be outlined in the recorded complaint itself (which focuses as closely as possible to factual elements).

   The ESC will allow the Complainer an opportunity to provide views on whether the recorded Complaint, as set out, is an accurate reflection of their concerns and can be altered if it is not. This is reflected in the template correspondence (see Appendix xx – Template Correspondence).

C.3 What happens when we receive a complaint

29. When a Complaint is received by the ESC, regardless of whether it is in a Complaint Form submitted via the website or in any other written form submitted in any other manner (e.g. hard copy via regular post), the Complaint will be recorded and saved into the internal Case Management System (**CMS**) in the process set out in in the Complaint Handling Guide (v 2.0) by the IP.

30. All documents saved into the CMS will follow the Naming Convention (Appendix xx – Naming Convention).

31. At times, it can be difficult to distinguish between an individual making an enquiry about complaining to the ESC or an individual who is making a Complaint. If this occurs, the usual practice would be to confirm with the individual whether they are in fact making a Complaint. If so, we will record the communication containing the enquiry as part of

a case file in the CMS but also request a Complaint Form to be completed so that all details of what the Complainer wishes to complain about are captured.

C.3.a Whistleblower complaints

32. The Commissioner is a Prescribed Person under the Whistleblowing Prescribed Persons Order 2015 where a person feels a Councillor or Member in Scotland has acted in a way that breaches the applicable Codes. Whistleblowing has a particular legal meaning. The Public Interest Disclosure Act 1998 ("the 1998 Act") protects workers that disclose issues at their workplace, or former workplace, provided certain conditions are met. If the conditions are met, the identity of a Complainer may be withheld, particularly where they are making a Complaint as a whistleblower under the Public Interest Disclosure Act 1998. Confirming that a Complainer is complaining as a potential whistleblower from an early stage is important so that the complainer's identity is given appropriate protection. As such, where the Complainer has indicated they are making a Complaint as a whistleblower, the ESC will issue correspondence based on the appropriate Template to confirm with the Complainer whether they meet the conditions which engage whistleblowing protection. This Template correspondence is set out in (Appendix xx – Template Correspondence (Whistleblowing)).

33. Where a Complainer is not able to provide the evidence which supports their whistleblower status, the Complaint will be handled according to the usual process set out in this Manual. The most significant change for the Complainer in these circumstances is that their name will be shared with the Respondent.

C.3.b Anonymous complaints

34. An anonymous Complaint is one where a Complainer is not named or wishes to remain unnamed. These will be considered, in the first instance, by the Commissioner. The 2000 Act is clear that investigations into complaints should, so far as possible, be undertaken in response to allegations of misconduct which are made in writing and signed by the Complainer. At times, it may be difficult for the person alleged to have breached the Code to respond properly to a complaint whose origin is unknown. The Commissioner will normally decide not to accept or not to progress a complaint on an anonymous basis where there is no evidence supporting why anonymity should be provided. However, the Commissioner will request for any supporting evidence as a first port of call, and may refer an anonymous complaint to the Council or Body concerned or, in appropriate circumstances, to the police or another regulatory body.

35. If the Commissioner decides that there is no basis for granting anonymity, the ESC will inform the complainer of this decision before progressing any further with the Complaint. Complainers may refer to the Commissioner's Guidance on Requests for Anonymity (which will be published in the 2022/2023 financial year). However, even where the Complainer does not meet the requirements for being granted anonymity, the Commissioner may elect to investigate the Complaint independently where the

allegation in the Complaint is very serious and may be sufficiently substantiated. In these circumstances, the Commissioner will take forward the Complaint as the Complainer.

C.3.c Complaints that are out of time (12 months or more)

36. A Complainer should normally make a Complaint about an event or behaviour within 12 months of the event or behaviour occurring. Where a Complaint is within the 12-month period but the date of the Complaint is on or close to the anniversary of the alleged event/behaviour happening, the Commissioner may decide that a meaningful investigation cannot be conducted or that it is no longer proportionate or in the public interest to investigate the Complaint. In any event, complaints that are outwith time are an exception set out in the SCS Direction dated 1 March 2021 and are not directed for investigation.

37. However, the Assessment Form (available at Appendix xx – Complaint Assessment Form) allows for consideration of a Complaint which is out of time where there are circumstances that make it appropriate to do so, such as overriding public interest or the Complainer was reasonably unaware of the conduct before the time limit expired. The Commissioner may decide to proceed with a Complaint that is out of time if there is an overriding public interest or other justifiable circumstances.

38. Where a Complaint has been submitted out of the usual 12 month period and there are no circumstances or overriding public interest to justify an exception to consider the Complaint, the ESC will issue Template correspondence to the Complainer explaining that the Complaint cannot be accepted (Appendix xx – Template Correspondence (Out of Time)).

C.3.d Complaint not about a Councillor or Member

39. A Complaint may be received relating to neither a Councillor, a Member, nor any other person under the Commissioner's statutory remit. These may be Council officers, Community Councillors, a staff member of the Body who is not on the board, and so forth. When this type of correspondence is received, the process is to record the correspondence as an enquiry and issue Template correspondence to the Enquirer explaining why we are unable to investigate the enquirer's concerns. If we are aware of an alternative body that is able to investigate complaints of this nature, we will signpost this to the enquirer.

C.3.e Complaint not within the remit of an applicable Code

40. A Complaint may be received relating to a Councillor or a Member, but where the alleged misconduct is not covered by the Councillors' Code or Model Code. An example may be a Complaint which relates to the performance of a Councillor or

Member in their roles (i.e. service standards), such as failure to attend the number of requisite Council Committee meetings or Board meetings, rather than an express provision in the applicable Code. When this type of Complaint is received, the process is to record the Complaint into the CMS, as set out above, and Template correspondence will be issued to the Complainer explaining this.

41. A Complaint may also be received relating only to section 2 of the Councillors' Code (which sets out the key principles) or the equivalent section of the Model Code or applicable Code governing a Body. Both the Councillors' Code and the Model Code make it clear that a breach of key principles is not, in itself, a breach of the Code. As such, an allegation of a breach of key principles will not normally be accepted for investigation (unless a substantive part of the Code has been, on its face, breached). When this type of complaint is received, the process is to record the Complaint into the CMS, as set out above, and Template correspondence will be issued to the Complainer explaining this.

C.3.f Self-Referred Complaints

42. In some cases, Complaints are initiated by the potential Respondent; these are treated as self-referrals or self-referred Complaints. They will proceed in much the same way as any other Complaint, except that the Complainer is also the Respondent. The Council or Body will be notified in the usual way. It may be that the Councillor or Member will already have notified the relevant Monitoring or Standards Officer.

C.4 Assigning an Investigating Officer to a Case File on CMS

43. The Commissioner trusts that IOs are best placed to regulate their own workload and capacity. As such, IOs are encouraged to assign themselves to a Case file on CMS as and when they are ready to accommodate the additional work, bearing in mind the expectations as to timescales set out in [section no. covering timescales] of this Manual. The method of assigning an IO to a Case on CMS is set out in the Complaint Handling Guide (v 2.0).

44. The IOs are encouraged to take on Cases in a chronological order. For instance, a Case covering a Complaint(s) that is(are) received earlier in time should be assigned so that progress can be made on the Case before another where the Complaint(s) are received later in time. However, the Commissioner is also mindful of having Complainers wait for an assessment where their Complaint is clearly out of time, not about a Councillor / Member, or not within the remit of the applicable Codes. As such, these Complaints may be dealt with sooner given the assessment process would be straightforward and it would be disappointing for a Complainer to wait for an extended period of time only to be informed their Complaint is not admissible for one or other these reasons. A triage system is in place to ensure that such cases are dealt with timeously.

45. All assessments and investigations must be conducted without fear or favour. This means the process is without bias, and proceeds in an impartial and objective manner. No one with an actual or reasonably perceived conflict of interest should ever be involved in an assessment or investigation. Cases will not normally be considered by an IO if that individual:

- Has been employed by the Council or Body of which the Respondent is or was a member;
- Is a resident in the Council area of the Respondent and could be perceived to have an interest in the outcome of the assessment or investigation;
- If the information in the Register of Interests maintained by the Commissioner discloses information which could be perceived to represent a conflict of interest;
- If the IO declares an interest for any other reason, i.e. they are a friend, relative, or have another relationship with the Complainer / Respondent any other named individual in the complaint.

46. IOs should notify the Commissioner if any potential conflict of interest arises in relation to a case allocated to them. IOs should ensure their Register of Interests is kept up to date. As a minimum, it should be reviewed and updated on an annual basis.

C.5 Assessment process

47. The IO will undertake an initial assessment of Complaint material. The assessment will be recorded in the Template Complaint Assessment Form (Appendix xx – Complaint Assessment Form). At the assessment stage in complaints relating to Councillors and Members, only the Complainer (or, where appropriate, the nominated representative of the Complainer) will be contacted for further information to clarify or better understand the Complaint. No other parties will be contacted at the assessment stage. This is to avoid any misunderstanding that an investigation has commenced without the Respondent being made aware. For the avoidance of doubt, the assessment process is in no way a pre-investigation or investigation into a complaint.

48. In circumstances where the ESC is handling a Complaints backlog where Complaints are not able to be allocated or assessed within target timeframes, the IOs may be allocated cases by the IP or a 'duty IO' per work week will be assigned to consider Complaints in order preserve as much readily available evidence as possible. This aims to prevent loss through passage of time as the team works through the backlog. This type of evidence usually consist of webcast meetings or their video/audio recordings, social media posts and online articles.

49. It is the responsibility of IOs:

a. to assess the Complaint material at this stage and fill in the Complaint Assessment Form;

b. to request further information from the Complainer (or the Complainer's nominated representative) and conduct desktop searches of publicly available sources for any supporting information required to clarify or better understand the Complaint;

c. to form a view as to whether the Complaint should be dismissed or accepted for investigation and provide reasons supporting their view; IOs must comply with the Directions issued by the Standards Commission, as reflected in the Complaint Assessment Form, in reaching that view;

d. to draft a Complaint closure letter or acceptance for investigation letter, as appropriate for the outcome of the assessment;

e. to review any preliminary redaction of personal data by the IP and inform the IP of any redactions that may be required;

f. alternatively, if the IP is unable to provide assistance for redaction, the IO will redact the Complaint material as required;

g. to refer to the Redaction Guidance appended to Appendix xx of this Manual in deciding what circumstances personal data should be redacted from the complaint and other documentation, or not released in the case of other media;

h. seek guidance from the SIO or the Commissioner if a document or other media contains sensitive personal data, prior to any decision being taken regarding its release.

50. If IOs are in any doubt as to whether personal data should be released, they should seek guidance from the SIO or the Commissioner. Similarly, if voluminous amounts of documentation are received which require checking, this should be brought to the attention of the IP immediately, in order that extra resources can be allocated where necessary to assist.

C.6 Dismissing a Complaint and file closure

51. Upon assessment using the Complaint Assessment Form, a Complaint may not be accepted for investigation (i.e. it may be dismissed on the basis that the Complaint does not, on its face, show that a breach of the applicable Code has occurred or, even if it could be established to have occurred, constitute a contravention of the applicable Code).

52. Where it appears that a Complaint is recommended to be dismissed, the Complaint Assessment Form should be completed and a draft closure or dismissal letter should be prepared. Both documents, together with a copy of the Complaint, will be sent to the SIO for review. The SIO may discuss the matter with the IO and/or revert with comments which the IO can incorporate into the Complaint Assessment Form and/or the letter. When this is complete, the IO will send a copy of the Complaint, the Complaint Assessment Form, and the draft closure or dismissal letter to the IP. In straight forward cases, it may not be necessary to send the draft documents to the SIO for review and the IO may, at their own discretion, have the option of sending the documents to the IP directly.

53. The IP will gather all the Complaints, the corresponding Complaint Assessment Forms, and draft letters received over the course of a week and save it into the internal shared drives. Every Friday morning (or such other day of the week as the Commissioner may elect), the IP will send an update to the Commissioner setting out the Complaints, the corresponding Complaint Assessment Forms and draft letters which the IOs and SIO have completed over the course of the week, for the Commissioner to consider and approve in the exercise of their discretion on whether or not to accept a matter for investigation.

54. The Commissioner may have comments or queries in relation to each Complaint Assessment Form or draft letter, which may be discussed with the IO and/or SIO. The Commissioner's comments would be incorporated into the Complaint Assessment Form or draft letter as appropriate to ensure that there is an audit trail for decision-making .The finalised version of the closure or dismissal letter will be sent to the Complainer. The Case file will then be closed on CMS.

55. There may be instances where the Respondent is aware of a Complaint when that Complaint is still in the assessment stage (i.e. it is not accepted for investigation and as such no parties, other than the Complainer, would normally be aware of the Complaint). This may happen if the Complainer directly informs the Respondent of the Complaint made against the Respondent. It may also occur where third parties are informed of the Complaint and the Respondent subsequently is informed of the same. On these occasions, where the Respondent is aware of the Complaint made against them and approaches the ESC to confirm receipt of a Complaint, the ESC's practice is to confirm to the Respondent that a Complaint has been received and it is in the assessment stage. When a Complaint known to the Respondent has been assessed and dismissed, the Respondent will also be informed of the dismissal as a matter of courtesy. This was not the previous practice of the ESC. However, it is hoped this new approach will enhance transparency in the ESC's process, particularly for Respondents who are already aware of a Complaint against them. In line with this approach, all Councillors and Members will be notified of a complaint against them in cases in which the complaint is ultimately dismissed. This will be done by sending a copy of the Complainer's dismissal letter to the Respondent, with redactions in place for data covered by data protection regulations.

C.7 Accepting a Complaint for Investigation

56. Upon assessment using the Complaint Assessment Form, a Complaint will be accepted for investigation when, on its face, the alleged conduct could amount to a breach of the applicable Code. The investigation stage begins when letters for acceptance of a complaint for investigation are sent to the relevant parties (see Appendices xx, yy and zz – Template Correspondence (Acceptance). These acceptance letters will be sent to the Complainer, the Respondent, and the Monitoring Officer or Standards Officer (as applicable) of the body of which the Respondent is a Councillor or Member.

57. Where a Complaint is recommended to be accepted for investigation, the Complaint Assessment Form will be completed and a draft acceptance or initial notification letter will be prepared for each of the following: the Complainer(s), the Respondent(s), and the Monitoring Officer (cc to the Chief Executive) or the Standards Officer. The Complaint Assessment Form and the draft letters, together with a copy of the Complaint, will be sent to the SIO for review. The SIO may discuss the matter with the IO and/or revert with comments which the IO can incorporate into the Complaint Assessment Form and/or the letters. When this is complete, the IO will send a copy of the Complaint, the Complaint Assessment Form, and the draft acceptance letters to the IP. In straight forward cases, it may not be necessary to send the draft documents to the SIO for review and the IO may, at their own discretion, have the option of sending the documents to the IP directly.

58. The IP will gather all the materials set out above into an appropriate location in the internal shared drives. The IP will send an email to the Commissioner as set out above showing the Complaints recommended for acceptance for the Commissioner to consider and approve in the exercise of their discretion on whether or not to accept a matter for investigation.

59. The Commissioner may have comments or queries in relation to each Complaint Assessment Form or draft letter(s), which may be discussed with the IO and/or SIO. The Commissioner's comments will be incorporated into the Complaint Assessment Form or draft letter as appropriate to ensure that there is an audit trail for decision-making. The finalised version of the acceptance letters will be issued to the Complainer(s), the Respondent(s), the Monitoring Officer (cc the Chief Executive) or the Standards Officer, as applicable. The Case file will then be updated on CMS to reflect that the matter is now under investigation.

C.8 Withdrawing a Complaint

60. No reference to the withdrawal of a complaint is made in the 2000 Act. If, at any point during the process, a Complainer wishes to withdraw a Complaint, it will be for the Commissioner to decide whether to accept the withdrawal and terminate the investigation, or to nevertheless proceed and complete the investigation.

61. When reaching our decision whether to accept the withdrawal request, we will take into account:
    - the request,
    - the stage the investigation has reached,
    - the public interest in ending or concluding our investigations and
    - the wishes of any other person who has complained about, or who has been directly impacted by, the conduct in question.

62. Requests to withdraw a Complaint should be made, or confirmed, in writing. If not already specified, the IO should:

a. Ascertain the reasons for withdrawal;
b. Obtain relevant documentary evidence if necessary;
c. Where an explanation is made, this will be noted (eg an apology has been made and accepted) - although this will not necessarily result in closure of the complaint.

Refusal to give reasons for withdrawal will require careful assessment to eliminate any suggestion that the complainer has been inappropriately influenced by third parties to withdraw the complaint.

63. The IO will consider the potential reasons or consequences of withdrawal:

a. Any fear of repercussions ;
b. The effect on other linked cases;
c. Whether the co-operation / evidence of the Complainer is an essential element in the investigation;
d. Whether there is reason to suppose that the Complainer has been inappropriately influenced, threatened or otherwise improperly persuaded to withdraw the Complaint by any person;
e. Whether the issues raised are of such importance as to require investigation in the public interest;
f. The Commissioner may be statutorily obligated to investigate further if proceeding with the complaint may have implications in any ongoing civil or criminal proceedings.
g. Would the personal circumstances of the complainer (or a close associate / relative) be adversely affected by continuing the investigation?

64. If in doubt, the IO will discuss the request with the Commissioner (as the decision is ultimately for the Commissioner to make) and send appropriate correspondence to:

a. Proceed with a Complaint despite the request for withdrawal – where the IO will send individual correspondence to the Complainer setting out the reasons for proceeding with the Complaint despite the withdrawal request; or
b. Agree to withdrawal – where the IO will send individual ad-hoc correspondence to the Complainer setting out the reasons for accepting the withdrawal.

65. In situations involving multiple Complainers, withdrawal by one or several of the Complainers will not justify discontinuance of investigation of Complaints supported by those who have not requested withdrawal. It will, however, be necessary to notify the Respondents of the individual complaints, or such parts of the overall Complaint, which have been withdrawn when one or more of the complaints have been accepted for investigation. If this occurs, the names and contact details of the Complainer who requested withdrawal of the complaint will not be shared with the Respondent.

66. Taking the above into account, the Commissioner may decide not to take an investigation forward. This could be for a number of reasons including:
   • it is not in the public interest to proceed with an investigation;

- the Respondent has demitted office or is not standing for re-election;
- information is received about a deterioration in the health of a Respondent or a key witness.

67. In some cases, a Complainer may wish to withdraw a Complaint where the Commissioner considers that it merits investigation in the interests of the public. The Complainer's request for withdrawal will be considered in accordance with this section C8 of the Manual, and where appropriate, will be accepted. However, the Commissioner may continue to pursue the complaint in lieu of the Complainer in the Commissioner's name. The Complainer will be informed if this occurs, and the reasons why.

68. In all cases, the Commissioner will comply with the Directions issued by the Standards Commission in coming to a decision.

C.9 Additional steps for Members' complaints

69. When a complaint is received about a Member of a Public Body, the IO should contact the Public Body to obtain a copy of the Model Code as adopted by that Public Body which is in place at the time of the events in question.

C.10 Conducting the Investigation

70. As set out above, the 2000 Act at section 12 (2) requires that investigations shall, so far as possible, be conducted confidentially. All parties will be informed of this requirement, which is included in Template correspondence (see Appendix xx – Template Correspondence (Acceptance for Investigation).

71. In an investigation, the standard of proof required to determine whether an allegation is substantiated is on the balance of probabilities. This means that, in order for a conclusion of a breach of the applicable Code to be reached in an investigation, the Commissioner's view must be that a breach is more likely to have occurred than not.

C.10.a The Investigation Plan

72. Every Complaint is different and the wide discretion available to the Commissioner will be reflected in the variety of approaches taken by IOs to the investigation of individual complaints. IOs are primarily responsible for managing the efficient and proportionate investigation of all Complaints allocated. In planning an investigation, IOs will need to take account of, and seek to apply resources appropriately to the following:

a. any cases linked by party or subject advised by the office at the time of allocation;
b. the agreed targets for the conclusion of investigations, and the likely impact of current investigations on any which are newly allocated;
c. planned leave, and the likely availability of witnesses during holiday periods and in election periods;

d. the need to make special arrangements for vulnerable witnesses or whistleblowers;

e. any earlier decision of the Standards Commission or the Commissioner which appears to turn on similar facts and circumstances (such information will be provided on CMS);

f. any general domestic or European legislation applicable at the time of the incident, including the Human Rights Act 1998

g. any relevant guidance or dispensation issued by the Standards Commission including:

- Guidance on the Councillors' Code
- Guidance on the Model Code
- Guidance on Dispensations

73. If considered necessary, the IO should complete the template Investigation Plan (Appendix xx – Investigation Plan), particularly where an investigation is complex (for instance, a Complaint with multiple Complainers or Respondents) or to keep track of witnesses, their responses, witness interviews, and other documentary evidence. The aim is to help establish the relevant facts, gather the necessary evidence and ensure that the investigation is conducted efficiently and expeditiously. The Commissioner trusts that the IOs are best placed to plan their investigations. As such, it is not required that an Investigation Plan be shared with the SIO or the Commissioner, although the Investigation Plan may be shared with the SIO or the Commissioner where the IO is unsure of how to proceed with an investigation.

74. IOs may, and if in doubt about competing priorities should, seek the advice of the SIO or the Commissioner at any stage of the investigation. The SIO and the Commissioner encourages the sharing of expertise amongst IOs through the facilitation of regular IO meetings, training events and through individual catch up meetings.

75. It is accepted that evidence gathered must be tested. The evidence gathered during the course of an investigation may or may not be relevant at the time of information-gathering. It is essential for an IO to accurately record all new information within the CMS case file, evaluate its relevance as it arises, and routinely subject that judgement to review as further information is discovered.

C.10.b Requests for information

76. It is a normal part of the investigations process to request further information. The Template correspondence in the Appendices of this Manual provide space and standard wording for requesting information (see Appendix xx – Template Correspondence (Request for Information). To help the IO with the investigation and requests for information, parties who have been contacted by the IO should inform the IO of any changes to their contact details (such as change of email address, home address, or contact number) as soon as practicable.

77. Requests for information should be sent in a timely manner and allow the entity or individual providing that information ample time to respond. This is usually a two-week period from date of the request, but this can be extended further on request. Where a

request is received, the IO should consider the request in light of the Guidance on Extension of Time (Appendix xx – Guidance on Extension of Time).

78. All parties should note that the time taken to respond to ESC requests for information will be recorded and may be reflected in a report upon concluding an investigation. If no response is received despite a reasonable number of requests or extensions of time, the IO may complete consideration of the complaint and conclude the investigation without the input requested.

C.10.c Process on receipt of information

79. Where information has been requested and received, the information should be saved as soon as possible into the CMS under the relevant Case reference number, under a file name that is consistent with the Naming Convention (see Appendix xx – Naming Convention).

80. Where information is received by the IP or CSO relating to a Complaint, the IP or CSO should notify the handling IO as soon as possible and save the information into CMS under the relevant Case reference number, using a file name that is consistent with the Naming Convention (as above).

C.10.d Documentary evidence

81. The ESC may receive information or evidence relating to a Complaint or an investigation in the form of physical documents received via post or clippings from newspapers, magazines and so forth. These should be scanned into a PDF file as soon as possible, and saved into CMS using a file name that is consistent with the Naming Convention. It is important to preserve physical documentation as soon as possible and ensure that the scanned copy is an exact reproduction of the original, in case the original is altered, damaged, lost or destroyed.

82. Where original documents are received as evidence by the ESC and the sender has requested the return of these original documents, the ESC will preserve them in a secure place and return the original documents to the sender as soon as a PDF copy has been made and saved into the CMS.

83. Documents received by post which are not originals will be saved in accordance with the office's records management policy and procedures. Broadly, post arrives to the office and is stamped with the date received by the receptionist. At set times during the week, member(s) of the corporate services team attends the office and collects the post. The post is then scanned (inclusive of the dated envelope) and named in accordance with the Naming Convention. The scanned documents are then sent to the relevant staff member . The hard copy is then stored in the office in a locked cabinet and shredded after the appropriate retention period.

C.10.e Electronic evidence

84. Electronic evidence comprises Information and Communication Technology (ICT) resources and data, such as e-mails, screenshots (saved as a digital image file or similar) of social media posts, data on hard drives or other electronic storage devices, cell phones and other portable devices, SIM cards, digital files including photographs, audio recordings, CCTV / video footage and so forth.

85. Electronic evidence must be saved into the CMS using a file name that is consistent with the Naming Convention (as above).

86. Particular attention should be paid to electronic evidence where metadata can contain personal information (such as the home address where a digital recording is made, or video clips from a vehicle's dash camera where the licence plate could be shown and so forth). The ESC must handle private data in accordance with statutory requirements. If it is not possible to present electronic evidence without showing personal information, consent should be sought at the earliest opportunity

C.10.f Witnesses and other parties to an investigation

87. The scope and complexity of investigations necessarily vary on a case by case basis. A Complainer or Respondent or any other party to an investigation may wish to provide as much evidence and supporting information as possible, including witness evidence.

88. Due to the requirements on the ESC as a public body to utilise public resources proportionately and in the public interest, not all witnesses listed by a Complainer or Respondent or any other party to an investigation will necessarily be contacted. This is especially the case where multiple witnesses are provided to the IO but they all attest to the same fact without adding any relevant new information. Whilst it is helpful to corroborate the evidence where possible, corroborating the same evidence with multiple parties is not always a good use of public resources.

89. Where an IO is unsure whether to contact a witness for more information, they may discuss with the SIO or the Commissioner as appropriate. The reasons for not contacting a witness where they have been put forward by the Complainer or Respondent or any party to an investigation must be recorded on the case file in a file note.

C.10.g Conducting Interviews

90. Interviews may or may not be conducted during an investigation. Again, the breadth and complexity of investigations vary on a case by case basis and, at times, it is not a good use of public resources to conduct interviews where documentary evidence or substantive written responses from key parties is clear, available and already

establishes the facts in a case without the recourse to testimony gathered by way of interview.

91.   Interviews are aimed at obtaining testimonial evidence such as the recollection of individuals who saw an event or have direct or indirect knowledge of anything relevant to an investigation.

92.   Where an interview will be conducted, the interviewee must be provided with a copy of the Witness Policy (Appendix xx – Witness Policy) and Interview Information Sheet (Appendix xx – Interview Information Sheet). Reasonable adjustments may be made in response to any requests and provided on a case by case basis. Parties may wish to refer to the ESC's Accessibility policy for further information.

93.   A request for an interview will be in writing in the form of Template correspondence (Appendix xx – Request for Interview).

94.   Wherever possible, the interview will be conducted by the handling IO and at times may also have another IO or the IP in attendance for note-taking purposes. The interviews are conducted on a remote basis via the telephone, MS Teams, Skype or Zoom, unless there are special reasons why an interview must be conducted in person, such as in order to accommodate a request for reasonable adjustments. Where an interview will be conducted in person, the IO must inform the CST as soon as possible and liaise with the interviewee as to their preferred location and time.

95.   Bearing in mind the need for confidentiality in the investigative process, witnesses called for an interview will be informed, when contacted, of the general nature of the matter on which they are requested to provide information in a manner which does not compromise the evidence they will be giving. A written record of all information provided to the witness will be kept in the form of a file note or in the interview record (see below section on Record of interviews).

96.   Before starting an interview, the IO will identify themselves and explain in general terms:

- the authority of the Commissioner to conduct investigations;
- the investigative process and possible consequences of an investigation;
- whether the interviewee is being interviewed as Complainer, Respondent or witness;
- the requirement of confidentiality at the investigation stage;
- what the interviewee can expect to happen in terms of next steps; this will include information on what use may be made of any personal data, including special category data, such as the publication of reports, and possible subsequent attendance at a Standards Commission Hearing where their identity may become public.

97. In advance of the interview, the Respondent should already have been provided with details of the allegations and shown the supporting evidence, in anonymised form where warranted. The Respondent has the opportunity to respond and to provide supporting evidence, in advance of, during or at any point after the interview. The Respondent may identify witnesses, indicate where further records can be found, and submit any information or document. The IOs must note full details of any additional potential, exculpatory information and, if necessary, seek the assistance of the Respondent or other parties. The IOs will subsequently take appropriate action to interview the identified witnesses and to discover and secure any identified evidence, to the extent deemed relevant to the allegations.

98. The interview should be flexibly adapted in response to the behaviour of the interviewee and the information provided. If the interview is lengthy, reasonable comfort breaks will be offered and noted.

99. The IOs will ensure that relevant documents are available and can be shared with the witness during the interview. Any records produced by the interviewee will be retained, noted in the interview record, and stored securely with other evidence in the CMS.

100. The IO can conduct interviews with any parties at any time during the course of an investigation, bearing in mind the necessity to balance good use of public resources and proportionality against a fair and thorough investigation. Witnesses identified for interview should be prioritised having regard to the potential significance of the information they possess, their availability and any logistical considerations. Generally, individuals who would have general knowledge about the matter being examined but are more likely not involved in the alleged conduct should be interviewed first. Individuals who would have direct knowledge of the matter, and who might also be involved in the alleged misconduct, should be interviewed last. However, the order in which witnesses or parties are interviewed will ultimately be at the discretion of the handling IO or subject to witness or parties' availability.

101. Normally, the interview with the Respondent should take place after all available witnesses have been interviewed, to enable the Respondent to provide exculpatory or mitigating information on the evidence gathered. However, this is not always possible given timescales and the availability of persons to be interviewed.

102. Care must be taken to establish all potential witnesses and to identify any reasonable suspicion of complicity in misconduct or other wrongdoing before an interview is actually undertaken. However, the number of witnesses that are interviewed will vary on a case by case basis, and reflect the balance of good use of public resources and proportionality against a fair and thorough investigation.

103. During the investigative process, the Respondent is entitled to have legal representation and to attend the interview with that representative or other supporter. That representative or other supporter will act as an observer, provided they undertake to respect the confidentiality of the investigation, are reasonably available, and are not

connected to the matter under investigation. The presence of that representative or observer shall not relieve the Respondent of the obligation to respond personally in the matter under investigation.

104. The Respondent shall communicate to the ESC the identity of the Respondent's legal representative or other supporter in advance of the interview, so as to allow the ESC to determine whether there is any substantive justification to refuse the participation of that person. The representative or other supporter shall be required to agree to respect the confidentiality of the investigation. If there is no agreement, they will not be permitted to observe the interview.

105. The ESC will not allow the lack of availability of the legal representative or other supporter to unduly delay the scheduling of an interview. If, during the interview, the IO considers the presence of that person to be disruptive, they may be asked to leave and the Respondent will be obliged to continue with the interview without their presence.

106. The legal representative or other supporter cannot respond on behalf of the Respondent or otherwise intervene in the interview process in any manner.

107. If a party other than the Respondent justifies a need for the presence of legal representation or other supporter at an interview, it may be authorised at the discretion of the Commissioner provided the above conditions are met.

108. Interviews will normally be conducted in English. If the interviewee is not fluent, they may bring an interpreter to the interview. The interpreter shall be required to respect the confidentiality of the investigation.

109. Throughout the interview process, all parties should be aware of the ESC's Accessibility policy. If there are specific needs which require reasonable adjustments, these will be made available wherever possible.

C.10.h Record of interviews

110. All interviews will be recorded in writing using the appropriate Template (Appendix xx – Interview Record Template), regardless of whether it is in person or conducted remotely via a remote working platform or by telephone. Whilst this is not current practice, if interviews are audio or video-recorded, it will be done openly, all interviewees will be informed of this and their consent obtained. However, a written record of the interview will still be produced despite the interview being audio or video-recorded.

111. After the interview, the interviewee may be contacted in writing by the IO in order to confirm any substantive statements shared during the interview. The interviewee will be invited to respond to the IO to confirm or correct the accuracy of such substantive statements. The interviewee may also be invited to review an interview or witness statement based on the interview, and to sign it to confirm that it is a true reflection of

what was said during the interview. A time period may be provided by the IO as to when the interview or witness statement should be signed and returned. The interview or witness statement will also be signed by the IO. Digital signatures will suffice. The original document will be retained by the ESC and the interviewee offered a personal copy which must be kept confidential and protected from unauthorised disclosure. The ESC's copy will be retained in accordance with the ESC's internal File Plan and Retention Schedule. These measures aim to address any evidential matters in the investigation of a Complaint, and are fundamental to trusted outcomes from the ESC.

112. The material referred to in the paragraph above will be saved to the relevant case file in the CMS.

C.10.i Requests for further information by way of further interview

113. The IOs may re-interview any party to clarify significant facts or obtain additional facts as further information is obtained. If this is the case, the re-interview may take the form of a telephone call and be subsequently recorded in a telephone note, or in the form of an email. All further information gathered in this way will be recorded in writing and saved to the relevant case file in the CMS.

C.10.j Three Month Interim Reports to the Standards Commission for Scotland

114. The July Direction requires that the Commissioner provide an interim report to the Standards Commission providing:

   a. a summary of the investigative work undertaken;
   b. an explanation as to what requires to be done to complete the investigation; and
   c. an indication of when it is expected that a final report will be issued.

   Further, the July Direction requires that the Commissioner provide written updates to the Respondent(s), Complainer(s) and the relevant Council or Body, every three months from the investigation's opening date (and every three months thereafter), on the progress of investigations in respect of a Complaint or Complaints about a Councillor or Member. These will be in the format set out in the Template correspondence [Appendix xx – 3 Month Interim Reports].

C.11 Reporting

115. An investigation may be considered completed upon the IO's opinion that there are no further possible lines of enquiry that can be reasonably explored in a proportionate manner.

116. Where an investigation has been completed, the IO should progress to drafting the report as soon as practicable to preserve the IO's familiarity with the case and its findings.

117. Under the November Direction, all investigations undertaken by the Commissioner will be reported to the Standards Commission once completed.

C.11.a Report Structure, Format and Style

118. All Reports will be in the structure, format and style prescribed in the Templates (see Appendix xx – Template Reports). The contents of each Report will turn on the facts and circumstances of each individual case. As such, it is not possible to detail the content of each Report. To date, there are two Report Templates available:

- Abridged Report – this is a Template appropriate for cases with one issue of complaint and where factual findings are straightforward (for example, no witness evidence required). A case which may be suitable for abridged reporting is, for instance, a complaint involving a social media post where it is not in dispute that it was posted by the respondent.

- Full Report – this is a Template appropriate for complex cases with more than one issue of complaint and where factual findings are not straightforward (for example, multiple witnesses, weighing of evidence and assessment of credibility is required before any decision can be made on whether any facts have been established on the balance of probabilities). A case which may be suitable for this Template might, for example, involve an incident where there are no written, audio or visual records and only witness evidence of what occurred is available.

The ESC has been reviewing and updating the format of template reports, in consultation with the SCS, in the 2022/23 financial year. A revised template report that is more accessible will be used from around 2022 onwards. As such, there will not be a distinction between the Abridged and the Full Report, although until that time, the decision on whether to use the abridged report template or the full report template will be for the IO to make. If there is any doubt, IOs are welcome to discuss with the SIO or the Commissioner as to which may be more appropriate for a case. For the purposes of this Manual, a Report refers to the all the Reports described above as Report Templates.

119. A Report should be an objective account of all the facts examined and supported by available evidence. It will normally contain:

a. The names of the Complainer and the Respondent;
b. An executive summary (if a Full Report);
c. Background information;
d. Findings, which detail what evidence was obtained and when;
e. Views as to whether the allegations are factually substantiated, partially substantiated, or unsubstantiated;
f. Consideration of whether, from the facts that can be proven on the balance of probabilities, a breach of the applicable Code has occurred;

g. Views as to whether, where the allegations are factually substantiated or partially substantiated, that conduct could amount to a breach of the applicable Code .

C.11.b Tone of voice

120. IOs are encouraged to prepare the Report in accordance with the Style Guide (see Appendix xx – Style Guide), bearing in mind the role of the ESC to investigate and report, without fear or favour, allegations of a breach of the applicable Code. The tone of voice should be neutral and factual, and comply with the values of this office as set out in the Strategic Plan.

C.11.c Report review

121. When an investigation is completed, the IO may then proceed to draft a Report covering the factual findings of the investigation and investigative outcomes. The draft Report will be sent to the SIO for initial consideration and review. It is normal for the SIO to discuss the Report with the IO. The IO may consider any suggested changes and input them into the draft Report. In straight forward cases, it may not be necessary to send the draft Report to the SIO for review and the IO may, at their own discretion, have the option of sending the Report to the IP directly.

C.11.d Report approval

122. When the SIO and IO have no further comments on the draft Report, it will be sent to the Commissioner for approval. The Commissioner may discuss the draft Report with the SIO and/or the IO at any time. The IO will consider any suggested changes and input them into the draft Report. The IO may also make a case not to incorporate suggested changes in discussion with the Commissioner. As all reports are issued for and on behalf of the Commissioner, their approval for final content is required.

C.11.e Non Breach: Process of issuing a Final Non-Breach Report

123. Where the draft Report has taken the view that there is no breach of an applicable Code, the draft Report will be finalised (together with any annexes) and redacted in line with the Redaction Policy (see Appendix xx – Redaction Policy). This will be the Final Non-Breach Report, and sent to the Standards Commission as an enclosure to the Template correspondence, issued in the event of a non-breach finding (found in "Decisions 3.3"). Per custom and practice, the Complainer, Respondent and Monitoring Officer used to receive a summary of the non-breach finding. (Appendix xx – Template Correspondence issuing non-breach report). A copy of the correspondence sent to the Complainer, Respondent and Monitoring Officer was then sent to the Standards Commission together with the Final Non-Breach Report. However, this process was reviewed and changed in consultation with the Standards Commission and SOLAR. All Final Non-Breach Reports together with any attendant appendices (with appropriate redactions per the Redaction Policy) are shared with the

Complainer, Respondent and Monitoring Officer. Final Non-Breach Reports continue to be shared with the SCS pursuant to the November 2020 Direction.

124. The Commissioner's investigations are conducted, so far as possible, in a confidential manner pursuant to s 12(2) of the 2000 Act. All parties will be reminded of this in the course of the investigation. All parties should note that the Commissioner is not placed to provide any advice on this matter and parties may wish to seek their own independent advice. However, given that s 12(2) of the 2000 Act refers expressly to investigations only, confidentiality requirements do not apply to dismissal letters at the Assessment stage (end of Stage 1) nor to Reports (end of Stage 2). As set out above, the Final Non-Breach Report will be shared with all parties and with the Standards Commission. If there are any queries as to the contents of the Report or the Commissioner's reasoning or views taken in the Report, this should be handled as Post – Decision Correspondence (see section H.4 Handling PDC below).

125. The ESC understands that a Final Non-Breach Report may be a disappointing outcome for the Complainer. Where a Complainer receives the Final Non-Breach Report and disagrees with the administration of the investigation, the Complainer may consider making a service complaint to the ESC (see section H.5 Handling CAU below). Where a Complainer disagrees with the Commissioner's decision, the ESC is obliged to inform all parties that a person may be able to challenge the Commissioner's decision using judicial review proceedings. Judicial review is a form of court proceeding where a judge reviews whether a decision is lawful. A person may want to take legal advice before deciding if this is appropriate. Unfortunately, the Commissioner's office is unable to provide advice on the costs of, or access, to judicial review.

C.11.f Breach: Process of issuing a Proposed Breach Report

126. Where the Commissioner has taken the view that there is a breach of an applicable Code, the draft Report will be finalised (together with any annexes) and redacted in line with the Redaction Policy (as above). This will be the Proposed Breach Report. Pursuant to s 14(2) of the 2000 Act, no report concluding that a Councillor or Member has contravened an applicable Code shall be submitted to the Standards Commission unless that Councillor or Member has been given a copy of the proposed report and an opportunity to make representations on the alleged contravention and on the proposed report.

127. The Proposed Breach Report will be issued to the Respondent(s) and the Monitoring Officer or Standards Officer (as applicable) for representations or further comments. The Complainer will be provided an update, and the Standards Commission will be notified that a Proposed Breach Report has been issued for representations.

C.11.g Breach: Receipt of responses from the local authority / devolved body

128. Where a response from the Council or Body has been received (usually from the Monitoring Officer or the Standards Officer), the response will be considered by the handling IO and, where appropriate, discussed with the SIO or the Commissioner. Any suggested changes or substantive comments relating to the Proposed Breach Report will be included in the Final Report, where these suggested changes or comments represent information which significantly alters the factual findings or conclusions of the Proposed Breach Report. The following are examples of such incidences:

- where the Proposed Breach Report contains errors as to times and dates of a factual occurrence, such as the time and date of a Council meeting or the date of an email;
- where the Proposed Breach Report has misquoted the Monitoring Officer / Standards Officer;
- where the Proposed Breach Report has omitted reference to a significant factual occurrence that could alter the breach finding, which was unknown to the IO at the time of drafting the Report.

129. Depending on the response received from the Council or Body, a Proposed Breach Report may not be significantly amended before being finalised for issue to the Standards Commission as the Final Report. If no response is received after multiple reminders for a response, the Proposed Breach Report may be finalised without the response. The attempts to obtain a response will be noted in the Report.

130. In some circumstances, the response received from a Monitoring Officer or the Standards Officer may be such that the finding of breach cannot be supported. If this occurs, the IO will note in the Report the substance of the response that has led to this view, and change the Report from a breach outcome to a non-breach outcome.

131. All responses received from the Monitoring Officer or the Standards Officer will be saved into the relevant case file on CMS. A full copy of it will be annexed to the Final Report in its entirety, regardless of whether amendments to the Proposed Breach Report were made or not.

C.11.h Breach: Receipt of representations from the Respondent

132. Where the Respondent has provided representations to the Proposed Breach Report, these representations will be considered by the handling IO and, where appropriate, discussed with the SIO and/or the Commissioner. As above, any suggested changes or substantive comments relating to the Proposed Breach Report will be included in the Final Report in full as an Appendix. Where these suggested changes or comments represent information which significantly alters the factual findings or conclusions of the Proposed Breach Report the Report will be amended to take account of the new information. The following are examples of such incidences:

- where the Proposed Breach Report contains errors as to times and dates of a factual occurrence;

- where the Proposed Breach Report has misquoted the Respondent;
- where the Proposed Breach Report has omitted reference to a significant factual occurrence that could alter the breach finding, which was unknown to the IO at the time of drafting the Report.

133. Depending on the representations received from the Respondent, the Proposed Breach Report may not be significantly amended before being finalised for issue to the Standards Commission as the Final Report. If no representations are received after multiple reminders, the Proposed Breach Report may progress to be finalised without the representations. The attempts to obtain representations will be noted in the Report.

134. In some circumstances, the representation from the Respondent(s) may be such that the finding of breach cannot be supported. If this occurs, the IO will note in the Report the substance of the representation that has led to this conclusion, and change the Report from a breach outcome to a non-breach outcome.

135. Any representations from the Respondent(s) will be saved into the relevant case file on CMS and a full copy of it will be annexed to the Final Report in its entirety, regardless of whether amendments were made or not.

C.11.i Updating the Proposed Breach Report into a Final Report

136. The Proposed Breach Report will be updated to reflect any changes suggested by the Council, the Body or the Respondent(s) in accordance with the above. A section of the Proposed Breach Report will require to be updated to reflect that responses from the Council (or Body) and representations from the Respondent(s) have been received.

137. The responses and representations received will require to be annexed to the Proposed Breach Report. Any reminders for responses and/or representations will also be noted in the Report.

C.11.j Process of issuing the Final Report

138. Once the Proposed Breach Report has been updated as above, it will be sent to the SIO and the Commissioner for final consideration. The Commissioner will approve the draft (see "Report approval") and thereafter the Final Report, together with any attendant appendices, will be redacted in accordance with the Redaction Policy (Appendix xx – Redaction Policy).

139. Per custom and practice, the Final Report would then be issued to the Respondent, the Monitoring Officer / Standards Officer and the Standards Commission using the appropriate Template correspondence (Appendix xx – Template Correspondence (Final Breach Reports)). The Chief Executive of the Council / Body will also be copied into correspondence sent to the Monitoring Officer / Standards Officer. As above with handling Final Non-Breach Reports, this approach was reviewed and changed in

consultation with the Standards Commission. Going forward, the Complainer will also receive a copy of the Final Breach Report.

C.12 Interim Reports

140. In accordance with s 21 of the 2000 Act, the Commissioner may submit an interim report ("Interim Report") on an open investigation being conducted by the Commissioner. The Standards Commission may also direct the Commissioner to submit an Interim Report.

141. If the Commissioner considers an Interim Report should be submitted, or where the Standards Commission has directed the Commissioner to submit an Interim Report about an open investigation, the handling IO will draft an Interim Report with the support of the SIO or the Commissioner. The Interim Report will cover, amongst other things:
    a. the allegations made in the Complaint;
    b. any public interest and proportionality considerations in respect of the imposition of an interim suspension on the Respondent, including any potential consequences of not doing so;
    c. whether the further conduct of the Commissioner's investigation is likely to be prejudiced if an interim suspension is not imposed (for instance, if there are concerns that the Respondent may try to interfere with evidence or witnesses).

142. The Standards Commission will consider the Interim Report and make a decision pursuant to s 21 of the 2000 Act. A copy of the Standards Commission's Interim Suspension Pending Completion of Investigation Policy is available from their website https://www.standardscommissionscotland.org.uk/.

C.13 Timescales and KPIs for Assessment, Investigation and Reporting

143. The Commissioner and all ESC staff are very conscious that an efficient and timely complaint handling process is critical to trust and confidence in any ethical standards framework. At times, due to varying reasons, a backlog of Complaints may arise. In these instances, it is the ESC's aim to address the backlog as soon as practicable with measures in place (referred to elsewhere in this Manual) to triage cases, preserve evidence, and keep all parties informed on progress. The aim of this section of the Manual is to set out target timescales for completing Assessments, investigations and reporting so that a backlog is preventable. Additionally, it allows for recording, measuring and reporting on the progress and performance of our office in an open, transparent and accountable manner. The targets are set with an understanding of historic timescales for completing the various stages of complaint handling work, a benchmarking exercise with other comparable investigative bodies, and in consultation with the Standards Commission, SOLAR and the public.

144. Where a Complaint is likely to take more than two months for assessment, the IO or IP should write to the Complainer to inform them of the delay, explain why, apologise for any inconvenience caused, and set out when the Complainer may expect to hear from the ESC again with an update.

145. The ESC will aim to complete the investigation within three months of the date when the investigation began. However, this will depend on the complexity of the complaint, availability of information from, and the co-operation of, all parties involved. Overall, investigations will be completed as soon as possible consistent with a full and proper evaluation of each particular situation.

146. If it is not possible to complete the investigation within three months, the Commissioner is required by s 12(5) of the 2000 Act to advise the Standards Commission, the Council or Body, and the Respondent. In addition, the July Direction requires that the Commissioner provide an interim report to the Standards Commission providing:

a. a summary of the investigative work undertaken;

b. an explanation as to what requires to be done to complete the investigation; and

c. an indication of when it is expected that a final report will be issued.

Further, the July Direction requires that the Commissioner provide written updates to the Respondent(s), Complainer(s) and the relevant Council or Body, every three months, on the progress of investigations in respect of a Complaint or Complaints about a Councillor or Member.

147. In normal circumstances, the IOs are expected to conduct complaint investigations and reporting in accordance with specific targets set out in relation to key performance indicators, as follows:

Stage	Action taken	Statutory Timescale	Office timescale	Target
Pre-assessment and Complaint assigned to an IO	• Initial communication to Complainer upon receipt of complaint (i.e. acknowledgement) • Uploading the complaint to CMS • IO assigned to case reference on CMS	None indicated	Within 2 - 3 weeks of being uploaded to CMS	85%
			Within 4 weeks of being uploaded to CMS	95%
			Within 5 weeks of being uploaded to CMS	100%
Complaint Assessment **(Stage 1)**	• Gathering any information required from the	None indicated	Within 1 - 3 months of case being assigned to an IO	50%

	Complainer to substantiate Complaint • Consider the information gathered • Complete the Complaint Assessment Form • Drafting attendant dismissal or acceptance letters, obtaining approval for the same and issuing to the Complainer (or Respondent and Monitoring Officer / Standards Officer) • Issuing the decision letter		Within 3 - 6 months of case being assigned to an IO	75%
			Within 6 - 9 months of case being assigned to an IO	95%
			Within 9 -12 months of case being assigned to an IO	100%
Investigation and Reporting **(Stage 2)**	• Conducting the investigation, including gathering evidence, contacting and interviewing witnesses, pursuing lines of enquiry • Drafting the report (whether Breach or No-Breach report) • Report is internally reviewed • Report is issued to the Respondent (if a Breach Report) or to SCS (if a No Breach Report)	Statutory notice for investigation not concluded within 3 months from case being accepted for investigation (also in line with SCS Direction)	Within 1 - 3 months of case being accepted for investigation	45%
			Within 3 - 6 months of case being accepted for investigation	65%
			Within 6 - 9 months of case being accepted for investigation	85%
			Within 9 - 12 months of case being accepted for investigation	100%

148. Achievability of KPIs and targets depends in part on external influences. The following common parameters that can have an impact on time taken for investigations were taken into account when the above KPIs and targets were set:

- responses to requests for information are not always received within the allotted period of time;
- there can be repeated requests for extensions of time to respond to ESC;

- we cannot assume normal workloads in circumstance with a backlog;
- the number of complaints received may be higher than the average number of complaints historically received for a given period;
- responses from parties may be voluminous and contain much more material than the norm;
- complaint material or responses can be considerably more complex than the norm.

Other factors that can have an impact on achievability include stable governance and a stable and well-resourced workforce. It is anticipated that performance against the KPIs and targets will be monitored, recorded and reported on publicly, so that the ESC office can:

- learn from them and improve upon its processes and procedures over time and
- be held to account for its performance.

149. The key is to undertake a full and fair investigation without any avoidable loss of momentum. Time management is an important responsibility for all IOs. During the investigation process, it may be helpful for IOs to consider monitoring investigations by:

   a. Diarising deadlines for responses to requested information and, where required, issuing reminders promptly;
   b. Being aware of timescales for linked Complaints and others allocated to the IO;
   c. Scrutinising the list of Complaints on the CMS to account for the wider needs of the team if a Complaint requires prioritising due to being received earlier in time;
   d. Considering targets and year-end considerations.

150. The parties to a Complaint or investigation may require more time before being able to respond substantively to the office (upon the office's request for more information). Where a request for extension of time is made, the parties should be referred to the Guidance on Extension of Time (Appendix xx – Guidance on Extension of Time). The IO conducting the investigation is best placed to make a decision on whether to grant the extension of time required and may grant more or less time than that requested by that party, depending on the circumstances and the stage of the investigation.

C.14 Further Investigation

151. In accordance with section 16(a) of the 2000 Act, the Standards Commission may direct the Commissioner to carry out further investigations on receiving a Report. Where this occurs, the Standards Commission contacts the Commissioner's office in writing to direct that a further investigation into a Complaint take place, setting out the issues requiring further investigation, and requesting the Commissioner's office to provide an estimated timescale for how long the further investigation may take.

152. The handling IO will consider the Standards Commission's direction for further investigation and draft the response to the Standards Commission's request for an estimated timescale. This will be done with the support of the SIO and the Commissioner. After issuing the formal response, the handling IO will conduct the further investigation in line with the principles covering investigations outlined above. The Standards Commission informs the parties to a Complaint that there is a direction for further investigation.

153. Upon the completion of the further investigation, the handling IO will prepare a written response to the Standards Commission which sets out the findings relative to each issue which required further investigation. The handling IO will follow instructions from the Standards Commission as to the parties to contact with the outcome of the further investigation (if any).

154. The Standards Commission will then make a decision in accordance with s 16 of the 2000 Act.

C.15 Post-Investigation: Hearings

155. Section 16 of the 2000 Act gives the Standards Commission the power to hold a Hearing. Section 17 of the 2000 Act lets the Standards Commission decide what procedures to follow at any Hearing, known as the 'Hearing Rules' or 'Hearing Process Guide & Rules'. Members of the Standards Commission agree the content of the Hearing Rules. The Hearing Rules' aim is to ensure that Hearings are managed fairly, efficiently and in an open and transparent manner. The Hearing Rules state the actions the Standards Commission will take after a decision is made to hold a Hearing. They also outline the procedures to be followed by anyone who attends a Hearing.

156. The Hearing Process Guide and Rules are reviewed and updated on a regular basis. As such, staff will refer to the Standards Commission's current version of the Hearing Process Guide and Rules wherever possible (available at this page and periodically updated – please always ensure you are using the most updated version of the Hearing Process Guide & Rules).

C.15.a Notification of Hearing, the Pre-Hearing Meeting, and Joint Statement of Facts

157. Generally, within 7 days of the Standards Commission's decision to hold a Hearing, the Executive Director will write to the ESC providing notification of the Standards Commission's decision to do so. This is referred to as the 'Notification of Hearing'.

158. Upon receipt of the Notification of Hearing, the ESC is required (normally within 21 days of the date of the Executive Director issuing the letter referred to above) to send to the Executive Director:

    a. the details of the names and contact details of any witnesses whom the ESC proposes to call;

b. any documents the ESC's representative intends to refer to at the Hearing;

c. any request for the Standards Commission to require a person to attend the Hearing, give evidence and/or produce documents in terms of section 17(5)(a) of the 2000 Act and

d. an indication of how long they will need to present the findings of the investigation and any submissions as to whether or not there has been a breach an applicable Code.

159. On receiving the Notification of Hearing from the Standards Commission, the IO must inform the SIO or the Commissioner and discuss possible approaches to evidence, submissions at the Hearing or whether external representation is required for particularly complex cases involving multiple parties, witnesses or challenging issues. Where it is decided that external representation is appropriate in the circumstances of a particular case, the SIO will contact the external representative and provide a copy of the report and hearing bundle. The external representative's views will be taken into account when considering the information to be provided to the Standards Commission under the Hearing Rules.

160. Custom and practice has established that a Pre-Hearing Meeting (PHM), which is normally attended by the SIO, be held. The PHM is a meeting held between the Standards Commission's Panel members, the Executive Director, the ESC (represented by the SIO) and the Respondent(s) and their representatives in advance of the Hearing to discuss topics such as:

a. Procedural arrangements;

b. Issues requiring clarification;

c. Identifying who is to be called or cited as a witness;

d. Considering whether it would be appropriate to apply the Standards Commission's Abbreviated Hearing Process; and

e. Providing the parties with an opportunity to discuss whether they can agree any facts as outlined in the ESC's Report.

161. In all cases, the SIO or the Commissioner will seek to reach agreement with the Respondent or their representative, preferably in advance of the PHM, on the facts which are in dispute. However, a signed and finalised version of the JSF is rarely achievable until there has been a discussion at the PHM.

162. The SIO or the Commissioner may prepare a written document containing agreed facts, with the IO's input where appropriate, and agree this with the Respondent(s) by asking for their comments on the document before signature by the SIO or the Commissioner, and the Respondent or their representative. This document is known as the 'Joint Statement of Facts' (JSF) and will be sent to the Standards Commission at least 7 days in advance of the Hearing date.

163. Whilst not always possible to achieve, depending on the circumstances, the Commissioner considers it best practice to forward the draft JSF ahead of any PHM,

as this helps to focus discussion at the PHM, even if the Respondent(s) has/have not yet submitted a statement of case.

164. The JSF may be prepared by the SIO and sent to the Respondent(s) in advance of the PHM in draft form, inviting comments from the Respondent(s) on the draft and, if comments are received, to consider the comments and where appropriate, input the comments into the draft JSF. Alternatively, the JSF may be prepared after the PHM when the Standards Commission's Panel members have decided it would be helpful to have a JSF in place for that specific case. If so, the JSF will be prepared by the SIO and sent to the Respondent(s) as soon as practicable after the PHM, for comments by the Respondent(s) and finalised when the draft is agreed and signed by the SIO (on behalf of the ESC) and the Respondent(s) or the Respondent's authorised representative. Where possible, the JSF will be sent to the Standards Commission at least 7 days in advance of the Hearing Date.

C.15.b Process of collating a Hearing Bundle

165. A "Hearing Bundle" consists of all of the relevant written documentation to be provided to the Standards Commission in advance of the hearing. The IO should follow the process and adhere to the responsibilities relating to Hearing Bundle production set out in the Bundle Preparation Guidance (at Appendix xx - Bundle Preparation Guidance).

166. The redaction of the Hearing Bundle should follow the Redaction Guidance (Appendix xx - Redaction Guidance). Every Hearing Bundle, when redacted, requires at least two persons to review. This is because we recognise that redaction of private or sensitive data is a very time consuming and labour-intensive process. As such, this system has been put in place in order to minimise the possibility of human error. The Hearing Bundle, when it is finalised, will be sent to the SIO or handling IO for final review.

C.15.c Issuing the Hearing Bundle

167. The finalised and redacted Hearing Bundle will be sent to the Standards Commission for inclusion in its 'Inventory of Productions' or 'IOP', a numbered copy of which is sent by the Standards Commission to the parties.

168. Upon receipt of the numbered IOP, the IO or IP should save it into the CMS and send a copy of it on to any external representative for their reference. There may be further updates to the IOP, particularly if the Respondent(s) decide(s) to send more information to the Standards Commission. According to the Hearing Rules, all parties (including the ESC) may lodge further documents with the Standards Commission up until 7 days before the date of the Hearing. As such, the IOP may continue to be updated until that time.

C.15.d Contacting ESC Witnesses and Witness Policy

169. Where the ESC has indicated to the Standards Commission that the ESC has witnesses to lead at the Hearing, the Standards Commission will contact witnesses which they intend to cite to confirm their availability at the Hearing. The ESC will confirm availability of the ESC's witnesses, and the Respondent will be responsible for contacting their own witnesses to confirm availability. However, the ESC's IP should also be in touch with ESC's witness(es) to check whether they have any queries or would like any further assistance before attending the Hearing. The ESC should also inform the witness(es) of the ESC's Witness Policy (Appendix xx – Witness Policy). It may also be helpful to refer to the SCS Guidance for Witnesses available here.

C.15.e Standards Commission Hearings

170. The Standards Commission will make all the arrangements for the Hearing and will issue notice of the date, time and venue or, where the Hearing will be held remotely, send the online joining details nearer to the Hearing date. The Executive Director will also give notice of the three Standards Commission members selected to form the panel at the hearing, and which of them will chair the proceedings. The IO can best assist the SIO, the Commissioner or the representative at the hearing in the following ways:

- being fully conversant with the detail of the investigation and of the issues in dispute;
- in complex cases, preparing a chronology or summary of key issues;
- taking notes of submissions made and evidence heard;

The SIO, the Commissioner or ESC representative may also wish to discuss with the IO in advance of the hearing: which evidence to lead, in evidence in chief or in cross-examination, by whom it is likely to be best explained, and the approach to be taken to opening submissions.

171. After hearing evidence and submissions, the Hearing panel will retire to consider whether there has been a breach of the Code. If the panel finds that there has been a breach, they will offer the respondent or their agent the opportunity to make representations in mitigation before retiring to consider what sanction to impose. The Commissioner does not make any submission on sanction.

C.15.f Post Hearing Process

172. After the Hearing, the Standards Commission will provide the ESC, the Council / Body, the Complainer(s) and the Respondent(s) with an update about the written decision after the Hearing in accordance with the Standards Commission's Hearing Rules.

D. MSP COMPLAINTS

173. The statutory functions and powers of the Commissioner are available to review on our website. The Commissioners functions in relation to investigating complaints about the conduct of MSPs are set out in the 2002 Act (Scottish Parliamentary Standards Commissioner Act 2002).

174. In accordance with section 16(3) of the 2010 Act (the Scottish Parliamentary Commissions and Commissioners etc. Act 2010), the Commissioner's functions may be discharged by any other person authorised for those purposes by the Commissioner. Unless the context requires otherwise, references in this document to the Commissioner should be understood to include anyone so authorised. However, pursuant to section 16(4) of the 2010 Act, any delegation does not affect the responsibility of the Commissioner for the performance of the ESC's functions.

D.1 What we can and cannot investigate

175. MSPs are required to abide by what the 2002 Act describes as the "relevant provisions". A "relevant provision" is defined in s 3(3) of the 2002 Act, which is "*any provision in force, or treated as having been in force under subsection (4A), in the standing orders, in the Code, in the Scotland Act 1998 (Transitory and Transitional Provisions) or made by or under an Act of the Scottish Parliament in pursuance of section 39 (members' interests) of the Scotland Act*". In addition, the 2006 Act (the Interests of Members of the Scottish Parliament Act 2006) contains such relevant provisions, including any determinations made under that 2006 Act, the Standing Orders and the Code of Conduct. The latest version of the determination was published in 2017. It sets out the requirements for the form and content of the written statement that each member is required to complete for inclusion on their register of interests. It may be helpful to refer to the resources available from the Scottish Parliament website.

176. The Commissioner and their team can look into a Complaint that a Member of the Scottish Parliament has not behaved properly in accordance with the relevant provisions for MSPs. More information is available from our website here. Generally, in order for a Complaint to be able to be investigated by the ESC, the Complaint requires to satisfy all three tests set out in section 6 of the 2002 Act:

   o **First Test** : the Complaint must be 'relevant'. "Relevant" means:
      - the complaint is about a member of the Parliament;
      - it is not an 'excluded complaint' or, if it is, the Commissioner has been directed under s 12 of the 2002 Act to investigate it; and
      - it appears at first sight that, if all or part of the conduct complained about it established, it might amount to a breach of a relevant provision (see s 6(4) of 2002 Act)

- o **Second Test** : the Complaint meets all the 'specified requirements' as set out in section 6(5) of the 2002 Act, such as the Complaint being made in writing to the Commissioner, is made by an individual person and states that person's name and address, the Complaint names the MSP concerned and the Complaints sets out the facts relevant to the conduct complained of.

- o **Third Test** : that the Complaint warrants further investigation. A complaint "warrants further investigation" if it appears after an initial investigation that the evidence is sufficient to suggest that the conduct complained about may have taken place.

177. The Commissioner and their team will not be able to assist with Complaints relating to a public function which the relevant provisions for MSPs do not cover. For example, complaints about a Minister rather than an MSP, or where the conduct complained of took place when the MSP was acting in private or family life. The introduction to the Code also makes it clear that the conduct must be "in relation to their Parliamentary duties as an MSP" in order for the Code's provisions to apply. For instance, a MSP posting on their social media account may not be considered to be in relation to their Parliamentary duties. Where a complaint is made to the ESC relating to an issue that is not covered by a relevant provision, such as the Code, the ESC staff will try to be of assistance, where possible, by signposting the appropriate office to which that complaint can be made. This will be indicated in any closure letter (Appendix xx – MSP Template Correspondence) issued to the Complainer.

178. The Commissioner and their team will also not be able to assist with Complaints that are known as 'excluded complaints' (unless directed otherwise by the SPPAC). Section 3(2) of the 2002 Act states an 'excluded complaint' is a class of complaint which is excluded from the jurisdiction of the Commissioner by any provision in the standing orders or in the Code. Examples of 'excluded complaints' are set out as follows:

- • complaints about a member's conduct at a meeting of the parliament including treatment of another member – these are to be referred to the Presiding Officer or, if a committee meeting, the Convener;

- • complaints made under section 8 of the Code relating to engaging with constituents – these are to be referred to the Presiding Officer;

- • complaints about a member's use of the Reimbursement of Members' Expenses Scheme – these are to be referred to SPCB;

- • complaints about cross-party groups – these are to be referred to the SPPA Committee or the SPCB (if it relates to Parliamentary facilities and services);

- • complaints about use of SPCB facilities and services and breaches of SPCB policies (which do not relate to conduct at a meeting of the Parliament or at a committee) – these are to be referred to SPCB.

D.2 General approach to MSP Complaint investigations

179. The Commissioner is an officeholder appointed by the Scottish Parliament, and is expected to act independently. This is set out in section 4 of the 2010 Act. However, the Commissioner may be directed by the SPPAC under s 4 of the 2002 Act, except as to whether or how any investigation is carried out.

180. The 2002 Act at section 5 (2) requires that investigations shall be conducted in private. Whilst this requirement cannot be enforced within the 2002 Act, the Commissioner will request all parties to respect it. All parties to a complaint are informed of the confidential nature of the Commissioner's investigations. This is reflected in the Commissioner's template letters shown in the Appendices to this Manual (see Appendix xx – MSP Template Correspondence).

D.3 What happens when we receive certain types of MSP complaints

181. The ESC occasionally receives Complaints relating to MSPs of a specific type i.e. the Complainer wishes to remain anonymous, where the Complaint is not about an MSP and so forth. We set out below the general approach within the ESC to these types of Complaints.

D.3.a Anonymous complaints

182. An anonymous Complaint is one where a Complainer is not named or wishes to remain unnamed. The Commissioner does currently have the leeway under the Section 4 Directions to not provide the name of the complainer to the respondent MSP in certain circumstances. These Directions should be consulted if a complainer makes a request of this nature. In relation to complaints about an MSP this means the Complaint fails to meet the Second Test (under section 6(5) of the 2002 Act) and is therefore undirected. How an undirected complaint is handled is dependent on whether the Complaint also fails the Third Test (section 6(6) of the 2002 Act). This process is covered below in paragraph number [x -refer to section on closure of MSP complaints].

183. The Commissioner may also consider whether it would be appropriate to inform an MSP of the name of a Complainer (and without prejudice to any other matter the Commissioner considers relevant). The Commissioner shall have regard to:
    a. whether the Complainer is / appears to be a vulnerable person;
    b. any reasons given by the Complainer as to why the MSP should not be informed of the complainer's name;
    c. whether informing the MSP of the Complainer's name would likely prejudice an investigation into the Complaint.

184. Where the Commissioner considers it would be inappropriate to inform the MSP of the Complainer's name, the Commissioner shall report on the matter to the SPPAC setting out the reasons for that decision (see para 3(1) and 3(2) of the Directions).

D.3.b Complaint not about an MSP

185. At times, a Complaint may be received which does not relate to an MSP or any other person under the Commissioner's statutory remit. When this type of correspondence is received, the process is to record it as an enquiry and issue template correspondence to the Enquirer explaining this. (see Appendix xx - MSP Template Correspondence).

D.3.c Complaint not within the Commissioner's remit

186. A Complaint may be received relating to an MSP, but where the alleged misconduct is not covered by a relevant provision. An example may be a Complaint which is an 'excluded complaint' – for instance, it relates to an MSP's conduct at a meeting of the parliament including treatment of another MSP, which is a complaint to be referred to the Presiding Officer or, if a committee meeting, the Convener. When this type of Complaint is received, the process is to record the Complaint as set out above into the CMS and Template correspondence will be issued to the Complainer explaining this (see Appendix xx - MSP Template Correspondence).

D.4 MSP complaint handling process

187. There are two stages when handling a Complaint relating to an MSP. Stage One consists of investigating and determining whether a Complaint is admissible. Where the Complaint is admissible, the Complaint will enter Stage Two, where it will be further investigated and ultimately reported to the SPPAC.

188. The IO will handle the Complaint at both Stage One and Stage Two. Stage One of the process will be recorded in the Template MSP Stage One Form (Appendix xx – MSP Stage One Form), which records a summary of the Complaint, steps taken by the IO to substantiate the conduct complained of, evaluation of the information gathered at this stage, and the IO's conclusions as to whether the Complaint should enter Stage Two, including supporting reasons.

189. Where it is not possible for the ESC to complete the Stage One investigation within two months of the complaint being received, the Commissioner is required by section 7(11) of the 2002 Act to make a report to the SPPAC on the progress of any investigation into the complaint. Under the SPPAC Directions on the 2002 Act this report must also be sent to the Complainer(s) and Respondent(s), as long as doing so would not prejudice the outcome of the investigation.

190. It is the responsibility of IOs:

a. to assess the Complaint material at this stage and fill in the Stage One Form;

b. to request, where necessary, further information from the Complainer and conduct desktop searches of publicly available sources for any supporting information required to better understand or substantiate the Complaint;

c. to form a view as to whether the Complaint should be closed at Stage One or proceed to Stage Two for investigation and provide reasons supporting their view;

d. to draft a Complaint closure letter or notification letter that the Complaint has entered Stage Two, as appropriate;

e. to review any preliminary redaction of personal data by the IP and inform the IP of any redactions that may be required;

f. alternatively, if the IP is unable to provide assistance for redaction, the IO will redact the Complaint material as required;

g. to refer to the Redaction Guidance appended to Appendix xx of this Manual in deciding what circumstances personal data should be redacted from the Complaint and other documentation, or not released in the case of other media;

h. seek guidance from the SIO or the Commissioner if a document or other media contains sensitive personal data, prior to any decision being taken regarding its release.

191. If IOs are in any doubt as to whether personal data should be released, they should seek guidance from the SIO or the Commissioner in this regard. Similarly, if voluminous amounts of documentation are received which require checking, this should be brought to the attention of the IP immediately, in order that extra resources can be allocated to assist where necessary.

D.5 Dismissing an MSP complaint and closure

192. Upon consideration using the MSP Stage One Form, a Complaint may not be accepted for investigation (i.e. it may be dismissed on the basis that it does not meet the First, Second and Third Tests as set out in the 2002 Act).

193. Where it appears that a Complaint is recommended to be dismissed due to failing to meet the First or Third Test, the MSP Stage One Form should be completed, a draft closure or dismissal letter should be prepared to the Complainer(s) and a draft closure or dismissal letter should be prepared to the MSP(s). When it appears that a Complaint is recommended to be dismissed due to failing the Second Test (where the complaint does meet the Third Test), a report should be made to the Clerk of the SPPAC, who will give direction as to how to progress.

194. All documents, together with a copy of the Complaint, will be sent to the SIO for review. The SIO may discuss the matter with the IO and/or revert with comments which the IO can incorporate into the Stage One Form and/or the letter. When this is complete, the IO will send a copy of the MSP Complaint, the Stage One Form, and the draft closure or dismissal letters to the IP.

195. The IP will gather all the Complaints, the corresponding MSP Stage One Assessment Forms, and draft letters received over the course of a week and save it into the internal shared drives. Every Friday morning (or such other day of the week as the Commissioner may elect), the IP will send an email to the Commissioner setting out the Complaints, the corresponding MSP Complaint Assessment Forms and draft letters which the IOs and SIO have completed over the course of the week, for the Commissioner to consider and approve in the exercise of their discretion on whether or not to accept a matter for investigation.

196. The Commissioner may have comments or queries in relation to each MSP Complaint Assessment Form or draft letter, which may be discussed with the IO or SIO. The Commissioner's comments would be incorporated into the MSP Complaint Assessment Form or draft letter as appropriate and the finalised version of the closure or dismissal letter will be sent to the Complainer. The Case file will then be closed on CMS.

D.6 Accepting a complaint for investigation

197. Upon considering a complaint using the MSP Stage One Form, a Complaint may be accepted for investigation at Stage Two (i.e. it cannot be dismissed on the basis that it does, on its face meet the First, Second and Third Tests as set out in the 2002 Act).

198. Where it appears that a Complaint is recommended to be accepted for investigation at Stage Two, the MSP Stage One Form should be completed and a draft acceptance or initial notification letter should be prepared for each of the following: the Complainer(s), the MSP(s), and the Clerk of the SPPAC. The letter to the Respondent must make it clear that the Commissioner is obliged to report to the SPPAC on the outcome of an investigation and that such a report, inclusive of any representations that they make, will ultimately be published by the Scottish Parliament.

199. The MSP Stage One Form and the draft letters, together with a copy of the Complaint, will be sent to the SIO for review. The SIO may discuss the matter with the IO and/or revert with comments which the IO can incorporate into the MSP Stage One Form and/or the letters. When this is complete, the IO will send a copy of the Complaint, the MSP Stage One Form, and the draft acceptance letters to the IP.

200. The IP will gather all the materials set out above into an appropriate location in the internal shared drives. The IP will send an email to the Commissioner as set out above showing the Complaints recommended for acceptance for the Commissioner to consider and approve in the exercise of their discretion on whether or not to accept a matter for investigation.

201. The Commissioner may have comments or queries in relation to the MSP Stage One Form or draft letter, which may be discussed with the IO or SIO. The Commissioner's comments will be incorporated into the Stage One Form or draft letter as appropriate and the finalised version of the acceptance letters will be issued to the Complainer(s),

the Respondent(s), the Clerk of the SPPAC. The Case file will then be updated on CMS to reflect that the matter is now under investigation.

D.7 Withdrawing a Complaint

202. Under section 11 of the 2002 Act, a Complainer may withdraw their Complaint up until the point a report is sent to the SPPAC. This withdrawal must be by notice in writing by the Complainer. If this withdrawal occurs during the assessment period the Commissioner will cease assessing the Complaint and inform the MSP that the Complaint has been withdrawn. If this withdrawal happens during the investigation period the Commissioner will inform the MSP that the Complaint has been withdrawn and ask their opinion on whether the investigation should continue despite the withdrawal. Taking this opinion into account along with the Complainer's reasons for withdrawal, the Commissioner will then make a recommendation to the SPPAC whether to continue the investigation or not. If the investigation is stopped then the Commission will inform the MSP, the Complainer and the SPPAC of this decision. If the Commissioner decides that the investigation should go ahead, a report will be sent to the SPPAC with the Commissioner's reasons and the SPPAC will give a direction instructing how the Commissioner should proceed.

D.8 Conducting an investigation into an MSP Complaint

203. Where a Complaint passes the First Test, Second Test and Third Test, it is considered admissible and the IO, on behalf of the Commissioner, shall investigate with a view to:

   a. making findings of fact in relation to whether the MSP concerned (whether or not named in the Complaint) has committed the conduct complained about; and

   b. reaching a conclusion as to whether that MSP has, as a result of that conduct, breached the relevant provision or provisions identified by the Commissioner for the purposes of the First Test.

204. Where a Complaint proceeds to Stage Two for investigation or been directed to be investigated by the SPPAC, please refer to section xx above on the conduct of investigations into Councillor / Member Complaints for guidance on the conduct of investigations into Complaints relating to MSPs. The general principles of conducting an investigation continue to apply. Reference must be made to s 8 of the 2002 Act on investigations into admissible complaints.

205. Where it is not possible for the ESC to complete the Stage Two investigation within six months of the complaint being progressed to Stage Two, the Commissioner is required by section 8(3) of the 2002 Act to make a report to the SPPAC on the progress of the investigation into the complaint. Under the SPPAC Directions on the 2002 Act, this

report must also be sent to the Complainer(s) and Respondent(s), as long as doing so would not prejudice the outcome of the investigation.

D.8.a Conducting Interviews

206. In regards to interviews, paragraphs 3-9 of the Directions set out that at least 48 hours before interviewing any person for the first time in the course of an investigation, the Commissioner shall notify that person in writing (via notification transmitted by electronic means):

- The purpose of the interview;
- The powers of the Commissioner under section 13(1) of the 2002 Act;
- The procedure to be followed in connection with the investigation of the Complaint, including that the interview will be tape-recorded;
- The right of that person to have a third party present at the interview;
- The right of that person to have his or her views conveyed through an interpreter.

207. A notification transmitted by electronic means is to be treated for the purposes of paragraph 3 of the Directions if it has been recorded and is capable of being reproduced in legible form.

208. The Commissioner shall allow any person interviewed to have a third party present and their views conveyed through an interpreter.

209. If the Commissioner interviews any person in the course of an investigation, the Commissioner shall have regard to whether or not that person appears to be a vulnerable person. A vulnerable person means a person who by reason of age, infirmity, illness, disability or any other circumstance appears to the Commissioner to be in need of care or attention.

210. Any interviews that are carried out in the course of any investigation shall be tape recorded and that tape recording will be kept by the ESC. In practice, the tape recording is a digital audio recording from an electronic recording device and may develop into being a MS Teams recording upon completion of data protection impact assessments.

211. No summary of an interview with a witness shall be included in any Report by the Commissioner to the SPPAC unless the witness has been given a copy of the draft summary and an opportunity to make representations about the draft summary. The Commissioner shall annex to the Report to the SPPAC any representations which are not given effect in the summary.

D.8.b Documents and records

212. In relation to documents and records, the Commissioner shall keep (whether in written or electronic form) the details of each interview which is carried out in the course of any investigation. The Commissioner shall also keep each document which is considered in the course of any investigation process unless the document requires to be returned to the person who provided it – where this occurs, the Commissioner shall make and keep a copy of it.

213. All documents and records shall be kept for at least 12 months from the date on which the Complaint was dismissed by the Commission or the Report upon the investigation's outcome was made. If the Commissioner is directed to carry out further investigation under section 10 of the 2002 Act, the documents and records shall be kept for a minimum period of 12 months from the date on which the Commissioner's report on the further investigation was made. The Commissioner may destroy the documents and records after these periods, unless the SPPAC instructs otherwise.

D.8.c Criminal offences

214. Where the Commissioner is satisfied, in relation to a MSP Complaint, that a MSP has committed the conduct complained of and that the conduct would (if proved) constitute a criminal offence, the Commissioner shall:

(a) suspend investigation and consideration of the complaint;
(b) submit a report to the Procurator Fiscal; and
(c) notify the SPPAC (see paragraph 15 of the Directions).

215. The Commissioner shall resume investigation and consideration of a complaint in respect of which investigation was suspended:
   a. at the conclusion of the criminal proceedings instituted as a consequence of the report by the Commissioner;
   b. on receipt of confirmation from the Procurator Fiscal that no such proceedings will be raised; or
   c. on receipt of confirmation from the Procurator Fiscal that the Commissioner may do so.

D.10 Reporting

D.10.a Report structure, format and style

216. All complaints that have concluded Stage 2 investigations will be reported to the SPPAC, pursuant to section 9 of the 2002 Act. Reports will be in the structure and format prescribed in the Templates (see Appendix xx – Template Reports). The contents of each Report will turn on the facts and circumstances of each individual case. As such, it is not possible to detail the content of each Report.

217. There are two types of Reports under section 7(2) and 7(4) of the 2002 Act, as follows:

a. A Report pursuant to section 7(2) of 2002 Act: where a complaint is admissible – the Commissioner will proceed to Stage Two of investigation and (a) make a report to the Parliament informing it of that fact and of the relevant provision or provisions identified by the ESC for the purposes of the First Test and (b) inform the Complainer and the MSP concerned accordingly.

b. A Report pursuant to section 7(4) of the 2002 Act: where a complaint passes the First Test but fails the Second Test but likely passes the Third Test, the Complaint shall not be dismissed as inadmissible without first making a Report upon the matter to SPPA and receiving a direction under section 7(7)(a). This Report must set out:
- the reasons as to why the Commissioner considers that the Complaint fails to meet one or more of the specified requirements (the Second Test);
- the reasons (if known) for that failure;
- any other matters which the Commissioner considers relevant; and
- the recommendation of the Commissioner as to whether, having regard to all the circumstances of the case, the Complaint should be dismissed as inadmissible for failing to satisfy the Second Test or should be treated as if it had met all of those requirements and
- contain a statement that the Commissioner considers the Complaint passes the Third Test.

218. Upon completing a Stage Two investigation, a Report shall be prepared pursuant to s 9 of the 2002 Act and sent to the SPPAC. The Report should be an objective account of all the facts examined and supported by available evidence. Report should be an objective account of all the facts examined and supported by available evidence. It will normally contain:

a. the details of the complaint;
b. details of the investigation carried out by the Commissioner;
c. the facts found by the Commissioner in relation to whether the member of the Parliament concerned (whether or not named in the complaint) has committed the conduct complained about;
d. the conclusion reached by the Commissioner as to whether that member has, as a result of that conduct, breached the relevant provision or provisions identified by the Commissioner for the purposes of the first test and the reasons for that view.

219. The Report shall not express any view upon what sanction would be appropriate for any breach.

220. Due to requirements for accessibility, the representations from Respondent MSPs should be requested to be made in the form of MS Word documents.

D.10.b Tone of voice

221. IOs are encouraged to prepare the Report in accordance with the Style Guide (see Appendix xx – Style Guide), bearing in mind the role of the ESC to investigate and report, without fear or favour, allegations of misconduct in breach of the applicable Code. The tone of voice should be neutral and factual, and comply with the values of this office as set out in the Strategic Plan.

D.10.c Report review

222. When an investigation is completed, the IO will proceed to draft a Report covering the factual findings of the investigation and investigative outcomes. The draft Report will be sent to the SIO for initial consideration and review. It is normal for the SIO to discuss the Report with the IO. The IO may consider any suggested changes and input them into the draft Report.

D.10.d Report approval

223. When the SIO and IO have no further comments on the draft Report, the draft Report will be sent to the Commissioner for approval. The Commissioner may discuss the draft Report with the SIO and the IO at any time. The IO may consider any suggested changes and input them into the draft Report.

D.10.e Non Breach: Process of issuing a Final Non Breach Report

224. Where the draft Report has concluded that there is no breach of an applicable Code, the draft Report will be finalised (together with any annexes) and redacted in line with the Redaction Policy (see Appendix xx – Redaction Policy). This will be the Final Non-Breach Report, and sent to the SPPAC as an enclosure to the Template correspondence, issued in the event of a non-breach finding. The MSP will also receive a copy of the Final Non Breach Report.

D.10.f Breach: Process of issuing a Proposed Breach Report

225. Where the draft Report has concluded that there is a breach of a relevant provision, the draft Report will be finalised (together with any annexes) and redacted in line with the Redaction Policy (as above). This will be the Proposed Breach Report.

226. Pursuant to s 9(3) of the 2002 Act, no report concluding that a MSP, who is named in the report, has breached a relevant provision shall be made to the Parliament unless the member concerned has been given a copy of the draft report and an opportunity to make representations on the alleged breach and on the draft report; and there shall be annexed to the report made to the Parliament any representations made by that member which are not given effect to in that report.

227. Paragraphs 18 and 19 of the Directions state that where there is a question about whether a member's alleged treatment of a person breaches the Code on treatment of staff or treatment of other members, the Commissioner shall:
   a. In so far as possible, make available a copy of the Report in draft to the person and the Respondent MSP;
   b. Give the person and the member an opportunity to make representations to the alleged breach and draft Report;

   The Commissioner shall not include any information in the finalised Report that identifies the person or enables the person to be identified (but the draft Report circulated to the person and Respondent member may include identifying information).

D.10.g Breach: Receipt of representations from the Respondent

228. Where the Respondent has provided representations to the Proposed Breach Report, these representations will be considered by the handling IO and, where appropriate, discussed with the SIO or the Commissioner. Any suggested changes or substantive comments relating to the Proposed Breach Report will be included in the Final Report in full as an Appendix to the Final Report where these suggested changes or comments represent information which significantly alters the factual findings or conclusions of the Proposed Breach Report. The following are examples of such incidences:

   - where the Proposed Breach Report contains errors as to times and dates of a factual occurrence;
   - where the Proposed Breach Report has misquoted the Respondent;
   - where the Proposed Breach Report has omitted reference to a significant factual occurrence that could alter the breach finding, which was unknown to the IO at the time of drafting the Report.

229. Depending on the representations received from the Respondent, the Proposed Breach Report may not be significantly amended before being finalised for issue to the Standards Commission as the Final Report. If no representations are received after multiple reminders, the Proposed Breach Report may progress to be finalised without the representations. The attempts to obtain representations will be noted in the Report.

230. In some circumstances, the representation from the Respondent(s) may be such that the finding of breach cannot be further supported. If this occurs, the IO will note in the Report the substance of the representation that has led to this conclusion, and change the Report from a breach outcome to a non-breach outcome.

231. Any representations from the Respondent(s) will be saved into the relevant case file on CMS. In line with s 9(3) of the 2002 Act, a full copy of representations will be

annexed to the Final Report in its entirety, regardless of whether amendments were made or not.

D.10.h Process of issuing the Final Report

232. Once the Proposed Breach Report has been updated as above, it will be sent to the SIO and the Commissioner for final consideration. The Commissioner will approve the draft and thereafter the Final Report will be issued to the SPPAC using the appropriate Template correspondence (Appendix xx – Template Correspondence (Final Breach Reports)).

D.11 Timescales and KPIs for investigating and reporting

233. The IOs are expected to conduct Stages One and Two in accordance with the below Key Performance Indicators (KPIs) or targets for MSP complaints:

Stage	Work undertaken	Statutory timescale	Office timescale	KPI or Target
Pre-Assessment and Complaint assigned to an IO	• Initial communication to Complainer upon receipt of complaint (acknowledgement) • Uploading the complaint to CMS • IO assigned to case reference on CMS	None indicated	Within 1 - 2 weeks from date of complaint	95%
			Within 3 - 4 weeks from date of complaint	100%
Initial Investigation **(Stage One - Straightforward complaints*)** *Note: this refers to a Complaint that does not require any	• Considering any information required to substantiate a complaint about one MSP, where that conduct is either already substantiated or can readily be substantiated	2 months from date the complaint is received per s 7(11) of the 2002 Act	Within 1 - 4 weeks from date the complaint is received	65%

additional information to substantiate, does not fall within the Commissioner's remit (i.e. should be referred to the Presiding Officer or SPCB as appropriate) or otherwise does not reflect a breach of the MSP Code due to alleged conduct clearly not in the exercise of MSP duties	• Completing the Stage One Assessment Form • Drafting attendant dismissal or acceptance letters, obtaining approval for the same and issuing to the Complainer, redaction and copy to the MSP		Within 4 - 6 weeks from date the complaint is received	85%
			Within 8 weeks (or 2 months) from date the complaint is received	100%
Initial Investigation **(Stage One)**	• Gathering any information required from the Complainer to substantiate Complaint about one or more MSP(s) • Consider the information gathered • Completing the Stage One Assessment Form • Drafting attendant dismissal or acceptance letters, obtaining approval for the same and issuing to the Complainer, redaction and copy to the MSP	2 months from date the complaint is received per s 7(11) of the 2002 Act	Within 1 - 4 weeks from date the complaint is received	55%
			Within 4 - 6 weeks from date the complaint is received	85%
			Within 8 weeks (or 2 months) from date the complaint is received	95%
			Within 3 months from date the complaint is received	100%

Further Investigation (Stage Two)	• Conducting the investigation, including contacting and interviewing witnesses pursuing lines of enquiry • Drafting the report (whether Breach or No-Breach report) • Report is internally reviewed • Report is issued to the Respondent if a breach report (for representations) • Report issued to SPPAC	6 months from date of the Commissioner finding complaint to be admissible per s 5(1)(b) and s 8(3) of 2002 Act	Within 3 - 6 months of finding complaint to be admissible	85%
			Within 6 – 9 months of finding complaint to be admissible	95%
			Within 12 months of finding complaint to be admissible	100%

234. Achievability of KPIs and targets depends in part on external influences. The following common parameters that can have an impact on time taken for investigations were taken into account when the above KPIs and targets were set:

- responses to requests for information are not always received within the allotted period of time;
- there can be repeated requests for extensions of time to respond to ESC;
- we cannot assume normal workloads without backlog;
- the number of complaints received may be higher than the average number of complaints historically received for a given period;
- responses from parties may be voluminous and contain much more material than the norm;
- complaint material or responses can be considerably more complex than the norm.

Other factors that can have an impact on achievability include stable governance and a stable and well-resourced workforce. It is anticipated that performance against the KPIs and targets will be monitored, recorded and reported on publicly, so that the ESC office can:

- learn from them and improve upon its processes and procedures over time and
- be held to account for its performance.

235. Section 10 of the 2002 Act gives the SPPAC the power to direct the Commissioner to carry out further investigation into the Complaint. Where the Commissioner finds the Code was not breached, the SPPAC will normally note the Report. However, the Parliament is not bound by the facts found, or the conclusions reached, by the Commissioner in a report made under section 9 of the 2002 Act.

236. Where the Commissioner finds there has been a breach, the SPPAC will consider the Report in full. This will initially be done in private. The SPPAC will invite the MSP to submit representations, which will also be considered in private. The SPPAC may also decide to ask the Commissioner to conduct further investigations. The SPPAC's decision on whether or not to accept the Commissioner's finding of a breach will be announced in public. The SPPAC may then recommend a sanction to the Scottish Parliament. The Report will always consist of the information set out in section 9(2) of the 2002 Act, namely:

a. details of the complaint;
b. details of the investigation carried out by the Commissioner;
c. the facts found by the Commissioner in relation to whether the MSP concerned (whether or not named in the complaint) has committed the conduct complained about;
d. the conclusion reached by the Commissioner as to whether that member has, as a result of that conduct, breached the relevant provision(s) identified by the Commissioner for the purposes of the first test and the reasons for that view.

Wherever possible, the copy of the report and its appendices will be sent as one PDF with all third party information redacted. Copies of documents should also, so far as possible, be available for the SPPAC in MS Word format for accessibility purposes.

E. PUBLIC APPOINTMENTS

237. The Commissioner has a duty under the Public Appointments and Public Bodies etc. (Scotland) Act 2003 to prepare a Code of Practice for Ministerial Appointments to Public Bodies in Scotland (the Code of Practice) and to promote compliance with its provisions. The Scottish Ministers and the Scottish Government directorates on their behalf are expected to follow the Code to ensure that appointments are made on merit, after fair and open competition. If anyone believes that the Code has not been complied with they may make a complaint to the Commissioner and the Commissioner is to investigate such complaints under the same Act. Additionally, the Commissioner is to examine in general terms the methods and practices of the Scottish Ministers in making these appointments and may also examine the making of a given appointment if considered appropriate. The Act may be seen at http://www.legislation.gov.uk/asp/2003/4/contents. The procedures used for investigating complaints or conducting such examinations are set out in this section of the manual.

238. Prior to raising a complaint with the Commissioner, it is the Commissioner's policy that the Complainer must first give the Scottish Government the opportunity to respond to their concerns. If the Complainer is dissatisfied with the Scottish Government's response, they may then ask the Commissioner to consider an investigation.

239. Complaints about public appointments are handled by a central team within the Scottish Government entitled the Public Appointments Team (PAT) or by the Scottish Government's Complaints Group in cases where it would be inappropriate for PAT to investigate the matter. More details on complaining to the Scottish Government may be seen at http://www.appointed-for-scotland.org/Complaints/ and http://www.scotland.gov.uk/Contacts/Have-Your-Say/Making-Complaints.

240. The Commissioner will investigate all complaints relating to appointment rounds within his remit which Complainers believe have not been resolved following investigation by the Scottish Government. A list of those bodies the Commissioner regulates may be seen at www.publicappointments.org/regulating-appointments/regulated-bodies/.

241. There may also be cases in which the Commissioner considers it appropriate to examine a given appointment process to assess whether it complied with the provisions of the Code. This may be in response to a reported concern from one of the Commissioner's Public Appointments Advisers or to concerns raised more generally by the Scottish Parliament or elsewhere in the public domain about the suitability of an appointee. Equally, the Commissioner may examine appointments that the office has had no direct oversight of. The decision to conduct such examinations is statutorily discretionary for the Commissioner.

242. Following completion of the investigation of a complaint, the Commissioner will not enter into protracted discussion with you about the outcome of the investigation and will not reopen the investigation unless relevant new evidence comes to light.

243. The Commissioner has no remit to investigate complaints relating to non-selection or non-reappointment unless it appears that the selection process has breached the code.

E.1 Dealing with Complaints about Public Appointments and Conducting Examinations

244. Reference should be made to the Staff Guidance and Procedure and Public Appointments' Complaints Handling Guidance complaints relating to public appointments are handled in accordance with paragraph A19 of the Commissioner's Code of Practice.

245. Staff are expected to use their discretion as to the appropriate template letter to use by referring to the Summary List of Documents.

E.1.a Methodology for Investigations and Examinations of Public Appointments Processes and Complaints about these and/or the Commissioner, their staff or their representatives.

246. This part of the Manual sets out the methodology, used by the office of the Ethical Standards Commissioner, for a complaint investigation or an examination of the methods and practices employed by the Scottish Ministers in the making of appointments, and recommendations for appointment to the relevant public bodies. Please note that this methodology is only relevant to the ESC's responsibilities under the Public Appointments and Public Bodies etc. (Scotland) Act 2003.

247. The investigation or examination by the Commissioner's office follows a set pattern. If a complaint or concern is raised regarding a public appointment an investigation will follow. The purpose of the complaint investigation or examination is to obtain sufficient evidence to determine whether or not there is reasonable cause to believe that a breach of the Code of Practice for Ministerial Appointments to Public Bodies in Scotland has occurred or is about to occur. The office will review whether the practices required by the code have not been followed. The office will also review an action or set of actions, relevant to the complaint or examination, against the principles of the code to evaluate whether these principles have been upheld.

248. It is always for the Commissioner to determine how the code is to be interpreted.

249. The office will collect and analyse all available factual evidence that is relevant to the complainer's allegation(s), as well as to the respondent's defence(s). The same process is carried out if the Commissioner wishes to examine the methods used in a public appointments process.

250. Depending on the nature and complexity of the complaint, the Commissioner may seek specialist advice or comment from relevant experts.

251. All matters will be examined and decided upon giving consideration to the merits of each individual case. Factors taken into account may include the frequency and similarity of particular breaches, any mitigating circumstances, information available to the Commissioner and any other relevant matter.

252. All information will be considered strictly within the context of the investigation and will not be used by the office for any other purpose except for those specified in the publication scheme or required by statute.

253. A final determination will be made by the Commissioner when they are satisfied that sufficient material from all relevant sources has been obtained and examined. There is no right of appeal.

254. After a final determination is made, the Commissioner will also determine the next course of action. This may be a report to the Minister and / or directorate concerned or a report to Parliament if the breach has been identified as a material one.

255. A typical investigation will follow these steps:

   a. The Commissioner will write to the relevant head of directorate, chair of the Scottish Government Complaints Group and / or minister outlining her concerns regarding the appointment process and indicating that the concerns were sufficient to merit further investigation. For internal complaints, the relevant staff member or sub-contractor will be advised that they are the subject of an investigation.

   b. The Commissioner will, if required, arrange for a member of the office team to conduct initial interviews with the party or parties subject to the examination or investigation as well as with other parties that may hold information pertinent to the examination or investigation. Time permitting, a set of preliminary questions will be passed to the interviewee/s to allow them time to prepare their response. Interviews may be taped and, if so, the party or parties to be interviewed will be advised that this is the case. The purpose of this is to ensure that an accurate record of the discussion is obtained.

   c. The same parties will be required to produce a copy of the audit trail relevant to their part in the appointment process or issue under examination or investigation and provide this to the Commissioner. Electronic or original versions are to be provided, for example if an e-mail formed part of the audit

trail the Commissioner will require the original e-mail to be provided to her office in electronic format as opposed to a hard copy being printed out. The Commissioner is willing to consider receipt of material in other formats if provision of original material poses a particular challenge. In such cases, the office should be approached for a discussion.

d. The Commissioner's team will establish a case file. This will contain all of the information gathered pertinent to the investigation or examination.

e. The Commissioner will review the interviewee/s' answers to the questions and the audit trail (the case file). If the Commissioner has remaining concerns regarding the appointment process, or associated issues, or feels that there is insufficient information available to make a determination, the Commissioner will request additional documentary information to be provided and may also confirm a requirement for further interviews. This will usually be to afford the relevant parties an opportunity to address any continuing concerns.

f. Once this process is complete, the Commissioner may provide a report for each party, in the form of a minute, on the discussions that took place and offer each party an opportunity to comment on the report. Any disagreement as to the content of the report may be checked against the tape of the conversation if that was used and/or notes and, if merited, will be altered. The Commissioner's decision as to the contents of these minutes is final although if there is a continuing disagreement the comments pertinent to that disagreement will be lodged along with the Commissioner's approved report in the case file.

g. Based on the sum of the information in the case file, the provisions of the Public Appointments and Public Bodies etc (Scotland) Act 2003 (the Act), and the code, the Commissioner will produce a final report giving her decision. The report may be for the relevant minister and/or sponsor directorate only and may include recommendations as well as the Commissioner's decision. If it is the Commissioner's decision that a material breach of the Code has occurred, the procedure to be followed will be as set out in section 2 of the Act. Complaints that are upheld and that relate directly of the conduct of the Commissioner's employees or sub-contractors will lead to invocation of the performance management and/or disciplinary and grievance procedures and/or to a review of contract.

256. The management of the case file and any other records held by the office are governed by the requirements of the Freedom of Information (Scotland) Act 2002, the General Data Protection Regulation (GDPR) 2018 and in accordance with Freedom of Information legislation and the office Publication Scheme.

F. LOBBYING COMPLAINTS

257. The Commissioner has a duty to investigate and report on complaints that a person has or might have failed to comply with section 8(1) of the 2016 Act (Lobbying (Scotland) Act 2016), failed to provide accurate and complete information in an application made under section 9, to comply with the duty to submit information returns under section 11 or to supply accurate and complete information in response to an information notice in accordance with section 17. The Commissioner may make a finding of fact if satisfied on the balance of probabilities that the fact is established.

258. When a Complaint is received, it will first be assessed for admissibility before being accepted for investigation. Both the assessment and the investigation will be conducted in private in accordance with section 22(4) of the 2016 Act.

259. A Complaint is admissible if (a) it is relevant (in that it appears at first sight to be about a person who may be or have been engaged in lobbying and it could be a breach of sections 8(1), 9, 11 or 17 of the 2016 Act and (b) it meets the conditions set out below pursuant to section 23(3) of the 2016 Act:

- A complaint must be made in writing to the Commissioner;
- It is made by an individual and signed by that individual, stating the individual's name and address;
- It names the person to whom the complaint relates;
- It sets out the facts related to the conduct complained about; and
- Is made before the end of the period of one year beginning on the date when the individual who made the complaint could reasonably have become aware of the conduct complained about.

260. Where a Complaint is inadmissible due to being irrelevant, the Commissioner is statutorily required to dismiss the Complaint. The handling IO should draft a dismissal letter for the Commissioner's approval, together with the Complaint and reasons for why the Complaint is considered irrelevant.

261. In order to be admissible, a Complaint that is both relevant and meets the conditions above would also require to warrant further investigation if, after an initial investigation, the evidence is sufficient to suggest that the person who is the subject of the Complaint may have failed to comply with sections 8(1), (9), 11 or 17 of the 2016 Act.

262. Where a Complaint is relevant but fails to meet one or more of the conditions in section 23(3) of the 2016 Act, the Commissioner may dismiss the Complaint <u>unless</u> (i) the Complaint is of a kind specified in a direction by Parliament or (ii) the Commissioner considers that the Complaint warrants further investigation. In circumstances where (i) or (ii) occurs, the Commissioner must make a report to the Parliament. The report will be drafted by the IO for the Commissioner's approval. The report must include:

- reasons why the Commissioner considers that the Complaint fails to meet one or more of the conditions mentioned in section 23(3) of the 2016 Act;
- the reasons for that failure (if known);
- a statement that the Complaint warrants further investigation (if applicable);
- the recommendation of the Commissioner as to whether, having regard to all the circumstances of the case, the Complaint should be dismissed as inadmissible for failing to meet one or more of the conditions mention in section 23(3) or should be treated as if it had met all of those conditions, and
- any other matters which the Commissioner considers appropriate.

263. Where a Complaint is admissible, the Commissioner must notify the person who is the subject of the Complaint that a Complaint has been received, inform that person of the nature of the Complaint and inform that person of the name of the individual who made the Complaint (except where the Commissioner considers that it would not be appropriate to do so).

264. If an investigation is not completed before the end of the period of 6 months beginning on the date the Complaint is found to be admissible, the Commissioner must, as soon as possible thereafter, make a report to the Parliament on the progress of the investigation. The handling IO will draft the report and send the draft to the Commissioner for approval.

265. Where an investigation has been concluded, the Commissioner must report upon the outcome of the investigation to Parliament. Before providing the report to Parliament, the Commissioner must first provide a copy of the draft report to the person who is the subject of the report and provide that person with an opportunity to make representations on the draft report. The report must contain:

- details of the Complaint;
- details of the assessment of admissibility carried out by the Commissioner;
- details of the investigations carried out by the Commissioner;
- the facts found by the Commissioner in relation to whether the person who is the subject of the complaint failed to comply with sections 8(1), (9), 11 or 17 of the 2016 Act;
- any representations made by the subject of the Complaint.

266. Complaints made under the 2016 Act will be progressed in accordance with the KPIs or targets set out in this Manual for Councillor and Member Complaints. The same assumptions to the KPIs or targets set out there apply.

G. SEXUAL HARRASSMENT COMPLAINTS

234. The 2021 Act, the 2021 Councillors' Code and the 2021 Model Code make it clear that sexual harassment is under the remit of the Commissioner. The same process for receiving, logging, assessing and investigating Complaints containing sexual harassment or elements of sexual harassment will be the same as that set out in in the parts of this Manual applicable to who the Complaint is about. For instance, if the Complaint is about a Councillor or Member, section C of the Manual will remain relevant. If the Complaint is about a MSP, section D of the Manual will remain relevant.

235. However, given the very serious nature of this type of Complaint, there are special considerations which the Commissioner and the ESC staff will account for when handling sexual harassment Complaints. These are set out in this section. These are informed by external training and input on:
    - understanding sexual harassment and sexual violence,
    - awareness of the impact of sexual violence,
    - how investigation procedures and personnel can best tailor their interactions with survivors,
    - best practice in trauma informed approaches in supporting survivors through the complaints process, and
    - an understanding of the support available from Rape Crisis Scotland and the Scottish Women's Rights Centre.

236. The Commissioner and all ESC staff understand the importance of a trauma-informed approach to handling sexual harassment complaints. In handling communications or contact with the Complainer or survivor, the Commissioner and the ESC staff understand that:

    - later experiences, in which trust is breached, or that trigger feelings of coercion, lack of control, powerlessness, or domination, can bring back distressing memories of the trauma and associated feelings.

    - a person affected by trauma might understandably want to avoid people, places or situations that remind them and bring back distressing memories of the trauma and associated feelings.

    - a person's young age when first experiencing trauma, the person(s) responsible for the trauma and its duration are among the reasons for people's different responses to trauma.

    - people use different ways to survive, adapt to, and cope with trauma and its impact, and that some of these can seem confusing or self-defeating unless viewed as adaptive coping responses to overwhelming threat and its consequences.

- it is important to be able to recognise when someone is affected by trauma so that help can be given, if and where needed.

237. Trauma-informed organisations are those that integrate the principles of safety, trustworthiness, choice, collaboration and empowerment into all aspects of their work and commit to ensuring that physical environments staff behaviour and organisational policies and procedures reflect trauma-informed principles and values. Trauma-informed organisations also hold in mind the needs of workers in responding to people affected by trauma. As culture-bearers, managers and leaders are key to the success of trauma-informed systems and approaches. The Commissioner and the ESC staff are wholly committed to those principles and values.

238. The Commissioner and all ESC staff, when working with survivors or other parties on the complaints or reporting process, will:

- always be approachable;
- always have an open mind and investigate the Complaint fully;
- always signpost to sources of support including emotional support for survivors;
- give ample time for survivors and other parties involved to make their statement or give information about the Complaint;
- help the survivor and other parties involved to feel understood when they are experiencing stress and trauma following giving information about the Complaint;
- try their best to ensure all practical needs are accommodated;
- provide a single named ESC source of contact whom the survivor or other parties can contact consistently throughout the Complaints and investigations process and, if not, provide continuity during different contacts;
- agree a manner in which the ESC can update the survivor and other parties on progress with the Complaint and any investigation, such as frequency and format in which the update is provided;
- keep the survivor and other parties informed about the progress on the Complaint and the investigation in a way which suits that individual best.

239. The Commissioner and all ESC staff , when working with survivors, will **always**:

- try to validate the survivors' feelings of stress and distress;
- listen to what we are being told and give ample time;
- explain why difficult questions are being asked and why;
- recognise how difficult it is to speak out.

240. The Commissioner and all ESC staff, when working with survivors, will **never**:

- suggest what happened shouldn't have upset them or is not a big deal;
- rush someone or expect a clear timeline of events in recollection;
- try and catch someone out with unexpected questions;

- make excuses for the Respondent's behaviour.

H. OTHER COMMUNICATIONS

267. In addition to communications relating to complaints and investigations, the ESC also receives a variety of other communications. This section outlines how each type of communication will be dealt with.

H.1 Press enquiries

268. The ESC occasionally receives press enquiries relating to a specific Complaint, Complainer or Respondent. The internal process to handle press enquiries is for the IP or the CSO to:

   a. Save the press enquiry into the relevant shared drive folder (O:\Administration and Communication\2021-22\Press Coverage);

   b. Indicate on the CMS that a press enquiry has been received relating to that particular Complaint under the case file reference number.

269. We appreciate that each enquiry turns on its own circumstances. However, the most frequent media query tends to be whether a Complaint has been received relating to a Respondent. However, the ESC's office may not be able to provide comment generally on whether a complaint has been made or received, in line with statutory provisions under which the ESC's office operates to conduct investigations confidentially .

H.2 Freedom of Information Requests (FOI) and Subject Access Requests (SAR)

270. A FOI request is a request for information pursuant to the Freedom of Information (Scotland) Act 2002. Meanwhile, a SAR is a request for personal data which the ESC office may hold about you. If IOs receive a FOI or SAR request, please send the FOI or SAR request to the Corporate Services Team (CST) as soon as possible for their further handling. The CST may further require assistance from the handling IO on a FOI or SAR request relating to a Complaint, for instance, in confirming that all the materials involved in a Case file have been gathered in response to the FOI or SAR request.

271. FOI or SAR requests are very time-sensitive. When the ESC receives a FOI or SAR, the time period in which we have to provide a response starts to run from the moment the request reaches our inbox, not when we read it. It is therefore important to include a message in your out of office message directing people to the general office inbox for FOI/SARs.

H.3 Deciding whether a communication is PDC or Service Complaint About Us (CAU)

272. The ESC may receive communications after a Case file has been closed, known as 'Post-Decision Correspondence' (PDC). Occasionally, the PDC may contain a service complaint about how a Case file has been handled, known as a 'Complaint About Us' (CAU). It may also be possible for PDC to contain a FOI request or SAR. If so, the FOI request or SAR should be referred to the CST as soon as practicable for their further handling.

273. At times, PDC may set out an enquiry or concern, but these may not necessarily be a CAU. Deciding whether PDC contains a CAU can be challenging. Guidelines to help decide this are set out at Appendix 2 of Part 2 of the Complaint Handling Procedure (CHP). Examples of issues that do not qualify as CAU and that are not appropriate to be handled using the CHP are set out below (in relation to Standards):
    a. dissatisfaction with any decisions of the Commissioner whether, when or how to proceed with an investigation (as this is a quasi-judicial matter);
    b. dissatisfaction with any conclusions of the Commissioner following an investigation, as this is a quasi-judicial matter (and would also be prejudicial to the Respondent);
    c. a review of the Commissioner/IOs work or decisions during the enquiries/investigation as this is a quasi-judicial matter;
    d. dissatisfaction with a matter related to an investigation that would require production of legally confidential information (section 12(2) of the 2000 Act) as this is a quasi-judicial matter;
    e. dissatisfaction about a typographical error (as this does not equate to maladministration).

274. In relation to Appointments, examples of issues that do not qualify as CAU and that are not appropriate to be handled using the CHP include a decision by the Commissioner on the outcome of a complaints investigation, unless new evidence is provided that has not been considered (as this is a statutory function of the Commissioner) or the Commissioner's interpretation of the Code of Practice, as this is also a statutory function of the Commissioner.

H.4 Handling PDC

275. Where PDC is received by the ESC, the PDC should be named in accordance with the Naming Convention and then saved into the relevant Case file on CMS. Where appropriate, the handling IO should be notified that PDC has been received for their particular Case file, if the PDC was sent only to investigations@ethicalstandards.org.uk or info@ethicalstandards.org.uk.

276. PDC must always be handled politely and in a timely fashion. PDC varies greatly in terms of form and content. As such, it is not possible to cover how to respond to every

type of PDC received. Generally, all staff at ESC should strive to respond to the content of PDC as honestly and transparently as possible.

277. Responses to PDC should contain reference to and a copy of the Post Decision Factsheet (Appendix xx – Post Decision Factsheet).

278. All PDC are to be recorded in the PDC log, saved in the Standards Team shared drive.

H.5 Handling CAU

279. The process of handling CAU is set out in the CHP. All staff across the ESC must cover this procedure as part of their induction and must be given refresher training as required, to ensure they are confident in identifying complaints, empowered to resolve simple complaints on the spot, and familiar with how to apply this procedure (including recording complaints). Generally, the process is as follows:

A. **Stage 1 – Frontline response**: for issues that are straightforward and simple, requiring little or no investigation, an 'On-the-spot' apology, explanation, or action to put the matter right will be issued. At this stage, the CAU should be resolved or a response provided in five working days or less (unless there are exceptional circumstances). The response should be issued directly using the most appropriate method (telephone, MS Teams, email or face-to-face). We will tell the complainer how to escalate their complaint to stage 2.

B. **Stage 2 – Investigation:** where the Complainer is not satisfied with the frontline response, or refuses to engage at the frontline, or where the complaint is complex, serious or 'high-risk', the Complaint is to be acknowledged within three working days. We will then contact the Complainer to clarify the points of the CAU and outcome sought (where these are already clear, we will confirm these in the acknowledgement). The CAU should be resolved or a definitive response provided within 20 working days following a thorough investigation of the points raised.

C. **Independent external review (SPSO or other):** where the Complainer is not satisfied with the Stage 2 response from the Commissioner, the Complainer is entitled to pass the CAU to SPSO to assess whether there is evidence of maladministration not identified by the Commissioner.

280. All CAUs are to be recorded in the office CAU log available internally in the shared drive (location: O:\Corporate Governance\Critical Documents\Complaints handling procedures (about us)\Complaints Database).

H.6 Unacceptable Behaviour Policy (UBP)

281. The ESC's UBP is located here. Where any entity or person dealing with the ESC's staff does so in a manner which falls within the definition of unacceptable behaviour under the UBP, that staff member may invoke the UBP and inform that entity or person of this decision together with reasons for why this was done. That entity or person will have a right of appeal and a review will be conducted on any decision to restrict contact with ESC staff on the basis of that entity or person's response. This will allow that entity or person to demonstrate a more reasonable approach at a later time.

I. OFFICE PROCESSES

282. The Standards team consists of the SIO, the IOs and the IP. The CSO provides leave cover for the IP and may, at times, also join the Standards team's meetings. The Commissioner may, at times, join the Standards team's meetings.

I.1 Standards team meetings and notes

283. The Standards team meets every Tuesday and Thursday morning to discuss workload and case work. The meeting time and dates may shift in accordance with work capacity and annual leave arrangements.

284. The meetings may be conducted in person or remotely to account for flexible working arrangements. The meetings are a space to discuss case assessments and investigations, giving the opportunity to raise any issues encountered during work so that the team can support each other to share knowledge, experience, and ideas for resolving an issue. Team members can also share an issue that took place another time and explain how it was resolved, the outcome, and whether that resolution worked well, and why or why not. It is a space to seek support and to share learnings, in accordance with the ESC's commitment to supporting staff and building resilience.

285. Notes will be taken of each meeting and saved to the shared internal drive (see below) for the team's ease of reference at any time. The contents of the notes will reflect what was discussed by the team and, as it contains information relating to investigations, must not be shared with anybody external to the ESC.

I.2 Standards team weekly updates to the Commissioner

286. Over the course of the week, Complaint assessments, case investigations and draft Reports may be completed and ready for the Commissioner's consideration and approval.

287. IOs will send the completed assessments, any attendant draft correspondence, and draft reports together with the Complaint form, to the IP. The IP will save these into a file on the shared drive and compile an email (sent weekly to the Commissioner) containing links to these documents, for the Commissioner's consideration and approval.

288. It is normal for correspondence to be issued by the IO indicated in the signature box. As the Commissioner is the appointed office holder, the decisions contained within correspondence are, as a matter of course, approved by the Commissioner. However, all ESC staff are committed to direct communications with any stakeholders, and as

such should be the primary point of contact with any queries related to a case. General enquiries should be directed at investigations@ethicalstandards.co.uk.

I.3 Standards team process of issuing communications

289. The IOs are the first point of contact for all parties to a Complaint. As such, IOs are expected to communicate with all parties directly (whether in written or verbal communication). At times, the IP may be asked to issue correspondence on behalf of the IO particularly where there is lack of capacity in the office to handle workload at busy times.

I.4 Operating the CMS

290. All documentation and material relevant to a case file must be saved to the CMS using file names consistent with the Naming Convention. At times, the IP may be asked to save material to the CMS on the IO's behalf.

291. Training and refreshers on operating the CMS will be periodically run internally so that the Standards team can stay up to date with developments.

I.5 Operating the Shared Drives

292. The Standards team has a shared drive "S:Drive" in the ESC's internal drives. This is accessible by staff members only. The S:Drive contains templates for the office's use, copies of hearing rules, Codes and so forth. There is also a Standards Team Folder that is used to save the Standards team's meeting notes and action plan, which can be accessed by the team at any time.

J. CONCLUDING REMARKS

293. This Manual is intended for internal use when handling Complaints, assessments and investigations relating to the Commissioner and the ESC's various statutory functions. Some processes and policies have been updated from the 2018 Investigations Guidelines (not published) to reflect the current processes and policies of the ESC. Likewise, in future, it is possible for the processes and policies set out in this Manual to change in accordance with the scope of the Commissioner's statutory remit under applicable legislation.

294. This Manual will be reviewed on an on-going basis to reflect feedback, ensure it remains up to date and reflects the Commissioner and the ESC's current processes and policies.

K. APPENDICES

**Ethical Standards
Commissioner**

Appendix 2

Stage	Action taken	Statutory Timescale	Office timescale	Target
Pre-assessment and Complaint assigned to an IO	• Initial communication to Complainer upon receipt of complaint (i.e. acknowledgement) • Uploading the complaint to CMS • IO assigned to case reference on CMS	None indicated	Within 2 - 3 weeks of being uploaded to CMS	85%
			Within 4 weeks of being uploaded to CMS	95%
			Within 5 weeks of being uploaded to CMS	100%
Complaint Assessment (Stage 1)	• Gathering any information required from the	None indicated	Within 1 - 3 months of case being assigned to an IO	50%

	Complainer to substantiate Complaint • Consider the information gathered • Complete the Complaint Assessment Form • Drafting attendant dismissal or acceptance letters, obtaining approval for the same and issuing to the Complainer (or Respondent and Monitoring Officer / Standards Officer) • Issuing the decision letter		Within 3 - 6 months of case being assigned to an IO	75%
			Within 6 - 9 months of case being assigned to an IO	95%
			Within 9 -12 months of case being assigned to an IO	100%
Investigation and Reporting (Stage 2)	• Conducting the investigation, including gathering evidence, contacting and interviewing witnesses, pursuing lines of enquiry • Drafting the report (whether Breach or No-Breach report) • Report is internally reviewed • Report is issued to the Respondent (if a Breach Report) or to SCS (if a No Breach Report)	Statutory notice for investigation not concluded within 3 months from case being accepted for investigation (also in line with SCS Direction)	Within 1 - 3 months of case being accepted for investigation	45%
			Within 3 - 6 months of case being accepted for investigation	65%
			Within 6 - 9 months of case being accepted for investigation	85%
			Within 9 - 12 months of case being accepted for investigation	100%

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Issues on which Views are Invited
Complaints about Councillors and Members

Q1 – When a complaint is received by the Commissioner's office, the complaint is assessed against certain criteria for admissibility. If a complaint is assessed and considered inadmissible, a dismissal letter is prepared setting out the reasons why and sent to the Complainer. Should Councillors and Members also be notified when a complaint against them is dismissed because it has been assessed and considered inadmissible?

Yes.

Q2 – If so, would a copy of the dismissal letter sent to the Complainer (with contact details redacted in accordance with data privacy protection rules) be sufficient notification?

The details of the complaint and reasons of inadmissibility should also be sent to the person complained about.

Q3 – Please provide reasons for your responses to Q1 and Q2.

The proposal is welcomed to increase transparency and provide elected members with an opportunity to understand the type of conduct that led to a complaint being made against them. It is noted that a complaint may be inadmissible if it is made more than a year after the alleged conduct and in such cases, it could be anticipated that a dismissal letter for reasons of time alone may not provide sufficient detail to enable Councillors to understand why a complaint has been made. The Commissioner is invited to ensure that any notification of dismissal to Councillors contains sufficient detail of the complaint and advisory comment to be of practical benefit to the elected member.

Q4 – At times, the Commissioner's office may receive a complaint which the complainer subsequently requests to withdraw. Should the Commissioner take forward complaints which are withdrawn, if there is a public interest in investigating and reporting on the complaint?

This may be appropriate in circumstances where the alleged breach is of a serious nature – for example, bullying /harassment or in circumstances where it can be reasonably established that there has been undue pressure on a complainant to withdraw the complaint which is of a serious nature. The Commissioner should ensure that "frivolous" or "malicious" complaints are not pursued when the complainer withdraws. The Commissioner is also invited to implement appropriate safeguards to ensure that such measures do not lead to inappropriate interference in democracy where a member of the public has withdrawn a complaint against an individual who has been elected into office.

Q5 – If so, what considerations should the Commissioner account for when deciding a complaint is in the public interest to investigate and report, even where that complaint has been withdrawn?

Consideration should be given to the seriousness of the allegation and the reasons for a complaint being withdrawn. Where there are concerns that an individual has been put under pressure to withdraw a complaint, or where an individual feels unable to pursue a complaint due to their own personal circumstances, then it may be appropriate for the Commission to pursue the complaint. Guidance, including examples, should be compiled and made available on the "public interest test" and the type of complaints to which this process would be applicable.

Q6 – Please give reasons for your responses to Q4 and Q5.

Included within the responses provided above.

Q7 – Investigations take time and require cooperation from the Complainer, Respondent and any witnesses. The Commissioner's investigative team will contact parties for information to progress with the investigation and will provide an update, currently every 3 months, on the progress of the investigation.

(a) How often should the investigative team be in touch with parties to update on the progress of investigation?

Being the subject of a complaint can be a stressful experience for Councillors and regular updates should be provided to inform of progress. Similarly, it is only reasonable that a complainer is kept regularly advised of progress. It is considered that contact every 3 months is too infrequent and more regular updates should be provided as a matter of good practice.

(b) How much time should the investigative team provide for parties to respond to the investigative team's requests for documentary or other relevant evidence?

Each party should be given sufficient time to collate and provide responses. A general rule of perhaps 3 weeks for response would be reasonable subject to suitable provision/allowance being made for personal circumstances.

(c) At times, no response is received despite repeated requests. Where no response is received for a prolonged period of time and after repeated requests for information, should the Commissioner's office proceed to conclude the investigation without the requested input?

Yes. It is important that matters are not inordinately delayed. Non-compliance with reasonable requests for information should not frustrate or protract the process.

Q8 – Please given reasons for your responses to Q7(a), (b) and (c)

Reasons are incorporated within the answers given above.

Q9 – Interviews can be an integral part of the investigative process. The Manual proposes that an interviewee may be contacted in writing by the Investigating Officer in order to confirm any substantive statements shared during the interview or a witness statement prepared from what is discussed at the interview. The interviewee will be invited to respond to the Investigating Officer to confirm or correct the accuracy of such substantive interview statements or witness statements. The interviewee may also be invited to review an interview or witness statement based on the interview, and to sign it to confirm that it is a

true reflection of what was said during the interview. Should this proposed approach form a part of the investigative process and are there circumstances in which it should be essential, rather than optional?

Yes. It is important that statements taken from witness interviews are verified with the interviewee for their accuracy.

Q10 – If so, should all other witnesses be provided with a copy of the interview or witness statement?

In line with court practice, no witness should be given access to the evidence of other witnesses before giving their own, with the exception of a witness who is also a party to the case. This is considered necessary in the interests of justice.

Q11 – Please give reasons for your responses to Q9 and Q10.

Reasons are provided within the responses provided above.

Q12 – At the end of an investigation, the Commissioner's office will produce an investigative report (the Report) setting out the background to a complaint, the investigation, the investigative outcomes and an explanation of the Commissioner's views as to whether a breach of the Code has taken place. The Manual proposes that all Reports, either breach or no breach, are shared with all parties to a complaint (specifically, the complainer, the respondent and the local authority/public body). Should this proposed approach be taken?

Yes.

Q13– Please give reasons for your views.

This approach will increase transparency, understanding of the investigative process and should facilitate learning and development in cases where improvements to practice have been identified.

Q14 – The Manual proposes a set of proposed timescales and targets for each stage of complaint handling. Should these proposed timescales and targets be adopted or do you feel that others are more appropriate for consideration?

Yes. Whilst it is considered that some of the timescales could be shortened, it is recognised that there are pre-existing workload challenges within the ESC's office and proposals that are realistic should be set in the meantime. Targets for timescales can thereafter be reviewed at an appropriate juncture.

Q15– Please give reasons for your views.

It is important that complaint handling is dealt with as expeditiously as possible to achieve resolution and closure for both complainer and responder.

Q16 – Are there any other issues relating to Councillors / Members' complaints handling processes which you wish to raise?

It is noted that the Acting Commissioner is taking steps to address a historical backlog of complaints and that timescales for resolution are currently lengthy. The Council welcomes that steps are being taken to address the backlog.

Further and more detailed guidance on the application of the public interest test would also be welcomed.

NORTH AYRSHIRE COUNCIL

29 November 2022

Cabinet

Title:	**Revenue Budget 2022/23 : Financial Performance to 30 September 2022**
Purpose:	To advise Cabinet of the financial performance for the Council at 30 September 2022.
Recommendation:	That Cabinet agrees to:

(a) note the information and financial projections outlined in the report;
(b) approve the earmarking of £1.792m identified at 2.5 to meet future year commitments;
(c) note the latest financial projection for the Health and Social Care Partnership highlighted at 2.6;
(d) note the current projected deficit position of KA Leisure; and
(e) approve the virements detailed in Appendix 7.

1. Executive Summary

1.1 The General Services Revenue Estimates for 2022/23 were approved by Council on 2 March 2022. The Housing Revenue Account (HRA) Revenue Budget for 2022/23 was approved by Council on 16 February 2022.

1.2 As part of the monitoring procedures to keep the Cabinet informed of the financial performance of the Council, financial performance reports are presented on a regular basis. This is the second report for 2022/23 and covers the period to the end of September 2022 (Period 6). Projections have been made to the year-end.

1.3 At Period 6 the General Fund is forecasting a net breakeven position after transferring resources to/from earmarked reserves.

1.4 The Housing Revenue Account is forecasting a net in-year underspend of (£0.944m), (1.7%).

1.5 At the end of September 2022, the Health and Social Care Partnership is projecting a year-end underspend of (£0.051m), (0.0%), for 2022/23, a reduction of £0.338m from the previously reported position. The Council services element is reporting a projected underspend of (£0.292m), a reduction of £0.369m, which is partly offset by a projected overspend in relation to the Health services element of £0.241m, which is an improvement of (£0.031m) over the same period.

1.6 KA Leisure has indicated a projected trading deficit of £0.279m for 2022/23. It is anticipated that the additional financial support to KA Leisure will be drawn from previously approved earmarked funds.

1.7 Significant risks to the reported position have been identified arising from inflationary pressures in relation to energy costs and essential commodities, including food and vehicle fuel. In addition, ongoing negotiations in relation to 2022/23 pay settlement for teachers may result in cost pressures in excess of current provisions. The impact of these in terms of the utilisation of Council reserves and knock on effect on future budget gaps will continue to be monitored and reported to Cabinet as appropriate.

2. Background

General Fund

2.1 The Council set a breakeven budget for 2022/23. In addition to the budget approved on 2 March 2022, earmarked funds of £31.875m were carried forward from 2021/22 for service expenditure in 2022/23 and are reflected in the figures within the 2022/23 financial performance reports as they are drawn down.

2.2 Current financial projections indicate that a net breakeven position, net of transfers to/from reserves, is anticipated for the year to 31 March 2023.

2.3 Details of the current financial projections are summarised in the following table:

Service Expenditure	Appendix No	Annual Budget £000's	Projection to 31 March 2023 £000's	Projected Variance for year (Fav)/Adv £000's	Projected Variance @ Period 4 (Fav)/Adv £000's	Movement £000's	Note
Chief Executives	1	19,631	19,582	(49)	(5)	(44)	
Communities	2	154,835	153,586	(1,249)	-	(1,249)	(i)
Place	3	67,953	69,940	1,987	1,809	178	(ii)
Other Corporate Services	4	33,713	30,683	(3,030)	(2,251)	(779)	(iii)
Sub Total		276,132	273,791	(2,341)	(447)	(1,894)	
Health and Social Care Partnership	8	115,936	115,936	-	-	-	2.6
Balance for Services		392,068	389,727	(2,341)	(447)	(1,894)	
Financing Charges	5	12,413	12,413	-	-	-	
Contribution to Loans Fund Reserve	5	3,502	3,502	-	-	-	
Total Planned Expenditure		407,983	405,642	(2,341)	(447)	(1,894)	
Planned Income							
Aggregate External Finance	5	(341,296)	(341,296)	-	-	-	
Council Tax	5	(62,210)	(62,147)	63	(39)	102	(iv)
Use of Earmarked Funds	5	(4,477)	(4,477)	-	-	-	
Total Planned Income		(407,983)	(407,920)	63	(39)	102	
Net Expenditure/ (Income)		-	(2,278)	(2,278)	(486)	(1,792)	
Carried Forward Funds		-	2,278	2,278	486	1,792	
Revised Net Expenditure/(Income)		-	-	-	-	-	

2.4 The reported Planned Income includes a number of adjustments to Scottish Government funding from that included in the approved budget, as detailed in the following table:

Planned Income	General Revenue Grant £000's	Non Domestic Rates £000's	Specific Grants £000's	TOTAL AEF £000's
Approved Budget 31 July 2022	**(281,497)**	**(37,575)**	**(21,259)**	**(340,331)**
Movements:				
21/22 SNCT Pay Award	(890)			**(890)**
Heat & Energy Efficiency Strategy	(75)			**(75)**
Revised Planned Income	**(282,462)**	**(37,575)**	**(21,259)**	**(341,296)**

2.5 **Commentary on Significant Movements from the Approved Budget**

The Council's overall financial forecast against the revised budget is a net breakeven position. Although this is consistent with the previously reported position, it includes a number of movements at a service level. A brief explanation of the significant movements from the previous forecasts are outlined as follows:

(i) **Communities – underspend of (£1.249m), an increase of (£1.249m) from the previously reported breakeven position.**

The movement since Period 4 is primarily related to confirmation of school staffing levels for the new academic year and vacancy management across non-teaching posts, including :

- Confirmation of teacher staffing projections incorporating teacher turnover, (£0.903m);
- Vacancy management across various non-teaching posts, (£0.214m);
- Reduced projected overspend on external specialist residential placements, (£0.062m); and
- Increased income, (£0.100m), related to PPP contractor penalty charges.

It is requested that £0.600m of the reported underspend is earmarked to support the Medium Term Financial Plan and help address ongoing resource pressures across the service throughout 2023/24.

Virements in relation to the recognition of additional grant income for the Youth Music Initiative, Active Schools and Community Justice have been included within Appendix 7. In addition, a virement has been proposed to transfer the additional teacher turnover savings to support the teacher cover budget.

(ii) **Place – overspend of £1.987m, an increase of £0.178m from the previously reported overspend.**

The net movement since Period 4 is primarily related to:

- Increased operational costs within Waste Services arising from trade effluent charges, £0.070m, contractual charges, £0.055m, and transport costs, £0.070m;
- Lower than anticipated property income, £0.119m; and
- Increased fleet costs related to fuel charges and repairs and maintenance price inflation, £0.136m.

These have been partly offset by:

- Lower than anticipated net expenditure across Facilities Management linked to reduced levels of commercial catering and school meal activity, (£0.125m);
- Revised energy cost inflation projections following the utilisation of inflationary pressure contingencies, (£0.104m); and
- Vacancy management across services, (£0.060m).

It is requested that a further £0.233m is earmarked to support anticipated additional expenditure during 2023/24, including:

- £0.060m for Facilities Management provision within Moorpark Primary School;
- £0.139m for the running costs of Lochshore café over the first 2 financial years; and
- £0.053m in relation to the Rapid Rehousing Transition Plan.

These requests are partly offset by a reduction in the previously approved earmarking in relation to the expansion of ELC provision, (£0.019m) to reflect updated cost projections.

Virements in relation to the realignment of school meals budgets within Facilities Management and a reduction in the income from other services budget within Roads, reflecting revised projections, have been included within Appendix 7.

(iii) **Other Corporate Items – underspend of (£3.030m), an increase of (£0.779m) from the previously reported underspend.**

The movement since Period 4 is primarily related to the release of previously earmarked funds and increased projected income, including:

- The release of (£0.552m) of reserves previously earmarked towards the 2022/23 pay settlement
- Additional income following the introduction of shared AVCs and Annual Leave purchase scheme for employees, (£0.125m);
- Release of corporate contingencies in relation to Non Domestic Rates inflation, (£0.091m); and
- Revised projections for Housing Benefit Overpayment Recoveries and Subsidy provision following completion of the mid-year estimates exercise, (£0.131m).

These have been partly offset by the transfer of £0.164m to CFCR to support the buy back of gas extraction equipment under the Shewalton landfill contract. A proposed virement in relation to this has been included within Appendix 7.

It is requested that £0.959m of the reported underspend is earmarked to support anticipated additional expenditure during 2023/24, including:

- £0.125m for the upgrading of the chambers' webcasting equipment to support the Council's core governance arrangements; and
- £0.834m in relation to acceleration of HSCP debt repayments to support the Medium Term Financial Plan.

The resultant net underspend has been applied to offset the net overspend reported within Place.

(iv) **Council Tax – underrecovery of £0.063m, a movement of £0.102m from the previously reported overrecovery.**

The movement since Period 4 is primarily related to lower than anticipated income in relation to prior years and increased Council Tax Reduction expenditure due to additional eligible claims.

Health and Social Care Partnership

2.6 A copy of the HSCP financial performance report as at the end of September 2022 is attached at Appendix 8. The report highlights the key challenges and variances for the Partnership.

The key points for Cabinet to note are summarised below:

- The projected outturn is a year-end underspend of (£0.051m) for 2022/23.

- The projected underspend on the Council Services element is (£0.292m) over the same period. This is partly offset by a projected overspend on the Health Services element of £0.241m;

- The main areas of risk identified include:

  ➢ Low volume / high cost service areas, including Learning disability care packages, children's residential placements and complex care packages;
  ➢ Progress to develop set aside arrangements and the risk sharing arrangements agreed as part of this;
  ➢ Implementation of Scottish Government policies;
  ➢ Lead / hosted service arrangements;
  ➢ The impact on Lead Partnership and acute services of decisions taken by other Ayrshire areas;
  ➢ Covid recovery and re-mobilisation of services;
  ➢ Implementation of the National Care Service;
  ➢ NHS pay award for 2022/23;
  ➢ Inflationary pressures;
  ➢ Review of the Care at Home service; and
  ➢ Adequacy of funding for new Supported Accommodation developments.

The projected position highlights the progress towards financial balance essential to minimise further financial risk to the Council within the context of the current debt of £2.320m. Proposals for the accelerated repayment of this debt during 2022/23 have been included in the Council's Medium Term Financial Plan. Further information will be presented to Cabinet during the course of the year.

Risks

2.7 Significant risks to the reported position have been identified arising from inflationary pressures in relation to energy costs and essential commodities, including food and vehicle fuel. A total of £1.666m has been drawn down from earmarked reserves to offset the additional inflationary pressures identified across services to 30 September 2022. In June 2022, Cabinet agreed to earmark £1.888m from the 2021/22 underspend to address unbudgeted inflationary pressures arising from the current cost of living crisis. Any further increases beyond current budget provision may impact on future service provision.

Following conclusion of the negotiations in relation to the 2022/23 Local Government pay settlement, it is anticipated that the pay arrears will be processed during December 2022. It is currently forecast that the increased costs will be met from existing provision combined with additional funding allocated by the Scottish Government and the utilisation of earmarked reserves. However, negotiations in relation to the 2022/23 Teachers' pay settlement are ongoing. Any award in excess of that agreed by local government workers may require the utilisation of Council reserves, with a knock on effect on future budget gaps. The risks arising from these negotiations will continue to be monitored and reported to Cabinet as appropriate.

Housing Revenue Account

2.8 The Housing Revenue Account budgeted for a breakeven position in 2022/23 and an in-year underspend of (£0.944m), (1.7%), is currently anticipated for the year to 31 March 2023. This is summarised in the following table with further details provided in Appendix 6.

	Annual Budget	Projection to 31 March 2023	Projected Variance for year (Fav)/Adv	Previous Variance @ Period 4 (Fav)/Adv	Movement	Note
	£000's	£000's	£000's	£000's	£000's	
Employee Costs	5,300	5,502	202	202	-	
Property Costs	18,748	19,469	721	68	653	(i)
Supplies and Services	451	316	(135)	(11)	(124)	(ii)
Transport and Plant Costs	34	25	(9)	-	(9)	
Administration Costs	1,881	1,770	(111)	(11)	(100)	(iii)
Third Party Payments	2,550	2,780	230	129	101	(iv)
Transfer Payments	155	155	-	-	-	
Other Expenditure	368	368	-	-	-	
Capital Financing	24,692	22,689	(2,003)	(1,830)	(173)	(v)
Gross Expenditure	54,179	53,074	(1,105)	(1,453)	348	
Income	(54,179)	(54,018)	161	234	(73)	(vi)
Net Expenditure	-	(944)	(944)	(1,219)	275	

2.9 **Commentary Significant Movements from the Revised Budget**

A brief explanation of the significant movements from the previous forecasts is outlined as follows:

(i) **Property Costs – overspend of £0.721m, an increase of £0.653m from the previously reported overspend**
The movement is primarily related to increased expenditure on Responsive Repairs, £0.445m, Void Repairs, £0.101m, and Other Property Costs, £0.075m.

(ii) **Supplies and Services – underspend of (£0.135m), an increase of (£0.124m) from the previously reported underspend**
The movement is primarily related to lower than anticipated expenditure on IT equipment and software licences.

(iii) **Administration Costs – underspend of (£0.111m), an increase of (£0.100m) from the previously reported underspend**
The movement is primarily related to lower than anticipated legal fees.

(iv) **Third Party Payments – overspend of £0.230m, an increase of £0.101m from the previously reported overspend**
The movement is primarily related to increased recharges arising from Housing Asset and Investment.

(iv) **Capital Financing Costs – underspend of (£2.003m), an increase of (£0.173m) from the previously reported underspend**
The underspend is primarily related to reduced loan charges, reflecting rephasing within the HRA capital programme.

(v) **Income – underrecovery of £0.161m, a reduction of (£0.073m) from the previously reported underrecovery**
The movement is primarily increased income from recharges and other income, partly offset by reduction in the previously reported Other Rents income.

3.   Proposals

3.1   It is proposed that Cabinet agrees to:

(c) note the information and financial projections outlined in the report;
(d) approve the earmarking of £1.792m identified at 2.5 to meet future year commitments;
(c) note the latest financial projection for the Health and Social Care Partnership highlighted at 2.6;
(d) note the current projected deficit position of KA Leisure; and
(e) approve the virements detailed in Appendix 7.

4.   Implications/Socio-economic Duty

Financial

4.1   **General Services**
The net projection for the year as at 30 September 2022 is a net breakeven position.

Housing Revenue Account
The net projection for the year as at 30 September 2022 is a net underspend of (£0.944m).

Human Resources

4.2   None.

Legal

4.3   None.

Equality/Socio-economic

4.4   None.

Environmental and Sustainability

4.5   None.

Key Priorities

4.6   This report directly supports the Council Plan 2019 to 2024 by maximising resources and providing value for money to support financially sustainable delivery models.

Community Wealth Building

4.7   None.

5.   Consultation

5.1   Progress as outlined in this report has been approved by Executive Directors.

Mark Boyd
Head of Service (Finance)

For further information please contact **David Forbes, Senior Manager (Strategic Business Partner),** on **01294 324551**.

Background Papers
Revenue Budget 2022/23 : Financial Performance to 30 September 2022 - Cabinet 27 September 2022

CHIEF EXECUTIVES
BUDGETARY CONTROL 2022/23

REPORT FOR THE 6 MONTHS TO 30 SEPTEMBER 2022

Objective Summary	Annual Budget	Projected Outturn	Annual Variance Adverse or (Favourable)	% Variance	Note No
	£000	£000	£000		
Chief Executive					
Chief Executive	193	198	5	3%	
Total for Chief Executive	193	198	5	3%	
Financial Services					
Change Programme	51	51	-	0%	
Audit, Fraud, Safety & Insurance	645	655	10	2%	
Corporate Procurement	972	871	(101)	(10%)	1
Financial Services	1,309	1,309	-	0%	
Revenues	(538)	(548)	(10)	2%	
Transformation	697	707	10	1%	
Total for Financial & Customer Services	3,136	3,045	(91)	(3%)	
People & ICT					
Employee Services	898	898	-	0%	
HR & Organisational Development	1,096	1,096	-	0%	
ICT	5,288	5,297	9	0%	
Business Support	1,261	1,261	-	0%	
Customer Services	3,746	3,746	-	0%	
Total for People & ICT	12,289	12,298	9	0%	
Democratic Services					
Legal & Licensing	463	516	53	11%	2
Policy, Performance & Elections	473	459	(14)	(3%)	
Communications	464	464	-	0%	
Civil Contingencies	60	60	-	0%	
Committee Services	554	554	-	0%	
Member Services	1,329	1,340	11	1%	
Ayrshire Support Service	54	54	-	0%	
Information Governance	404	382	(22)	(5%)	
Total for Democratic Services	3,801	3,829	28	1%	
Growth & Investment					
Growth & Investment	10	10	-	0%	
Total for Growth & Investment	212	212	-	-	
Net Total	**19,631**	**19,582**	**(49)**	**(0%)**	

Subjective Summary	Annual Budget	Projected Outturn	Annual Variance Adverse or (Favourable)	% Variance
	£000	£000	£000	
Employee Costs	16,445	16,328	(117)	(1%)
Property Costs	68	68	-	0%
Supplies and Services	3,062	3,055	(7)	(0%)
Transport and Plant Costs	27	28	1	4%
Administration Costs	1,372	1,384	12	1%
Other Agencies & Bodies	2,030	2,030	-	0%
Transfer Payments	817	817	-	0%
Other Expenditure	-	-	-	-
Capital Financing	-	-	-	-
Gross Expenditure	23,821	23,710	(111)	(0%)
Income	(4,190)	(4,128)	62	(1%)
Net Expenditure	**19,631**	**19,582**	**(49)**	**(0%)**

CHIEF EXECUTIVES
BUDGETARY CONTROL 2022/23

REPORT FOR THE 6 MONTHS TO 30 SEPTEMBER 2022

Budget £000	Projected Variance £000	Variance as % of budget	Section
	Note 1		**Finance - Corporate Procurement**
			Movement : There has been a favourable movement of £0.023m since P4 primarily due to a reduction in projected Business Continuity costs
957	(113)	-12%	Employee Costs - An underspend of £0.113m due to vacancy management.
-	12		Other minor variances
	(101)		
	Note 2		**Democratic Services - Legal and Licensing**
			Movement : There has been an adverse movement of £0.029m since P4 mainly due to reduced Licensing income.
(717)	62	-9%	Income : Projected under-recovery of £0.062m due to under-recovery in Licensing income based on current and prior year trends.
-	(9)		Other minor variances
	53		

COMMUNITIES
BUDGETARY CONTROL 2022/23

REPORT FOR THE 6 MONTHS TO 30 SEPTEMBER 2022

Objective Summary	Annual Budget	Projected Outturn	Annual Variance Adverse or (Favourable)	% Variance	Note No
	£000	£000	£000		
Early Years Education	19,738	19,713	(25)	(0%)	
Primary Education	44,329	43,891	(438)	(1%)	1
Secondary Education	55,992	55,967	(25)	(0%)	2
Additional Support Needs	12,484	12,167	(317)	(3%)	3
Education - Other	4,723	4,279	(444)	(9%)	4
Pupil Equity Fund	5,414	5,414	-	0%	
Connected Communities	12,155	12,155	-	0%	5
Net Total	**154,835**	**153,586**	**(1,249)**	**(1%)**	
Less Proposed Carry Forwards	-	600	600		
Net Total	**154,835**	**154,186**	**(649)**	**(0%)**	

Subjective Summary	Annual Budget	Final Year End Outturn	Annual Variance Adverse or (Favourable)	% variance
	£000	£000	£000	
Employee Costs	130,622	129,180	(1,442)	(1%)
Property Costs	576	582	6	1%
Supplies and Services	18,086	18,450	364	2%
Transport and Plant Costs	150	151	1	1%
Administration Costs	538	536	(2)	(0%)
Other Agencies & Bodies	13,218	13,087	(131)	(1%)
Transfer Payments	580	580	-	0%
Other Expenditure	-	-	-	
Capital Financing	78	78	-	0%
Gross Expenditure	163,848	162,644	(1,204)	(1%)
Income	(9,013)	(9,058)	(45)	0%
Net Expenditure	**154,835**	**153,586**	**(1,249)**	**(1%)**

COMMUNITIES
BUDGETARY CONTROL 2022/23

REPORT FOR THE 6 MONTHS TO 30 SEPTEMBER 2022

Budget £000	Projected Variance £000	Variance as % of budget	Section
	Note 1		**Primary Education**
			Movement : There has been a favourable movement of £0.413m compared to P4. This is mainly due to employee projections following confirmed staffing levels for the new academic year.
42,205	(477)	-1%	Employee Costs : £0.477m underspend in non teaching staff costs. £0.270m is due to a part year saving for Dining Hall Supervisors who were appointed at the start of this academic year. The remainder is due to recritment gaps and vacancy maangement across all other categories of non teaching staff.
2,002	22	1%	Supplies and Services : £0.022m overspend in PPP costs due to pass through utility costs subject to same inflationary pressures as other schools.
79	(28)	-35%	Third Party Payments: an underspend of £0.028m as less overtime required due to streamlined processes
(73)	45	-62%	Income: under recovery of school let income due to school lets not fully operational
	(438)		
	Note 2		**Secondary Education**
			Movement : There has been a favourable movement of £0.047m compared to P4. This is mainly due to employee projections following confirmed staffing levels for the new academic year.
42,654	(218)	-1%	Employee Costs : £0.218m underspends in non teaching staff costs due to recruitment gaps and vacancy management across all types of staff.
13,141	178	1%	Supplies and Services : £0.178m overspend in PPP costs due to pass through utility costs subject to same inflationary pressures as other schools.
136	(30)	-22%	Third Party Payments: an underspend of £0.030m as less overtime required due to streamlined processes
(78)	45	-58%	Income: under recovery of school let income due to school lets not fully operational
	(25)		
	Note 3		**ASN**
			Movement: There has been a favourable movement of £0.272m compared to P4, mainly due to vacancy management of £0.207m and a decrease in the residential placements forecasted overspend of £0.062m.
9,966	(221)	-2%	Employee costs: £0.022m overspend in teaching costs. This is offset by £0.242m underspend in non teaching staff costs across all ASN school and bases provision from recruitment gaps and vacancy management across all categories of non teaching staff. This projection takes no account of the outcome of the ongoing Supporting Needs review.
1,010	(328)	-32%	There is a projected underspend of £0.328m on external day placements as a result of the assessment process currently in place. This enables the children to remain in mainstream establishments or in-authority ASN establishments.
499	213	43%	There is a projected overspend of £0.213m on external specialist residential placements due to the wider impact of the pandemic on the ongoing number of children in residential education. Currently there are 7 children in accommodation. Joint working is ongoing with HSCP to continually assess the care setting for these children in delivering positive outcomes.
-	19		Other minor movements across various budget lines
	(317)		
	Note 4		**Education Other**
			Movement :There has been a favourable movement of £0.524m since P4. This is due to increased teacher turnover transferred from Primary and Secondary.
4,846	(215)	-4%	Employee costs: £0.064m underspends across central HQ staff and a projected excess of £0.151m in teachers turnover.
1,415	28	2%	Third Party Payments - small overspends across various subscriptions/licences
(1,666)	(275)	17%	Income - PPP insurance rebate £0.075m and deductions of £0.200m in excess of budget.
-	18		Other minor movements across various budget lines
	(444)		
	Note 5		**Connected Communities**
			Movement: No change since period 4.
7,319	(284)	-4%	Employee Costs: underspends across all sectors due to vacancy management.
1,055	146	14%	Supplies and Services: anticipated inflationary increase in costs.
4,795	(7)	0%	Third Party Payments: additional support of £0.279m will be required for NALL from the Council. This will come from the use of previously earmarked funds totalling £0.365m which will be used to support the trading deficit position and the renewal programme within NALL.
(1,458)	143	-10%	Income: projected £0.173m under recovery across various sectors as income has not returned to pre covid levels, offset by projected over recovery in Arran Outdoor of £0.030m.
-	2		Other minor movements across various budget lines.
	-		

PLACE
BUDGETARY CONTROL 2022/23

REPORT FOR THE 6 MONTHS TO 30 SEPTEMBER 2022

Objective Summary	Annual Budget	Projected Outturn	Annual Variance Adverse or (Favourable)	% Variance	Note No
	£000	£000	£000		
Directorate and Support	186	186	-	0%	
Housing and Public Protection					
Building Services	(2,542)	(2,542)	-	0%	1
Property Governance	(7)	(7)	-	0%	
Protective Services	1,315	1,246	(69)	(5%)	
Facilities Management	15,319	14,653	(666)	(4%)	2
Other Housing	2,987	2,696	(291)	(10%)	3
Total for Housing and Public Protection	17,072	16,046	(1,026)	(6%)	
Commercial Services					
Roads	6,719	7,098	379	6%	4
Streetscene	4,788	5,010	222	5%	5
Waste Resources	9,420	9,779	359	4%	6
Total for Commercial Services	20,927	21,887	960	5%	
Economic Growth and Regeneration					
Planning Services	290	290	-	0%	
Economic Development	4,387	4,387	-	0%	
Total for Economic Growth and Regeneration	4,677	4,677	-	0%	
Sustainability, Transport and Corporate Property					
Property Management & Investment	1,449	1,531	82	6%	7
Housing Assets & Investment	(2)	(2)	-	0%	
Property Maintenance	3,372	3,372	-	0%	
Property Running Costs	4,909	4,918	9	0%	
Energy and Sustainability	5,346	6,511	1,165	22%	8
Internal Transport	10,017	10,814	797	8%	9
Total for Sustainability, Transport and Corporate Property	25,091	27,144	2,053	8%	
Net Total	**67,953**	**69,940**	**1,987**	**3%**	
Transfer to Earmarked Reserves		719	719		
Net Total	**67,953**	**70,659**	**2,706**		

Subjective Summary	Annual Budget	Projected Year End Outturn	Annual Variance Adverse or (Favourable)	% variance
	£000	£000	£000	
Employee Costs	58,726	58,728	2	0%
Property Costs	22,508	23,797	1,289	6%
Supplies and Services	13,847	12,110	(1,737)	(13%)
Transport and Plant Costs	9,687	10,872	1,185	12%
Administration Costs	1,008	1,007	(1)	(0%)
Other Agencies & Bodies	19,262	19,281	19	0%
Transfer Payments	-	-	-	0%
Other Expenditure	182	192	10	5%
Gross Expenditure	125,220	125,987	767	1%
Income	(57,267)	(56,047)	1,220	(2%)
Net Expenditure	**67,953**	**69,940**	**1,987**	**3%**

PLACE
BUDGETARY CONTROL 2022/23

REPORT FOR THE 6 MONTHS TO 30 SEPTEMBER 2022

Budget £000	Projected Variance £000	Variance as % of budget	Section
	Note 1		**Building Services**
			Movement: There has been no movement since P4 however the service are currently managing significant financial challenges to achieve a break-even position..
5,624	(997)	(18%)	Supplies & Services: An underspend of £0.997m in supplies and services. This is due to an underspend in materials as a result of a change in the composition of the works programme. This underspend is offset against the reduction in income shown below.
2,152	730	34%	Third Party Payments: An overspend in third party payments of £0.730m. This is due to an overspend of £0.740m in payment to contractors partially offset by an underspend of £0.009m in Agency costs.
(20,153)	291	(1%)	Income: There is an under recovery of income of £0.291m. This is primarily due to the delay in the door renewal, detection equipment and kitchen programmes.
	(24)		Other minor movements
	-		
	Note 2		**Protective Services**
			Movement : There has been a favourable movement of £0.069m since the last reporting period due to vacancies within the service.
1,749	(69)	(4%)	Employee Costs: An underspend of £0.069m in staffing costs due to vacancies during the year.
	(69)		
	Note 3		**Facilities Management**
			Movement: There has been a favourable movement of £0.152m since period 4 which is primarily in relation to increased cleaning and janitorial income and the delayed opening of the new Moorpark Primary School.
13,577	(466)	(3%)	Employee Costs: Underspend of £0.119m is due to reduced commercial catering activity. There is an underspend of £0.195m due to the reduced uptake of school meals. Both these underspends relate to the under recovery of income highlighted below. In addition, there is an underspend of £0.132m due to recruitment issues and reduced overtime and casual costs..
962	104	11%	Property Costs: Overspend is primarily in relation to purchasing cleaning materials in response to Covid-19.
3,965	(1,001)	(25%)	Supplies and services: There is a saving of £0.134m in food due to reduced commercial catering. There are further food savings of £0.348m due to reduced school meal uptake. In addition, there is an underspend within Early Years of £0.467m which has arisen due to a lower attendance rate than originally anticipated. There is also a saving of £0.067m within tools and implements due to delayed opening of Moorpark Primary and reduced commercial catering activity.
(3,442)	662	(19%)	Income: There is an under-recovery in commercial catering income of £0.645m due to the closure of buildings and Covid-19 restrictions. There is also an under-recovery of school meal income of £0.072m. This is offset against an over-recovery of cleaning and janitorial income of £0.055m.
			A marketing campaign is being rolled out to encourage the uptake of school meals across the school estate.
-	35		Other minor movements
			The Early years expansion is linked to specific grant funding provided by the Scottish Government. It is proposed to reduce the £0.486m earmarked at period 4 by £0.019m to £0.467m. This is to match the current projected underspend to the earmark request.
			It is proposed to earmark the Moorpark Primary underspend of £0.060m as the new school opening has been delayed until 2023/24.
			It is proposed to earmark the core budget underspend of £0.139m to help cover the running costs of Lochshore Café for the next two years.
			A proposed budget virement for £0.119m has been included in Appendix 7 to realign school meal budgets.
	(666)		
	Note 4		**Other Housing**
			Movement: There has been a favourable movement of £0.036m since period 4. This is mainly due to a decrease in employee costs across the service and Temporary Accommodation property rents. This is partly offset by an increase in bad debt provision for Ardrossan Hostel and Temporary Accommodation and a small decrease in other income.
4,466	(314)	(7%)	Employee Costs: Underspend due to vacancy management.
-	23		Other minor movements
			It is requested to earmark £0.053m of the vacancy underspend that relates to the Rapid Rehousing Transition Plan.
	(291)		

Budget £000	Projected Variance £000	Variance as % of budget	Section
Note 5			**Roads**
			Movement: There has been an adverse movement of £0.033m since period 4. The main increases are in coated roadstone and Artificial Intelligence software costs.
2,560	96	4%	Supplies and Services: The overspend relates mainly to coated roadstone costs, which have been adversely affected by inflation. This is partly offset by an underspend in the stock issues budget.
1,892	(45)	(2%)	Third Party Payments: Due to Covid-19 related delays in implementing the Car Parking Charges and Decriminalised Parking Enforcement, the £0.125m budget allocated will not be used. The roads maintenance budget has been adversely affected by inflationary pressures and the service is managing the programme taking account of this. However there remains a small overspend in unavoidable contractor costs. In addition to this, there is an overspend of £0.025m on Artificial Intelligence software costs related to Asset Management.
(2,293)	320	(14%)	Income: £0.346m under recovery of income relating to Car Parking Charges and Decriminalised Parking Enforcement, which will not be achieved this year due to delays in the transfer of these powers. The remaining variance mainly relates to an over recovery in fees and charges, partly offset with an under recovery in salaries recovered from capital.
-	8		Other minor movements.
			A proposed budget virement for £0.100m has been included in Appendix 7. This is to decrease the income and related expenditure budgets for work carried out for other Council Services. These budgets were increased by £0.784m at period 4 and a revised estimate has been put on the value of work to be carried out this year.
	379		
Note 6			**Streetscene**
			Movement : There has been no significant movement since P4
129	146	113%	Transport Costs: Extra vehicles are on hire due to Seasonal work (two of which go off hire soon), HAVS operator and useage of vehicles by Waste to deal with bin deliveries due to legacy issues from Covid. There is also an overspend in skip hire of £0.045m, which is historical, and levels of waste have stayed at comparable levels from 2021/22 to 2022/23 due the continuation of staycations.
327	62	19%	Supplies and Services: Overspend is due to essential material inflationary pressures.
-	14		Other minor movements
	222		
Note 7			**Waste Services**
			Movement : There has been an adverse movement of £0.190m since P4 due to; £0.070m on transport hires, £0.055m on trade effluent due to a faulty meter now corrected and £0.042m on the Clyde Valley contract.
4,763	826	17%	Employee Costs: Additional temporary labour remains in place within Waste Operations as the service recovers from the pandemic. Work to review beats taking account of post pandemic waste composition analysis and to balance the burden of new builds is ongoing with Trade Union colleagues resulting in support arrangements being required. In addition there is a high volume of annual leave not taken due to COVID, requiring holiday cover.
409	81	20%	Supplies & Services: Overspend on Trade effluent £0.070m.
6,441	(644)	(10%)	Third Party Payments: Underspend in Payment to contractors of £0.741m largely a result of improved quality of our recyclate streams following sustained 'right stuff, right bin' campaigns alongside more competitive recyclate prices within our disposal contracts. This is offset by an overspend in Clyde Valley waste of £0.107m which will be funded from reserves.
160	201	126%	Transport Costs: Overspend of £0.201m due to the new way of working requiring 2 additional hire vehicles plus a long term hire. This is being reviewed in line with the post pandemic review of beats.
(2,780)	(76)	3%	Income: Over-recovery of income due to the recyclates market for glass, cans, plastics and paper being favourable to provide income rather than a cost to the council £0.153m. This is offset by an under recovery of gas extraction income £0.060m.
-	(29)		Other minor movements.
	359		
Note 8			**Property Management and Investment**
			Movement : There has been an adverse movement of £0.110m since P4 due to income under recovery.
2,350	(52)	(2%)	Employee Costs: An underspend of £0.052m due to vacancy management.
(8,653)	119	(1%)	Income: There is an under-recovery of £0.119m in fee income.
-	15		Other minor movements
	82		

Budget £000	Projected Variance £000	Variance as % of budget	Section
Note 9			**Energy and Sustainability**
			Movement : There has been a favourable movement of £0.104m since P4 due to corporate provision brought in to offset the overspend in energy price increases. Water and Sewage has adversely moved by £0.079m and Electricity favourably by £0.063m.
5,374	1,160	22%	Property Costs: Due to the current energy crisis and after drawing down £0.658m from contingencies there is an overspend in property costs of £1.160m due to increased utility cost charges. Electricity is forecast to be £0.070m overspent, gas £0.981m over and biomass £0.109m over.

The reported overspends are after the inclusion of budgeted inflation contingencies. The remaining overspend will be offset against the additional inflationary provisions agreed by Council which have been reported within the Other Corporate Items appendix.

A review is underway to confirm options available to reduce consumption across our estate further to help mitigate the inflationary pressure. This will be considered in the context of a need for sufficient ventilation in buildings and will also be contingent on temperatures experienced during the winter season |
-	5		Other minor movements
	1,165		
Note 9			**Internal Transport**
			Movement : There has been an unfavourable movement of £0.147m due to a £0.062m increase in fuel costs as a result of a rise in the pence per litre; £0.050m projected overspend in repairs and maintenance costs; and £0.037m forecasted overspend in employee costs.
1,682	37	2%	Employee Costs: There is a forecasted overspend of £0.037m due to reduced staff turnover.
4,201	456	11%	Transport Provision Costs: Projected overspend of £0.456m is largely due to direct fuel cost increases and indirect fuel and labour cost increases through our school transport contracts.
1,823	225	12%	Fuel Costs: This projected overspend of £0.225m is due to the increase in fuel prices and the legislative changes restricting the use of rebated gas oil (or 'red diesel' as it is commonly referred to).
467	55	12%	External Hires: Projected overspend of £0.055m due to additional hire vehicles as a result of increased lead time for replacement vehicles.
1,123	50	4%	Repairs & Maintenance: Projected overspend of £0.050m in repairs and maintenance due to price increases and maximising the life of assets due to the increased lead time for replacement vehicles and the shortage of available rental alternatives.
-	(26)		Other minor movements
			The reported overspends are after the inclusion of budgeted inflation contingencies. The remaining overspend will be offset against the additional inflationary provisions agreed by Council which have been reported within the Other Corporate Items appendix.
	797		

OTHER CORPORATE ITEMS
BUDGETARY CONTROL 2022/23

REPORT FOR THE 6 MONTHS TO 30 SEPTEMBER 2022

Objective Summary	Annual Budget	Projected Outturn	Annual Variance Adverse or (Favourable)	% Variance	170 Note No
	£000	£000	£000		
Strathclyde Passenger Transport	2,212	2,188	(24)	(1%)	
SPT Concessionary Fares	286	286	-	0%	
Ayrshire Joint Valuation Board	954	932	(22)	(2%)	
	3,452	3,406	(46)	(1%)	
Other Corporate Costs					
Pension Costs	1,895	1,895	-	0%	
Central Telephones	310	310	-	0%	
Other Corporate Items (incl Transformation Costs, Bad Debt Provision, External Audit fees and other centrally held funding.)	25,634	22,788	(2,846)	(11%)	1
Housing Benefits	2,422	2,284	(138)	-6%	2
	33,713	30,683	(3,030)	(9%)	
Less Proposed Carry Forwards			959		
Net Total	**33,713**	**30,683**	**(2,071)**	**(6%)**	

OTHER CORPORATE ITEMS
BUDGETARY CONTROL 2022/23

REPORT FOR THE 6 MONTHS TO 30 SEPTEMBER 2022

Budget £000	Projected Variance £000	Variance as % of budget	Section
	Note 1		**Other Corporate Items**
			There has been movement of £0.788m from Period 4 due the release of £0.552m of reserves previously earmarked towards the 2022/23 pay settlement, which are no longer required; additional income from shared AVC and the purchase of additional annual leave; and revised projected drawdowns from central inflationary contingencies.
25,634	(3,010)	-12%	The projected underspend is primarily related to the drawdown of £1.666m earmarked funds in relation to additional contractual and non contractual energy and fuel costs reported across the services, linked to significant unbudgeted inflationary pressures and the release of £0.552m of earmarked funds in relation to the 2022/23 pay settlement. In addition, centrally held funds of £0.676m are not expected to be fully utilised in year, including lower than anticipated costs in relation to the Council Tax Reduction regulatory changes and additional Scottish Government funding in relation to Core Curriculum Charges, changes to DHP distributions and the administration of grants. Additional corporate income of £0.116m is anticipated in relation to the shared AVC scheme and the purchase of additional annual leave. These funds have been applied to offset the overspend reported within Place at Appendix 3.
			It is requested that £0.959m of the reported underspend is earmarked to support identified expenditure pressures in relation to :- Chambers web casting equipment - Upgrade to support the Council's core governance arrangements - £0.125m; and Acceleration of HSCP debt repayment - To support the Medium Term Financial Plan - £0.834m.
			A proposed budget virement for £0.164m has been included in Appendix 7. This is to allocate addition Capital form Current Revenue (CFCR) in relation to the required buy back of equipment under the Shewalton landfill gas extraction contract.
	(3,010)		
	Note 2		**Housing Benefit**
			There has been movement of £0.131m from Period 4 due to the revised Housing Benefit Subsidy estimate.
2,422	(138)	-6%	Projected underspend of £0.138m due to the provision of Housing Benefits and overpayment recovery.
	(138)		

MISCELLANEOUS ITEMS
BUDGETARY CONTROL 2022/23

REPORT FOR THE 6 MONTHS TO 30 SEPTEMBER 2022

Objective Summary	Annual Budget	Projected Outturn	Annual Variance Adverse or (Favourable)	% variance	Note No
	£000	£000	£000		172
Financing Charges	12,249	12,249	-	-	
Contribution to Loans Fund Reserve	3,502	3,502	-	-	
Scottish Government Funding	(341,296)	(341,296)	-	-	
Council Tax	(62,210)	(62,147)	63	(0%)	1
Use of Earmarked Funds	(3,925)	(3,925)	-	-	
Net Total	(391,680)	(391,617)	63	(0%)	

Note 1 Council Tax
Movement: There has been an adverse movement of £0.102m since period 4. This is mainly due lower than anticipated income in relation to prior years and increased Council Tax Reduction expenditure due to additional eligible claims.
In year Council Tax collection performance has continued to return towards pre pandemic levels. However, net collections for prior years is £0.099m lower than anticipated at this point in the financial year.

HOUSING REVENUE ACCOUNT
BUDGETARY CONTROL 2022/23

REPORT FOR THE 6 MONTHS TO 30 SEPTEMBER 2022

	Annual Budget	Projected Outturn	Annual Variance Adverse or (Favourable)	% Variance	Note No
	£	£	£		
Employee Costs	5,300	5,502	202	4%	1
Property Costs					
Responsive Repairs	5,678	6,585	907	16%	
Void Repairs	3,147	3,139	(8)	(0%)	
Planned and Cyclical Maintenance	4,862	4,776	(86)	(2%)	
Aids and Adaptions	1,617	1,617	-	0%	
Other property costs	3,444	3,352	(92)	(3%)	
Total for Property Costs	18,748	19,469	721		2
Supplies & Services	451	316	(135)	(30%)	3
Transport Costs	34	25	(9)	(26%)	
Administration Costs	1,881	1,770	(111)	(6%)	4
Third Party Payments	2,550	2,780	230	9%	5
Transfer Payments	155	155	-	0%	
Other Expenditure	368	368	-	0%	
Capital Financing Costs	24,692	22,689	(2,003)	(8%)	6
Gross Expenditure	54,179	53,074	(1,105)	(2%)	
Income					
Council House Rents	(53,310)	(52,966)	344	(1%)	
Other Rents	(326)	(388)	(62)	19%	
Recharges	(397)	(441)	(44)	11%	
Other Income	(146)	(223)	(77)	53%	
Transfer from HRA Reserves	-	-	-	0%	
Total Income	(54,179)	(54,018)	161	(0%)	7
Net Expenditure	-	(944)	(944)		

HRA
BUDGETARY CONTROL 2022/23

REPORT FOR THE 6 MONTHS TO 30 SEPTEMBER 2022

Budget £000	Variance £000	Variance as % of budget	Section
	Note 1		**Employee costs**
			Movement - There has been no movement since Period 4.
5,300	202	4%	An overspend in employee costs of £0.202m. This is due to an increased projection in the salary uplift.
	202		
	Note 2		**Property Costs**
			Movement - an adverse movement of £0.652m since Period 4. This is due to an increase of £0.445m in Responsive Repairs, £0.101m in Void Repairs, £0.031m in Planned and Cyclical Maintenance and £0.075m in Other Property Costs.
18,748	721	4%	An overspend in property costs of £0.721m. This is due to an overspend of £0.908m in Responsive Repairs, partially related to construction inflation, offset by underspends of £0.008m in Voids Repairs, £0.087m in Planned and Cyclical Maintenance, and £0.092m in other property costs.
	721		
	Note 3		**Supplies & Services**
			Movement - a favourable movement of £0.124m since Period 4 due to the underspends in computer equipment and software licences.
451	(135)	-30%	An underspend in supplies and services of £0.135m. This is primarily due to underspends of £0.080m in computer equipment and £0.033m in software licences.
	(135)		
	Note 4		**Administration Costs**
			Movement - a favourable movement of £0.100m since Period 4.
1,881	(111)	-6%	An underspend in administration costs of £0.111m. This is primarily due to an underspend of £0.105m in legal fees.
	(111)		
	Note 5		**Third Party Payments**
			Movement - an adverse movement of £0.101m since Period 4 due to increased Housing Asset and Investment recharges.
2,550	230	9%	An overspend in third party payments of £0.230m. This is due to an overspend of £0.256m in relation to the Housing Asset and Investment recharges partially offset by an underspend of £0.026m in ASB and Tenant Support charge.
	230		
	Note 6		**Capital Financing Costs**
			Movement - a favourable movement of £0.173m since P4 due to further slippage in the capital programme.
24,692	(2,003)	-8%	There is an underspend in capital financing costs of £2.003m due to reduced loan charges. This is due to the reduced levels of expenditure currently being experienced in the HRA Capital budget
	(2,003)		
	Note 7		**Income**
			Movement - a favourable movement of £0.073m since Period 4. This is due to an increase of £0.175m in recharges and £0.046m in other income partially offset by a reduction of £0.148m in other rents.
(54,179)	161	0%	An under recovery in income of £0.161m. This is due to an under recovery in Council House Rents of £0.342m partially offset by an over recovery of £0.061m in Other Rents, £0.044m in Recharges and £0.076m in Other Income.
	161		

HRA reserves and balances	B/fwd from 2021/22	Transfer to / from Reserves	Use of Earmarked sums	Earmarking of in year surplus	Funding of Capital Projects	Projected Balance at 31/03/23
	£m	£m	£m	£m	£m	£m
Council House Building Fund	5.280	-	-	-	(1.151)	4.129
Welfare Reform	1.500	-	-	-	-	1.500
Sustainability Fund	5.000	-	-	-	-	5.000
Voids - non programmed works	1.558	-	-	-	-	1.558
Software Licences	0.123	-	-	-	-	0.123
Contingency Balance	0.781	-	-	0.944	-	1.725
Infrastructure Improvements	0.416	-	-	-	-	0.416
Major Refurbishment Works	0.052	-	-	-	-	0.052
Tenant led balance	0.636	-	-	-	-	0.636
Electrical Testing	0.270	-	-	-	-	0.270
	15.616	**-**	**-**	**0.944**	**(1.151)**	**15.409**

Budget Management - 30 September 2022

Virement/Budget Adjustment Requests

	Perm (P) / Temp(T)	2022/23	
		Virement £m	Directorate Total £m
1) Budget Virements			
Place			
Roads Network - Third Party Payments	T	-0.050	
Roads Network - Supplies and Services	T	-0.050	
Roads Network - Income	T	0.100	
Facilities Management - Supplies and Services	P	-0.119	
Facilities Management - Income	P	0.119	
			0.000
Communities			
Youth Music Initiative - Creative Scotland Grant - Income	T	-0.190	
Youth Music Initiative - Creative Scotland Grant - Employee Costs	T	0.190	
Sportscotland Grant for Active Schools	T	-0.444	
Active Schools Operational Budget	T	0.444	
Community Justice - South Ayrshire & East Ayrshire - Income	T	-0.125	
Community Justice - South Ayrshire & East Ayrshire - Employee & Project costs	T	0.125	
Teacher Payroll Turnover - overachieved	T	-0.280	
Teacher HQ Cover	T	0.280	
			0.000
Other Corporate Items			
Transfer from Corporate Contingency Budget following release of Earmarked Funds	T	-0.164	
CFCR contribution to Capital for Shewalton landfill gas extraction contract	T	0.164	
			0.000

**NORTH AYRSHIRE
Health and Social Care
Partnership**

**Integration Joint Board
17th November 2022**

Subject:	**2022-23 – Month 6 Financial Performance**
Purpose:	To provide an overview of the IJB's financial performance as at Month 6 (September) including an update on the estimated financial impact of the Covid-19 response.
Recommendation:	It is recommended that the IJB: (a) notes the overall integrated financial performance report for the financial year 2022-23 and the current overall projected year-end underspend of £0.051m; (b) notes the progress with delivery of agreed savings; (c) notes the remaining financial risks for 2022-23, including the impact of remaining Covid-19 estimates and costs; and (d) approves the budget reductions which are detailed at paragraph 2.12.

Glossary of Terms	
NHS AA	NHS Ayrshire and Arran
HSCP	Health and Social Care Partnership
MH	Mental Health
CAMHS	Child & Adolescent Mental Health Services
BRAG	Blue, Red, Amber, Green
UNPACS	UNPACS, (UNPlanned Activities) – Extra Contractual Referrals
NRAC	NHS Resource Allocation Committee
GAE	Grant Aided Expenditure
PAC	Performance and Audit Committee
MARAC	Multi Agency Risk Assessment Conference

1.	**EXECUTIVE SUMMARY**
1.1	The report provides an overview of the financial position for the Partnership and outlines the projected year-end outturn position informed by the projected expenditure and income commitments; these have been prepared in conjunction with relevant budget holders and services. It should be noted that, although this report refers to the position at the end of September, further work is undertaken following the month end to finalise projections, therefore the projected outturn position is as current and up to date as can practicably be reported.
1.2	The projected outturn is a year-end underspend of £0.051m (0%) for 2022-23. This includes the financial impact of the recently agreed local authority pay award but

	excludes the NHS pay award which has still to be agreed so this is still an unquantified risk.
1.3	From the core projections, overall, the main areas of pressure are learning disability care packages, residential placements for children, supplementary staff in wards and Unplanned Activities (UnPACs) within the lead partnership for mental health.
2.	**CURRENT POSITION**
2.1	The report includes an overview of the financial position including commitments against the available resource, explanations for the main budget variances and an update on progress in terms of savings delivery. The report also includes detail of the estimated costs and potential financial impact of the Covid-19 response.
	FINANCIAL PERFORMANCE – AT MONTH 6
2.2	At Month 6 against the full-year budget of £280.943m there is a projected year-end underspend of £0.051m (0%). The Integration Scheme outlines that there is an expectation that the IJB takes account of the totality of resources available to balance the budget in year. Following this approach, an integrated view of the financial position should be taken, however it is useful to note that this overall position consists of a projected underspend of £0.292m in social care services and a projected overspend of £0.241m in health services. Appendix A provides the financial overview of the Partnership position. The sections that follow outline the significant variances in service expenditure compared to the approved budgets. The projections for some areas will be subject to fluctuations as they depend on recruitment plans for new funding and also the capacity of providers to take on work.
2.3	**Health and Community Care Services** Against the full-year budget of £80.827m there is a projected overspend of £0.330m (0.4%) which is an adverse swing of £1.087m and the main variances are: a) Care home placements including respite placements (net position after service user contributions and charging order income) are projected to underspend by £0.923m which is an adverse movement of £0.147m. The budgeted number of permanent placements is 778 and at month 6 there are 779 placements. The projection assumes that the current number of placements will continue to increase to 799 placements by the end of the year. Within the projection there is an assumption that recent placements which do not have a completed financial assessment (often due to the pressure to discharge from hospital) are costed with 50% of the cases at the current average cost of a placement and 50% at the gross or interim funded rate. It is likely that there will still be some cases being gross or interim funded at the year end. Their actual cost will not be known until the FA1 financial assessment is completed.

The level of income recovered from charging orders was under recovered in 2021-22 but an online position is assumed at month 6 as the income received to date is in line with the target.

b) Care at home (in house and purchased) is projected to be £0.100m overspent which is an adverse movement of £0.651m. The position is made up of an underspend in purchased care at home as providers are not always able to accept referrals due to staffing / recruitment issues and an overspend in the in-house service. As there are vacant posts some of the current capacity is being met by existing staff working additional hours and casual staff. Bank staff are being offered contracts and additional staff are being recruited which will replace the need for existing staff to work additional hours.

c) Community alarms are projected to be £0.086m underspent which is an adverse movement of £0.119m as vacancies have been actively recruited to.

d) Reablement services are projected to be £0.177m underspent which is an adverse movement of £0.024m due to vacancies which are being actively recruited to.

e) Care at Home Charging Income is projected to under recover by £0.084m which is an adverse movement of £0.003m due to an ongoing shift towards personal care which is non chargeable. This is after applying £0.076m of covid funding.

f) Physical Disability Care Packages (including residential and direct payments) - projected overspend of £0.144m in community care packages, £0.157m in direct payments and £0.267m for residential placements. This is an overall adverse movement of £0.007m.

g) Adaptations are projected to be online based on spend to date.

h) Anam Cara is projected to overspend by £0.155m which is an adverse movement of £0.028m due to an overspend on employee costs relating to covering vacancies and sickness.

i) Integrated Island Services is projected to be £0.117m overspent which is a £0.047m favourable movement. The overspend is mainly due to additional accommodation costs for mainland staff working at Montrose House due to local recruitment challenges.

j) District Nursing is projected to overspend by £0.029m due to an overspend on supplies.

k) Rehab wards are projected to overspend by £0.212m (Redburn ward £0.310m overspent and Douglas Grant £0.098m underspent) which is an adverse movement of £0.024m. The overspend at Redburn is due to cover costs for vacancies as well as supplementary staffing for patients who require one to one support.

2.4	**Mental Health Services**

Against the full-year budget of £87.970m there is a projected overspend of £1.001m (1.1%). This excludes any potential variance on the Mental Health Recovery and

Renewal Funding where any underspend will be earmarked at the year-end for use in 2023-24. The main variances are:

a) Learning Disabilities are projected to overspend by £1.325m which is an adverse movement of £0.208m and the main variances are:

- Care Packages (including residential and direct payments) - projected overspend of £0.360m in community care packages, £0.200m in direct payments and £0.595m for residential placements. This is an overall favourable movement of £0.007m.
  Community Learning Disability Care packages are proving to be one of the most challenging areas to address overspends. The data from CM2000 will be reported back to the service to allow them to see where care has deviated from the planned level and focus reviews to those areas.

- Residential Respite is projected to overspend by £0.148m which is an adverse movement of £0.057m due to increased energy costs. The overall overspend is   This overspend reflects funding the new facility (Roslin House) to full capacity (£0.091m) and increased energy costs (£0.057m).

- Agency staffing is projected to overspend by £0.088m due to the use of agency staff during the period of recruiting to full establishment.

b) Community Mental Health services are projected to underspend by £0.518m which is a favourable movement of £0.067m and included within this are an underspend of £0.650m in community packages (including direct payments) and an overspend of £0.188m for residential placements.

c) The Lead Partnership for Mental Health is projecting to be £0.252m overspent which is an adverse swing of £0.162m and the main variances are as follows:

- A projected underspend in Adult Inpatients of £0.036m which is an adverse swing of £0.190m. This is mainly due to overspends in supplementary staff, staff in redeployment and reduced bed sale income which are offset by £0.306m of income in relation to the firestop works. The adverse swing is due to a reduction in the projected level of bed sale income due to a discharge.
- The UNPACS (Unplanned Activities) budget is projected to overspend by £1.200m based on current number of placements remaining until the year end. These placements are for individuals with very specific needs that require a higher level of security and/or care from a staff group with a particular skill set/competence. There are no local NHS secure facilities for women, people with a learning disability or people with neurodevelopmental disorder. This can necessitate an UNPACs placement with a specialist provider which can be out-of-area. The nature of mental health UNPACS spend is that it is almost exclusively on medium or long term complex secure residential placements which are very expensive so a small increase in placements can have a high budgetary impact. Due to the complexity and risk involved, transitions between units or levels of security can take many months. Applications to approve a placement are made to the Associate Medical Director for Mental Health who needs to be satisfied that the placement is appropriate and unavoidable prior to this being agreed.

- A projected overspend in MH Pharmacy of £0.100m due to an increase in substitute prescribing costs.
- Learning Disability Services are projected to overspend by £0.250m which is an adverse movement of £0.044m. This is mainly due to high usage of supplementary staffing, cross-charging for a LD patient whose discharge has been delayed and redeployment staffing costs. Supplementary staffing costs relate to backfill for sickness, increase and sustained enhanced observations and vacancies. The enhanced observations are reviewed on a daily basis however, due to the individuals being acutely unwell at present, this level of enhanced observations has been maintained for a lengthy period of time. The projection assumes that we begin cross charging another HSCP for the ongoing costs of the person detailed above where, despite having extensive time to identify an alternative placement there has, as yet been no solution identified.
- Elderly Inpatients are projected to overspend by £0.164m which is an adverse movement of £0.020m mainly due to the use of supplementary staffing.
- The turnover target for vacancy savings for the Lead Partnership is held within the Lead Partnership as this is a Pan-Ayrshire target. There is a projected over-recovery of the vacancy savings target of £1.187m in 2022-23, further information is included in the table below:

Vacancy Savings Target	(£0.481m)
Projected to March 2023	£1.668m
Over/(Under) Achievement	£1.187m

The current projection to the year-end is informed by the recruitment plans and the confidence in recruitment success and realistic timescales for filling individual vacancies.

The areas contributing to this vacancy savings position are noted below:
- Adult Community Health services £0.192m
- CAMHS £0.546m
- Mental Health Admin £0.270m
- Psychiatry £0.100m
- Psychology £0.540m
- Associate Nurse Director £0.020m

| 2.5 | **Children and Justice Services** |

Children's Services

Against the full-year budget of £36.432m there is a projected overspend of £1.950m which is an adverse movement of £0.047m (5.4%). The main variances are:

a) Care Experienced Children and Young People is projected to overspend by £1.992m which is an adverse movement of £0.078m. The main areas within this are noted below:

- Children's residential placements are projected to overspend by £2.911m prior to Covid funding and projected to overspend by £1.835m after £1.076m of Covid funding. This is an adverse movement of £0.131m. We started 22/23 with 23 placements and there are currently 26 placements. Of these

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placements one is assumed to be discharged October and two in December taking the placement numbers to 23 by the end of the year.

- Fostering placements are projected to underspend by £0.176m which is a £0.023m favourable movement. This is based on the budget for 115 places and 110 actual placements (of which 6 are Covid related and are funded through the Covid-19 funding) since the start of the year. Recruitment of foster carers is an active priority for the team, both to limit the requirement for external foster placements and reduce pressures elsewhere on the service. This is promoted through regular targeted recruitment campaigns, community awareness raising and daily presence on various social media platforms. Our active recruitment strategy is gaining some interest and we are actively pursuing a number of enquiries as a result.
- Fostering Xtra placements are projected to be on-line after applying £0.086m of Covid funding. The projection is based on the budget for 30 placements and 33 actual placements since the start of the year.
- Private Fostering placements are projected to be £0.047m underspent which is a £0.009m adverse movement based on the budget for 17 placements and 15 actual placements since the start of the year.
- Kinship placements are projected to underspend by £0.150m which is an adverse movement of £0.012m and this is based on the budget for 376 places and 354 actual placements since the start of the year.
- Adoption placements are projected to overspend by £0.072m which is a favourable movement of £0.026m. This is based on the budget for 53 places and 62 actual placements.

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<td>b)</td>
<td>Children with disabilities – residential placements are projected to underspend by £0.073m which is an adverse movement of £0.021m. This is based on 8 placements which are expected to continue until the end of the year.</td>
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<td></td>
<td>c)</td>
<td>Residential respite – placements are projected to overspend by £0.335m which is a favourable movement of £0.059m. These short-term placements are used to prevent an admission to full residential care. There were 4 placements at month 4 but these have all been discharged.</td>
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<td>2.6</td>
<td colspan="2">ALLIED HEALTH PROFESSIONALS (AHP)</td>
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<td colspan="2">AHP services are projected to underspend by £0.124m due to underspends in non-employee costs.</td>
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<tr>
<td>2.7</td>
<td colspan="2">CHIEF SOCIAL WORK OFFICER</td>
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<td colspan="2">There is a projected underspend of £0.986m due to a projected underspend in the Carers Strategy funding. This is a favourable movement of £0.286m.</td>
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<td>2.8</td>
<td colspan="2">MANAGEMENT AND SUPPORT</td>
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Management and Support Services are projected to underspend by £2.333m which is a favourable movement of £1.113m. The main areas of underspend are:
- An over-recovery of payroll turnover of £2.072m for social care services as outlined in para 2.9 below. This is a favourable movement of £1.100m.
- An over-recovery of payroll turnover of £0.356m for health services as outlined in para 2.9 below.

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		• The 2022-23 budget included a budgeted surplus on the social care side offset by a budgeted deficit on the health side of the budget. The net impact is neutral but Appendix A will show this position for each element.
2.9	**LOCAL AUTHORITY PAY AWARD SHORTFALL**	
	The recently agreed local government pay award was not fully funded. The total cost of the pay award was £4.384m against the budgeted increase of £2.077m. The additional cost of £2.307m will be partially met by additional recurring Scottish Government funding of £1.866m and the gap of £0.441m will be an in-year overspend with the recurring cost being factored into the 23/24 budget.	
2.10	**Turnover/Vacancy Savings**	

The turnover targets and projected achievement for the financial year for Health and Social Care services out with the Lead Partnership is noted below:

	Social Care	Health Services
Vacancy Savings Target	(2.014m)	(1.183m)
Projected to March 2023	4.086m	1.539m
Over/(Under) Achievement	**2.072m**	**0.356m**

The position in the table above reflects the assumption in the current financial projections. For social care, a total of £2.441m (121% of annual target) has been achieved to date. The turnover achieved to date is higher than usual as the 22/23 budget included investment in various areas of staffing and these posts are not fully recruited to yet. The underspend in day care for older people has also been included as payroll turnover in 2022/23 which is a change from 2021/22 when the underspend was held to offset additional care at home costs.

The health vacancy projection to the year-end is based on the month 6 position and is informed by the recruitment plans and confidence in recruitment to posts for the remainder of the year.

The areas contributing to the health and social care vacancy savings are spread across a wide range of services with vacancy savings being achieved in most areas. The main areas are month 6 are:

- Learning Disability £0.401m
- Management and Support £0.325m
- Community Care Service Delivery £0.387m
- Rehab and Reablement £0.251m
- Locality Services £0.229m
- Integrated Island Services £0.236m
- Community Mental Health £0.200m

There have been no intentional plans to pause or delay recruitment and services have actively continued to recruit; in some service areas it has proven difficult to fill posts.

The turnover target for the North Lead Partnership for Mental Health services is detailed within the Lead Partnership information at section 2.4.

2.11	**Savings Progress**

a) The approved 2022-23 budget included £0.683m of savings.

BRAG Status	Position at Budget Approval £m	Position at Month 6 £m
Red	-	-
Amber	0.060	0.060
Green	0.623	-
Blue	-	0.623
TOTAL	**0.683**	**0.683**

b) The main area to note is that amber savings of £0.060m relating to adoption allowances are assumed to be achieved in the projected outturn but final plans to deliver this have still to be agreed.

Appendix B shows the full Transformation Plan for 2022/23 which has been agreed by the Transformation Board; the Board is in place to provide oversight and governance to the programme of service change. A focus of the Board is to ensure plans are in place to deliver savings and service change, with a solution focussed approach to bringing programmes back on track.

Not all the service changes on the Transformation Plan have savings attached to them but there is an expectation that they will lead to service improvements. The Plan is critical to the ongoing sustainability and safety of service delivery and to supporting the delivery of financial balance in future.

Appendix C provides an overview of those service changes which do have financial savings attached to them and the current BRAG status around the deliverability of each saving.

2.12	**Budget Changes**

The Integration Scheme states that *"either party may increase it's in year payment to the Integration Joint Board. Neither party may reduce the payment in-year to the Integration Joint Board nor Services managed on a Lead Partnership basis…. without the express consent of the Integration Joint Board."*

Appendix D highlights the movement in the overall budget position for the Partnership following the initial approved budget.

Reductions Requiring Approval:
1) Software license transfer to IT £0.006m
2) Insurance – transfer to corporate £0.075m
3) Top Slicing from Pharmacy to fund a post £0.008m
4) Contribution to a Dysphagia Post £0.021m
5) CAMHS Liaison Funding transferred to Women and Children's Service in Acute £0.350m
6) GP Office 365 Upgrade – contribution to a Pan Ayrshire pressure £0.137m.

2.13	**NHS – Further Developments/Pan Ayrshire Services**

	<u>Lead Partnerships:</u>
	
	The IJB outturn position is adjusted to reflect the impact of Lead Partnership services. The outturn for all Lead Partnership services is shared across the 3 Partnerships on an NRAC basis; this position is currently the default pending further work to develop a framework to report the financial position and risk sharing across the 3 Partnerships in relation to hosted or lead service arrangements, which has been delayed by the requirement to focus efforts on the Covid response.
	
	The final outturn in relation to North Lead Partnership services would not be fully attributed to the North IJB as a share would be allocated to East and South Partnerships; similarly, the impact of the outturn on East and South led services will require to be shared with North. At Month 6 the MH lead partnership is projected to overspend by £0.252m (£0.082m NRAC share for East and £0.078m for South).
	
	East HSCP – the East information is the same as the month 4 report as they are not reporting month 6 until December. The month 4 position was a projected £0.604m underspend of which £0.223m (37%) is attributable to North. The main variances were:
	
	    Primary Care - there are reduced costs within Dental Services, where there is a projected underspend of £0.277m. This is largely due to Childsmile and the Dental Management Team both running with a number of vacancies. In addition, there are reduced costs within Primary Care Contracting and Support £0.297m, largely due to vacant posts, as well as projected savings in Diabetic Retinopathy and within East Ayrshire Community Hospital Medical and General Pharmaceutical. These reduced costs are partially offset by additional salary costs of the of the GP element of Out of Hours Services, as well as additional costs of the overnight nursing service. Projected overspend of £0.374m, with work ongoing to address and bring into line as far as possible over the course of 2022/23.
	
	    Prison and Police Healthcare - there is a projected underspend of £0.303m due to reduced new contracts. however there is a review of the prison service currently being undertaken/ It is expected that these funds will go towards improving the staff levels within the prison however an underspend of £0.303m is projected at this early stage of the financial year.
	
	South HSCP – projected overspend of £0.143m which is a favourable movement of £0.028m (£0.053m NRAC share for NAHSCP). The overspend is mainly due to an overspend in the community store and continence service offset by vacancies in the Family Nurse Partnership.
	
	Set Aside: - an approach has yet to be decided on for 22/23, which may be used as a "shadow year" for using current year activity. This will depend on how representative the activity is felt to be. By default, inflation will be applied to the 2021/22 budget. The annual budget for Acute Services is £379.6m. The directorate is overspent by £7.3m, caused by increasing overspends on agency medical and nursing staff, together with increasing drug expenditure. These have been required due to the level of operational pressure being experienced, in common with many other areas in Scotland at present.

There is a material underlying deficit caused by:
- Unachieved efficiency savings
- High expenditure on medical and nursing agency staff, high rates of absence and vacancy causing service pressure
- High numbers of delayed discharges and high acuity of patients.

The IJBs and the Health Board work closely in partnership to maintain service and improve performance.

2.14	**FINANCIAL RISKS**

There are a number of ongoing financial risk areas that may impact on the 2022-23 budget during the year, these include:

- High risk areas of low volume / high-cost services areas e.g. Learning Disability care packages, children's residential placements and complex care packages.
- Progress with the work to develop set aside arrangements and the risk sharing arrangements agreed as part of this
- Ongoing implementation costs of the Scottish Government policy directives
- Lead / hosted service arrangements, including managing pressures and reporting this across the 3 IJBs
- The impact on Lead Partnership and acute services from decisions taken by other Ayrshire areas
- The Covid recovery process and re-mobilisation of services, including the ability to change and improve services following learning from the Covid response
- The impact and implementation of the National Care Service.
- The NHS pay award is not settled for 2022-23 and negotiations are ongoing.
- The current very high levels of inflation
- The review of the Care at Home service which commenced in Spring 2022
- Supported Accommodation - funding has been included in the budget for the new developments but the adequacy of the funding will only be known when the final occupants are agreed.

These risks will be monitored during 2022-23 and the financial impact reported through the budget monitoring report.

2.15	**COVID-19 – FINANCE MOBILISATION PLAN IMPACT**

Summary of position

From the outset of the pandemic the HSCP acted very swiftly to respond and developed a mobilisation plan detailing the additional activities to support our response, alongside the estimated financial impact. Financial returns were submitted to the Scottish Government on a regular basis during 2020-21 and 2021-22, on the premise that any additional costs aligned to mobilisation plans would be fully funded. This process will continue during 2022-23 with returns moving from quarterly to monthly. Covid funding of £13.321m was carried forward from 2021-22 for use in services delegated to the Partnership during 2022-23 and the costs outlined below will be met from this funding. Any unused funding, based on the projected spend in the

	month 6 return, will be reclaimed by the Scottish Government and redistributed to Health Boards for Covid-related costs in non-delegated services.
2.16	**Mobilisation Plan and Funding Position**
	The initial month 3 mobilisation plan cost submission was submitted in July and estimated the costs to be £4.067m to March 2023. The changes since month 3 are summarised in the table below with the main area being payments to providers to reflect the payments made to date and the extension of part of the scheme to 31st March 2023. The costs remain estimates as the situation continually evolves there will be a further update submitted each month. The local finance mobilisation plan submission is included as Appendix E. The main areas of cost are summarised below:

Service Area	Initial Month 3 2022-23 Return £m	Month 4 2022-23 Return £m	Month 5 2022-23 Return £m	Month 6 2022-23 Return £m
Payments to Providers	1.100	1.100	1.953	2.143
PPE	0.418	0.418	0.419	0.326
Additional Staff	1.317	1.317	1.315	1.318
Loss of Income	0.246	0.246	0.246	0.210
Children & Families	0.957	0.957	0.957	1.107
Other Areas	0.029	0.029	0.015	0.015
TOTAL	**4.067**	**4.067**	**4.905**	**5.119**

	Based on the projected spend, it is anticipated that £8.202m will be reclaimed by Scottish Government. IJBs have been advised by Government that a year-end reconciliation and balancing adjustment will be carried out in the event that too much or too little funding has been retained by IJBs.
2.17	**Provider Sustainability Payments and Care Home Occupancy Payments**
	COSLA Leaders and Scottish Government have agreed an approach to supporting the social care sector to ensure that reasonable additional costs will be met. We have been making payments to commissioned social care providers in line with the agreed national principles for sustainability and remobilisation payments to social care providers during COVID 19. **Care Home Occupancy Payments** - The Scottish Government ceased these payments at the end of October 2021 but exceptions were made following the Omicron outbreak and limited payments were made to eligible care homes. Meetings are being held with each care home to discuss ongoing sustainability and to provide support. **Sustainability payments** – the most recent guidance issued on 22nd June reduces the scope of what providers can claim for. The main costs that can be claimed relate to testing and vaccination and this is extended to 31st March 2023. The Social Care Staff Support Fund was also extended to 31st March 2023 (previously to 30th September 2022).

The sustainability payments are estimated to be a significant cost in our mobilisation plan and the timely submission and assessment of claims is key to ensuring we can accurately estimate the financial cost and ensure the costs are reclaimed from the Scottish Government.

The breakdown of payments made in 2022-23 up to 30th September 2022 are shown in the tables below:

PROVIDER SUMMARY	NCHC Care Homes	Other	Total
Total Number of Providers	17	49	66
Number contacting NAC	16	11	27
Providers Supported to date	16	11	27

OUTSTANDING CLAIMS	NCHC Care Homes	Other	Total
Total Number of Claims	12	7	19
Value of Claims	205,802	184,984	390,786

SUPPORT PROVIDED	NCHC Care Homes £	Other Services £	TOTAL £
Occupancy Payments up to 31st July 2022	81,650	0	81,650
Staffing	578,725	144,165	722,890
PPE, Infection Control	176,795	45,349	222,144
Other	71,004	7,894	78,898
TOTAL	**908,174**	**197,408**	**1,105,582**

| 2.18 | **RESERVES** |

The IJB reserves position is summarised in the table below with full detail given in Appendix F.

The 'free' general fund balance of £7.248m is held as a contingency balance, this equates to around 2.5% of the IJB budget for 2021-22 which is above the lower target level of 2% and does demonstrate significant progress towards establishing a contingency reserve of between 2% and 4%.

£1.486m is held by the Council to support a further repayment of debt at the end of 2022-23 and this is not reflected in the financial projection. The Council and Partnership are currently exploring options to clear the full debt by the end of the current financial year.

		General Fund Reserves		Earmarked Reserves			Total
		Debt to NAC	Free GF	SG Funding	Non-SG Funding £m	HSCP	
		£m	£m	£m	£m	£m	£m
Opening Balance - 1 April 2022		(2.321)	7.248	23.106	0.699	0.500	29.232

3.	**PROPOSALS**
3.1	**Anticipated Outcomes**
	Continuing to closely monitor the financial position will allow the IJB to take corrective action where required to ensure the Partnership can deliver services in 2022-23 from within the available resource, thereby limiting the financial risk to the funding partners. The estimated costs and funding in relation to the Covid-19 response also require to be closely monitored to ensure that the IJB can plan for the impact of this and to ensure that the IJB is in the position to re-claim funding to compensate for the additional costs.
3.2	**Measuring Impact**
	Ongoing updates to the financial position will be reported to the IJB throughout 2022-23.
4.	**IMPLICATIONS**

Financial:	The financial implications are as outlined in the report. Against the full-year budget of £280.943m there is a projected underspend of £0.051m. The report outlines the main variances for individual services.
Human Resources:	The report highlights vacancy or turnover savings achieved to date. Services will review any staffing establishment plans and recruitment in line with normal practice when implementing service change and reviews as per agreement with the IJB, there is no intention to sustain this level of staffing capacity reduction on a recurring or planned basis.
Legal:	None
Equality:	None
Children and Young People	None
Environmental & Sustainability:	None
Key Priorities:	None
Risk Implications:	Para 2.13 highlights the financial risks. The report falls in line with the agreed risk appetite statement which is a **low-**risk appetite in respect to adherence to standing financial instructions, financial

	controls and financial statutory duties and a **high**-risk appetite in relation to finance and value for money.
Community Benefits:	None

Direction Required to Council, Health Board or Both	Direction to: -	
	1. No Direction Required	
	2. North Ayrshire Council	
	3. NHS Ayrshire & Arran	
	4. North Ayrshire Council and NHS Ayrshire & Arran	√

5.	CONSULTATION
5.1	This report has been produced in consultation with relevant budget holders and the Partnership Senior Management Team. The IJB financial monitoring report is shared with the NHS Ayrshire and Arran Director of Finance and North Ayrshire Council's Head of Finance after the report has been finalised for the IJB.
6.	**CONCLUSION**
6.1	It is recommended that the IJB: (a) notes the overall integrated financial performance report for the financial year 2022-23, the overall projected year-end underspend of £0.051m; (b) notes the progress with delivery of agreed savings; (c) notes the remaining financial risks for 2022-23; (d) approves the budget reductions which are detailed at para 2.12.

For more information please contact:

Paul Doak, Head of Finance and Transformation at pdoak@north-ayrshire.gov.uk or Eleanor Currie, Principal Manager – Finance at eleanorcurrie@north-ayrshire.gov.uk

2022-23 Budget Monitoring Report–Objective Summary as at 30th September 2022   **Appendix A**

Partnership Budget - Objective Summary	2022/23 Budget									Over/ (Under) Spend Variance at Period 4	Movement in projected variance from Period 4
	Council			Health			TOTAL				
	Budget	Outturn	Over/ (Under) Spend Variance	Budget	Outturn	Over/ (Under) Spend Variance	Budget	Outturn	Over/ (Under) Spend Variance		
	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000	£'000
COMMUNITY CARE AND HEALTH	**64,383**	**64,263**	**(120)**	**16,444**	**16,894**	**450**	**80,827**	**81,157**	**330**	**(757)**	**1,087**
: Locality Services	27,792	27,489	(303)	5,250	5,350	100	33,042	32,839	(203)	(352)	149
: Community Care Service Delivery	31,477	31,380	(97)	0	0	0	31,477	31,380	(97)	(1,029)	932
: Rehabilitation and Reablement	1,896	1,889	(7)	0	0	0	1,896	1,889	(7)	(5)	(2)
: Long Term Conditions	926	1,098	172	9,083	9,433	350	10,009	10,531	522	464	58
: Community Link Workers	182	180	(2)	0	0	0	182	180	(2)	1	(3)
: Integrated Island Services	2,110	2,227	117	2,111	2,111	0	4,221	4,338	117	164	(47)
MENTAL HEALTH SERVICES	**31,103**	**31,997**	**894**	**56,867**	**56,974**	**107**	**87,970**	**88,971**	**1,001**	**726**	**275**
: Learning Disabilities	21,638	22,963	1,325	482	482	0	22,120	23,445	1,325	1,117	208
: Community Mental Health	5,757	5,326	(431)	1,676	1,589	(87)	7,433	6,915	(518)	(451)	(67)
: Addictions	3,708	3,708	0	1,686	1,628	(58)	5,394	5,336	(58)	(30)	(28)
: Lead Partnership Mental Health NHS Area Wide	0	0	0	53,023	53,275	252	53,023	53,275	252	90	162
CHILDREN & JUSTICE SERVICES	**32,407**	**34,357**	**1,950**	**4,025**	**4,025**	**0**	**36,432**	**38,382**	**1,950**	**1,903**	**47**
: Irvine, Kilwinning and Three Towns	3,099	3,106	7	0	0	0	3,099	3,106	7	(1)	8
: Garnock Valley, North Coast and Arran	2,110	2,077	(33)	0	0	0	2,110	2,077	(33)	0	(33)
:Intervention Services	1,767	1,748	(19)	340	340	0	2,107	2,088	(19)	(10)	(9)
: Care Experienced Children & Young people	21,695	23,687	1,992	0	0	0	21,695	23,687	1,992	1,914	78
: Head of Service - Children & Families	1,191	1,200	9	0	0	0	1,191	1,200	9	0	9
: Justice Services	2,381	2,378	(3)	0	0	0	2,381	2,378	(3)	0	(3)
: Universal Early Years	164	161	(3)	3,250	3,250	0	3,414	3,411	(3)	0	(3)
: Lead Partnership NHS Children's Services	0	0	0	435	435	0	435	435	0	0	0
CHIEF SOCIAL WORK OFFICER	2,564	1,578	(986)	0	0	0	2,564	1,578	(986)	(700)	(286)
PRIMARY CARE	0	0	0	49,650	49,650	0	49,650	49,650	0	0	0
ALLIED HEALTH PROFESSIONALS			0	8,852	8,728	(124)	8,852	8,728	(124)	(124)	0
COVID NHS	0	0	0	733	733	0	733	733	0	0	0
MANAGEMENT AND SUPPORT COSTS	11,705	9,234	(2,471)	2,210	2,348	138	13,915	11,582	(2,333)	(1,220)	(1,113)
LOCAL AUTHORITY PAY AWARD SHORTFALL	0	441	441	0	0	0	0	441	441	0	441
OUTTURN ON A MANAGED BASIS	**142,162**	**141,870**	**(292)**	**138,781**	**139,352**	**571**	**280,943**	**281,222**	**279**	**(172)**	**451**
Return Hosted Over/Underspends East	0	0	0	0	(82)	(82)	0	(82)	(82)	(29)	(53)
Return Hosted Over/Underspends South	0	0	0	0	(78)	(78)	0	(78)	(78)	(28)	(50)
Receive Hosted Over/Underspends South	0	0	0	0	53	53	0	53	53	63	(10)
Receive Hosted Over/Underspends East	0	0	0	0	(223)	(223)	0	(223)	(223)	(223)	0
OUTTURN ON AN IJB BASIS	**142,162**	**141,870**	**(292)**	**138,781**	**139,022**	**241**	**280,943**	**280,892**	**(51)**	**(389)**	**338**

2022-23 Transformation Plan **Appendix B**

Savings reference number	Project	Project Description	Deliveribility Status	Saving/ Investment	Approved Saving 2022/23 £	Investment	Saving Delivered at Month 6 £	Projected Saving £	Projected Shortfall 22/23 £
Children, Families and Justice Services									
SP/HSCP/20/1	Children and Young People - External Residential Placements	Monitor and review all placements with a view to reducing the overspend.	Amber	Saving			-	-	
SP/HSCP/20/4	Adoption Allowances	Montior Adoption Allowances. With a view to reduce the overspend	Red	Saving	59,535		-	59,535	
SP/HSCP/20/19	Fostering - reduce external placements.	Monitor Fostering Placements with a view to reduce the overspend	Red	Saving			-	-	
	Transport review	Review of costs relating to taxi utilisation and implemention of new electronic form. Aim to reduce transport budget in council. Links in with David Hammonds Tranformation Project.	Red	Saving					
	Grow internal fostering capacity	Review capacity of existing foster carers with a view of increasing existing capacity	Amber	Cost neutral					
NACSTA4030	Fostering Short Breaks	Develop an inhouse short break service to replace the commisioned service provided by Cornerstone.	Amber	Saving			-	-	-
	Mental Health and LD								
	Transformation of CAMHS - CAMHS Specification	CAMHS have reviewed and updated referral guidance to align with the CAMHS National Specification. Some risks identified in order to facilitate the continued changes are accommodation, and recruitment of clinical staff.	Amber	Investment		1,091,463			
	Transformation of CAMHS - CAMHS Age 25	CAMHS are developing specific pathways to provide care and support up to the age of 25 where appropriate e.g. Eating Disorders, Neuro, Personality Disorders, Early Psychosis.	Amber	Investment		623,402			
	Transformation of CAMHS - CAMHS Waiting List	Two external providers have been procured to support Neuro waiting for assessment (Purple House	Amber	Investment		311,701			

Savings reference number	Project	Project Description	Deliveribility Status	Saving/ Investment	Approved Saving 2022/23 £	Investment	Saving Delivered at Month 6 £	Projected Saving	Projected Shortfall 22/23 £
	Transformation of CAMHS - CAMHS Psyc Waiting List	Clinical Director & Senior Manager agreed plan in order to reduce access to Psychiatry. In addition to this, 3 non-medical prescribers have been trained and are prescribing for ADHD clinics.	Amber	Investment		366,707			
	Transformation of CAMHS - Out of Hours Unscheduled Care	Recruitment and implementation of a new service to provide support to children and young people on an unscheduled basis. CAMHS are being commissioned by Paediatrics to deliver this service via Scottish Government funds.	Amber	Investment		86,294			
	Transformation of CAMHS - CAMHS Intensive Home Treatment	Recruitment is ongoing. Accommodation required to house team together. Ongoing development of policies and procedures for team in alignment with partners agencies	Amber	Investment		14,752			
	Transformation of CAMHS - CAMHS Liaison		Amber	Investment		129,073			
	Primary Care Mental Health investment	Creation of a business case to deliver Mental Health to Primary Care over the next 4 years. Allocation of funds will be incrementally increased over the duration of the next four years. North leading for Ayrshire.	Green	Investment		261,159			
	Continued review of models of care at Woodland View	A particular focus on rehabilation models of care for MH building on learning from Warrix Avenue. Development of a business case for ARBD is also underway. A test of change for ward 7B will be reported through this workstream.	Amber						
	Implementation of MAT standards	Programme of work to set up the systems required to report on Medical Assisted Treatment standards for Addictions. The programme will be run on a pan ayrshire basis led by North. The national direction was for this to be led by Public Health but they have not started any recruitment so North will take forward in the meantime.	Green	Investment					
	Complex Care Model - Independent living change fund	Recruit the Intensive Support Team agreed through this fund and monitor progress of assessments of out of area placements. A dynamic register should be developed and maintained which will feed into national data.	Amber	Investment		513,000			
	ACORN business model	Mental Health Rehabilitation service needing help to transition to a social enterprise. Now incoporated within Caring for Ayrshire.	Red	Saving	-		-	-	-
	Implementation of Trakcare Patient Management System in Community Services	Implementation of new information recording system for NHS to report on 18 weeks RTT. This will include development of new processes and transfer of data from current system to the new one. This will allow for better recording of clinical activity and inform future DCAQ work. Adult community mental health will go live first followed by other community teams currently utilisating Access databases. A Pan	Green	Cost neutral					
	Implementation of Unscheduled Care	Part of the national redesign of urgent care work. The aim of the mental health project is to deliver an integrated system to support mental health and wellbeing by utilising existing mental health services and enhancing their pathways for unscheduled mental health presentations.	Green	Investment					

Savings reference number	Project	Project Description	Deliveribility Status	Saving/ Investment	Approved Saving 2022/23 £	Investment	Saving Delivered at Month 6 £	Projected Saving	Projected Shortfall 22/23 £
Health and Community Care									
	TEC Solutions	To appoint a temporarory 'Project Manager' post, who will oversee the procurement and installation of	Green	Investment		50,000		-	-
	Analogue to Digital	Funding received for a Project Manager to manage the process of moving all services users from analogue to digital technology.	Amber	Investment		996,000			
SP/HSCP/20/17	Care at Home - Service Review	This project will incorporate the review of the care at home job role and any implications for service as a	Amber	Investment				-	-
	Hospital Team Model		Green						
	Arran Integrated Services model	Continue to work towards an Integrated Hub on Arran building on the frailty work and developing a single point of contact for all health and social care services. It is anticipated there will be a substantial amount of investment required and a business case will be developed.	Green						
	Primary Care Investment Fund	Remodel how we deliver primary care locally, ensuring that multi-disciplinary teams are available in each medical practice across North Ayrshire. This will help ensure that when needed local people will get the right care and support they need	Green	Investment					
	HSCP MDT - Community Health & Care	Implement HSCP MDTs across each of the localities to support GP practices and HSCP service coordinate care for those with the most complex needs. This approach will replace Older People Local Operational Teams.'							
	Develop Care at Home - Minimum data set	Scope all current recording processes for data and look to consolidate a dataset that can be used for all reporting needs.		Cost neutral					
	AHP Whole System redesign	exercise; to better understand the distribution and contribution of AHPs in health and care in North Ayrshire, to support future workforce planning that maximises this contribution for the benefit of the people of North	Amber						
	Interim Beds	To utilise a one-off lump sum, provided by the Scottish Government, to provide interim beds, for a maximum of 6 weeks, for clients who will have an onward move to permanent care.	Green						

Savings reference number	Project	Project Description	Deliveribility Status	Saving/ Investment	Approved Saving 2022/23 £	Investment	Saving Delivered at Month 6 £	Projected Saving	Projected Shortfall 22/23 £
Partnership Wide									
	Supported acc models - NAC housing/ Sleepover/ outreach model	Continue working with third sector providers to implement supported accommodation models in the	**Green**	Saving				-	-
	SDS Review	Engage with all stakeholders to look at how we encourage a more innovative and person centred approach to SDS. Implement an SDS Review Learning Board to help progress.							
	Carers Review	Develop a resource release model for allocation of funds for carers as well as implement a short break service.	**Amber**	Saving			-	-	-
	Adult Complex Care Model - Call Monitoring	Review of call monitoring system for provision of adult community supports. This will include evaluation of current provision and development of a specification for future tender as the current contract is due to expire.							
	Implementation of Eclipse information system	Implementation of new information recording system for social care to replace Care First. This will include dedvelopment of new protocols and transfer of data from current system to the new one.							
	Money matters and GP Practice Welfare Rights service	Facilitate the introduction of a money advise service available within GP practices.		Investment		78,000			
	Payroll Turnover Inflation	Monitor slippage through staff turnover with a view to meeting the savings target.		Saving	301,201		301,201	-	-
	Business Support Review (linked to Care at home review)	Scope and review the remit of the business support unit and how it could be adapted to the benefit of all HSCP teams.							
	North Elderly Mental Health inpatients (lead partnership)	Agree the spend going forward for the recurring savings achieved through bed retraction from Ailsa.		Saving	321,000		321,000	-	-
	HSCP Challenge Fund - invest to save	Monitoring of all projects approved through the Challenge Fund with a focus on invest to save ideas.							
	Transitions	Improve transition pathways from Childrens to Adult services as well as into older adults in order to improve outcomes for service users.							
	Caring for Ayrshire	The focus for Caring for Ayrshire is to bring a greater proportion of health provision into local communities. The Caring for Ayrshire work will ensure local GP practices are fit for purpose and have the capacity to host multi-disciplinary teams and meet local health and care needs.		Investment					
	Advocacy Strategy	Refresh of Advocacy strategy with a view to incorporating both adult and childrens services.		Cost neutral					

2022-23 Savings Tracker   **Appendix C**

North Ayrshire Health and Social Care Partnership
2022/23 Savings

Savings ref number	Description	Deliverability Status at budget setting	Approved Saving 2021/22 £m	Deliverability Status Month 6	Saving Delivered @ Month 6 £m	Projected to Deliver during Year £m	Projected Shortfall £m	Comment
1	Adoption Allowances	**Amber**	0.060	**Amber**	-	0.060	-	Currently projecting an overspend.
TOTAL SOCIAL CARE SAVINGS			**0.060**		**0.000**	**0.060**	**0.000**	

Savings ref number	Description	Deliverability Status at budget setting	Approved Saving 2021/22 £m	Deliverability Status Month 6	Saving Delivered @ Month 6 £m	Projected to Deliver during Year £m	Projected Shortfall £m	Comment
2	Payroll Turnover Inflation	**Green**	0.302	**Blue**	0.302		-	Achieved
3	Elderly Mental Health inpatients (lead partnership)	Green	0.321	**Blue**	0.321	-	-	Achieved
TOTAL HEALTH SAVINGS			**0.623**		**0.623**	**0.000**	**0.000**	
TOTAL NORTH HSCP SAVINGS			**0.683**		**0.623**	**0.060**	**0.000**	

2022-23 Budget Reconciliation   Appendix D

COUNCIL	Period	Permanent or Temporary	£'m
Initial Approved Budget			116.017
Base budget adjustments	1		(0.046)
Uploaded Budget			**115.971**
Resource Transfer	1	P	26.228
Software Licences transfer to IT	3	P	(0.002)
Montrose Cleaning Post to Facilities Management	3	P	(0.014)
Software Licences transfer to IT	4	P	(0.003)
Summer of Play Funding from Education	5	T	0.056
Insurance – transfer to corporate	6	P	(0.075)
Software Licences transfer to IT	6	P	(0.006)
MARAC funding	6	T	0.009
Roundings			(0.002)
Budget Reported at Month 6			**142.162**

HEALTH	Period	Permanent or Temporary	£'m
Initial Approved Budget			**163.988**
Resource Transfer			(26.228)
Month 10-12 Adjustments			22.401
Adjust for Non-recurring funding			(22.408)
Full Year effect of Part Year Reductions			0.128
REVISED 22-23 BUDGET			**137.881**
Training Grade Adj - April	1	P	(0.064)
Vire No 2 - East to North CAMHS Admin	1	P	0.099
Band 2-4 SG Funding reduction	1	P	(0.007)
AHP Clinical Admin Budget Transfer	2	P	0.048
Dean Funding to Partnerships	2	P	0.085
Prescribing Uplift	2	P	1.631
Prescribing Cres	2	P	(0.715)
Prescribing out non schedule 5	2	P	(0.429)
Scottish Huntington's Post	3	P	0.014
Daldorch Income Shortfall	3	P	0.045
Community Store Contributions	3	P	(0.006)
Iona/Lewis Patient to South	3	T	(0.046)
Marie Curie contract uplift	3	P	(0.004)
Trakcare/Huntington's/ Daldorch	3	P	0.086
Staff Wellbeing Posts from OH&RD	4	P	0.193
Top Slicing Posts- Prescribing	4	P	(0.071)
Admin Post transferred to Medical Records	4	T	(0.034)
Naloxone for Police Scotland	4	T	0.026

Dean Funding	5	P	0.095
Rx Top Slicing to Pharmacy	5	P	(0.008)
Uplift DOAC (Direct Oral Anticoagulant) Rebate	5	P	0.06
Uplift CRES to Primary Care Rebate Scheme	5	P	0.068
Dysphagia Post	5	P	(0.021)
ADP PSST Support	5	T	0.008
CAMHS Liaison Funding	5	T	(0.350)
Specialist Pharmacist in Substance Misuse	6	T	0.012
BBV (Blood Borne Virus) Funding	6	T	0.242
Maternal and Infant Nutrition Allocation	6	T	0.020
Dean Funding Pay Award	6	P	0.061
GP Office 365 Upgrade	6	T	(0.137)
Roundings	6		(0.001)
Budget Reported at Month 6			**138.781**

COMBINED BUDGET MONTH 6	**280.943**

Mobilisation Submission – Month 6

	Covid-19 Costs - HSCP - All												
Workstream Mapping	£000s	April	May	June	July	August	September	October	November	December	January	February	March	2022-23 Revenue Total
1. Public Health	Scale up of Public Health Measures	0	0	0	0	0	0	0	0	0	0	0	0	**0**
2. Vaccinations	Flu Vaccination & Covid-19 Vaccination (FVCV)	0	0	0	0	0	0	0	0	0	0	0	0	**0**
3. Workforce and Capacity	Additional Community Hospital Bed Capacity	0	0	0	0	0	0	0	0	0	0	0	0	**0**
3. Workforce and Capacity	Additional Staff Costs (Contracted staff)	(17)	0	0	0	0	0	0	0	0	0	0	0	**(17)**
3. Workforce and Capacity	Additional Staff Costs (Non-contracted staff)	92	93	93	109	109	109	109	109	109	109	109	109	**1,260**
4. PPE, Equipment and IPC	Additional Equipment and Maintenance	0	0	0	0	0	0	0	0	0	0	0	0	**0**
4. PPE, Equipment and IPC	Additional Infection Prevention and Control Costs	45	45	45	32	32	20	18	18	18	18	18	18	**326**
4. PPE, Equipment and IPC	Additional PPE	0	0	0	0	0	0	0	0	0	0	0	0	**0**
4. PPE, Equipment and IPC	PPE Hub Running Costs	0	0	0	0	0	0	0	0	0	0	0	0	**0**
5. Social Care and Community Capacity	Additional Capacity in Community	21	9	10	(13)	0	(27)	0	0	0	0	0	0	**0**
5. Social Care and Community Capacity	Additional Care Home Placements	0	0	0	0	0	0	0	0	0	0	0	0	**0**
5. Social Care and Community Capacity	Adult Social Care	0	0	0	0	0	0	0	0	0	0	0	0	**0**
5. Social Care and Community Capacity	Children and Family Services	188	79	79	68	68	139	81	81	81	81	81	81	**1,107**
5. Social Care and Community Capacity	Homelessness and Criminal Justice Services	0	0	0	0	0	0	0	0	0	0	0	0	**0**
5. Social Care and Community Capacity	Reducing Delayed Discharge	0	0	0	0	0	0	0	0	0	0	0	0	**0**
5. Social Care and Community Capacity	Covid-19 Financial Support for Adult Social Care Provider	291	291	291	243	243	459	55	55	54	54	54	54	**2,143**
5. Social Care and Community Capacity	Social Care Support Fund Claims	0	0	0	0	0	0	0	0	0	0	0	0	**0**
5. Social Care and Community Capacity	Chief Social Work Officer	0	0	0	0	0	0	0	0	0	0	0	0	**0**
6. Primary Care	Additional FHS Contractor Costs	13	13	13	12	12	12	0	0	0	0	0	0	**75**
6. Primary Care	Primary Care	0	0	0	0	0	0	0	0	0	0	0	0	**0**
7. Miscellaneous	Digital & IT costs	0	0	0	0	0	0	0	0	0	0	0	0	**0**
7. Miscellaneous	Loss of Income	47	41	41	41	41	43	(29)	0	0	0	0	0	**225**
7. Miscellaneous	Other	0	0	0	0	0	0	0	0	0	0	0	0	**0**
7. Miscellaneous	Payments to Third Parties	0	0	0	0	0	0	0	0	0	0	0	0	**0**
7. Miscellaneous	Staff Wellbeing	0	0	0	0	0	0	0	0	0	0	0	0	**0**
7. Miscellaneous	Patient Transport	0	0	0	0	0	0	0	0	0	0	0	0	**0**
Total Covid Costs - HSCP - All		**680**	**571**	**572**	**492**	**504**	**755**	**234**	**263**	**262**	**262**	**262**	**262**	**5,119**

Reserves Position in Detail

Earmarked Funds	
: Alcohol & Drug Partnership	890
: Mental Health Action 15	511
: Primary Care Improvement Fund	1,856
: 21-22 Budget Gap	0
: Challenge Fund	500
: Community Living Change Fund	513
: Covid19 Funding	13,321
: Neighbourhood Networks	145
: Mental Health Officer Development Grant	41
: NAC Recovery and Renewal – Mental Health Element	71
: Joint Equipment	5
: Nethermains Adaptations	40
: Supported Accommodation	50
: Care at Home Capacity	1,192
: Interim Care	1,046
: Trauma Training	50
: Trauma Trainer	48
: Family Wellbeing Fund	106
: Perinatal MH Nurse	65
: Unaccompanied Asylum-Seeking Children	11
: Multi-Disciplinary Teams	644
: Health Care Support Workers	144
: MH Recovery and Renewal	2,057
: Medical photography	4
: Data Sims	28
: School Nursing	56
: Buvidal	109
: AHP Winter Funding	51
: Perinatal and Infant Mental Health	86
: Cossette Funding	18
: Replacement Mattress Programme	78
: Expansion of Primary Care Estates	55
: GP Premises Improvements - tranches 1 and 2	81
: Mental Health Wellbeing in Primary Care	40
: Dental Practice Improvement	265
: Dental Winter Preparedness	128
Total Earmarked	**24,305**
Outstanding Debt	(2,321)
Unallocated General Fund	7,248
General Fund	**29,232**

NORTH AYRSHIRE COUNCIL

29 November 2022

Cabinet

Title:	**Capital Programme Performance to 31 March 2023**
Purpose:	To advise Cabinet of progress in delivering the Capital Investment Programme for 2022/23.
Recommendation:	That Cabinet agrees to (a) note the revisions to budgets outlined in the report; and (b) note (i) the General Services and HRA revised budgets at 30 September 2022; and (ii) the forecast expenditure to 31 March 2023.

1. Executive Summary

1.1 The General Services Capital Investment Programme 2022/23 to 2030/31 was approved by Council on 2 March 2022. The Housing Revenue Account (HRA) Capital Investment Programme 2022/23 sits within the updated HRA Business Plan and was approved by Council on 16 February 2022.

1.2 This report identifies the current programme for 2022/23, taking account of adjustments made to the initial budgets. The report presents the revised budgets at 30 September 2022 and forecast expenditure to 31 March 2023.

1.3 At Period 6 the General Fund is forecasting a projected underspend of (£0.020m) against a revised budget of £63.762m. The HRA is forecasting a projected underspend of (£4.889m) against a revised budget of £65.851m.

1.4 Within the General Fund, adjustments to funding have resulted in additions to the overall capital programme of £18.748m. Further reviews of individual project plans have identified a number of adjustments to the current profiles. As a result, (£25.462m) has been reprofiled for delivery in 2023/24. This has been partly offset by the acceleration of £0.842m to 2022/23 from future years.

1.5 Additional Scottish Government grant funding of £21.511m has been confirmed. This includes £17.237m as an 80% contribution towards the additional project costs arising from the Millport Coastal flood prevention scheme, which has been reprofiled for utilisation in future years, and a £3.225m contribution towards the 2022/23 local government pay award, which has been transferred to Revenue.

1.6 Within the HRA, a review of delivery timescales has identified a requirement to re-profile (£10.646m) of works for delivery in 2023/24 and beyond. This is offset by the acceleration of £1.352m to 2022/23 from future years.

1.7 The major risk to the forecast position is the uncertainty arising from the ongoing inflationary pressures and supply chain issues which are impacting on tender returns and the cost of materials, as reported across a number of General Fund and HRA projects. While some mitigation has been built into the programme to offset cost pressures, any further significant increase in costs will result in increased borrowing requirements and may have a negative impact on the deliverability of both the General Fund and HRA capital programmes for 2022/23 and beyond. Projects will continue to be monitored closely with cost increases met initially from the additional flexibility built into the programme. However, any requirement for further borrowing will be a matter for Council to consider.

2. Background

General Fund

2.1 The following table outlines the movements in the 2022/23 General Services budget:

	2022/23 £m
Budget as at 31 July 2022	69.634
a) Changes to Funding	18.529
b) Other Revisions to the Programme	0.219
Revised Budget	88.382
c) Alterations to phasing of projects:- 2023/24 to 2022/23 2022/23 to 2023/24	0.842 (25.462)
Budget as at 30 September 2022	63.762

2.2 (a) Changes to Funding

The capital programme has been updated to reflect the following changes to funding:

Funding Body	Amount	Project
Scottish Government	£0.540m	Island Pit Stops
Scottish Government	£0.509m	Millport Town Hall
Scottish Government	£17.237m	Millport Coastal FPS - additional contribution
Transport Scotland	£0.717m	A737 Dalry Trupnk Road
Sustrans	(£0.154m)	Access Paths - grant downturned
SPT	(£0.070m)	Bus Corridor Improvements - grant downturned
SPT	(£0.250m)	Brodick Cyce Path - grant downturned
Total	**£18.529m**	

The additional funding includes an 80% Scottish Government contribution, £17.237m, towards the Millport Coastal flood protection scheme, as noted by Cabinet on 1 November 2022. This has been subsequently reprofiled to future years to match the revised project plan. The additional North Ayrshire Council contribution of £4.310m has been transferred from the Flexibility budget across the remaining years of the project.

2.3   (b) Other Revisions to the Programme

Adjustments to the application of funding from Revenue has resulted in an adjustment of £0.219m. In addition, as part of the Scottish Government funding contribution towards the 2022/23 local government pay award, an additional General Capital Grant of £3.225m has been confirmed. This has resulted in a number of offsetting adjustments to facilitate the transfer of these resources to Revenue to meet the targeted costs.

Funding Source	Amount	Project
CFCR	£0.055m	Marress House
CFCR	£0.164m	Shewalton Landfill Gas Extraction Equipment
Scottish Government	£3.225m	Contribution to the 2022/23 LG Pay Award
Use of Reserves	(£0.992m)	Adjusted to account for 22-23 pay award funding
CFCR	(£0.354m)	Adjusted to account for 22-23 pay award funding
Prudential Borrowing	(£1.879m)	Adjusted to account for 22-23 pay award funding
Total	£0.219m	

2.4   (c) Alterations to the Phasing of Projects

The ongoing review of individual project plans, taking cognisance of the current levels of volatility within the construction sector, has identified a requirement to re-profile a further (£25.462m) of works for delivery in 2023/24 and beyond. This includes a corporate phasing adjustment reflecting the degree of uncertainty in the total expenditure projections:

Service	Amount	Project
Communities	(£0.060m)	UFSM Caledonia Primary
	(£0.060m)	
Chief Executives	(£0.842m)	i3 Flexible Business Space
	(£0.500m)	AGD - Ardrossan IMSE
	(£0.282m)	ICT Investment Fund
	(£0.250m)	AGD - Marine Tourism
	(£0.200m)	Telephony
	(£0.110m)	LAN/WIFI
	(£2.184m)	
HSCP	(£0.330m)	Community Alarms Analogue to Digital
	(£0.330m)	
Place	(£22.515m)	Millport Coastal FPS
	(£0.900m)	HOME Project
	(£0.500m)	Fleet Decarbonisation
	(£0.296m)	A737 Dalry Bypass
	(£0.201m)	Bridges Infrastructure
	(£0.100m)	Roads Improve/Reconcstruction
	(£0.075m)	Traffic Calming
	(£24.587m)	
Corporate	(£2.850m)	Flexibility - Contribution to Millport Coastal FPS
	£4.549m	Uncertainty / Sensitivity Adjustment
	£1.699m	
Total	**(£25.462m)**	

These adjustments have been partly offset by the acceleration of £0.842m of expenditure to 2022/23 from future years.

Service	Amount	Project
Place	£0.235m	Kilwinning Cemetery
	£0.250m	Brodick Cycle Path
	£0.157m	B714 Upgrade
	£0.150m	Shewalton Landfill
	£0.050m	Bus Corridor Improvements
	£0.842m	
Total	**£0.842m**	

2.5   These adjustments have resulted in a revised 2022/23 budget at 30 September 2022 of £63.448m.

2.6 The following graph illustrates the movement in each programme on a service basis compared to the revised programme:
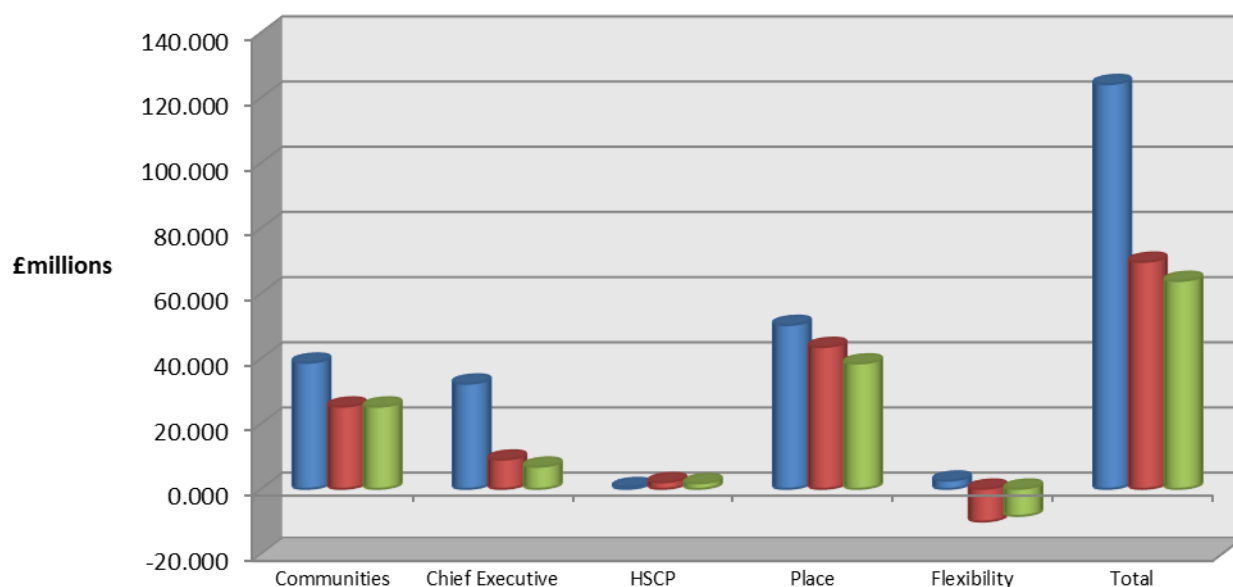
	Communities	Chief Executive	HSCP	Place	Flexibility	Total
Approved Programme	38.672	32.249	0.492	50.239	2.500	124.152
Programme @ P4	25.201	8.948	2.002	43.502	(10.019)	69.634
Programme @ P6	25.196	6.764	1.672	38.451	(8.321)	63.762
Movement	(13.476)	(25.485)	1.180	(11.788)	(10.821)	(60.390)

2.7 The impact on budgeted funding, elements of which are related to the profile of expenditure reported above, is a reduction of (£5.872m) from the revised budget, including:

Category	Amount	Comments
Borrowing	(£9.574m)	Rephased aligned to projected expenditure
Use of Reserves	(£0.992m)	Adjusted to account for 22-23 pay award funding
CFCR	(£0.135m)	Adjusted to account for 22-23 pay award funding
Capital Grants	£5.007m	Rephased and additional specific grants
Other Grants	(£0.178m)	Rephased and revised contributions
Total	**(£5.872m)**	

2.8   Projected Capital Expenditure to 31 March 2023

The projections are summarised by service in the following table:

	Revised Budget 2022/23	Budget Revisions	Carry Forwards and Adjustments	Revised Budget 2022/23	Projected Expenditure / Income to 31 March 2023	Projected Variance Over / (Under)
	£m	£m	£m	**£m**	£m	£m
Expenditure						
Communities	25.201	0.055	(0.060)	**25.196**	25.196	-
Chief Executive	8.948	-	(2.184)	**6.764**	6.764	-
Health and Social Care Partnership	2.002	-	(0.330)	**1.672**	1.672	-
Place	43.502	1.456	(6.507)	**38.451**	38.431	(0.020)
Other including Flexibility	(10.019)	-	1.698	**(8.321)**	(8.321)	-
Total Expenditure	69.634	1.511	(7.383)	**63.762**	63.742	(0.020)
Income						
General Capital Grant	(13.735)	(17.237)	14.012	**(16.960)**	(16.960)	-
Specific Capital Grant	(11.288)	(1.766)	(0.016)	**(13.070)**	(13.070)	-
Use of Reserve Funds	(0.992)	-	0.992	**-**	-	-
Capital Funded from Current Revenue	(0.135)	(0.219)	0.354	**-**	-	-
Capital Receipts	(0.359)	-	-	**(0.359)**	(0.359)	-
Other Grants & Contributions	(3.539)	0.474	(0.296)	**(3.361)**	(3.361)	-
Prudential Borrowing	(39.586)	-	9.574	**(30.012)**	(29.992)	0.020
Total Income	(69.634)	(18.748)	24.620	**(63.762)**	(63.742)	0.020

2.9   A minor underspend of £0.020m has been reported in relation to the completion of Largs Car Park Infrastructure project. Information on the progress of all projects can be found in Appendix 1.

2.10 Although not formally reflected in the financial performance reports at this time due to ongoing uncertainty, areas of cost risk have been identified as a result of cost volatility arising from the ongoing inflationary pressures, outstanding contractor claims and supply chain issues which are impacting on tender returns and the cost of materials. Specific projects where cost risks have been identified, or are anticipated, include Upper Garnock Flood Prevention Scheme, Moorpark Primary, Montgomerie Park Primary, Largs Sea Wall, Ardrossan North Shore and Ardrossan Campus. Some mitigation has been built into the Capital Investment Programme in the form of enhanced flexibility budgets, now totalling £7.8m over the next few years following the utilisation of £4.310m to support the Millport Coastal Flood Prevention Scheme. However, cost pressures may exceed this provision, requiring additional revenue investment to offset any additional borrowing requirements. These risks will be quantified as individual projects are completed and tendering exercises are finalised, with the impact on the costs of the programme being monitored and reported to Cabinet as appropriate. Any funding in excess of the current level of financial flexibility, which is required to deliver the current capital programme, will be a matter for Council to consider within the context of overall affordability.

Housing Revenue Account

2.11 The following table outlines the movements in the 2022/23 HRA Capital budget:

	2022/23 £m
Budget as at 31 July 2022	75.145
a) Alterations to phasing of projects:-	
2022/23 to 2023/24	(10.646)
2023/24 to 2022/23	1.352
Budget as at 30 September 2022	65.851

2.12 (a) Alterations to the Phasing of Projects

A further review of the timescale for delivery of capital projects has identified a requirement to re-profile (£10.646m) of works for delivery in 2023/24 and beyond, including:

Category	Amount	Project
New Builds	(£8.820m)	Contingency
	(£0.033m)	Other minor adjustments
	(£8.853m)	
Improvements	(£0.595m)	Saltcoats MSF Investment
	(£0.595m)	
Refurbishments	(£0.188m)	Demolition High Flats Irvine
	(£0.188m)	
Other	(£0.564m)	Detection Equipment
	(£0.446m)	Estate Based Regeneration
	(£1.010m)	
Total	**(£10.646m)**	

This has been partly offset by the acceleration of £1.352m of project expenditure for delivery during 2022/23, including:

Category	Amount	Project
New Builds	£0.720m	Garnock Academy Site
	£0.116m	Largs Police Station
	£0.111m	New Build St Colms Irvine
	£0.104m	New Build St Michaels Wynd
	£0.101m	New Build Flatt Road Phase 1
	£1.152m	
Improvements	£0.133m	Kitchen Programme Voids
	£0.061m	Bathroom Programme Voids
	£0.006m	Other minor adjustments
	£0.200m	
Total	**£1.352m**	

2.13 These adjustments have resulted in a revised 2022/23 budget at 30 September 2022 of £65.851m.

2.14 The impact on budgeted funding is a reduction of £9.294m in projected Prudential Borrowing aligned to the revised programme.

2.15 Projected Capital Expenditure to 31 March 2023

The projections are summarised in the following table:

	Revised Budget 2022/23	Carry Forwards and Adjustments	**Revised Budget 2022/23**	Projected Expenditure / Income to 31 March 2023	Projected Variance Over / (Under)
Service	£m	£m	**£m**	£m	£m
Expenditure					
Housing Revenue Account	75.145	(9.294)	**65.851**	60.962	(4.889)
Total Expenditure	75.145	(9.294)	**65.851**	60.962	(4.889)
Income					
CFCR	(12.209)	-	**(12.209)**	(12.209)	-
Capital Grants	(4.327)	-	**(4.327)**	(4.327)	-
Affordable Housing Contribution	(1.596)	-	**(1.596)**	(1.596)	-
Prudential Borrowing	(57.013)	9.294	**(47.719)**	(42.830)	4.889
Total Income	(75.145)	9.294	**(65.851)**	(60.962)	4.889

2.16 A variance of (£4.889m) is projected within the HRA capital programme for 2022/23 arising from revisions to a number of projects, including:

Project	Variance	Comments
Kitchen Programme	(£2.953m)	Aligned to revised Business Plan
Electrical Rewiring	(£1.044m)	Aligned to revised Business Plan
Roofing & Rendering	(£0.793m)	Aligned to revised Business Plan
Central Heating	(£0.125m)	Aligned to revised Business Plan
Kinnier Road	(£0.002m)	Completed October 2021
Total	**(£4.917m)**	

These have been partly offset by a projected overspend of £0.028m in relation to:

Project	Variance	Comments
Towerlands	£0.020m	Completed March 2022
Springvale New Build	£0.008m	Completed November 2021
Total	**£0.028m**	

2.17 Increased costs arising from tender inflation and supply chain issues have been identified in relation to some projects, including the Door Replacement Programme and Sheltered Housing Unit Improvements. Further cost pressures resulting from inflationary and supply chain issues continue to be monitored and a review of the potential impact on the Business Plan and Capital Programme will be undertaken to address any identified issues. Further information on the progress of all projects can be found in Appendix 2.

3. Proposals

3.1 That Cabinet agrees to (a) note the revisions to budgets outlined in the report; and (b) note (i) the General Services and HRA revised budgets at 30 September 2022; and (ii) the forecast expenditure to 31 March 2023.

4. Implications/Socio-economic Duty

Financial

4.1 The financial implications are as outlined in the report. Expenditure will continue to be closely monitored to ensure early action is taken regarding any projected underspends or overspends.

Human Resources

4.2 None.

Legal

4.3 None.

Equality/Socio-economic

4.4   None.

Environmental and Sustainability

4.5   None.

Key Priorities

4.6   This report directly supports the Council Plan 2019 to 2024 by maximising resources and providing value for money to support financially sustainable delivery models.

Community Wealth Building

4.7   None.

5.   Consultation

5.1   Progress as outlined in this report has been approved by Executive Directors.

Mark Boyd
Head of Service (Finance)

For further information please contact **David Forbes, Senior Manager (Strategic Business Partner),** on **01294 324551**.

Background Papers
Capital Programme Performance to 31 March 2023 – Cabinet, 27 September 2022

North Ayrshire Council Capital Statement 2022/23
Year Ended 31st March 2023

Period 6

Project Description	TOTAL PROJECT				CURRENT YEAR 2022/23								
	Total Project Budget	Cumulative Expenditure to date	Total Project Forecast	Projected Over/ (Under) Spend	Total Revised Budget 2022/23	Brought / Carry Forward to 2023/24	Total Revised Budget 2022/23	Year to Date Budget 2022/23	Actual Expenditure to 30 September 2022	Year to date Variance 2022/23	Projected Expenditure to 31st March 2023	Actual Over/ (Under) Spend for 2022/23	True Over/ (Under) Spend
	£	£	£	£	£	£	£	£	£	£	£	£	£
EXPENDITURE													
Communities													
Nursery Education	15,790,489	14,692,488	15,790,489	0	2,280,827	0	2,280,827	0	1,182,826	1,182,826	2,280,827	0	0
Primary Schools	35,676,441	4,166,768	35,676,441	0	20,522,778	(60,000)	20,462,778	0	1,201,801	1,201,801	20,462,778	0	0
Secondary Schools	74,575,465	3,554,417	74,575,465	0	1,300,053	0	1,300,053	0	256,377	256,377	1,300,053	0	0
Special Education	25,443,178	24,864,007	25,443,178	0	903,203	0	903,203	0	324,033	324,033	903,203	0	0
Schools Other	298,000	144,108	298,000	0	191,892	0	191,892	0	38,000	38,000	191,892	0	0
Information & Culture	125,916	14,848	125,916	0	53,289	0	53,289	0	8,285	8,285	53,289	0	0
Completed Projects	87,824,335	87,797,419	87,824,335	0	3,679	0	3,679	0	(23,237)	(23,237)	3,679	0	0
SUB TOTAL	**239,733,825**	**135,234,055**	**239,733,825**	**0**	**25,255,721**	**(60,000)**	**25,195,721**	**0**	**2,988,085**	**2,988,085**	**25,195,721**	**0**	**0**
Chief Executive													
Council IT Strategy	9,757,832	3,147,859	9,757,832	0	3,204,704	(592,000)	2,612,704	0	1,636,131	1,636,131	2,612,704	0	0
Ayrshire Growth Deal	75,093,987	1,723,231	75,093,987	0	3,524,000	(1,592,000)	1,932,000	0	440,420	440,420	1,932,000	0	0
Other Growth & Investment	44,718,115	3,152,494	44,718,115	0	2,219,440	0	2,219,440	0	204,910	204,910	2,219,440	0	0
SUB TOTAL	**129,569,934**	**8,023,584**	**129,569,934**	**0**	**8,948,144**	**(2,184,000)**	**6,764,144**	**0**	**2,281,460**	**2,281,460**	**6,764,144**	**0**	**0**
Health & Social Care													
Management & Support	2,050,595	786,438	2,050,595	0	640,839	(330,000)	310,839	0	42,682	42,682	310,839	0	0
Housing Non HRA	686,065	245,793	686,065	0	686,065	0	686,065	0	245,793	245,793	686,065	0	0
Adults	4,608,078	4,585,514	4,608,078	0	46,804	0	46,804	0	24,240	24,240	46,804	0	0
Young People	5,720,000	5,130,346	5,720,000	0	628,264	0	628,264	0	38,609	38,609	628,264	0	0
SUB TOTAL	**13,064,739**	**10,748,091**	**13,064,739**	**0**	**2,001,972**	**(330,000)**	**1,671,972**	**0**	**351,324**	**351,324**	**1,671,972**	**0**	**0**
Place													
Roads	108,250,303	25,227,133	108,230,303	(20,000)	23,456,557	(5,792,757)	17,663,800	0	5,714,980	5,714,980	17,643,800	(20,000)	(20,000)
Streetscene	6,580,996	2,195,547	6,580,996	0	2,023,694	235,000	2,258,694	0	776,017	776,017	2,258,694	0	0
Transport	3,293,811	894,883	3,293,811	0	3,178,211	(500,000)	2,678,211	0	779,282	779,282	2,678,211	0	0
Waste Services	14,853,343	14,539,343	14,853,343	0	314,000	0	314,000	0	0	0	314,000	0	0
Renewable Energy	8,890,393	1,638,421	8,890,393	0	1,067,368	0	1,067,368	0	39,957	39,957	1,067,368	0	0
Office Accommodation	1,918,102	582,760	1,918,102	0	1,918,102	0	1,918,102	0	582,760	582,760	1,918,102	0	0
Other Property	5,986,638	388,074	5,986,638	0	1,887,925	(900,000)	987,925	0	5,445	5,445	987,925	0	0
Other Housing	350,000	0	350,000	0	350,000	0	350,000	0	0	0	350,000	0	0
Regeneration	31,289,568	21,480,386	31,289,568	0	11,172,560	0	11,172,560	0	3,614,262	3,614,262	11,172,560	0	0
Completed Projects	8,994,855	8,898,234	8,994,855	0	40,595	0	40,595	0	(45,823)	(45,823)	40,595	0	0
SUB TOTAL	**190,408,009**	**75,844,780**	**190,388,009**	**(20,000)**	**45,409,012**	**(6,957,757)**	**38,451,255**	**0**	**11,466,879**	**11,466,879**	**38,431,255**	**(20,000)**	**(20,000)**
Other													
Other	9,305,741	0	9,305,741	0	2,351,616		2,351,616	0	0	0	2,351,616	0	0
SUB TOTAL	**9,305,741**	**0**	**9,305,741**	**0**	**2,351,616**	**0**	**2,351,616**	**0**	**0**	**0**	**2,351,616**	**0**	**0**
Uncertainty / Sensitivity Adjustment*						(10,671,851)	(10,671,851)				(10,671,851)		
Total Project Expenditure	**582,082,248**	**229,850,510**	**582,062,248**	**(20,000)**	**83,966,465**	**(20,203,608)**	**63,762,857**	**0**	**17,087,748**	**17,087,748**	**63,742,857**	**(20,000)**	**(20,000)**
Total Project Income					**(83,966,465)**	**20,203,608**	**(63,762,857)**	**(17,842,031)**	**(17,842,031)**	**0**	**(63,742,857)**	**20,000**	**20,000**
Total Net Expenditure					**0**	**0**	**0**	**(17,842,031)**	**(754,283)**	**17,087,748**	**0**	**0**	**0**

* Sensitivity adjustment of 10% or 25% based on source and reliability of expenditure projections

The following classifications have been used to highlight financial performance against budget

On Target (+0.5% of budget)

Slightly off target (+ 0.5% to 2% of budget, or £0.125m, whichever is less)

Significantly off target (+2% or more of budget, or £0.500m, whichever is less)

The following classifications have been used to highlight delivery performance against original timescales set

On Target (up to 5% delay of original timescales)

Slightly off target (+ 5% to 10% of original timescales)

Significantly off target (+10% or more of original timescales)

Capital Programme Funding 2022/23

Funding Description	22/23 Budget at Capital Refresh Mar 2022	Carry Forward from 2021/22	Changes after Capital Refresh Mar 2022	Approved budget at Period 1 used as revised starting point 2022/23	Total Changes in Year	Changes at Capital Refresh Mar 2023	Revised Budget 22/23	Actual Income to 30 September 2022	Projected Income to 31st March 2023	Variance
	£	£	£	£	£		£	£	£	£
CAPITAL BORROWING										
Prudential Borrowing	94,515,334	9,882,875	1,655,477	106,053,686	(55,975,905)		50,077,781		40,664,781	(9,413,000)
SUB TOTAL	94,515,334	9,882,875	1,655,477	106,053,686	(55,975,905)	0	50,077,781	0	40,664,781	(9,413,000)
SCOTTISH GOVERNMENT FUNDING										
Specific Capital Grants										
Early Learning & Childcare	464,253	517,775		982,028	0		982,028	978,659	982,028	0
Cycling / Walking /Safer Streets	1,111,122	38,831	(300,566)	849,387	(252,322)		597,065	(328,613)	597,065	0
Vacant & Derelict Land Funding	3,710,375	123,927	848,022	4,682,324	(1,595,199)		3,087,125	3,262,324	3,087,125	0
UK Government Grant - AGD	2,040,120			2,040,120	0		2,040,120	0	2,040,120	0
Lochshore - Garnock Community Visitor Hub	0	50,000		50,000	0		50,000	50,000	50,000	0
Town Centre Regeneration	0	166,774	250,000	416,774	0		416,774	416,773	416,774	0
Stevenston Beach Hub	0	34,525	50,000	84,525	0		84,525	84,525	84,525	0
Annickbank - Vacant & Derelict Land Investment Programme					400,000		400,000	0	400,000	0
Millport Town Hall Regeneration	0	382,028	1,187,810	1,569,838	0		1,569,838	1,569,838	1,569,838	0
Millport Town Hall Phase 2					509,450		509,450	0	509,450	0
Islands Pit Stops					540,000		540,000	0	540,000	0
Place Based Investment Programme	706,000	147,903	346,040	1,199,943	0		1,199,943	2,292,944	1,199,943	0
Island Infrastructure Fund	0		259,000	259,000	0		259,000	259,000	259,000	0
Bridges Infrastructure	567,000		(567,000)	0	0		0	0	0	0
B714 Improvements	857,907	197,160		1,055,067	0		1,055,067	1,212,000	1,212,000	156,933
CO2 Monitors in Schools	0	122,000		122,000	0		122,000	122,000	122,000	0
Capital Grants										
Flooding	2,778,000			2,778,000	0		2,778,000	0	2,778,000	0
Renewal of Play Parks	0		117,000	117,000	0		117,000	0	117,000	0
General Capital Grant	9,805,000		845,000	10,650,000	3,415,000		14,065,000	6,904,000	14,065,000	
SUB TOTAL	22,039,777	1,780,923	3,035,306	26,856,006	3,016,929	0	29,872,935	16,823,449	30,029,868	156,933
OTHER INCOME TO PROGRAMME										
Use of Funds :-										
Capital Fund	4,718,975	140,833	88,942	4,948,750	(4,948,750)	0	0	0	0	0
Change & Service Redesign Fund	0	42,682	0	42,682	(42,682)	0	0	0	0	0
Home Care System	0	42,682		42,682	(42,682)		0	0	0	
CFCR	600,000	0	0	600,000	(600,000)	0	0	97,682	0	0
Grants & Contributions	1,925,682	866,594	1,539,395	4,331,671	(674,391)	0	3,657,280	731,432	3,361,590	(295,690)
Capital Receipts	352,500	0	0	352,500	5,969	0	358,469	189,468	358,469	0
SUB TOTAL	7,597,157	1,050,109	1,628,337	10,275,603	(6,259,854)	0	4,015,749	1,018,582	3,720,059	(295,690)
TOTAL CAPITAL PROGRAMME FUNDING	124,152,268	12,713,907	6,319,120	143,185,295	(59,218,830)	0	83,966,465	17,842,031	74,414,708	(9,551,757)

COMMUNITIES

Project Description	TOTAL PROJECT				2022/23 BUDGETS								COMPLETION DATES		MILESTONE	DELIVERY STATUS		Comments
	Total Project Budget	Cumulative Expenditure to date	Total Project Forecast	Projected Over/ (Under) Spend	Total Revised Budget 2022/23	Year to Date Budget 2022/23	Actual Expenditure to 30 September 2022	Year to date Variance 2022/23	Projected Expenditure to 31 March 2023	Actual Over/ (Under) Spend for 2022/23	True Over/(Under) Spend	Brought / Carry Forward to 2023/24	Original Target	Revised Forecast	Current Project Stage	Delivery Status Financial	Delivery Status Physical	
	£	£	£	£	£	£	£	£	£	£	£	£						
Nursery Education																		
Early Years Programme																		
EARLY LEARNING & CHILDCARE FUTURE PROJECTS	4,073	4,073	4,073	0	0	0	0	0	0	0		0	Future Projects	Future Projects	Future Projects	On Target	On Target	Budget to be moved to individual projects once costed and approved. Anticipated that the overall funding will be required to deliver all ELC Projects
DYKESMAINS PS EARLY YEARS	0	0	0	0	0	0	0	0	0	0		0				On Target	On Target	
ST BRIDGETS EARLY YEARS	779,400	766,448	779,400	0	2,301	0	(10,651)	(10,651)	2,301	0		0	Complete	Complete	Complete	On Target	On Target	
KILMORY EARLY YEARS	55,978	28,117	55,978	0	27,986	0	125	125	27,986	0		0	15-Aug-22	15-Aug-22	Pre Tender	On Target	On Target	
ST PETERS EARLY YEARS	1,218,977	1,203,224	1,218,977	0	0	0	(15,753)	(15,753)	0	0		0	Complete	Complete	Complete	On Target	On Target	
ST JOHN OGILVIE EARLY YEARS	177,415	177,415	177,415	0	0	0	0	0	0	0		0	Complete	Complete	Complete	On Target	On Target	
MAYFIELD PS EARLY YEARS	222,479	210,030	222,479	0	12,449	0	0	0	12,449	0		0	Complete	Complete	Complete	On Target	On Target	
BEITH PS EARLY YEARS	338,885	337,781	338,885	0	4,104	0	3,000	3,000	4,104	0		0	Complete	Complete	Complete	On Target	On Target	
SKELMORLIE PS EARLY YEARS	374,372	346,604	374,372	0	19,424	0	(8,344)	(8,344)	19,424	0		0	Complete	Complete	Complete	On Target	On Target	
WEST KILBRIDE EARLY EARLY YEARS	227,676	220,254	227,676	0	6,400	0	(1,022)	(1,022)	6,400	0		0	Complete	Complete	Complete	On Target	On Target	
GATESIDE EARLY YEARS	405,105	406,065	405,105	0	240	0	1,200	1,200	240	0		0	Complete	Complete	Complete	On Target	On Target	
GARNOCK CAMPUS EARLY YEARS	58,755	58,755	58,755	0	0	0	0	0	0	0		0	Complete	Complete	Complete	On Target	On Target	
FAIRLIE EARLY YEARS	204,118	204,528	204,118	0	468	0	878	878	468	0		0	Complete	Complete	Complete	On Target	On Target	
ELDERBANK EARLY YEARS	22,983	22,983	22,983	0	0	0	0	0	0	0		0	Complete	Complete	Complete	On Target	On Target	
DREGHORN EARLY YEARS	93,267	82,843	93,267	0	10,824	0	400	400	10,824	0		0	Complete	Complete	Complete	On Target	On Target	
CUMBRAE EARLY YEARS	40,184	40,184	40,184	0	0	0	0	0	0	0		0	Complete	Complete	Complete	On Target	On Target	
LARGS CAMPUS EARLY YEARS	45,836	45,836	45,836	0	0	0	0	0	0	0		0	Complete	Complete	Complete	On Target	On Target	
MOORPARK EARLY YEARS	1,000	182	1,000	0	818	0	0	0	818	0		0	14-Aug-20	15-Aug-22	Development	On Target	On Target	
PIRNMILL EARLY YEARS	80,000	6,349	80,000	0	77,510	0	3,860	3,860	77,510	0		0	31-Oct-21	15-Aug-22	Pre Tender	On Target	On Target	
SHISKINE EARLY YEARS	110,000	59,583	110,000	0	53,842	0	3,425	3,425	53,842	0		0	31-Oct-21	15-Aug-22	Pre Tender	On Target	On Target	
CORRIE EARLY YEARS	38,721	23,003	38,721	0	37,161	0	21,443	21,443	37,161	0		0	31-Oct-21	15-Aug-22	Pre Tender	On Target	On Target	
LAMLASH EARLY YEARS	15,000	807	15,000	0	14,318	0	125	125	14,318	0		0	31-Oct-21	15-Aug-22	Development	On Target	On Target	
BRODICK EARLY YEARS	302,590	298,718	302,590	0	294,151	0	290,280	290,280	294,151	0		0	31-Oct-21	15-Aug-22	Development	On Target	On Target	
MARRESS HOUSE	3,430,394	2,778,126	3,430,394	0	1,503,052	0	850,784	850,784	1,503,052	0		0	22-Jul-22	28-Feb-23	Construction	On Target	Significantly off target	result of poor performance by the contractor and continuing issues with the condition of the existing building
Completed Nursery Education																		
GLENCAIRN / LOUDON MONTGOMERY EARLY YEARS	170,429	170,429	170,429	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
ARDEER EARLY YEARS	216,819	216,819	216,819	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
ST JOHNS EARLY YEARS	283,930	283,930	283,930	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
STANLEY EARLY YEARS	27,514	27,514	27,514	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
KILWINNING (PENNYBURN SCHOOL) EARLY YEARS	648,135	648,135	648,135	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
DALRY EARLY YEARS CENTRE	56,920	56,920	56,920	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
SPRINGVALE EARLY YEARS	104,557	104,557	104,557	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
ABBEY / ST LUKES PRIMARY SCHOOL EARLY YEARS	64,615	64,615	64,615	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
ST LUKES EARLY YEARS	1,966	1,966	1,966	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
CASTLEPARK EARLY YEARS	219,376	219,376	219,376	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
LAWTHORN EARLY YEARS	201,037	201,037	201,037	0	77	0	77	77	77	0		0	Complete	Complete	Complete	Complete	Complete	
HAYOCKS EARLY YEARS	246,765	246,765	246,765	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
WOODLANDS EARLY YEARS	181,546	181,546	181,546	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
CORSEHILL EARLY YEARS	536,144	536,144	536,144	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
CALEDONIA EARLY YEARS	255,432	255,432	255,432	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
BLACKLANDS EARLY YEARS	204,144	204,144	204,144	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
WINTON EARLY YEARS	5,290	5,290	5,290	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
SPRINGSIDE EARLY YEARS	566,752	566,752	566,752	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
ST MARKS EARLY YEARS	350,497	350,497	350,497	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
Other Nursery Education																		
ANNICK PRIMARY EXT - EARLY YRS PROVISION	3,201,415	3,028,715	3,201,415	0	215,702	0	43,001	43,001	215,702	0		0	Complete	Complete	Complete	On Target	On Target	
Total Nursery Education	**15,790,489**	**14,692,488**	**15,790,489**	**0**	**2,280,827**	**0**	**1,182,826**	**1,182,826**	**2,280,827**	**0**	**0**	**0**						

COMMUNITIES

Project Description	Total Project Budget	Cumulative Expenditure to date	Total Project Forecast	Projected Over/(Under) Spend	Total Revised Budget 2022/23	Year to Date Budget 2022/23	Actual Expenditure to 30 September 2022	Year to date Variance 2022/23	Projected Expenditure to 31 March 2023	Actual Over/(Under) Spend for 2022/23	True Over/(Under) Spend	Brought/Carry Forward to 2023/24	Original Target	Revised Forecast	Current Project Stage	Delivery Status Financial	Delivery Status Physical	Comments
Primary Schools																		
MOORPARK PRIMARY	10,849,442	3,406,997	10,849,442	0	8,035,005	0	592,560	592,560	8,035,005	0		0	30-Sep-22	30-Sep-23	Construction	Slightly off target	Significantly off target	Delays are being experienced by the contractor and wider supply chain.
MONTGOMERIE PARK SCHOOL	14,470,000	587,514	14,470,000	0	9,261,273	0	437,245	437,245	9,261,273	0		0	30-Apr-24	05-Jul-24	Tender	Significantly off target	On Target	Revised project costs £2.550m above initial budget as reported to Cabinet on 27/4/22
UNIVERSAL FREE SCHOOL MEALS EXPANSION	2,467,000	0	2,467,000	0	2,392,750	0	0	0	2,392,750	0		0	31-Mar-24	31-Mar-24	Tender	On Target	On Target	
UFSM ARDEER PRIMARY SCHOOL	22,500	0	22,500	0	0	0	0	0	0	0		0	31-Mar-24	31-Mar-24	Tender	On Target	On Target	
UFSM BEITH PRIMARY SCHOOL	22,500	0	22,500	0	0	0	0	0	0	0		0	31-Mar-24	31-Mar-24	Tender	On Target	On Target	
UFSM BRODICK PRIMARY SCHOOL	225,000	110,701	225,000	0	191,250	0	110,701	110,701	191,250	0		0	31-Aug-22	31-Aug-22	Tender	On Target	On Target	
UFSM CALEDONIA PRIMARY SCHOOL	60,000	0	60,000	0	60,000	0	0	0	0	(60,000)		(60,000)	31-Aug-23	31-Aug-23	Feasibility	On Target	On Target	
UFSM CASTLEPARK PRIMARY SCHOOL	105,000	0	105,000	0	0	0	0	0	0	0		0	31-Aug-23	31-Aug-23	Tender	On Target	On Target	
UFSM CORRIE PRIMARY SCHOOL	52,500	31,673	52,500	0	52,500	0	31,673	31,673	52,500	0		0	31-Aug-22	31-Aug-22	Construction	On Target	On Target	
UFSM CORSEHILL PRIMARY SCHOOL	60,000	0	60,000	0	0	0	0	0	0	0		0	31-Aug-23	31-Aug-23	Tender	On Target	On Target	
UFSM GARNOCK COMMUNITY CAMPUS	90,000	0	90,000	0	0	0	0	0	0	0		0	31-Aug-23	31-Aug-23	Tender	On Target	On Target	
UFSM GLEBE PRIMARY SCHOOL	2,125,000	0	2,125,000	0	0	0	0	0	0	0		0	31-Aug-24	31-Aug-24	Tender	On Target	On Target	
UFSM GLENCAIRN PRIMARY SCHOOL	22,500	0	22,500	0	0	0	0	0	0	0		0	31-Mar-24	31-Mar-24	Tender	On Target	On Target	
UFSM HAYOCKS PRIMARY SCHOOL	82,500	0	82,500	0	0	0	0	0	0	0		0	31-Aug-23	31-Aug-23	Development	On Target	On Target	
UFSM KILMORY PRIMARY SCHOOL	30,000	0	30,000	0	30,000	0	0	0	30,000	0		0	31-Aug-22	31-Aug-22	Tender	On Target	On Target	
UFSM LARGS PRIMARY SCHOOL	300,000	0	300,000	0	255,000	0	0	0	255,000	0		0	31-Aug-22	31-Aug-22	Tender	On Target	On Target	
UFSM LOUDOUN-MONTGOMERY PRIMARY SCHOOL	2,125,000	0	2,125,000	0	0	0	0	0	0	0		0	31-Aug-24	31-Aug-24	Tender	On Target	On Target	
UFSM PENNYBURN PRIMARY SCHOOL	22,500	0	22,500	0	0	0	0	0	0	0		0	31-Mar-24	31-Mar-24	Tender	On Target	On Target	
UFSM SHISKINE PRIMARY SCHOOL	22,500	0	22,500	0	22,500	0	0	0	22,500	0		0	31-Aug-22	31-Aug-22	Tender	On Target	On Target	
UFSM WEST KILBRIDE PRIMARY SCHOOL	2,500,000	29,884	2,500,000	0	200,000	0	29,622	29,622	200,000	0		0	31-Aug-24	31-Aug-24	Tender	On Target	On Target	
UFSM WHITING BAY PRIMARY SCHOOL	22,500	0	22,500	0	22,500	0	0	0	22,500	0		0	31-Aug-22	31-Aug-22	Tender	On Target	On Target	
Total Primary Education	**35,676,441**	**4,166,768**	**35,676,441**	**0**	**20,522,778**	**0**	**1,201,801**	**1,201,801**	**20,462,778**	**(60,000)**	**0**	**(60,000)**						
Secondary Schools																		
KILWINNING LEARNING ENVIRONMENT	2,805,435	2,376,979	2,805,435	0	127,953	0	22,577	22,577	127,953	0		0	31-Aug-21	31-Mar-24	Construction	On Target	On Target	
AYRSHIRE COLLEGE PARTNERSHIP DEVELOPMENT	200,000	0	200,000	0	200,000	0	0	0	200,000	0		0	31-Mar-22	31-Jan-23	Future Years	On Target	On Target	
ARDROSSAN NEW BUILD	71,570,030	1,177,438	71,570,030	0	972,100	0	233,801	233,801	972,100	0		0	31-Jan-25	31-Jan-25	In Development	Slightly off target	Slightly off target	Delayed expenditure linked to anticipated delays and inflationary pressures linked to the advance works tender process.
Total Secondary Education	**74,575,465**	**3,554,417**	**74,575,465**	**0**	**1,300,053**	**0**	**256,377**	**256,377**	**1,300,053**	**0**	**0**	**0**						
Special Education																		
LOCKHART CAMPUS	25,443,178	24,864,007	25,443,178	0	903,203	0	324,033	324,033	903,203	0		0	Complete	Complete	Snagging	On Target	On Target	
Total Special Education	**25,443,178**	**24,864,007**	**25,443,178**	**0**	**903,203**	**0**	**324,033**	**324,033**	**903,203**	**0**	**0**	**0**						
Schools Other																		
CO2 MONITORS IN SCHOOLS	298,000	144,108	298,000	0	191,892	0	38,000	38,000	191,892	0		0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
Total Schools Other	**298,000**	**144,108**	**298,000**	**0**	**191,892**	**0**	**38,000**	**38,000**	**191,892**	**0**	**0**	**0**						
Information & Culture																		
CASTLES & HISTORIC MONUMENTS	50,740	8,285	50,740	0	50,740	0	8,285	8,285	50,740	0		0	Holding Code	Holding Code	Holding Code	Holding Code	Holding Code	
ABBEY TOWER	75,176	6,563	75,176	0	2,549	0	0	0	2,549	0		0	Autumn 2023	Autumn 2023	Planning	On Hold	On Hold	
Total Information & Cultural	**125,916**	**14,848**	**125,916**	**0**	**53,289**	**0**	**8,285**	**8,285**	**53,289**	**0**	**0**	**0**						
Completed Projects																		
HAYOCKS PRIMARY SCHOOL NURSERY ADAPTS	206,800	206,800	206,800	0	0	0	0	0	0	0	0	0	Complete	Complete	Complete	Complete	Complete	
LOUDON MONT PRIMARY SCHOOL NURSERY ADAPTS	698,915	698,915	698,915	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
ELDERBANK PS	11,123,543	11,123,543	11,123,543	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
ANNICK PRIMARY SCHOOL	547,422	547,422	547,422	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
ST PALLADIUS PRIMARY SCHOOL	45,386	45,386	45,386	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
ST BRIDGETS PRIMARY SCHOOL	143,178	141,967	143,178	0	0	0	(1,211)	(1,211)	0	0		0	Complete	Complete	Complete	Complete	Complete	
LEARNING ACADEMY AUCHENHARVIE	427,292	427,292	427,292	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
LARGS ACADEMY	4,023,495	4,023,495	4,023,495	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
GARNOCK CAMPUS	40,307,259	40,283,664	40,307,259	0	2,893	0	(20,702)	(20,702)	2,893	0		0	Complete	Complete	Complete	Complete	Complete	
AUCHENHARVIE SECONDARY ESTATE LEARNING ENVT	3,112,120	3,111,334	3,112,120	0	786	0	0	0	786	0		0	Complete	Complete	Complete	Complete	Complete	
IRVINE ROYAL/COLLEGE ADAPTS	2,062,838	2,062,838	2,062,838	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
KILWINNING ESTATE SECONDARY PITCH	712,080	710,756	712,080	0	0	0	(1,324)	(1,324)	0	0		0	Complete	Complete	Complete	Complete	Complete	
AUCHENHARVIE PE WORKS	2,223,030	2,223,030	2,223,030	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
IRVINE LEISURE CENTRE	22,190,976	22,190,976	22,190,976	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
Total Completed Projects	**87,824,335**	**87,797,419**	**87,824,335**	**0**	**3,679**	**0**	**(23,237)**	**(23,237)**	**3,679**	**0**	**0**	**0**						
Total Communities	**239,733,825**	**135,234,055**	**239,733,825**	**0**	**25,255,721**	**0**	**2,988,085**	**2,988,085**	**25,195,721**	**(60,000)**	**0**	**(60,000)**						

CHIEF EXECUTIVE

Project Description	Total Project Budget	Cumulative Expenditure to date	Total Project Forecast	Projected Over/(Under) Spend	Total Revised Budget 2022/23	Year to Date Budget 2022/23	Actual Expenditure to 30 September 2022	Year to Date Variance 2022/23	Projected Expenditure to 31 March 2023	Actual Over/(Under) Spend for 2022/23	True Over/(Under) Spend	Brought / Carry Forward to 2023/24	Original Target	Revised Forecast	Current Project Stage	Delivery Status Financial	Delivery Status Physical	Comments
	£	£	£	£	£	£	£	£	£	£	£	£						
Council IT Strategy																		
SCHOOLS ICT INVESTMENT *	1,215,537	875,329	1,215,537	0	1,215,537	0	875,329	875,329	1,215,537	0		0	31-Mar-23	31-Mar-23	On-going	On Target	On Target	
ICT INVESTMENT FUND	3,822,986	791,090	3,822,986	0	801,796	0	161,300	161,300	519,796	(282,000)		(282,000)	31-Mar-26	31-Mar-26	On-going	On Target	On Target	
WAN	857,100	345,833	857,100	0	94,297	0	83,030	83,030	94,297	0		0	31-Mar-28	31-Mar-28	Implementation	On Target	On Target	
LAN/WiFi	2,673,000	901,563	2,673,000	0	801,816	0	530,379	530,379	691,816	(110,000)		(110,000)	31-Mar-28	31-Mar-28	Implementation	On Target	On Target	
TELEPHONY	1,146,693	192,140	1,146,693	0	286,988	0	(17,564)	(17,564)	86,988	(200,000)		(200,000)	31-Mar-28	31-Mar-28	Implementation	On Target	On Target	
OUR FUTURE WORKING ENVIRONMENT	42,516	41,903	42,516	0	4,270	0	3,657	3,657	4,270	0		0	31-Mar-23	31-Mar-23	Procurement	On Target	On Target	
Total IT Strategy	**9,757,832**	**3,147,859**	**9,757,832**	**0**	**3,204,704**	**0**	**1,636,131**	**1,636,131**	**2,612,704**	**(592,000)**	**0**	**(592,000)**						
Ayrshire Growth Deal																		
AYRSHIRE GROWTH DEAL	0	286,806	0	0	0	0	286,806	286,806	0	0		0	31-Mar-26	31-Mar-26		On Target	On Target	
AGD - I3 DIGILAB PHASE 1	1,000,000	5,449	1,000,000	0	500,000	0	0	0	500,000	0		0	31-Mar-26	31-Mar-26	Design	On Target	On Target	
AGD - I3 DIGILAB PHASE 2	5,000,000	179,970	5,000,000	0	200,000	0	0	0	200,000	0		0	31-Mar-26	31-Mar-26	Design	On Target	On Target	
AGD - I3 FLEXIBLE BUSINESS SPACE	15,000,000	243,384	15,000,000	0	1,050,000	0	4,702	4,702	208,000	(842,000)		(842,000)	31-Mar-26	31-Mar-27	Multiple Projects	On Target	On Target	
AGD - HUNTERSTON - CENTRE OF LOW CARBON ENERGY	18,040,001	198,695	18,040,001	0	200,000	0	12,575	12,575	200,000	0		0	31-Mar-26	31-Mar-26	Multiple Projects	On Target	On Target	
AGD - IRVINE HARBOURSIDE ARDEER (THE GREAT	13,999,999	373,641	13,999,999	0	900,000	0	77,323	77,323	400,000	(500,000)		(500,000)	31-Mar-26	31-Mar-26	Multiple Projects	On Target	On Target	
AGD - ARDROSSAN (IMSE)	10,500,000	102,260	10,500,000	0	174,000	0	0	0	174,000	0		0	31-Mar-27	31-Mar-27	Design	On Target	On Target	
AGD - MARINE TOURISM	11,440,716	269,755	11,440,716	0	450,000	0	59,014	59,014	200,000	(250,000)		(250,000)	31-Mar-26	31-Mar-26	Design	On Target	On Target	
AGD - MARINE TOURISM ARRAN	46,226	28,711	46,226	0	17,515	0	0	0	17,515	0		0	31-Mar-29	31-Mar-29	Design	On Target	On Target	
AGD - MARINE TOURISM CUMBRAE	67,046	34,561	67,046	0	32,485	0	0	0	32,485	0		0	31-Mar-29	31-Mar-29	Design	On Target	On Target	
Total Ayrshire Growth Deal	**75,093,987**	**1,723,231**	**75,093,987**	**0**	**3,524,000**	**0**	**440,420**	**440,420**	**1,932,000**	**(1,592,000)**	**0**	**(1,592,000)**						
Growth & Investment																		
ARDROSSAN HARBOUR INTERCHANGE	4,077,112	389,956	4,077,112	0	92,748	0	247	247	92,748	0		0	31-Dec-24	31-Dec-24	Design	On Target	On Target	
IRVINE ENTERPRISE AREA *	10,746,072	0	10,746,072	0	103,079	0	0	0	103,079	0		0	Ongoing	Ongoing	Multiple Projects	On Target	On Target	
LOW CARBON HUB	1,974,973	99,368	1,974,973	0	650,683	0	12,567	12,567	650,683	0		0	30-Apr-24	30-Apr-24	Multiple Projects	On Target	On Target	
ARDROSSAN NORTH SHORE	26,765,478	2,481,287	26,765,478	0	392,000	0	183,764	183,764	392,000	0		0	30-Apr-24	30-Apr-24	In development	Slightly off target	Slightly off target	Working group reviewing options for procurement and delivery of this project, following the recent unsuccessful tender process.
VDLF - HARBOUR MASTERS OFFICE	157,500	20,722	157,500	0	136,778	0	0	0	136,778	0		0	31-Mar-23	31-Mar-23	Design	On Target	On Target	
VDLF - I3 IRVINE ENTERPRISE	996,981	161,160	996,981	0	844,152	0	8,332	8,332	844,152	0		0	31-Mar-23	31-Mar-23	Design	On Target	On Target	
Other Growth & Investment	**44,718,115**	**3,152,494**	**44,718,115**	**0**	**2,219,440**	**0**	**204,910**	**204,910**	**2,219,440**	**0**	**0**	**0**						
Total Chief Executive	**129,569,934**	**8,023,584**	**129,569,934**	**0**	**8,948,144**	**0**	**2,281,460**	**2,281,460**	**6,764,144**	**(2,184,000)**	**0**	**(2,184,000)**						

HEALTH & SOCIAL CARE

Project Description	TOTAL PROJECT				2022/23 BUDGETS								COMPLETION DATES		MILESTONE	DELIVERY STATUS		Comments
	Total Project Budget	Cumulative Expenditure to date	Total Project Forecast	Projected Over/(Under) Spend	Total Revised Budget 2022/23	Year to Date Budget 2022/23	Actual Expenditure to 30 September 2022	Year to Date Variance 2022/23	Projected Expenditure to 31 March 2023	Actual Over/(Under) Spend for 2022/23	True Over/(Under) Spend	Brought / Carry Forward to 2023/24	Original Target	Revised Forecast	Current Project Stage	Delivery Status Financial	Delivery Status Physical	
	£	£	£	£	£	£	£	£	£	£	£	£						
Management & Support																		
HOME CARE SYSTEM	433,917	433,917	433,917	0	42,682	0	42,682	42,682	42,682	0		0	Complete	Complete	Complete	Complete	Complete	
COMMUNITY ALARMS - ANALOGUE TO DIGITAL	996,000	0	996,000	0	330,000	0	0	0	0	(330,000)		(330,000)	31-Dec-23	31-Dec-23	Future Years	On Target	On Target	
CAREFIRST IT SYSTEM	84,620	84,620	84,620	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
CAREFIRST REPLACEMENT	536,058	267,901	536,058	0	268,157	0	0	0	268,157	0		0	31-Aug-24	31-Aug-24	In development	On Target	On Target	
Total Management & Support	**2,050,595**	**786,438**	**2,050,595**	**0**	**640,839**	**0**	**42,682**	**42,682**	**310,839**	**(330,000)**	**0**	**(330,000)**						
Housing Non HRA																		
IMPROVEMENT GRANTS *	686,065	245,793	686,065	0	686,065	0	245,793	245,793	686,065	0		0	31-Mar-23	31-Mar-23	Ongoing	On Target	On Target	
Total Housing Non HRA	**686,065**	**245,793**	**686,065**	**0**	**686,065**	**0**	**245,793**	**245,793**	**686,065**	**0**	**0**	**0**						
Adults																		
TRINDLEMOSS	4,608,078	4,585,514	4,608,078	0	46,804	0	24,240	24,240	46,804	0		0	Complete	Complete	Complete	Complete	Complete	
Total Older People	**4,608,078**	**4,585,514**	**4,608,078**	**0**	**46,804**	**0**	**24,240**	**24,240**	**46,804**	**0**	**0**	**0**						
Young People																		
RESIDENTIAL & RESPITE UNIT	5,720,000	5,130,346	5,720,000	0	628,264	0	38,609	38,609	628,264	0		0	Complete	Complete	Snagging	On Target	On Target	
Total Young People	**5,720,000**	**5,130,346**	**5,720,000**	**0**	**628,264**	**0**	**38,609**	**38,609**	**628,264**	**0**	**0**	**0**						
Total Health & Social Care	**13,064,739**	**10,748,091**	**13,064,739**	**0**	**2,001,972**	**0**	**351,324**	**351,324**	**1,671,972**	**(330,000)**	**0**	**(330,000)**						

Place

Project Description	TOTAL PROJECT				2022/23 BUDGETS								COMPLETION DATES		MILESTONE	DELIVERY STATUS		Comments
	Total Project Budget	Cumulative Expenditure to date	Total Project Forecast	Projected Over/ (Under) Spend	Total Revised Budget 2022/23	Year to Date Budget 2022/23	Actual Expenditure to 30 September 2022	Year to Date Variance 2022/23	Projected Expenditure to 31 March 2023	Actual Over/ (Under) Spend for 2022/23	True Over/ (Under) Spend	Brought / Carry Forward to 2023/4	Original Target	Revised Forecast	Current Project Stage	Delivery Status Financial	Delivery Status Physical	
	£	£	£	£	£	£	£	£	£	£	£	£						
PHYSICAL ENVIRONMENT																		
Roads																		
ROADS IMPROVE/RECONSTRUCTION *	4,914,795	4,814,795	4,914,795	0	4,914,795	0	2,411,205	2,411,205	4,814,795	(100,000)		(100,000)	31-Mar-23	31-Mar-23	Multiple Projects	On Target	On Target	
A737 DALRY BYPASS	505,690	210,000	505,690	0	505,690	0	0	0	210,000	(295,690)		(295,690)	31-Mar-24	31-Mar-24	In Development	On Target	On Target	
TRAFFIC CALMING	175,000	0	175,000	0	175,000	0	0	0	100,000	(75,000)		(75,000)	31-Mar-23	31-Mar-24	In Development	On Target	On Target	
VEHICLE RESTRAINT SYSTEM UPGRADE	100,000	0	100,000	0	100,000	0	0	0	100,000	0		0	31-Mar-23	31-Mar-23	In Development	On Target	On Target	
LIGHTING *	1,587,827	500,176	1,587,827	0	1,587,827	0	500,176	500,176	1,587,827	0		0	31-Mar-23	31-Mar-23	Multiple Projects	On Target	On Target	
LED LIGHTING REPLACEMENT	695,000	167,170	695,000	0	492,190	0	167,170	167,170	492,190	0		0	31-Mar-23	31-Mar-23	Multiple Projects	On Target	On Target	
A737 DALRY BYPASS LIGHTING	20,685	0	20,685	0	20,685	0	0	0	20,685	0		0	31-Mar-23	31-Mar-23	Preparing Works Packa	On Target	On Target	
UPPER GARNOCK FPS	18,503,800	17,004,919	18,503,800	0	3,454,934	0	1,956,053	1,956,053	3,454,934	0		0	30-Jun-22	30-Sep-22	Construction	Slightly off target	On Target	increased tender cost risks identified
MILLPORT COASTAL FPS	48,599,796	1,271,713	48,599,796	0	9,278,436	0	6,917	6,917	4,000,000	(5,278,436)		(5,278,436)	31-Aug-24	31-Aug-24	Tender	Slightly off target	On Target	increased tender cost risks identified
MILLBURN FPS	1,757,000	188,546	1,757,000	0	60,000	0	1,528	1,528	60,000	0		0	31-Mar-23	31-Mar-24	Design	On Target	Significantly off target	due to delays in the design process
MILLPORT PIER	500,000	150,080	500,000	0	0	0	0	0	0	0		0	31-Mar-25	31-Mar-25	In Development	On Target	On Target	
BRIDGES INFRASTRUCTURE PROG *	1,200,564	319,792	1,200,564	0	1,200,564	0	319,792	319,792	1,000,000	(200,564)		(200,564)	31-Mar-23	31-Mar-23	Multiple Projects	On Target	On Target	
LARGS PROMENADE SEAWALL	3,039,000	282,884	3,039,000	0	160,840	0	172,256	172,256	160,840	0		0	31-Oct-23	31-Oct-23	Design	Slightly off target	On Target	increased tender cost risks identified
B714 UPGRADE	26,063,443	174,758	26,063,443	0	1,055,067	0	174,758	174,758	1,212,000	156,933		156,933	31-Mar-25	31-Mar-25	Outline Design	On Target	On Target	
LARGS CAR PARK INFRASTRUCTURE	80,000	54,467	60,000	(20,000)	25,533	0	0	0	5,533	(20,000)	(20,000)	0	30-Jun-22	30-Jun-22	Planning	On Target	On Target	
GALLOWGATE TOILETS	250,000	3,977	250,000	0	247,316	0	1,294	1,294	247,316	0		0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
PARKING CHARGES & DPE	257,705	83,856	257,705	0	177,680	0	3,832	3,832	177,680	0		0	31-Mar-23	01-Jul-23	In Development	On Target	On Target	
Total Roads	108,250,303	25,227,133	108,230,303	(20,000)	23,456,557	0	5,714,980	5,714,980	17,643,800	(5,812,757)	(20,000)	(5,792,757)						
Streetscene																		
CEMETERY EXTNS, WALLS & INFRA *	726,479	771	726,479	0	0	0	771	771	0	0		0	Holding Code	Holding Code	Holding Code	Holding Code	Holding Code	
LAMLASH CEMETERY EXTENSION	706,165	684,525	706,165	0	21,640	0	0	0	21,640	0		0	Complete	Complete	Complete	Complete	Complete	
ARDROSSAN CEMETERY PLOTS AND WALLS	217,922	150,703	217,922	0	67,219	0	0	0	67,219	0		0	Complete	Complete	Complete	Complete	Complete	
KILBIRNIE CEMETERY	623,833	34,602	623,833	0	9,220	0	9,220	9,220	9,220	0		0	31-Mar-25	31-Mar-25	Feasibility Works	On Hold	On Hold	
KILWINNING CEMETERY NEW	1,240,642	559,919	1,240,642	0	718,868	0	471,474	471,474	953,868	235,000		235,000	01-Sep-22	31-May-23	Construction	On Target	Significantly off target	Contractor appointed, commenced on site 27/6/22
KNADGERHILL CEMETERY EXTENSION	443,581	390,453	443,581	0	49,340	0	(3,787)	(3,787)	49,340	0		0	01-Oct-22	01-Oct-22	Construction	On Target	On Target	
WEST KILBRIDE CEMETERY	349,622	75,891	349,622	0	310,902	0	44,678	44,678	310,902	0		0	25-Nov-22	25-Nov-22	Construction	On Target	On Target	
STEVENSTON CEMETERY	545,429	143,084	545,429	0	467,991	0	99,256	99,256	467,991	0		0	23-Dec-22	23-Dec-22	Construction	On Target	On Target	
ARDROSSAN CEMETERY NEW	900,603	603	900,603	0	0	0	0	0	0	0		0	Future years	Future years	Future years	On Hold	On Hold	
BRODICK CEMETERY	12,000	7,021	12,000	0	7,021	0	7,021	7,021	7,021	0		0	Future years	Future years	Planning	On Hold	On Hold	
KILBIRNIE CEMETERY WALL	188,370	2,043	188,370	0	90,000	0	2,043	2,043	90,000	0		0	31-Mar-23	30-Apr-23	Feasibility Works	On Target	On Target	
BEITH CEMETERY-WALL REPAIRS	87,542	3,122	87,542	0	40,000	0	2,533	2,533	40,000	0		0	31-Mar-23	30-Apr-23	Feasibility Works	On Target	On Target	
ABBEY TOWER CEMETERY WALL	95,550	2,314	95,550	0	3,520	0	2,314	2,314	3,520	0		0	31-Mar-24	31-Mar-24	Feasibility Works	On Target	On Target	
HAWKHILL CEMETERY-WALL REPAIRS	108,732	1,811	108,732	0	560	0	1,811	1,811	560	0		0	31-Mar-24	31-Mar-24	Feasibility Works	On Target	On Target	
WEST KILBRIDE CEMETERY WALL	99,528	0	99,528	0	2,413	0	0	0	2,413	0		0	31-Mar-24	31-Mar-24	Feasibility Works	On Hold	On Hold	
PARK ENABLING WORKS	0	29,397	0	0	0	0	29,397	29,397	0	0		0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
RENEWAL OF PLAY PARKS	235,000	109,288	235,000	0	235,000	0	109,288	109,288	235,000	0		0	31-Mar-23	31-Mar-23	Construction	On Target	On Target	
Total Streetscene	6,580,996	2,195,547	6,580,996	0	2,023,694	0	776,017	776,017	2,258,694	235,000	0	235,000						
Transport																		
VEHICLES *	1,828,533	689,711	1,828,533	0	1,828,533	0	689,711	689,711	1,828,533	0		0	31-Mar-23	31-Mar-23	Ongoing	On Target	On Target *	
WORKPLACE CHARGERS	215,278	183,172	215,278	0	99,678	0	67,571	67,571	99,678	0		0	31-Mar-23	31-Mar-23	Ongoing	On Target	On Target	
FLEET DECARBONISATION	1,250,000	22,000	1,250,000	0	1,250,000	0	22,000	22,000	750,000	(500,000)		(500,000)	31-Mar-23	31-Mar-23	Ongoing	On Target	On Target	
Total Transport	3,293,811	894,883	3,293,811	0	3,178,211	0	779,282	779,282	2,678,211	(500,000)	0	(500,000)						
Waste Services																		
SHEWALTON LANDFILL	13,586,542	13,272,542	13,586,542	0	314,000	0	0	0	314,000	0		0	Future years	Future years	Ongoing	On Target	On Target	
WASTE COLLECTION REVIEW	1,266,801	1,266,801	1,266,801	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
Total Waste Services	14,853,343	14,539,343	14,853,343	0	314,000	0	0	0	314,000	0	0	0						
Renewable Energy																		
SOLAR PV RETROFIT EXTENSION	120,000	41,795	120,000	0	78,205	0	0	0	78,205	0		0	31-Jul-22	31-Jul-22	Future years	On Target	On Target	
SOLAR PV INVESTMENT - NETHERMAINS	6,768,000	62,449	6,768,000	0	500,000	0	19,009	19,009	500,000	0		0	30-Apr-24	30-Apr-24	Work Ongoing	On Target	On Target	
SOLAR PV INVESTMENT - SHEWALTON	0	140	0	0	0	0	140	140	0	0		0	30-Oct-24	30-Oct-24	Work Ongoing	On Target	On Target	
NON DOMESTIC ENERGY EFFICIENCY PROGRAMME	1,000,000	890,890	1,000,000	0	63,589	0	(45,521)	(45,521)	63,589	0		0	31-Mar-23	31-Mar-23	Work Ongoing	On Target	On Target	
NATURE RESTORATION FUND	356,000	0	356,000	0	356,000	0	0	0	356,000	0		0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
ELECTRIC VEHICLES INFRASTRUCTURE	646,392	643,147	646,392	0	69,574	0	66,329	66,329	69,574	0		0	31-Mar-23	31-Mar-23	Various	On Target	On Target	
Total Renewable Energy	8,890,393	1,638,421	8,890,393	0	1,067,368	0	39,957	39,957	1,067,368	0	0	0						

Place

Project Description	Total Project Budget	Cumulative Expenditure to date	Total Project Forecast	Projected Over/(Under) Spend	Total Revised Budget 2022/23	Year to Date Budget 2022/23	Actual Expenditure to 30 September 2022	Year to Date Variance 2022/23	Projected Expenditure to 31 March 2023	Actual Over/(Under) Spend for 2022/23	True Over/(Under) Spend	Brought / Carry Forward to 2023/4	Original Target	Revised Forecast	Current Project Stage	Delivery Status Financial	Delivery Status Physical	Comments
Office Accommodation																		
PROPERTY LIFECYCLE INVESTMENT *	237,429	7,982	237,429	0	237,429	0	7,982	7,982	237,429	0	0	0	31-Mar-23	31-Mar-23	Mulitple projects	On Target	On Target	
PLI CENTRAL AVE STREETSCENE DEPOT*	93,203	59,914	93,203	0	93,203	0	59,914	59,914	93,203	0	0	0	Complete	Complete	Complete	Complete	Complete	
PLI BEITH CEMETERY	429	429	429	0	429	0	429	429	429	0		0	Complete	Complete	Complete	Complete	Complete	
PLI WEST KILBRIDE COMMUNITY CENTRE	100,000	93,595	100,000	0	100,000	0	93,595	93,595	100,000	0	0	0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
PLI WOODWYND HALL	2,000	0	2,000	0	2,000	0	0	0	2,000	0	0	0	21-Oct-22	21-Oct-22	Planning	On Target	On Target	
PLI PORTLAND PLACE	18,000	0	18,000	0	18,000	0	0	0	18,000	0	0	0	21-Oct-22	21-Oct-22	Planning	On Target	On Target	
PLI PADDOCKHOLM DEPOT	10,000	0	10,000	0	10,000	0	0	0	10,000	0	0	0	21-Oct-22	21-Oct-22	Planning	On Target	On Target	
PLI WEST BYREHILL DEPOT	167,500	0	167,500	0	167,500	0	0	0	167,500	0	0	0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
PLI GOLDCRAIGS DEPOT	134,000	6,549	134,000	0	134,000	0	6,549	6,549	134,000	0		0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
PLI ANNICK PRIMARY SCHOOL	0	(6,253)	0	0	0	0	(6,253)	(6,253)	0	0		0	Complete	Complete	Complete	Complete	Complete	
PLI ARDEER PRIMARY SCHOOL	2,952	2,952	2,952	0	2,952	0	2,952	2,952	2,952	0	0	0	Complete	Complete	Complete	Complete	Complete	
PLI BLACKLANDS PRIMARY SCHOOL	210,000	188,019	210,000	0	210,000	0	188,019	188,019	210,000	0		0	31-Oct-22	31-Oct-22	Construction	On Target	On Target	
PLI CALEDONIA PRIMARY SCHOOL	15,000	3,886	15,000	0	15,000	0	3,886	3,886	15,000	0		0	30-Nov-22	30-Nov-22	Planning	On Target	On Target	
PLI DALRY PRIMARY SCHOOL	5,907	5,907	5,907	0	5,907	0	5,907	5,907	5,907	0		0	18-Aug-23	18-Aug-23	Planning	On Target	On Target	
PLI FAIRLIE PRIMARY SCHOOL	3,691	0	3,691	0	3,691	0	0	0	3,691	0		0	31-Dec-22	31-Dec-22	Planning	On Target	On Target	
PLI GLENCAIRN PRIMARY SCHOOL	175,759	153,652	175,759	0	175,759	0	153,652	153,652	175,759	0		0	Complete	Complete	Complete	Complete	Complete	
PLI SHISKINE PRIMARY	4,000	0	4,000	0	4,000	0	0	0	4,000	0		0	09-Sep-22	09-Sep-22	Planning	On Target	On Target	
PLI SKELMORLIE PRIMARY SCHOOL	8,500	0	8,500	0	8,500	0	0	0	8,500	0		0	31-Aug-23	31-Aug-23	Planning	On Target	On Target	
PLI ST JOHN OGILVIE PRIMARY SCHOOL	50,247	12,697	50,247	0	50,247	0	12,697	12,697	50,247	0		0	Complete	Complete	Complete	Complete	Complete	
PLI WEST KILBRIDE PRIMARY*	325	325	325	0	325	0	325	325	325	0	0	0	Complete	Complete	Complete	Complete	Complete	
PLI WOODLANDS PRIMARY	5,500	5,553	5,500	0	5,500	0	5,553	5,553	5,500	0		0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
PLI AUCHENHARVIE ACADEMY*	470,020	16,685	470,020	0	470,020	0	16,685	16,685	470,020	0		0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
PLI IRVINE ROYAL ACADEMY*	367	3,489	367	0	367	0	3,489	3,489	367	0		0	31-Aug-23	31-Aug-23	Pupil Toilets: Complete	On Target	Significantly off target	Resource pressures within PMI resulting in this project being delayed a further year.
PLI KILWINNING ACADEMY	70,000	0	70,000	0	70,000	0	0	0	70,000	0		0	31-Aug-23	31-Aug-23	Planning	On Target	On Target	
PLI 6A KILWINNING ROAD	0	7,619	0	0	0	0	7,619	7,619	0	0		0				On Target	On Target	
PLI CUNNINGHAME HOUSE	98,273	0	98,273	0	98,273	0	0	0	98,273	0		0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
PLI H&SCP 47 WEST ROAD	10,000	0	10,000	0	10,000	0	0	0	10,000	0		0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
PLI ACHNAMARA CHILDREN'S UNIT	25,000	0	25,000	0	25,000	0	0	0	25,000	0		0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
PLI REDBURN CC*	0	19,760	0	0	0	0	19,760	19,760	0	0		0	Complete	Complete	Complete	Complete	Complete	
Total Office Accommodation	**1,918,102**	**582,760**	**1,918,102**	**0**	**1,918,102**	**0**	**582,760**	**582,760**	**1,918,102**	**0**	**0**	**0**						
Other Property																		
INDUSTRIAL PORTFOLIO *	430,713	0	430,713	0	430,713	0	0	0	430,713	0		0	On Hold	On Hold	Multiple projects	On Target	On Target	
HOME	4,470,199	238,116	4,470,199	0	1,000,000	0	0	0	100,000	(900,000)	0	(900,000)	31-Mar-24	31-Mar-24	In development	On Target	On Target	
BUILD	284,086	45,049	284,086	0	247,284	0	8,248	8,248	247,284	0	0	0	31-Mar-23	31-Mar-23	In development	On Target	On Target	
EMERGENCY CONTROL CTR	158,000	720	158,000	0	158,000	0	720	720	158,000	0	0	0	31-Mar-23	31-Mar-23	In development	On Target	On Target	
GOLDCRAIGS REFURBISHMENT	509,000	0	509,000	0	25,000	0	0	0	25,000	0	0	0	31-Mar-23	31-Mar-23	In development	On Target	On Target	
WOODLANDS PRIMARY PLAYINGFIELD DRAINAGE	134,640	104,190	134,640	0	26,928	0	(3,523)	(3,523)	26,928	0		0	Complete	Complete	Complete	On Target	On Target	
Total Property	**5,986,638**	**388,074**	**5,986,638**	**0**	**1,887,925**	**0**	**5,445**	**5,445**	**987,925**	**(900,000)**	**0**	**(900,000)**						
Other Housing																		
CCTV REVIEW	350,000	0	350,000	0	350,000	0	0	0	350,000	0		0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
Total Other Housing	**350,000**	**0**	**350,000**	**0**	**350,000**	**0**	**0**	**0**	**350,000**	**0**	**0**	**0**						

Place

Project Description	Total Project Budget	Cumulative Expenditure to date	Total Project Forecast	Projected Over/ (Under) Spend	Total Revised Budget 2022/23	Year to Date Budget 2022/23	Actual Expenditure to 30 September 2022	Year to Date Variance 2022/23	Projected Expenditure to 31 March 2023	Actual Over/ (Under) Spend for 2022/23	True Over/ (Under) Spend	Brought / Carry Forward to 2023/4	Original Target	Revised Forecast	Current Project Stage	Delivery Status Financial	Delivery Status Physical	Comments
Regeneration																		
TOWN CENTRE REGENERATION	1,290,257	1,049,124	1,290,257	0	416,774	0	175,642	175,642	416,774	0		0	30-Sep-22	31-Mar-23	Construction	On Target	On Target	
REPURPOSING PROPERTY GRANT FUND	330,000	21,521	330,000	0	329,320	0	20,841	20,841	329,320	0		0	30-May-25	30-May-25	In development	On Target	On Target	
STEVENSTON BEACH HUB	180,000	180,000	180,000	0	84,525	0	84,525	84,525	84,525	0		0	Complete	Complete	Complete	Complete	Complete	
MILLPORT TOWN HALL REGENERATION	2,103,330	1,502,834	2,103,330	0	1,569,838	0	969,342	969,342	1,569,838	0		0	31-Dec-22	31-Mar-23	Construction	On Target	On Target	
MILLPORT TOWN HALL PHASE 2	509,450	0	509,450	0	509,450	0	0	0	509,450	0		0	31-Mar-23	31-Mar-23	Construction	On Target	On Target	
ISLANDS PIT STOPS	540,000	0	540,000	0	540,000	0	0	0	540,000	0		0	31-Mar-24	31-Mar-24	In development	On Target	On Target	
ISLAND INFRASTRUCTURE FUND	259,000	28,954	259,000	0	259,000	0	28,954	28,954	259,000	0		0	31-Mar-23	31-Mar-23	In development	On Target	On Target	
PLACE BASED INVESTMENT PROGRAMME (PBIP)	240,000	270,840	240,000	0	209,223	0	240,063	240,063	209,223	0		0	31-Mar-23	31-Mar-23	In development	On Target	On Target	
PBIP 36 BANK STREET	780,000	48,394	780,000	0	751,400	0	19,794	19,794	751,400	0		0	31-Dec-24	31-Dec-24	In development	On Target	On Target	
IRVINE HIGH STREET	2,837,316	2,706,186	2,837,316	0	165,818	0	34,688	34,688	165,818	0		0	Complete	Complete	Defects Period	Complete	Complete	
DOCKHEAD STREET SALTCOATS	100,000	0	100,000	0	0	0	0	0	0	0		0	31-Mar-24	31-Mar-24	In development	On Target	On Target	
MILLPORT CARS	255,611	160,417	255,611	0	255,611	0	160,417	160,417	255,611	0		0	31-Mar-23	31-Mar-23	Construction	On Target	On Target	
MONTGOMERIE PARK MASTERPLAN	3,718,598	1,747,142	3,718,598	0	136,264	0	4,809	4,809	136,264	0		0	31-Mar-30	31-Mar-30	In development	On Target	On Target	
LOCHSHORE, KILBIRNIE	1,909,993	941,830	1,909,993	0	1,341,141	0	372,979	372,979	1,341,141	0		0	31-May-25	31-May-25	In development	On Target	On Target	
LOCHSHORE GARNOCK HUB	4,195,999	3,959,971	4,195,999	0	1,377,575	0	1,141,547	1,141,547	1,377,575	0		0	31-Oct-22	31-Oct-22	Construction	On Target	On Target	
VDLF - IRVINE KYLE ROAD SITE PREP*	1,421,369	1,421,110	1,421,369	0	439	0	180	180	439	0		0	Complete	Complete	Complete	Complete	Complete	
VDLF - KYLE ROAD PHASE 2	267,066	96,050	267,066	0	245,893	0	74,877	74,877	245,893	0		0	31-Mar-24	31-Mar-24	In development	On Target	On Target	
VDLF - ANNICKBANK PH 3*	1,481,000	116,261	1,481,000	0	475,000	0	59,220	59,220	475,000	0		0	31-Mar-24	31-Mar-24	Tender	On Target	On Target	
VDLF - DEVELOPMENT WORK*	345,000	63,171	345,000	0	150,000	0	13,909	13,909	150,000	0		0	30-Sep-23	30-Sep-23	In development	On Target	On Target	
VDLF - MAIN ST KILBIRNIE*	53,000	53,000	53,000	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
VDLF - DALRY RD SALTCOATS*	5,125	4,153	5,125	0	2,220	0	1,248	1,248	2,220	0		0	31-Mar-23	31-Mar-23	Delivery	On Target	On Target	
VDLF - STRATEGY	50,000	0	50,000	0	50,000	0	0	0	50,000	0		0	31-Mar-23	31-Mar-23	In development	On Target	On Target	
VDLF - TREE PLANTING	50,000	2,400	50,000	0	7,600	0	0	0	7,600	0		0	31-Dec-23	31-Dec-23	In development	On Target	On Target	
VDLF - MINOR IMPROVEMENTS	10,000	10,000	10,000	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
QUARRY ROAD PHASE 2	5,209,497	5,205,219	5,209,497	0	25,301	0	21,023	21,023	25,301	0		0	Complete	Complete	Complete	Complete	Complete	
VDLF - GAS WORKS (DALRY)*	173,896	166,061	173,896	0	0	0	(7,835)	(7,835)	0	0		0	Complete	Complete	Complete	Complete	Complete	
CYCLING/WALKING/SAFER STREETS *	535,000	235,146	535,000	0	535,000	0	151,350	151,350	535,000	0		0	31-Mar-24	31-Mar-24	Various	On Target	On Target	
ACCESS PATH NETWORK PROGRAMME *	199,257	199,257	199,257	0	199,257	0	(33,947)	(33,947)	199,257	0		0	31-Mar-24	31-Mar-24	Various	On Target	On Target	
FAIRLIE COASTAL PATH	50,000	50,000	50,000	0	50,000	0	11,973	11,973	50,000	0		0	31-Dec-23	31-Dec-23	In development	On Target	On Target	
PENNYBURN ROUNDABOUT BUS LANE	15,420	123,668	15,420	0	15,420	0	0	0	15,420	0		0	31-Mar-23	31-Mar-23	Feasibility	On Target	On Target	
IRVINE CYCLE FRIENDLY TOWN	250,000	251,050	250,000	0	250,000	0	1,050	1,050	250,000	0		0	31-Mar-23	31-Mar-23	Various	On Target	On Target	
BRODICK TO CORRIE CYCLE PATH	50,000	35,212	50,000	0	50,000	0	0	0	50,000	0		0	31-Mar-23	31-Mar-23	Design	On Target	On Target	
BUS CORRIDOR IMPROVEMENTS	204,955	74,955	204,955	0	130,000	0	0	0	130,000	0		0	31-Mar-23	31-Mar-23	Various	On Target	On Target	
BUS ROUTE CONGESTION MEASURES	757,821	605,250	757,821	0	152,571	0	0	0	152,571	0		0	31-Mar-23	31-Mar-23	Construction	On Target	On Target	
CUMBRAE FERRY & BUS STOP	408,690	23,690	408,690	0	385,000	0	0	0	385,000	0		0	31-Mar-23	31-Mar-23	Design	On Target	On Target	
B714 ACTIVE TRAVEL IMPROVEMENTS	100,000	0	100,000	0	100,000	0	0	0	100,000	0		0	31-Mar-23	31-Mar-23	Design	On Target	On Target	
STTS U88 NORTH SANNOX	199,080	0	199,080	0	199,080	0	0	0	199,080	0		0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
STTS ROSS ROAD ARRAN	203,840	127,519	203,840	0	203,840	0	67,613	67,613	203,840	0		0	31-Mar-23	31-Mar-23	Planning	On Target	On Target	
Total Regeneration	**31,289,568**	**21,480,386**	**31,289,568**	**0**	**11,172,560**	**0**	**3,614,262**	**3,614,262**	**11,172,560**	**0**	**0**	**0**						
Completed Projects																		
DREGHORN CEMETERY	22,677	22,677	22,677	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
MILLPORT CEMETERY	35,412	35,412	35,412	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
SKELMORLIE CEMETERY WALL	131,939	131,939	131,939	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
BEITH AULD KIRK	254,793	254,793	254,793	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
HAYLIE BRAE CEMETERY WALLS	175,437	175,437	175,437	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
KNADGERHILL CEMETERY INFRASTRUCTURE	238,549	238,549	238,549	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
DALRY CEMETERY EXTENSION	36,217	36,217	36,217	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
RENEWABLE ENERGY PROGRAMME	51,018	51,018	51,018	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
BIOMASS RETROFIT PROGRAMME	3,378,163	3,360,181	3,378,163	0	0	0	(17,983)	(17,983)	0	0		0	Complete	Complete	Complete	Complete	Complete	
QUARRY ROAD PHASE 1	2,977,098	2,898,460	2,977,098	0	40,595	0	(38,043)	(38,043)	40,595	0		0	Complete	Complete	Defects Period	Complete	Complete	
VDLF - GREENWOOD INTERCHANGE*	105,349	105,349	105,349	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
VDLF - NACCO SITE*	27,182	27,182	27,182	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
VDLF - MOORPARK ROAD WEST	473,483	473,483	473,483	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
VDLF - WINTON PARK	11,708	11,708	11,708	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
VDLF - MCDOWALL PLACE, ARDROSSAN*	14,189	14,189	14,189	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
KILBIRNIE CARS (KNOX INST)	333,877	333,877	333,877	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
LARGS MASTERPLAN	336,055	336,055	336,055	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
GYPSY/TRAVELLER SITES	74,528	74,528	74,528	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
ARDROSSAN HOSTEL				0	0	0	10,203	10,203	0	0		0	Complete	Complete	Complete	Complete	Complete	
CAR PARK STRATEGY	317,179	317,179	317,179	0	0	0	0	0	0	0		0	Complete	Complete	Complete	Complete	Complete	
Total Completed Projects	**8,994,855**	**8,898,234**	**8,994,855**	**0**	**40,595**	**0**	**(45,823)**	**(45,823)**	**40,595**	**0**	**0**	**0**						
Total Place	**190,408,009**	**75,844,780**	**190,388,009**	**(20,000)**	**45,409,012**	**0**	**11,466,879**	**11,466,879**	**38,431,255**	**(6,977,757)**	**(20,000)**	**(6,957,757)**						

OTHER BUDGETS

												AE
Project Description	**TOTAL PROJECT**				**2022/23 BUDGETS**							**Comments**
	Total Project Budget	**Cumulative Expenditure to date**	**Total Project Forecast**	**Projected Over/ (Under) Spend**	**Total Revised Budget 2022/23**	**Year to Date Budget 2022/23**	**Actual Expenditure to 30 September 2022**	**Year to Date Variance 2022/23**	**Projected Expenditure to 31 March 2023**	**Revised Expenditure to 31 March 2022**	**Over/ (Under) Spend for 22/23**	
	£	**£**	**£**	**£**	**£**	**£**	**£**	**£**	**£**	**£**	**£**	
FLEXIBILITY / IMPROVEMENT FUND	9,305,741	0	9,305,741	0	1,743,616	0	0	0	1,743,616	1,307,712	0	
CORE INFRASTRUCTURE INVESTMENT	608,000	0	608,000	0	608,000	0	0	0	608,000	456,000	0	
Total Other Budgets	**9,305,741**	**0**	**9,305,741**	**0**	**2,351,616**	**0**	**0**	**0**	**2,351,616**	**1,763,712**	**0**	

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Description	Approved budget 16 February 2022	Current budget including carry forwards	Approved Revisions to programme	Virement Request	Carry forward (to)/from future years	Revised Budget 2022/23	Actual Spend to 31/08/2022	P6 Projection	True Over / (Under)spend	Delivery Status Financial	Delivery Status Physical	Comments
	£'000	£'000	£'000	£'000	£'000		£'000	£'000	£'000			
Council House Build Programme												
Council House Building General	1,542	1,542	-		-	1,542	(3)	1,542	-	On Target	On Target	
Acquisition Of Houses On Open Market	720	526			-	526	245	526	-	On Target	On Target	
New Build Corsehillhead	1,450	600			-	600	34	600	-	On Target	On Target	Expected completion Autumn/Winter 2023.
New Build Brathwic Terrace	18	168			-	168	54	168	-	On Target	Complete	Completed - final properties were handed over in June 2022
New Build Flatt Road Phase 1	1,712	1,072	(748)		101	425	102	425	-	On Target	Complete	Completed - final properties were handed over in December 2021.
New Build Towerlands	25	160			-	160	14	180	20	On Target	Complete	Completed - final properties were handed over in March 2022.
New Build Kinnier Road	3	2			-	2		2	-	Complete	Complete	Completed - properties were handed over in October 2021.
New Build St Colms	1,896	782	-		111	893	871	893	-	On Target	On Target	Expected completion Autumn 2022.
New Build St Michaels Wynd	-	592	-		104	696	675	696	-	On Target	Complete	Completed - final properties handed over in August 2002.
New Build Harbourside Irvine	6,460	6,000	-		-	6,000	2,431	6,000	-	On Target	Slightly off target	Expected completion Winter 2022.
New Build Afton Court	910	1,080	-		-	1,080	23	1,080	-	On Target	Slightly off target	Expected completion Spring 2023.
New Build Caley Court	1,769	1,843	-		-	1,843	974	1,843	-	On Target	Slightly off target	Expected completion Autumn 2022.
New Build Springvale Saltcoats	-	133	-		-	133	8	141	8	On Target	Complete	Completed - properties were handed over in November 2021.
New Build Dalrymple Place	-	101	-		-	101	3	101	-	On Target	Complete	Completed - properties were handed over in October 2021.
New Build St Beya Millport	6	53	-		-	53	-	53	-	On Target	Complete	Completed - properties were handed over in July 2021.
Garnock Academy Site	7,950	1,800	(720)		720	1,800	-	1,800	-	Slightly off target	On Target	Consultation stage. Expected completion Winter 2023. Budget to be carried forward to 2023/24.
Largs police Station	1,908	1,600	-		116	1,716	122	1,716	-	On Target	Slightly off target	Demolition complete. New completion date to be established.
Ayrshire Central Site	9,497	1,500	-		-	1,500	6	1,500	-	On Target	On Target	Pre-planning stage. Expected completion 2024.
Bourtreehill Village	2,000	25	-		-	25	17	25	-	On Target	Slightly off target	Pre-planning stage. New completion date to be established.
James McFarlane ASN Site	3,050	2,250	-		-	2,250	44	2,250	-	On Target	Slightly off target	Consultation stage. New completion date to be established.
James Reid ASN school	6,050	1,125	-		-	1,125	103	1,125	-	On Target	Slightly off target	Consultation stage. New completion date to be established.
Stanecastle ASN School	3,300	1,850	-		-	1,850	70	1,850	-	On Target	Slightly off target	Consultation stage. New completion date to be established.
Fullarton Street	4,090	25	-		-	25	6	25	-	On Target	Slightly off target	Delays to delivery due to rehousing of tenants, which has now been completed. Demolition contractor appointed and onsite, demolition expected to complete in Spring 2023. Expected completion 2025.
New Build Montgomerie Park	10,900	1,500	-		-	1,500	4	1,500	-	On Target	On Target	Pre-planning stage. Expected completion Winter 2025.
Glebe Place	10	50	-		-	50	-	50	-	On Target	On Target	Pre-planning stage.
Regeneration Project 1e	15	5	-		-	5	-	5	-	On Target	On Target	Pre-planning stage.
Unallocated Regeneration Block 1	55	-	-		-	-	-	-	-	On Target	On Target	Pre-planning stage.
Laburnum Avenue (Regen 1a)	160	5	-		-	5	-	5	-	On Target	On Target	Pre-planning stage.
Newhouse Drive (Regen 1b)	175	5	-		-	5	-	5	-	On Target	On Target	Pre-planning stage.
Regeneration Project 1d	360	5	-		-	5	-	5	-	On Target	On Target	Pre-planning stage.
Contingency	1,163	8,820	-		(8,820)	-	-	-	-			
Connel Court		(49)	49		-	-	(30)	-	-	Complete	Complete	
Garrier Court		(56)	56		(33)	(33)	(33)	(33)	-	Complete	Complete	
Total For Council House Build Programme	**67,194**	**35,114**	**(1,363)**	**-**	**(7,701)**	**26,050**	**5,803**	**26,078**	**28**			
Improvement to Existing Homes - Building Services												
Window Replacement	325	364	11		-	375	8	375	-	On Target	On Target	
Bathroom Programme	75	75	177		6	258	356	258	-	On Target	On Target	
Kitchen Programme	2,610	4,450	-		-	4,450	295	1,497	(2,953)	On Target	Slightly off target	250 units will not be completed as programmed due to labour shortage. Underspend showing due to previous years underspend not required. Previous years uncompleted units were included in the revised business plan last year, therefore already accounted for.
Window Replacement - High Flats - Saltcoats	-	-	-		-	-	-	-	-	On Target	On Target	
Bathroom Programme Voids			972		61	1,033	-	1,033	-	On Target	On Target	
Kitchen Programme Voids			1,110		133	1,243	-	1,243	-	On Target	On Target	
Door replacement programme	2,191	2,191	(2,191)		-	-	-	-	-	Significantly off target	Significantly off target	Door replacement programme - tender has been re-issued following specification review due to unviable costs. Balance of budget requires to be earmarked for 2023/24.
Sheltered Housing Units	8,531	8,495	(5,745)		-	2,750	94	2,750	-	Significantly off target	Slightly off target	Barnett Court out for tender. Cheviot Court at consultation stage. Balance of budget requires to be earmarked for 2023/24.
Saltcoats MSF Investment	4,767	1,881	-		(595)	1,286	418	1,286	-	On Target	Slightly off target	Additional works required. Expected completion Winter 2022.
Total For Improvements to Existing Homes - Building Services	**18,499**	**17,456**	**(5,666)**	**-**	**(395)**	**11,395**	**1,171**	**8,442**	**(2,953)**			
Improvement to Existing Homes - External Contractors												
Central Heating	2,524	4,442	-	(1,756)	-	2,686	702	2,561	(125)	On Target	On Target	Underspend showing due to previous years underspend not required. Previous years uncompleted units were included in the revised business plan last year, therefore already accounted for.
Insulated Re-Rendering	421	865	-	1,756	-	2,621	-	2,621	-	On Target	On Target	Budget to be vired from central heating line to offset additional spend in insulated rerendering
Electrical Rewiring	698	1,742	-		-	1,742	47	697	(1,045)	On Target	On Target	Underspend showing due to previous years underspend not required. Previous years uncompleted units were included in the revised business plan last year, therefore already accounted for.
				0								
Total For Improvements to Existing Homes - External Contractors	**3,643**	**7,049**	**-**	**-**	**-**	**7,049**	**749**	**5,879**	**(1,170)**			

Description	Approved budget 16 February 2022	Current budget including carry forwards	Approved Revisions to programme	Virement Request	Carry forward (to)/from future years	Revised Budget 2022/23	Actual Spend to 31/08/2022	P6 Projection	True Over / (Under)spend	Delivery Status Financial	Delivery Status Physical	Comments
	£'000	£'000	£'000	£'000	£'000		£'000	£'000	£'000			
Refurbishment Schemes												
Roofing & Rendering	4,450	5,507	-			5,507	1,258	4,713	(794)	Slightly off target	On Target	Uncompleted units from previous years accounted for in future years. Previous years carry forward not required.
Demolition High Flats Irvine	6,780	3,000	(1,116)		(188)	1,696	22	1,696	-	On Target	Slightly off target	Demolition contractor appointed and onsite, demolition expected to complete in Summer/Autumn 2023.
Kings Arms Project	265	600				600	86	600	-	On Target	Slightly off target	Consultation stage, construction is due to commence Winter 2022
Refurb Maress House	-	(12)	12			-	-	-	-	On Target	On Target	HRA contribution to the project complete.
Refurb Friars Lawn	-	254	-			254	23	254	-	On Target	Complete	Final completion expected August 2022.
Total For Refurbishment Schemes	11,495	9,349	(1,104)	-	(188)	8,057	1,389	7,263	(794)			
Other Capital Works												
Energy Efficiency Standard	5,362	5,488	-			5,488	180	5,488	-	On Target	On Target	
Other Capital Works	726	712	-			712	-	712	-	On Target	On Target	
Major Improvements	6	6	-			6	-	6	-	On Target	On Target	
Parkhall & Kirkhall Asbestos	-	17	-			17	-	17	-	On Target	On Target	
Detection Equipment	458	1,462	(657)		(564)	241	89	241	-	Slightly off target	Slightly off target	Contractor continuing to work through addresses, forced entries process in place / limited capacity due to staff issues (contractors) will span 2 years. Balance of budget to be earmarked for 2023/24.
Solar Panels	3,862	3,888	(26)			3,862	376	3,862	-	On Target	On Target	
Professional Management Charges	1,326	1,738	-			1,738	316	1,738	-	On Target	On Target	
Estate Based Regeneration	1,287	2,190	(740)		(446)	1,004	94	1,004	-	Slightly off target	Slightly off target	Programme currently being revised. Proposals to Cabinet in Autumn/Winter 2022. Balance of budget to be earmarked for 2023/24.
Nelson Street Regeneration	442	451	(426)			25	-	25	-	Significantly off target	Significantly off target	Final property obtained through CPO. Feasibility exercise being undertaken. Balance of budget to be earmarked for 2023/24.
Health and Safety Works	207	207	-			207	-	207	-	On Target	On Target	
Total For Other Capital Works	13,676	16,159	(1,849)	-	(1,010)	13,300	1,055	13,300	-			
TOTAL EXPENDITURE	114,507	85,127	(9,982)	-	(9,294)	65,851	10,167	60,962	(4,889)			
Sale Of Council Houses	-	-	-		-	-	-	-				
Sale Of Assets	-	-	-		-	-	-	-				
CFCR	(12,209)	(12,209)	-			(12,209)	-	(12,209)				
Other Income - House Building	-	-	-			-	-	-				
Capital Grants	(14,175)	(7,138)	3,962			(3,176)	(87)	(3,176)				Slippage in house building resulting in reduction in grant claims.
Other Capital Income	-	-	-			-	-	-				
Capital Grants - Energy Funding	-	-	-			-	-	-				
Affordable Housing Contribution	(1,596)	(1,596)				(1,596)	-	(1,596)				
Funding from Reserves	-	-	-			-	-	-				
Capital Fund Contribution		-	-			-	-	-				
Prudential Borrowing	(85,376)	(63,033)	6,020		9,294	(47,719)	-	(42,830)	4,889			
Welfare Reform Reserve		-	-			-	-	-				
Council House Build Fund	(1,151)	(1,151)	-			(1,151)	-	(1,151)				
TOTAL INCOME	(114,507)	(85,127)	9,982	-	9,294	(65,851)	(87)	(60,962)	4,889			
NET EXPENDITURE	-	-	-	-	-	-	10,080	-	-			

The following classifications have been used to highlight financial performance against budget

On Target	On Target (+0.5% of budget)
Slightly off target	Slightly off target (+ 0.5% to 2% of budget, or £0.125m, whichever is less)
Significantly off target	Significantly off target (+2% or more of budget, or £0.500m, whichever is less)

On Target (up to 5% delay of original timescales)

Slightly off target (+ 5% to 10% of original timescales)

Significantly off target (+10% or more of original timescales)

NORTH AYRSHIRE COUNCIL

29 November 2022

Cabinet

Title:	**Treasury Management and Investment Mid-Year Report 2022/23**
Purpose:	To provide Cabinet with a Treasury Management update for the period 1 April to 30 September 2022.
Recommendation:	That Cabinet agrees to (a) endorse the contents of the Treasury Management and Investment Mid-Year Report for 2022/23 (Appendix 1); and (b) note the Prudential and Treasury Indicators contained therein.

1. Executive Summary

1.1 The Treasury Management and Investment Strategy and treasury management indicators provide a framework for the Council's treasury activities to ensure the effective control of the risks associated with those activities and the pursuit of optimum performance consistent with those risks.

1.2 This mid-year review report:

- provides an update on performance to 30 September 2022;

- updates the annual prudential indicators to reflect the latest information available to the Council; and

- demonstrates that the treasury management activities carried out during the period 1 April to 30 September 2022 have been consistent with the Treasury Management and Investment Strategy 2022/23 and have complied with the treasury management indicators set out in the Strategy.

2. Background

2.1 The Chartered Institute of Public Finance and Accountancy's (CIPFA) Code of Practice on Treasury Management (revised 2017) requires that Elected Members are provided with regular monitoring reports on treasury management activities. The Treasury Management Strategy for 2022/23 was approved by Council on 2 March 2022.

This report is the Mid-Year Report, providing Cabinet with an update on treasury management activities for the period 1 April to 30 September 2022.

An annual report on the treasury management activities for the year will be presented to Council following the end of the financial year.

These reports ensure that the Council is meeting best practice in accordance with CIPFA's Code of Practice.

2.2 The 2022/23 Mid-Year Report is attached at Appendix 1 and covers:

- Prudential and treasury indicators;

- Borrowing and associated rates; and

- Investments and associated rate of return.

2.3 This report provides an update on performance to 30 September 2022 and the annual prudential indicators to reflect the latest information. It is a statutory duty for the Council to determine and keep under review its approved borrowing limits and prudential indicators. Details within the report demonstrate that, during the period 1 April to 30 September 2022, the Council has operated within the authorised and operational limits and prudential indicators as set out in the Council's 2022/23 Annual Treasury Management Strategy Statement (TMSS).

2.4 The Executive Summary of the Mid-Year Report provides a high level overview of treasury management and performance, with more detail provided in the body of the report. Key points to note are:

- the re-profiling of capital expenditure into future years and continued use of internal resources have had an impact on all of the prudential indicators;

- PWLB interest rates rose by over 2% during the period in both the long and short term.

- during the year to date the Council has undertaken no new borrowing . The Council has utilised internal short-term cash reserves to temporarily fund any capital borrowing requirement to 30 September 2022; and

- investment returns are marginally above the target and this is reflective of the rising Bank of England base rate which increased from 0.75% to 2.25% during the period to 30 September.

3. Proposals

3.1 It is proposed that Cabinet (a) endorse the contents of the Treasury Management and Investment Mid-Year Report for 2022/23 (Appendix 1); and (b) note the Prudential and Treasury Indicators contained therein,

4. Implications/Socio-economic Duty

Financial

4.1 **General Services**

Capital Financing Costs - the Council budgeted £15.654m for financing costs and expenses on debt for 2022/23. It is currently estimated that actual costs will total £12.148m. This underspend will be transferred to the Loans Fund Reserve in line with the previously agreed policy to support delivery of the capital investment programme.

Housing Revenue Account

Capital Financing Costs - the Council budgeted £12.483m for financing costs and expenses for debt in 2021/22. It is currently estimated that actual costs will total £10.483m.

In both cases, the main reasons for the underspends are a) the re-profiling of capital expenditure into future years and b) the current strategy to utilise cash balances, resulting in savings on external interest costs.

Human Resources

4.2 None.

Legal

4.3 None.

Equality/Socio-economic

4.4 None.

Environmental and Sustainability

4.5 None.

Key Priorities

4.6 This report directly supports the Council Plan 2019 to 2024 by maximising resources and providing value for money to support financially sustainable delivery models.

Community Wealth Building

4.7 None.

5. Consultation

5.1 The Council's treasury advisors, Arlingclose Ltd, were consulted in the preparation of this report.

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Mark Boyd
Head of Service (Finance)

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For further information please contact **David Forbes, Senior Manager (Strategic Business Partner),** on **01294 324551**.

Background Papers
Treasury Management and Investment Strategy 2022/23 – Council 2 March 2022

Treasury Management and Investment Mid-Year Report

2022/23

Contents

Treasury Management and Investment Mid-Year Review 2022/23

1.   Purpose

The Council is required by regulations issued under the Local Government in Scotland Act 2003 and the Chartered Institute of Public Finance and Accountancy's (CIPFA) Code of Practice on Treasury Management (revised 2017) to produce a mid-year review of treasury management activities. The purpose of this mid-year review is to report the performance of the Council's treasury operation and how this measures up against the Council's Treasury Management and Investment Strategy. This is done through the publication of updated prudential and treasury indicators for 2022/23.

This report meets the requirements of both the CIPFA Code of Practice on Treasury Management (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code).

CIPFA published its revised Treasury Management Code of Practice [the TM Code] and Prudential Code for Capital Finance in December 2021. The key changes in the two codes are around permitted reasons to borrow, knowledge and skills, and the management of non-treasury investments. The principles within the two Codes took immediate effect although local authorities could defer introducing the revised reporting requirements within the revised Codes until the 2023/24 financial year if they wish which the council has elected to do. This report has therefore been prepared in compliance with the 2017 codes.

During 2022/23, to meet the minimum reporting requirement, the following reports should be submitted to Elected Members:

- an annual treasury management and investment strategy (submitted to the Council on 2 March 2022)
- the capital strategy (submitted to the Council on 2 March 2022)
- a mid-year treasury update report (this report)
- an annual review following the end of the year describing the activity compared to the strategy (will be submitted to Council in June 2023)

Regulations place responsibility on members for the review and scrutiny of treasury management policy and activities. This report is, therefore, important in that respect, as it provides details of treasury activities for the six months to 30 September 2022 and highlights performance against the Council's policies previously approved by members.

2.   Executive Summary

During the six month period to 30 September 2022, the Council complied with its legislative and regulatory requirements.

The **key prudential and treasury indicators** for 2022/23 have been updated based on the latest available information and will be used to assess performance at the end of the year.

TABLE 1

Prudential and treasury indicators	2022/23 Original Estimate £m	2022/23 Revised Estimate £m
Capital expenditure **(Indicator 1)**		
· Non-HRA	124.152	63.428
· HRA	114.507	60.963
· **Total**	**238.659**	**124.391**
Capital Financing Requirement (CFR):		
· Non-HRA	298.935	222.683
· HRA	229.034	193.092
· **Total**	**527.969**	**415.775**
Gross borrowing **(Indicator 4)**	517.969	321.314
Operational Boundary **(Indicator 5)**	547.562	431.623
Authorised Limit **(Indicator 6)**	602.318	474.785
Investments **(Indicator 8)**		
· Longer than 1 year	-	-
· Under 1 year	20.000	44.304
· **Total**	**20.000**	**44.304**

A summary of performance is provided below with more detailed information provided in the body of the report.

Capital Expenditure for both the General Fund and HRA vary from original estimates due to changes in the profile of projects. Full details of all movements in the capital expenditure budgets are included in the capital programme performance reports submitted to Cabinet throughout the year.

The **Capital Financing Requirement (CFR)** is the underlying borrowing requirements of the Council. The reduction to the requirement during 2022/23 reflects the change in profile of the capital programme.

Gross Borrowing reflects the actual borrowing which has been undertaken. This is projected to be lower than anticipated due to the revised profile of capital projects and the continued use of internal funds, the latter being a key element of the Treasury Management Strategy to minimise costs.

The **Operational Boundary** is the maximum we would anticipate borrowing to fund the current year capital programme building in flexibility for the timing of the different funding streams and principal repayments. The in-year variance is linked to the continued use of internal funds and the re-profiling of the capital programme.

The **Authorised Limit** is set at 10% above the Operational Boundary to give some flexibility to raise funds for future year capital investment.

The Council has a strategy of taking a combination of temporary and permanent borrowing in recognition of the Council's longer term borrowing requirements and the market rates available at that time. This balances short term financial savings with longer term security of costs. During the period 1 April to 30 September 2022 the Council undertook no new borrowing.

Over the April-September period short term PWLB rates rose dramatically, particular in late September after the Chancellor's 'mini-budget' prompted a fall in sterling and rise in market interest rate expectations. As a result of the increased borrowing rates, the Council will continue its current strategy of using internal funds instead of borrowing in order to minimise exposure to external interest rates. Where an in year borrowing requirement is identified, short term borrowing options will be explored as an interim measure until market stability is regained.

Affordability of borrowing is measured by a number of indicators, including the impact of:

- Percentage of financial costs relative to the net revenue stream of the General fund and Housing Revenue Account.

As at 30 September 2022 the above indicator shows estimated ratios of 3.1% and 21.3% for General Fund and HRA respectively. Capital expenditure impacts on the revenue budget through financing charges so it is essential the Council ensures the financing costs remain affordable and do not constitute an excessive proportion of the revenue resources available. From a General Fund perspective, the latest Scottish Local Authority average was 5.86%, therefore demonstrating a prudent borrowing policy. For the HRA, the latest Scottish average was 21.62%. The level of loan charges is deemed prudent and affordable within the framework of the 30 year Housing business plan.

The **average investment** rate to 30 September 2022 was 0.8%, compared to a target of 0.50% and actual in 2021/22 of 0.15%. The return secured this year to date reflects the Bank of England base rate which has risen from 0.75% at the beginning of the financial year to 2.25% at 30 September. A further rate increase to 3% was announced on the 3 November with further increases anticipated. The Council's objective when investing money is to strike an appropriate balance between risk and return, minimising the risk of incurring losses from defaults and the risk of receiving unsuitably low investment income.

Other prudential and treasury indicators and supporting information can be found in the main body of this report.

Conclusion

The Head of Finance confirms that long-term borrowing is only undertaken for a capital purpose and the statutory borrowing limit (the authorised limit) has not been breached.

3.   Prudential and Treasury Indicators for 2022/23

The Prudential Code establishes a framework to ensure Councils demonstrate effective control over levels of, and decisions relating to, capital investment activity including borrowing. The Treasury indicators are used to ensure that risk is managed and controlled effectively. Together the Prudential and Treasury Indicators consider the affordability and impact of capital expenditure decisions and set out the Council's overall capital framework.

These indicators help the Council to demonstrate public accountability in relation to borrowing and investments. As part of this accountability this report will summarise the following: -

- Capital activity during the year (section a);
- Impact of this activity on the Council's underlying debt (the Capital Financing Requirement) (section b);
- The actual prudential and treasury indicators (section a – e);
- Overall treasury position identifying how the Council has borrowed in relation to this debt, and the impact on investment balances (section e);
- Detailed debt activity (section e); and
- Summary of interest rate movements in the year (section 4);
- Detailed investment activity (section 5).

(a)   The Council's Capital Expenditure and Financing 2022/23 (Prudential Indicator 1)

The Council incurs capital expenditure when it invests in its long term assets. Capital Expenditure can be funded in two main ways:

- Financed immediately through the application of capital or revenue resources (capital receipts, capital grants, revenue contributions etc.), which has no resultant impact on the Council's borrowing need; or
- If insufficient financing is available, or a decision is taken not to apply other resources, the capital expenditure will give rise to borrowing, which is approved as part of the Council's investment plans.

The tables below show the planned capital expenditure for 2022/23 and the latest forecast alongside the amount estimated to be financed in year and the amount which will give rise to borrowing.

TABLE 2

General Fund	2022/23 Original Estimate £m	2022/23 Revised Estimate £m
Capital expenditure (Indicator 1)	**124.152**	**63.428**
Financed in year from external funding and reserves	29.637	33.750
Unfinanced capital expenditure	**94.515**	**29.678**
HRA	2022/23 Original Estimate £m	2022/23 Revised Estimate £m
Capital expenditure (Indicator 1)	**114.507**	**60.963**
Financed in year from external funding and reserves	29.131	18.132
Unfinanced capital expenditure	**85.376**	**42.831**

(b) The Council's Overall Borrowing Need (the Capital Financing Requirement) (Prudential Indicators 2 and 3)

This indicator outlines the Council's Capital Financing Requirement (CFR). The CFR is simply the total historic outstanding capital expenditure which has not been paid from either a capital or revenue resource and therefore needs to be funded from borrowing. It is essentially a measure of the Council's underlying borrowing need.

Part of the Council's treasury activity is to meet the funding requirements for this borrowing need. The treasury management section organises the Council's cash position to ensure that sufficient cash is available to meet the capital plans and cash flow requirements. This may be sourced through borrowing from external bodies (such as the Government through the Public Works Loan Board [PWLB], or the money markets), by utilising temporary cash resources within the Council or through temporary borrowing from other local authorities.

The Council's underlying borrowing need (CFR) is not allowed to rise indefinitely. The Council is required to make an annual revenue charge, called the Loan Fund Principal Repayment. This is effectively a repayment of the borrowing need and it is charged to revenue over the life of the asset. This charge reduces the CFR each year. This differs from the treasury management arrangements which ensure that cash is available to meet capital commitments. External debt can also be borrowed or repaid at any time, but this does not change the CFR.

The total CFR can also be reduced by:

- the application of additional capital financing resources (such as unapplied capital receipts); or
- increasing the annual revenue charge

The Council's CFR for the year is shown in the following table and is a key prudential indicator. The opening balance excludes the PPP / NPD schemes because no borrowing is actually required against these schemes as a borrowing facility is included in the contract.

Table 3 shows that, based on historic capital expenditure and this year's capital expenditure, the Council has a cumulative underlying borrowing need of £415.775 forecast at 31 March 2023. This is lower than the original estimate largely as a result of changes in the profile of capital projects.

TABLE 3

CFR	2022/23 Original Estimate £m	2022/23 Revised Estimate £m
Opening Balance	**357.927**	**352.988**
Add unfinanced capital expenditure (General Fund and HRA per Table 2)	179.891	72.509
Less Loans Fund Principal Repayments	(9.849)	(9.722)
Closing balance (Indicator 2)	**527.969**	**415.775**
Annual Change (Indicator 3)	**170.042**	**62.787**

c)   Limits to Borrowing Activity (Prudential Indicators 4 - 6)

Borrowing activity is constrained by the prudential indicators for CFR, gross borrowing and by the authorised limit to ensure the Council operates its activities within well-defined limits.

Gross borrowing and the CFR

There is a need to ensure that gross debt does not, except in the medium term, exceed the total CFR (i.e. the Council does not borrow more than it needs to fund its capital programme). In exceptional circumstances Councils are allowed to borrow to cover the current financial year plus the next two financial years (i.e. to 2023/24). This provides some flexibility to borrow in advance where this is appropriate.

Table 4 highlights the Council's forecast gross borrowing position against the CFR and confirms that at 30 September 2021 the Council has complied with this prudential indicator as gross borrowing is currently within its CFR. The Council is currently under-borrowed by £166.762m due to the continuing strategy to delay long-term external borrowing by utilising internal cash balances.

TABLE 4

	2022/23 Original Estimate £m	2022/23 Revised Estimate £m	30 September 2022 Actual £m
Gross borrowing position **(Indicator 4)**	517.969	321.314	249.013
CFR	527.969	415.775	415.775
(Under)/Over Borrowed Position	**(10.000)**	**(94.461)**	**(166.762)**

As part of its annual Treasury Management and Investment Strategy the Council sets limits for external borrowing which it is not normally expected to exceed. These limits are explained below.

The Operational Boundary

The operational boundary is the expected maximum borrowing position of the Council during the year, taking account of the timing of various funding streams and the recharge of principal repayments from the revenue account. Periods where the actual position varies from the boundary is acceptable subject to the authorised limit not being breached.

The Authorised Limit

The authorised limit represents a limit beyond which external debt is prohibited. Performance against the approved strategy is monitored throughout the year and reported to Cabinet as appropriate. However, ultimate responsibility for setting or adjusting this limit lies with full Council. The current limit is set at 10% of the Operational Boundary.

Table 5 demonstrates that between 1 April and 30 September 2022 the Council's gross borrowing was within both the operational boundary and its authorised limit, by a significant margin due to the continuing strategy to delay new external borrowing by utilising internal cash balances and changes in the capital programme that have resulted in a reduced borrowing requirement.

TABLE 5

	Estimated £m	Revised £m
Average gross borrowing position 1 April to 30 September 2022		253.621
Maximum gross borrowing position 1 April to 30 September 2022		264.741
Operational boundary per Treasury Strategy 2022/23 (Indicator 5)	547.562	431.623
Authorised limit per Treasury Strategy 2022/23 (Indicator 6)	602.318	474.785

(d) Treasury Position at 30 September 2022 (Prudential Indicators 7 - 11)

The Council's debt and investment position is organised by the treasury management service to ensure adequate liquidity for revenue and capital activities, security for investments and to manage risks within agreed parameters. Procedures and controls to achieve these objectives are well established through both Member reporting and the Council's Treasury Management Practices.

Borrowing Strategy for 2022/23

The Borrowing Strategy for 2022/23 anticipated bank interest rates rising to 1% during 2022/23 and fixed borrowing rates to remain steady. Variable, or short-term rates, were expected to be the cheaper form of borrowing over the period. Continued economic uncertainty has promoted a cautious approach, whereby investments continue to be dominated by low counterparty risk considerations, resulting in relatively low returns compared to borrowing rates.

Over the April-September period short term PWLB rates rose dramatically, particular in late September after the Chancellor's 'mini-budget' prompted a fall in sterling and rise in market interest rate expectations. Interest rates rose by over 2% during the period in both the long and short term. As an indication the 5-year maturity certainty rate rose from 2.30% on 1st April to 5.09% on 30th September; over the same period the 20-year maturity certainty rate rose from 2.67% to 4.90%. Although interest rates across the board have risen, short-term borrowing from other local authorities remains at lower interest rates than long term borrowing. The Bank of England Bank Rate has risen from 0.75% to 2.25% during the period to 30 September with a further increase on 3 November to 3%.

As a result of the increased borrowing rates, the Council's current strategy is to use internal funds instead of borrowing. The Council's treasury advisors are forecasting that borrowing rates will fall over the medium term and that if borrowing is required in year, then short term borrowing will be explored to bridge the gap until more normal levels of market volatility are restored.

The following graph demonstrates that PWLB rates have remained relatively steady during the period April to September 2022.

PWLB Rates
April to September 2022
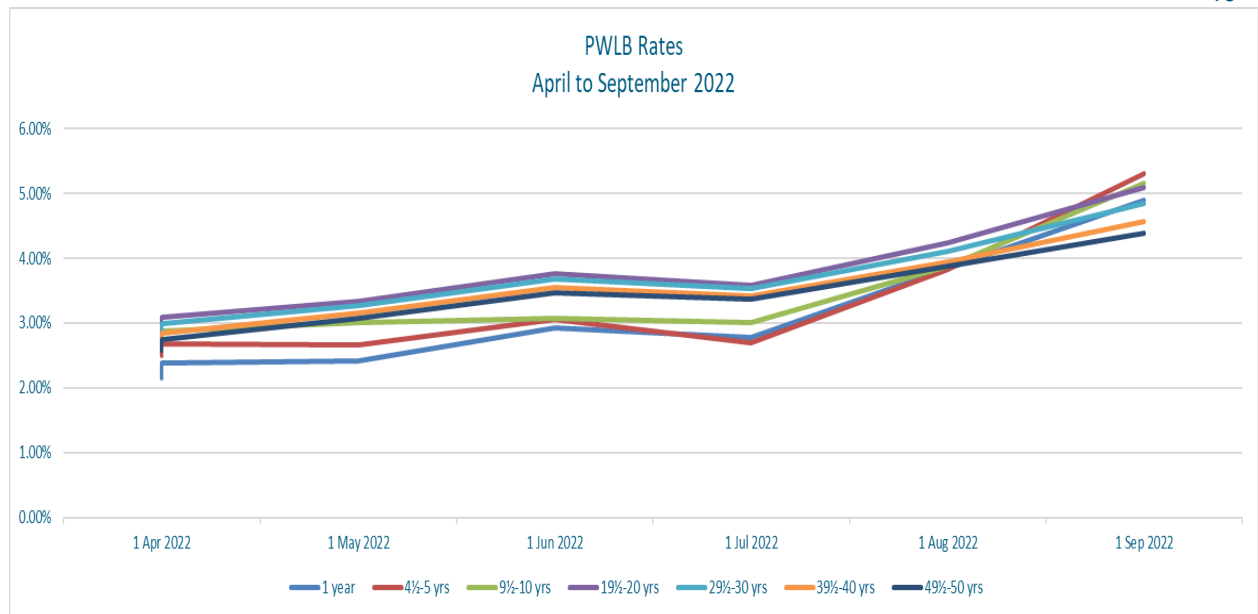
CIPFA's 2021 Prudential Code is clear that local authorities must not borrow to invest primarily for financial return and that it is not prudent for local authorities to make any investment or spending decision that will increase the capital financing requirement, and so may lead to new borrowing, unless directly and primarily related to the functions of the Authority.

Local authorities can borrow from the PWLB provided they can confirm they are not planning to purchase 'investment assets primarily for yield' in the current or next two financial years, with confirmation of the purpose of capital expenditure from the Section 95 Officer. Authorities that are purchasing or intending to purchase investment assets primarily for yield will not be able to access the PWLB except to refinance existing loans or externalise internal borrowing.

The Council is not planning to purchase any investment assets primarily for yield within the next three years and so is able fully access the PWLB.

Borrowing Position for 2022/23

To date in 2022/23, the Council has undertaken no new borrowing. The Council has used internal short-term cash reserves to temporarily fund its capital borrowing requirement to 30 September 2022.

In terms of outlook for the remainder of the year, based on current capital plans and replacement borrowing requirements, it is estimated that the Council will borrow £64.860m this financial year, with a forecasted planned under borrowed position of £94.461m at the end of March 2023.

Rescheduling

No rescheduling has taken place between 1 April 2022 and 30 September 2022 as the average differential between PWLB new borrowing rates and premature repayment rates made rescheduling unviable.

The Council's treasury position (excluding borrowing by PPP/NPD and finance leases) at the 31 March 2022 and 30 September 2022 was as follows:

TABLE 6

	31 March 2022 Principal £m	Rate/ Return %	30 September Principal £m	Rate/ Return %
Fixed rate funding:				
-PWLB	181.055	4.68%	179.611	4.73%
-Other Local Authorities	25.000	0.10%	16.972	0.35%
-Market	1.522	8.40%	1.480	8.64%
Variable rate funding:				
-Market	50.950	5.10%	50.950	5.10%
Total debt (Indicator 7)	258.527	4.34%	249.013	4.53%
CFR	352.988		415.775	
Over / (under) borrowing	(94.461)		(166.762)	
Investments:				
- internally managed	43.506	0.15%	(44.304)	0.80%
Total investments (Indicator 8)	43.506		(44.304)	

All investments at 30 September 2022 mature within one year in line with the Treasury Management and Investment Strategy **(Indicator 9)**.

The maturity structure of the debt portfolio **(Indicator 10)** at 30 September 2022 is shown below and shows the period when the Council is required to repay and/or refinance debt. It is important to ensure a reasonable spread of debt to mitigate against high exposure levels in respect of refinancing. The current profile ensures this:

TABLE 7

Maturity Profile of Borrowing (Indicator 10)	31-Mar-22 Actual £m	30 September 2022 Actual £m
Under 12 months	76.911	68.873
12 months and within 24 months	2.950	3.030
24 months and within 5 years	10.050	9.938
5 years and within 10 years	24.439	24.439
10 years and within 20 years	28.665	31.421
20 years and within 30 years	6.625	2.425
30 years and within 40 years	106.887	106.887
40 years and within 50 years	2.000	2.000

The next indicator is used to manage risk and reduce the impact of adverse movement in interest rates. This sets a limit on the Council's exposure to fixed and variable interest rates **(Indicator 11).** The Council approved a limit on variable borrowing of £60.000m in the Treasury Management Strategy 2022/23.

TABLE 8

	2022/23 Original Limits £m	30 September 2022 Actual £m
Limits on fixed interest rates based on net debt **(Indicator 11)**	602.318	474.785
Limits on variable interest rates based on net debt **(Indicator 11)**	60.000	50.950

(e) Affordability Prudential Indicators (Prudential Indicator 12 - 14)

These Prudential Indicators assess the affordability of capital investment plans and provide an indication of the impact of capital investment plans on the Council's overall finances. The cost impact of borrowing decisions are reflected in the Council's budget as loan charges.

The actual and estimates of the ratio of financing costs to net revenue stream indicator identifies the trend in the cost of capital (borrowing and other long-term liabilities net of investment income) against the net revenue stream.

TABLE 9

Estimate of ratio of financing costs to net revenue stream (Indicator 14)	2022/23 Original Estimate £m	2022/23 Revised Estimate £m
General Services	3.7%	3.1%
HRA	21.7%	21.3%

Capital expenditure impacts on the revenue budget through financing charges so it is essential the Council ensures the financing costs remain affordable and do not constitute an excessive proportion of the revenue resources available.

From a General Fund perspective, the latest Scottish Local Authority average was 5.86%, thereby demonstrating a prudent borrowing policy.

For the HRA, the latest Scottish average was 21.62%. The level of loan charges is deemed prudent and affordable within the framework of the 30 year Housing business plan.

4. Investment Rates in 2022/23

The Bank Rate has risen from 0.75% to 2.25% during the period April to September. The Bank Rate was raised by a further 0.75% on the 3 November to 3%. The Council's treasury advisers, Arlingclose, currently project that the bank rate will peak at 4.25% with a further 0.5% increase in December and smaller rises in 2023 . The ongoing conflict in Ukraine has continued to put pressure on global inflation and the economic outlook for UK and world growth remains weak. The UK political situation towards the end of the period following the 'fiscal event' increased uncertainty further

5. Investment Position for 2022/23

Investment Policy

The Council's investment policy is governed by Scottish Government investment regulations, which have been implemented in the annual treasury management and investment strategy, approved by Council on 2 March 2022. This policy sets out the approach for choosing investment counterparties, based on credit ratings provided by the three main credit rating agencies and supplemented by additional market data (such as rating outlooks, credit default swaps, bank share prices etc.).

All investments during 2022/23 have complied with our investment policy.

Resources

The Council's cash balances comprise revenue and capital resources and cash flow monies. The Council's cash resources at 30 September 2022 were as follows:

TABLE 10

Cash Balances	2022/23 Actual £m
1 April 2022	43.506
30 September 2022	44.304
Change within 6 months	**0.798**

Investments held by the Council

The Council has maintained an average balance of £44.156m of invested funds and utilised cash balances during the year in support of the under-borrowed position.

The Council's treasury management advisors, Arlingclose Limited, have five Scottish unitary authorities in their client group and provide regular investment benchmarking information to the Council. In terms of investment performance, North Ayrshire Council's average weighted rate of return on investments during the period 1 April 2021 to 30 September 2022 was 0.80% (0.15% for the period to 30 September 2021). The actual rate of return on investments as at 30 September for North Ayrshire Council was 1.58% compared to the group average rate of 1.85%.

The target investment rate for 2022/23 was 0.50% and the slightly higher weighted average return in the first half of the year reflects the rising Bank of England Base Rate.

We will continue to invest with approved counterparties in accordance with the approved strategy.

NORTH AYRSHIRE COUNCIL

29th November 2022

Cabinet

Title:	**Procurement Annual Activity Report (21-22)**
Purpose:	To provide Cabinet with an update on Procurement activity for the period 21/22
Recommendation:	Cabinet notes the report

1. Executive Summary

1.1 It was agreed by Council in September 2020 that an annual procurement report should be produced for Cabinet. This is the third report, and it covers the period 21-22.

1.2 During the year, 167 different procurement exercises were undertaken resulting in contracts being awarded to 320 suppliers with a total value of £107.3m. North Ayrshire Council **(NAC)** publishes a register of all live contracts and a 2-year plan of future tendering opportunities.

1.3 In terms of total procurement expenditure, NAC spent a total of £223.7m with 3564 suppliers and £51.2m (22.93%) was spent locally with 735 North Ayrshire suppliers. The top 11 local suppliers, by spend value (over £1m), receive over half of the £51.2m (£28.4m).

1.4 The report also contains information on what category of goods/services are purchased, the top 20 suppliers by value, the size and locality of suppliers, and community benefits delivered.

1.5 The combined spend for NAC**,** East Ayrshire Council, South Ayrshire Council, NHS Ayrshire & Arran and University of West of Scotland is over £683m with £61m (9%) spent with local North Ayrshire suppliers.

1.6 Included as a key performance measure within the Council Plan, NAC has set a target to increase spend with local suppliers to 26% by 2024. Significant effort to identify and work with local suppliers who are capable of supplying goods and services procured by NAC will be required to achieve this target. Progress continues to be made in this area through engagement with the local supplier base and providing visibility of upcoming procurement opportunities and access to training and support to maximise local supplier's success securing NAC contracts. This progress continues to be set within the context of the duty on NAC to secure Best Value through the procurement process.

1.7 The report also provides details of progress of the ongoing e-invoicing project which is aiming to increase the number of suppliers utilising the e-Invoicing facility.

2. Background

2.1 At the Council meeting in September 2020, it was agreed that Cabinet should receive a detailed annual report covering all procurement activity. The first report covering the period 19-20 went to Cabinet in May 21 and the second report detailing activity covering the period 20-21 went to Cabinet in November 2021. This report covers the 21-22 procurement activity.

2.2 During the 21-22 period, 167 different procurement exercises were undertaken by the Corporate Procurement unit **(CPU),** resulting in contracts being awarded to 320 suppliers with a total value of £107,257,525. The different procurement types undertaken are listed below:

Procurement Type	Number of Procurements Awarded	Total Value Awarded
Quick Quotes Awarded	54	£ 3,228,429.77
Quick Quotes Multi Supplier Awarded	1	£ 42,000.00
Single Tender Actions Awarded	45	£ 2,868,978.56
Direct Awards Awarded	15	£ 3,089,447.30
OJEU/GPA Tenders Awarded	9	£ 28,518,418.54
OJEU/GPA Multi Supplier Awarded	5	£ 38,851,186.99
Non-OJEU/GPA Tenders Awarded	8	£ 10,766,481.19
Mini Competitions Awarded	23	£ 18,602,848.62
Self-Directed Support Option 2 Awarded	7	£ 1,289,734.28
Total	167	£ 107,257,525.25

Public sector procurement legislation dictates the procurement type required based on the type of goods, services or works needed and the anticipated value for the life of a contract. There are 3 main regulations that NAC need to comply with

- Procurement Reform (Scotland) Act 2014
- Public Contracts (Scotland) Regulations 2015
- Procurement (Scotland) Regulations 2016

Each regulation has specific thresholds and requirements to be adhered to, and failure to adhere could lead to costly legal challenges. In addition to the external legislation the Council's Standing Orders Relating to Contracts also has requirements on how officers are permitted to procure. The diagram below shows the activity required at specific values.

Tenders are carried out above Quick Quote threshold and depending on the proposed contract values these fall into lower value Non-Government Procurement Agreement (GPA) or higher value GPA tenders. Following the UK's withdrawal from the EU, tenders are now required to comply with GPA rules. Tenders are open to any suppliers registered on Public Contract Scotland.

NAC has a legal obligation to maintain a register of all "live" contracts and for this to be openly published. NAC's corporate contract register is published through the open data portal and can be accessed from this link Contract Register.

2.3 In addition to the above contracts completed during 2021-22, purchases were made utilising existing NAC contracts, as well as other collaborative contracts and frameworks. The collaborative contracts and frameworks most frequently used are typically those owned by Scotland Excel, Scottish Government, Crown Commercial Service and the 3 Ayrshire Councils.

2.4 The Procurement Reform (Scotland) Act 2014 requires NAC to publish an annual procurement report on its regulated procurements (£50K or over for supplies and services and £2M or over for works). To give potential suppliers visibility of future tendering opportunities, there is a requirement to provide as part of the report a list of all known tender opportunities for the following two years. This visibility is also very important within the context of the NAC's Community Wealth Building **(CWB)** aspirations. NAC's annual report is published on the NAC website and can be accessed from the link Procurement Annual Report 21-22 .

Analysis of total spend

2.5 On an annual basis, Scottish Government funding is available for public sector bodies (including NAC) to have their purchase ledger spend data analysed by the data analytic company Spikes Cavell. This data is made available on the Scottish Procurement Information Hub, and it allows public bodies to analyse how much they spend, on what category of goods/services, and the size and locality of the suppliers used. It also allows organisations to compare their data with other public bodies.

2.6 The Scottish Procurement Information Hub data shows that NAC spent a total of £223.7m with 3564 suppliers. Further analysis shows £51.2m (22.93%) was spent locally with 735 North Ayrshire suppliers, which is an increase of £6m from the previous year. This information is vital in supporting the procurement pillar of the CWB Strategy and the Council Plan performance indicator "percentage of procurement spent on local enterprises".

Supplier locality is based on the address from which the invoice is sent. Therefore, it is recognised that this can underrepresent the true economic impact of procurement spend in the local area. Further supporting analysis has been carried out to show more details of the local economic impact of the procurement spend and this is outlined in section 2.24. This is an area that will continue to be reviewed.

2.7 NAC buys a vast array of supplies, service and works and the table below details the top 20 categories by value, and the number of suppliers used within each category.

Vendor Category	Total Spend	Total Suppliers
Development Agencies	£ 27,837,879.07	2
Nursing Homes	£ 19,856,871.74	62
Building Management Service Providers	£ 12,419,378.14	1
House Builders	£ 11,511,005.30	2
General Builders	£ 10,610,520.93	11
Disability & Special Needs Services Providers	£ 7,672,760.48	22
Other Social Care & Social Service Providers	£ 6,883,904.18	11
Non-Residential Main Building Contractors	£ 5,407,262.99	7
Other Community Healthcare Service Providers	£ 4,727,160.52	6
Quarry & Aggregates Suppliers	£ 4,522,085.33	3
Other Child Care Services Providers	£ 4,516,205.02	30
Adult Residential Care Providers	£ 4,194,069.15	41
Sports & Leisure Centres	£ 4,185,335.66	5
Roofers	£ 4,012,562.78	7
Housing Associations	£ 3,613,609.85	7
Mains Electricity Suppliers	£ 3,584,863.00	8
Early Years' Service Providers	£ 3,461,539.84	19
Community-Based Adult Mental Health Service Providers	£ 3,128,305.75	6
Home Care Service Providers	£ 3,022,471.96	10
Plumbing, Heating & AC (HVAC) Contractors	£ 2,757,750.47	14
Total	£ 147,925,542.16	274

2.8 An analysis of the spend by suppliers shows that 41 of the 3564 suppliers used, received more than £1m of business in the last year, equating to 60% of the total annual spend and at the opposite end of the spend profile, 1696 suppliers received less than £1,000 spend.

2.9 The top 20 suppliers by spend account for £106.6m and 47.6% of the total expenditure.

Supplier Name	Aggregate Spend
Hub South West Scotland Ltd	£ 27,814,879.07
PPP Services (North Ayrshire)	£ 12,419,378.14
Mclaughlin & Harvey Ltd	£ 8,442,639.28
McTaggart Construction Ltd	£ 8,072,415.26
Clark Contracts Ltd	£ 5,273,840.90

Macsphalt	£ 4,420,523.18
North Ayrshire Leisure Limited	£ 4,176,794.06
Hansel Alliance	£ 3,788,507.07
Marley Contract Services	£ 3,463,730.02
McTear Contracts Limited	£ 3,438,590.04
EDF Energy Customers Plc	£ 3,387,049.58
Carewatch	£ 3,056,120.17
Richmond Fellowship Scotland	£ 2,940,651.28
Cornerstone	£ 2,878,857.66
Buckreddan Lodge Nursing Home	£ 2,708,624.19
James Frew Ltd	£ 2,644,125.02
Key Housing Association Ltd	£ 2,051,827.85
Enhance Healthcare Ltd	£ 1,862,331.07
Fullarton Care Home	£ 1,844,110.58
Caledonia Care Home	£ 1,828,530.11
	£ 106,513,524.53

2.10 The invoice address is used to determine the locality of suppliers. This dataset shows that most suppliers used are Scottish. The table below shows the amount spent in each of the 4 nations.

Supplier Location	Spend	% of Total Spend	No. of Suppliers
Scotland	£173,601,032.70	77.64%	1948
England	£ 40,352,806.80	18.05%	1458
Northern Ireland	£ 9,232,265.62	4.13%	22
Wales	£ 217,216.19	0.10%	36

2.11 The data also shows that where the size of the company is known, 79% are SME's. The chart below shows more detail and confirms most companies fall in the small company definition i.e., less than 50 employees.

245
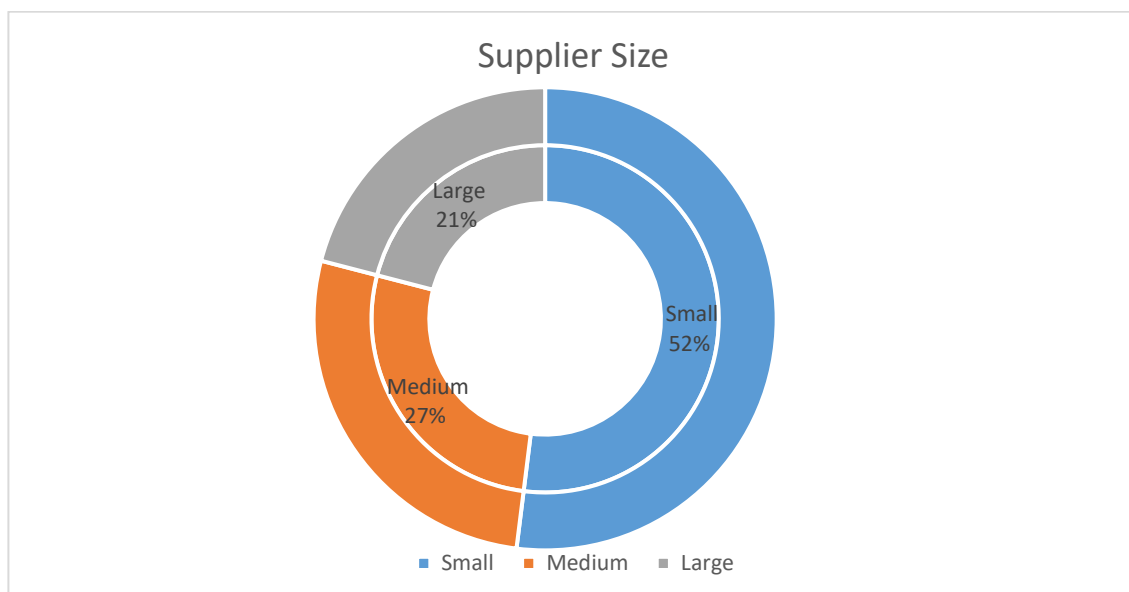
2.12 It is also recognised that Third Sector Organisations (TSO) have a key role in delivering vital services for North Ayrshire citizens and strengthening community empowerment and during 2021-22 over £31m was spent with TSOs.

Community Wealth Building and Local Economic Impact

2.13 From a CWB perspective, buying from local companies is a strategic priority for NAC, however procurement legislation does not permit preferential treatment for companies based on location. In the year covered by the report 22.93% of the total spend was with local companies and this is a 1.54% increase on the previous year. In the Council Plan a target has been set to increase this to 26% by 2024. Achieving the new target, while remaining compliant with procurement legislation, will be challenging and will require a diverse local business base to build capability and capacity to enable them to bid and win public contracts.

2.14 NAC's CPU and service teams work together to maintain a tender wave- plan of all future tendering opportunities and participate in Meet the Buyer events to raise awareness of opportunities with local suppliers.

2.15 NAC's Economic Development and Regeneration Team continued to engage with local suppliers and by the end of March 2022 the Procurement Development Manger had met one to one with 25 local businesses, by running procurement support sessions in libraries in all localities throughout North Ayrshire. Procurement interventions reached a total of 256 to a cohort of 129 businesses ranging from capacity building, specialist support, consultancy and helping access procurement contracts within NAC. The team are working more closely than ever with the CPU and have streamlined processes that have been put in place to ensure local companies get the opportunity to bid on local contracts, and where possible Quick Quotes can be restricted to local only invitees. In 21/22 the business team were given notice of 68 Quick Quotes of which two thirds were suitable for local businesses who were at a bid ready stage to be suggested and invited. Work around having more local companies in a bid ready position continues to take place.

The Business Development team now have more direct influence on smaller value spend for goods, services and works the service teams are responsible for purchasing. Growing relationships and understanding from service teams has resulted in e.g., the PMI and HSCP teams seeking recommendations to gather quotes for jobs under £10k, resulting in successful local companies winning the work when they would otherwise have possibly remained unknown to the service.

A focus remains on actively encouraging local suppliers to bid on national frameworks, and although this does not guarantee spend it creates a pathway to supplying a product/service to any Local Authority when there is a requirement.

2.16 As stated above, NAC spent £51.2m with 735 local suppliers during the year which was a £6M increase from the previous year. The graph below shows both the actual spend as well as the percentage of the total annual spend with local suppliers over the last 10 years.

Local Spend - 10 Year Trend

	12-13	13-14	14-15	15-16	16-17	17-18	18-19	19-20	20-21	21-22
%	16.49%	19.07%	18.88%	18.35%	19.96%	23.02%	20.31%	19.96%	21.39%	22.93%
Local	£25,834	£29,896	£31,934	£35,710	£37,295	£44,669	£41,907	£43,243	£45,109	£51,220
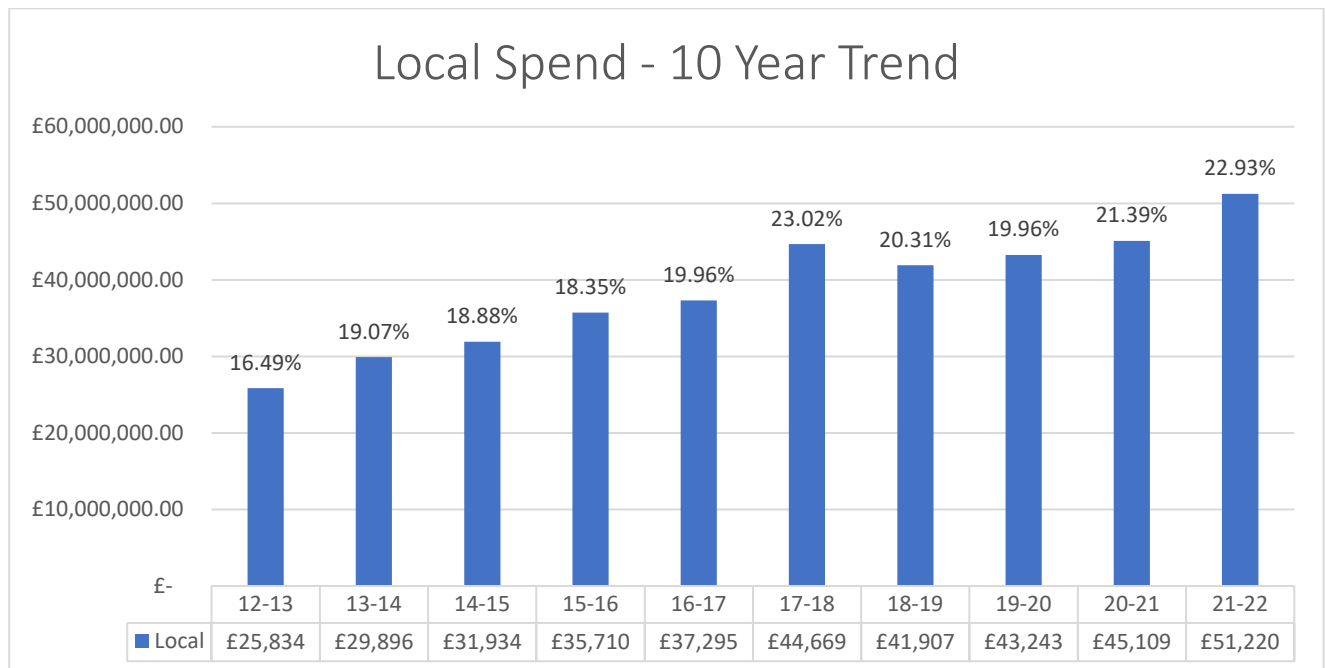
The actual spend data shows a steady increase throughout the 10-year period, almost doubling from £25.8m in 2012-13 to £51.2m in 2021-22.

2.17 The top 11 local suppliers by value all received more than £1m, with a total value of £28.4m (54% of total local spend). At the opposite end of the spend spectrum 298 local suppliers received less than £1,000, with a total value of £79k (0.15% of local spend). The graph below shows the spend distribution across local suppliers.

Local Supplier Spend Distribution 2021-2022

No. of Suppliers

£1M or more	500K to £1M	250K - 500K	100K to 250K	50K to 100K	20K to 50K	10K to 20K	5K to 10K	1K to 5K	£500 to 1K	£250 to £500	Less than £250
11	9	17	29	20	52	81	70	148	64	58	176
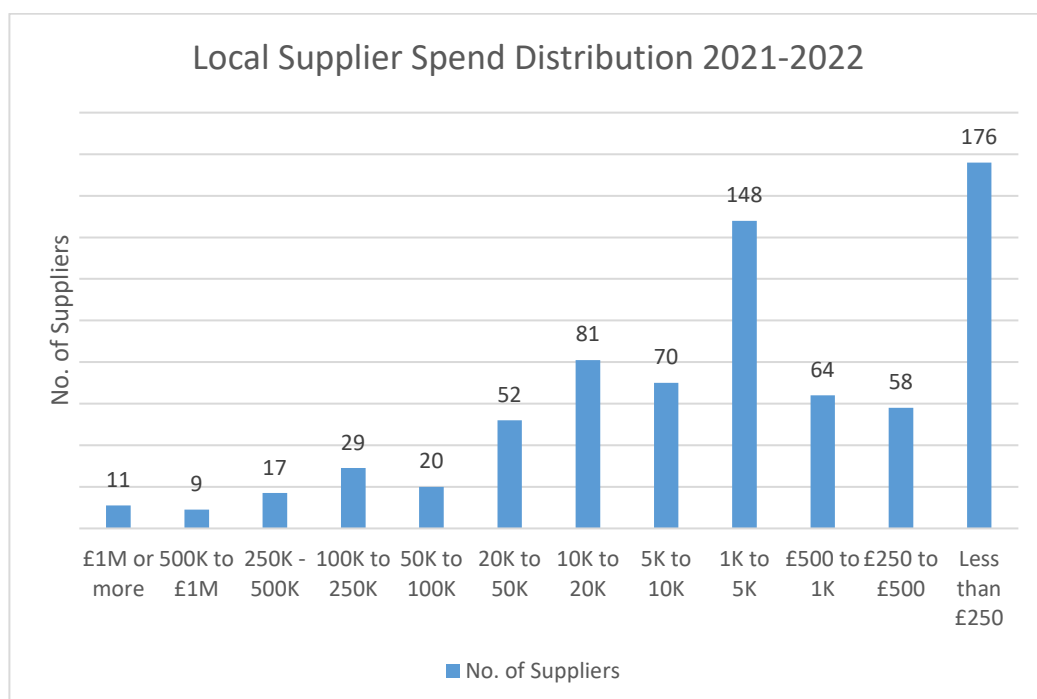
■ No. of Suppliers

2.18 An analysis of the spend with local suppliers shows that over 74% was spent within the Social Care and Construction sectors.

Aggregate Spend

Social Care & Services	41%	
Construction	33%	
Arts, Sport & Leisure	9%	
Travel & Accommodation	4%	
Facilities Management	4%	
Waste & Environmental Services	2%	
Education	2%	
Other Goods & Services	1%	
Security Equipment & Services	1%	
Other	3%	

(Y-axis values: £25,000,000.00, £20,000,000.00, £15,000,000.00, £10,000,000.00, £5,000,000.00, £-)
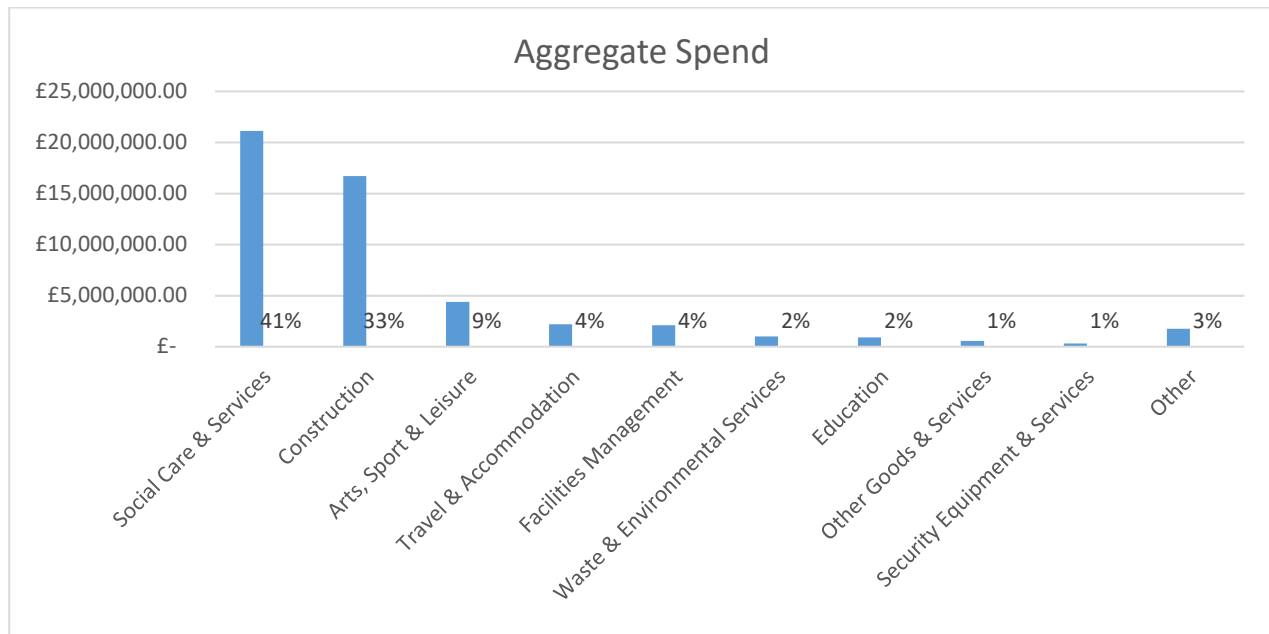
2.19 For lower value procurements, between £10K and £50K for supplies and services and between £10K and £500K for works, NAC use the Quick Quote functionality. The process states that if 4 local suppliers have the capability and capacity to do the work and agree to bid then the procurement will be restricted to those local suppliers, therefore ensuring that a local company benefits from the contract. During 21-22, 55 Quick Quotes with a value of £3.2m were awarded of which 16 with a value of £0.66m were awarded to local suppliers. In the last 2 quarters of 21-22, 26 quick quotes were awarded, of which 17 included bids from local suppliers. 8 of these contracts were awarded to local suppliers and the average number of local bids for each contract was 3.

2.20 Developing the local supplier base is a key area of focus for the Business Development team, working with potential local suppliers to support business transition and preparedness requirements associated with public sector procurement. As part of our CWB Strategy additional staffing resources are now in place to support greater linkages with Procurement activity. In addition, regular communication and engagement with NAC officers involved in the procurement process continues to raise awareness of the local supplier base and their capability to supply NAC.

2.21 Through an analysis of other organisations spend data, a report on other CWB anchor institutions shows that councils have the highest annual spend and have spent the most within North Ayrshire. The combined spend for NAC, East Ayrshire Council, South Ayrshire Council, NHS Ayrshire & Arran, and the University of the West of Scotland was £683m with £61m (9%) spent with local North Ayrshire suppliers. Police Scotland and Scottish Fire and Rescue spend has not been included as the spend reported on the Scottish Procurement Information Hub is for the whole of Scotland and not just the North Ayrshire area.

2.22 Although procurement legislation does not permit preferential treatment for companies based on location, there is a strong desire within NAC to enable and support local suppliers to be more successful in winning NAC contracts. Further, through the CWB Commission and the participation of the other anchor institutions, there is both the scope and opportunity for further growth in local business opportunities. All Officers involved in procuring goods and services can help achieve this ambition. An Ayrshire CWB Procurement Lead Officer Working Group was reformed during the year and will carry out further work across the anchors institution to identify potential opportunities for more to be spent within Ayrshire.

2.23 As part of the procurement process, community benefits are requested either on a voluntary or mandatory basis, dependant on the value of the proposed contract. The community benefits requested during 21-22 focused on employment and training, with a focus on priority groups, supply chain support, education support and community support. The table below shows what was delivered during 21-22.

Benefit Type	Delivered Quantity
New Apprenticeships (Weeks)	533
New Jobs (Weeks)	2570
Work Placements	26
School Projects	8
SME/TSO Workshops	4
Community Projects	32

A new CWB approach to community benefits was implemented in December 2021 to maximise the benefits from contracts, and this included a points-based approach, where community benefits points are allocated based on the contract value and bidders choose community benefit options from a menu, with each option having points allocated proportionately. A community wish-list portal was also introduced, where suppliers can choose to carry out wishes created by community groups, to enhance their local communities.

Additional Local Economic Impact of Procurement expenditure

2.24 Analysis has been carried out on the 21-22 spend data to identify additional economic benefit from procurement spend in the following areas: Care Homes, Community Support for Adults, and construction sub-contracting opportunities. This information is important and based on the rationale outlined below suggests there is a strong argument that it more accurately reflects the local economic impact of the £223.7m spent by the Council.

Care Homes – £7.9m was spent on care homes in 21/22, that are based in North Ayrshire, but do not have a North Ayrshire Invoice address, so they are not technically included as direct local spend. However, the clearly have a local presence and deliver a local care service and it is highly likely local people are employed within these care homes.

Community Support for Adults - like the above, there is a high likelihood of local employment opportunities to provide support for Adults within North Ayrshire. Initial spend analysis has indicated a total of £2.8m being spent on services delivered locally.

Sub- contracting opportunities – Contact was initiated with the 10 main construction contractors who were asked for details of sub-contracting to local North Ayrshire companies. Of the 4 suppliers who provided a response their total local sub-contracted spend was £779K.

2.25 Although the Scottish Procurement Information Hub data shows that £51.2m (22.93%) is NAC's local spend data, as detailed above the impact from the procurement expenditure has a much greater local economic impact when we consider employment opportunities from care at home and community support for adults as well as sub-contracting opportunities.

The graph below illustrates the cumulative impact of the additional areas of spend.

Cumulative Local Economic Impact 21-22

	Actual Local spend	Care Homes	Support for adults	Sub-contracting
Running Total	£51,220,257.02	£59,148,970.96	£61,936,828.62	£62,716,370.87
% Local Economic Impact	22.93%	26.48%	27.72%	28.07%
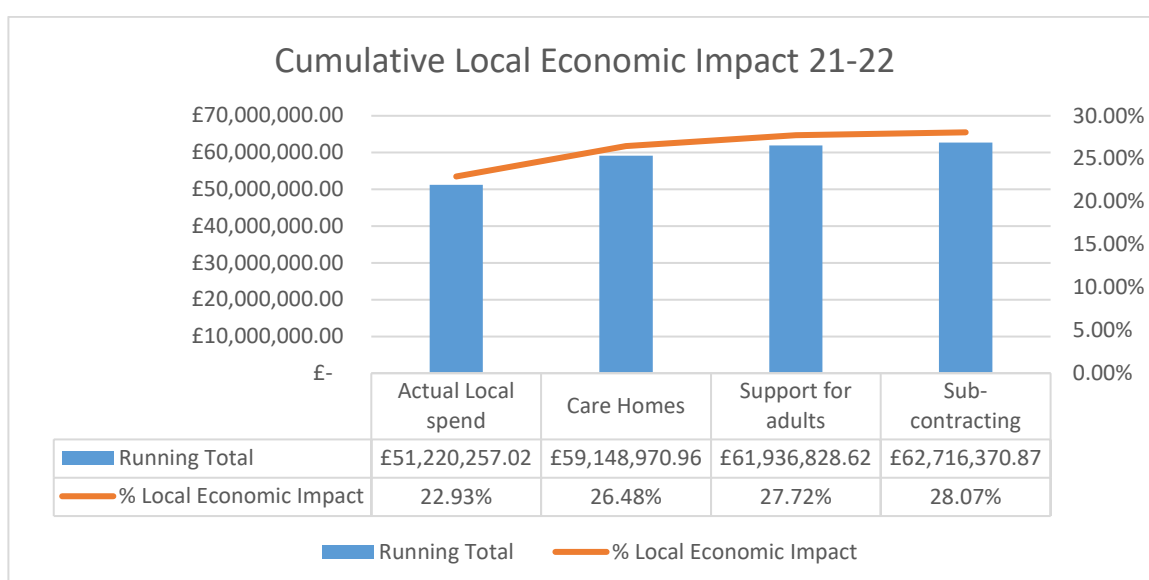
The analysis undertaken to date shows that in addition to the £51.2m direct local spend, a further £11.4m can be shown to have a local economic impact from businesses based in North Ayrshire or creating employment opportunities for North Ayrshire residents. This equates to a cumulative position of 28.07% of total spend in 21-22.

2.26 The e-invoicing project commenced in January 2021 and the project aims to increase the number of suppliers being paid via e-invoicing. The project continued to progress during 21-22 with an additional 4 suppliers being added, increasing the number of suppliers participating in this process from 1 to 5. The first supplier added in January 2021 was Lyreco and during 21-22 Arco, Findel, YPO and HP were added. Further rollout of the project is planned for 22-23.

3.   Proposals

3.1   Cabinet notes the contents of the report.

4.   Implications/Socio-economic Duty

Financial

4.1   No direct financial implications within this report, however, all progress in growing the level of local spend will continue to be set within the context of NAC's duty to secure Best Value.

Human Resources

4.2   None

Legal

4.3   NAC's procurement activities comply with all relevant procurement legislation and the Council's Standing Orders

Equality/Socio-economic

4.4   None

Environmental and Sustainability

4.5   None.

Key Priorities

4.6   None

Community Wealth Building

4.7   **Procurement**
   - Community Benefits are requested as part of relevant procurement exercises
   - Local suppliers will be identified and invited to quick quotes and supported through tendering and framework opportunities wherever possible.

   Employment – As a Living Wage Accredited Employer, NAC strongly believes that all employees should be paid the living wage. NAC encourages all bidders to pay the living wage and as part of future procurement activities, bidders will need to provide more information on their payment of Living Wage practices. This will include the number of staff who are paid and those that are not paid the living wage, with reasons for non-payment also recorded. The CPU and Business Support will use this information to work with suppliers to help them achieve payment of the living wage to all employees on future contracts.

   Land and Assets – Not applicable

Financial Power – Not applicable

Democratic Ownership – Not applicable

5.   Consultation

5.1   Throughout all procurement exercises there is direct involvement with all relevant Directorate teams and engagement with other anchor institutions through the Community Wealth Building Commission.

Mark Boyd
Head of Service (Finance)

For further information please contact Suzanne Quinn **, Senior Manager – Corporate Procurement ,** on 01294 324039.

Background Papers
None.

NORTH AYRSHIRE COUNCIL

29 November 2022

Cabinet

Title:	**Cost-of-Living Crisis**
Purpose:	To provide a progress report to Cabinet in relation to the North Ayrshire Council responses to the current cost-of-living crisis and associated investments and funds.
Recommendation:	It is recommended that Cabinet:
	1. Notes the progress the Council has made on developing support in relation to the cost-of-living crisis; and
	2. Agrees to accept future progress reports on the investments, funds and activity associated with the cost-of-living crisis.

1. Executive Summary

1.1 North Ayrshire Council is designing and delivering a range of investments and initiatives to mitigate the impacts of the current cost-of-living crisis for its residents.

1.2 This report provides a comprehensive overview of the current investments, funds, and activity relevant to the cost-of-living crisis, progress to date and next steps. This report will form the basis of future six-monthly reports and progress will continue to be reported to Cabinet on a regular basis.

2. Background

2.1 The current cost-of-living crisis has resulted in a series of challenges for residents, communities, and businesses in North Ayrshire. The ongoing impact of the pandemic, the war in Ukraine and economic unpredictability, compounded by the energy crisis, increased inflation and increased interest rates has resulted in higher household prices which have created hardship and financial exclusion for citizens, including North Ayrshire residents.

2.2 In August 2022, Monetary Policy Report, the Bank of England Monetary Policy Committee noted that the risks around its projections from both external and domestic factors were exceptionally large, given the very large increase in wholesale gas prices since May and the consequent impacts on real incomes for UK households and on Consumer Price Index (CPI) inflation.

2.3 Wholesale gas prices have been highly volatile since early this year and there have been large moves in financial markets, including a sharp increase in government bond yields globally. Sterling has depreciated materially over the period. Over the next 12 months, firms expect wage growth to be slightly lower than over the past year at 5.5%. That implies firms do not expect the current high rates of inflation to lead to a further acceleration in wage growth over the next year. Grocery inflation now stands at 13.9%, a record high since Kantar began tracking prices in this way during the 2008 financial crash. The net result will be increasing pressure on household finances.

2.4 North Ayrshire currently has the second lowest employment rate in Scotland (67.8%) compared to a Scottish average of 74.4%. This most recent data release reflects the period July 2021- June 2022 and shows a 2.9% increase from the previous data release.

2.5 North Ayrshire has the third highest unemployment rate in Scotland at 4.1% compared to an average of 3.4% for Scotland. Again, this data is from July 2021- June 2022 and shows a 0.8% reduction on the previous release. Glasgow (4.3%) and Dundee (4.8%) are the only areas with higher unemployment rates nationally.

2.6 North Ayrshire's economic inactivity rate (28.7%) is the third highest in Scotland (Scottish average 22.9%). North Ayrshire is the 26th highest authority in terms of economic inactivity rates in Great Britain (out of approximately 360 local authorities).

(All sources for above data: Labour Market Profile - Nomis - Official Census and Labour Market Statistics (nomisweb.co.uk))

2.7 The North Ayrshire rate for claimants as a proportion of the working age population (aged 16-64) is 4.6%. This compares to regional figures of 4% for East Ayrshire and 3.6% for South Ayrshire and a Scottish average of 3.2%. This dataset is for September 2022 and shows an improvement from June 2022 where the figure was 5.0%. This trend is reflected nationally.

(Source: Dataset Selection - Query - Nomis - Official Census and Labour Market Statistics (nomisweb.co.uk))

2.8 North Ayrshire's vulnerability to the current economic crisis provides the context for the updates to Cabinet in relation to current national and local interventions.

UK Government Response

2.9 The UK Government has committed to providing over £37 billion additional support   this year:

- The Energy Bill Scheme will ensure that 29 million households across the UK will receive a £400 non repayable discount on energy bills. In addition, 1.1 million families who are in receipt of tax credits across the country will receive a cost-of-living payment of £326.

- The Energy Price Guarantee will ensure a freeze on energy bills and typical households will pay not more than £2,500 annually until April 2023.

- All pensioner households will receive an extra £300 to help them to cover the rising cost of energy this winter.

- More than 8 million households on means tested benefits will receive a payment of £650 including those who receive Universal Credit, Income-based Jobseekers Allowance, Income-related Employment Support Allowance, Income Support, Working Tax Credit, Child Tax Credit and Pension Credit.

- People with disabilities will receive an extra £150 to help with the particular extra costs they face.

- The National Insurance contribution threshold has risen to £12,570.

- Households who do not pay for gas or electricity from the mains will receive support.

- Support is promised for businesses over the next six months targeting the most vulnerable industries.

Scottish Government Response

2.10 In March 2022 and in response to the cost-of-living crisis, the Scottish Government announced additional financial support to low-income households through a cost-of-living credit of £150 on 2022/23 Council Tax bills.

2.11 The Scottish Government published the Programme for Government 2022 – 2023 with measures to address longer term challenges, provide urgent support and help tackle the current cost-of-living crisis.

2.12 Support includes the following:

- For anyone in receipt of the Scottish Child Payment, an automatic increase to £25 per week will be in place from 14 November 2022. Applications for the Scottish Child Payment will also be open to all eligible under 16s from that date, with all payments backdated to the date of application.

- Bridging Payments which deliver immediate financial support to low-income families with school age children worth £130 in October and December 2022 have been doubled to £260.

- Legislation to ensure the Best Start Grant is paid automatically to eligible families in receipt of Scottish Child Payment without the need to apply.

- Introduction of the new Winter Heating Payment allowance which guarantees a £50 annual payment to around 400,000 low-income households.

- Doubling of the Fuel Insecurity Fund to £20 million in 2022-23, to help households at risk of self-disconnection or self-rationing their energy use.

- Widening eligibility for the Tenant Grant Fund, to support those struggling with increasing costs.

- Giving local authorities more flexibility to take account of energy bills in their prioritisation of households for Discretionary Housing Payments. Funding for Discretionary Housing Payments is increased by £5 million.

- Legislation to reduce hardships particularly for those in rented accommodation by freezing rents for six months.

North Ayrshire Response

2.13 Governance

2.13.1   In June 2022 Cabinet agreed to set up a new Board to tackle child poverty. With the escalation in cost-of-living concerns this board now also oversees the Council's response to the current cost-of-living crisis. The board is chaired by the Council Leader. The strategic approach to the themes in relation to child poverty and cost-of-living are agreed by the Board and explored in conjunction with Community Planning, third sector partners and residents.

2.13.2   A consistent approach to identifying actions is ensured by the following approach:

Child Poverty and Cost of Living Crisis – Strategic Action Template

STEP 1: Agree Themes

- The Child Poverty and Cost of Living Board agrees the themes to be taken forward to the Initial Workshop (Step 2) and Mini-Enquiry (Step 3).

- Themese identified:
  - No Wrong Door (Improving access to our Services)
  - Employability
  - Food
  - Childcare
  - Transport

STEP 2: Initial Workshop

- Initial Workshops (Face-to-Face meetings) setup with relevant participants from across our services.

- Workshops will identify and share best practice between teams and identify barriers and challenges.

- Workshops will focus on three key questions:
  - 'What are we doing well?'
  - 'What can we improve on?'
  - 'Where are the gaps?'

- An output report will be produced and will help inform discussion at the Mini-Enquiry (Step 3).

STEP 3: Mini-Enquiry

- Mini-Enquiry will involve our Communities and Third sector partners.

- Mini-Enquiries will be held where people are e.g. Local Community Centres.

- Output report from Step 2 will be used to inform discussion.

- Mini-Enquiries will allow us to hear our residents' thoughts and understand the barriers our communities experience, discuss improvements, and identify next steps.

- An output report will be produced for consideration by the Board.

STEP 4: Strategic Action Developed

- The Child Poverty and Cost of Living Board will consider the output reports from Steps 2 and 3.

- Strategic Actions will be developed and will be included in the Child Poverty Report and Action Plan.

- These strategic actions will help the Board to drive down levels of Child Poverty and respond to the Cost of Living crisis in North Ayrshire.

- The Board will feedback progress to participants involved in Steps 2 and 3.

2.13.3   The outputs from this work will inform the three-year Child Poverty strategy and annual report which will be presented to Cabinet and will contribute to regular updates to Cabinet on the cost-of-living crisis and related expenditure.

2.13.4   The Council has made substantial investments in tackling child poverty and the cost-of-living crisis. The most recent of these have been agreed in Cabinet reports of June 2022 and August 2022.

2.13.5   This Cabinet report brings together an overview of these investments, the funds that North Ayrshire administers locally on behalf of Scottish Government or Department for Work and Pensions (DWP) which have an impact on the costs of living, progress in relation to intended impacts and timetables for future progress against the funded actions. The funds have been organised thematically and this approach reflects the support we also offer to residents through the Council's web presence at: www.north-ayrshire.gov.uk/cost-of-living.

2.13.6   Future regular reports to Cabinet will provide further updates on these funds and related activity as outlined at Appendix 1.

2.14 Cost-of-living Themes and Investments

2.14.1   The themes are as follows:

    Energy Advice and Support

    Food, Clothing and Essentials

    Finance and Benefits

    Children and Families

    Health and Wellbeing

    Business and community including transport for work

    Support for Communities

Workforce wellbeing

2.14.2   Further detailed information about the funding associated with the above themes is contained in **Appendix 1**, as well as progress in relation to expenditure, future plans and timescales.

2.15 Cost-of-living Funding and Activities: Overview

2.15.1   Energy Advice and Support (*see Appendix 1, Pages 2 - 3*)

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Energy Smart Scheme and Advice

Investments:

- Energy Smart Scheme including Emergency Support element - £2.176m
- Energy Advice and Support (Citrus Energy) - £0.060m

Key objectives: To support residents of North Ayrshire through the cost-of-living crisis by reducing fuel poverty and increasing affordable warmth, whilst reducing carbon emissions and providing local employment opportunities as part of the programme.

Scheme details: Delivery of the sustainability initiative is being implemented across three stages and incorporating:

- Energy efficiency and low carbon behaviour advice,
- Emergency support payments and
- Implementation of physical energy efficiency measures.

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2.15.2   Food, Clothing and Essentials (*see Appendix 1, Pages 4 - 5*)

<div style="border:2px solid red;">

Fairer Food

Investments:

- Fair Food System - £0.150m
- Support to Fairer Food Network - £0.247m
- North Ayrshire Fairer Food Network - £0.142m
- Community Food Network - £0.500m
- Cost of the School Day (Food Element) Fund – Recurring Food element - £0.150m

Key objectives: The aim of the Fairer Food, clothing and essentials funding is to alleviate immediate crisis due to poverty and to invest in early intervention or long-term solutions which off-set future demand by providing low-cost cupboard staples to top-up shopping.

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Scheme details: A network of community food larders has been established with North Ayrshire Fairer Food branding. They are supported in relation to food safety, health and safety and other regulations. The North Ayrshire Fairer Food Network of community food providers meets regularly and have been co-developing, sharing good practice and piloting bulk-buying, as well as establishing community benefit partnerships.

2.15.3   Finance and Benefits (*see Appendix 1, Pages 6 - 15*)

Coronavirus (COVID-19) Tenant Grant Fund

Investments: North Ayrshire Council received an allocation of £298k.

Key objectives: The grant is to help prevent homelessness and sustain tenancies by directly reducing, alleviating, or paying off rent arrears altogether, where a tenant is in either the social or private sector, and has faced difficulties due to Coronavirus. The grant covered arrears arising between 23 March 2020 and 9 August 2021.

Scheme details: Scottish Government provided an allocation of £10m to Scottish local authorities during financial year 2021-22 to provide direct financial support to tenants - via landlords in their area - for the specific purpose of paying rent arrears arising from the impact of the COVID-19 pandemic. It was aimed at highly vulnerable tenants who would become homeless or did not have alternative sources of support.

Tenant Hardship Fund

Investments: The Scottish Government provided an allocation of £867,000 to North Ayrshire through the Scottish Government Winter Support Fund – Tackling Financial Insecurities. From this fund the Council's Housing Service was awarded £195K for help with tenancy hardship, focusing on highly vulnerable tenants affected by fuel poverty.

Key objectives: To create flexibility across a number of areas to target those most in need e.g., food support, fuel, isolation, welfare fund top ups, housing, homelessness.

Scheme details: The funding assists any North Ayrshire Council tenant who is finding it difficult to manage fuel bills. Support Workers have been recruited and provide person-centred housing related support including income maximisation, welfare benefit advice and assistance, fuel, and utilities advice, helping them to sustain their tenancy and prevent any potential homelessness issue in the future. The fund helps support winter warm initiatives and interventions for our most vulnerable tenant who are at the greatest risk of fuel poverty.

Scottish Welfare Fund (SWF)

Investments: Total £1,153,000 recurring funding from Scottish Government:

- £362,000 allocated to Crisis Grants
- £791,000 allocated to Community Care Grants

Key objectives: The aim of the funding is to provide financial help by way of a Crisis Grant to those in immediate crisis or a Community Care Grant to those in need of essential household items.

Scheme details: The SWF is delivered using a "One Team" approach - ensuring that when someone calls to apply for a Crisis Grant, a decision to award is made while the customer is on the phone and the payment can be made quickly to enable them access to much needed cash or fuel vouchers.

Council Tax Reduction scheme (CTR)

Investments: £12,880,000 recurring funding by North Ayrshire Council.

Key objectives: To help those on lower incomes by lowering the amount of Council Tax that they are liable to pay. This is based on age, household structure and income and is charged on per dwelling basis rather than individuals.

Scheme details: Automation of CTR has been introduced to ensure that any notifications received from DWP confirming eligibility or changes are automatically applied to the relevant Council Tax account.

Housing Benefit

Investments: £34,400,000 recurring funding from DWP.

Key objectives: To help people who are unemployed, on a low income or claiming benefits to pay their rent costs.

Scheme details: Housing Benefit is aimed at pensioners and people of working age who are unemployed, on a low income or claiming benefits and have not yet been moved to Universal Credit to help them pay their rent costs. This has helped people to afford to keep their tenancy and prevent them from falling into arrears with their rent.

Discretionary Housing Payment (DHP)

Investments: £2,400,000 recurring funding agreed by North Ayrshire Council.

Key objectives: To help people who claim benefits towards the cost of their rent.

Scheme details: The aim is to provide financial help to people claiming Housing Benefit or who receive housing cost payments through Universal Credit, but their benefit is less than the full amount of their rent. DHP is used to help cover the shortfall. This has helped people to afford to keep their tenancy and helped prevent them from falling into arrears with their rent.

Financial Inclusion

Investments: Access to finance (1st Alliance) £0.150m.

Key objectives: To support the 1st Alliance Credit Union to deliver a progressive finance scheme to lend to individuals who are considered as a higher credit risk due to history but who can afford repayments.

Scheme details: Small loans are available to low-income residents who would not normally qualify through typical lending rules i.e., due to the higher risk factor, the credit union would not be able to lend from members' funds.

Investments: Financial Inclusion Capacity Building: £258k.

Key objectives: The funding allocation was made to support the increasing demand for financial inclusion supports which is currently being experienced.

Scheme details: The additional funding will provide additional staffing capacity to support local people.

2.15.4 Children and Families *(see Appendix 1, Pages 16 - 22)*

Free School Meals

Investments:

- Scottish Government revenue funding for 2022-23 (£712k)
- Scottish Government revenue funding for 2022-23 (900k)

Key objectives: To ensure children have access to a free, healthy, and nutritious meal during the school day, and to support access to food for children throughout school holiday periods.

Scheme details: Roll out of universal free school meals to Primary 4 & Primary 5 children is complete. We continue to monitor and encourage uptake of meals to ensure we maximise the benefits of this entitlement.

The holiday programme ran over the Easter and summer breaks with support from community partners. Vouchers were also issued during the longer summer break. Vouchers will also be issued for the October and Christmas breaks.

Child Bridging Payment Top-Up

Investments:
- (£0.570m) June 2022
- (£1.140m) August 2022

Key objectives: The Scottish Child Payment Bridging Payments bring together the Covid hardship payments and the Family Pandemic Payment into one payment, made four times a year. These payments are available for each child who gets free school meals because of low income.

Scheme details: The scheduled summer, autumn, and winter Child Bridging Payment of £130 was increased to £230 (additional £100 payment) and eligibility for the £100 payment was extended to low-income families of children of pre-school age.

Cost of the School Day

Investments: Cost of the School Day Support - £0.500m (recurring).

Key objectives: The aim of the Cost of the School Day (COSD) is to drive forward a whole systems approach to reducing the cost of the school day in order to deliver a fairer and more equal North Ayrshire.

Scheme details: There are three key elements:

- 1000 new digital devices each session for those in greatest need in P5 and S2.
- £100k for school uniform, winter clothing, outdoor learning, sports – participatory approach with schools.
- £150k for food in partnership with community organisations.

Children and Families Investment Fund

Investments:

- Children and Families Investment Fund - £0.075m
- Digital Access Fund - £0.255m
- Support for the North Ayrshire Child Poverty Strategy and Action Plan - £0.076m

Key objectives: The aim of the funding was to promote recovery and support the most vulnerable children and families.

Scheme details: The Children and Families Investment Fund links into the Cost of the School Day funding and is allocated to community support for food and clothing.

Digital access and skills are targeted by a newly recruited Digital Participation Officer. The Council also participated in Connecting Scotland programmes with SCVO which provided additional digital devices and connectivity. Its funding is not

yet fully allocated. An officer has been recruited to support the Child Poverty work and the funds will be fully utilised.

School Clothing Grants

Investments: £816,500 recurring funding agreed by North Ayrshire Council. Additional funding is provided from the Council to match demand.

Key objectives: The intended impact is that all school children have adequate school clothes and shoes.

Scheme details: An annual payment of £120 is given to primary school children and £150 to secondary school children before the start of the new school year then to new applicants throughout the year.

Education Maintenance Allowance (EMA)

Investments: £580,000 recurring funding agreed by North Ayrshire Council.

Key objectives: To provide financial support to young people from low-income families to allow them to be able to afford to stay in post-16 education either in school or college who might otherwise have left education.

Scheme details: The funding provides financial support of £30 a week (paid fortnightly in arrears) to 16-to-19-year-olds in education who come from low-income families subject to attendance and agreement of a learning plan.

2.15.5 Health and Wellbeing (*see Appendix 1, Pages 23 - 24*)

Community Mental Health and Wellbeing

Investments: Community Mental Health and Wellbeing - £0.307m.

Key Objectives: To empower local communities to deliver a wide range of events, activities and interventions that support positive mental health and wellbeing across North Ayrshire.

Scheme details: The funding was distributed via a robust application process in partnership with Arran CVS (in their role as part of the Third Sector Interface).

Investments: Community Support for Mental Health - £0.075m.

Key Objectives: To empower local communities to deliver a wide range of events, activities and interventions that support positive mental health and wellbeing across North Ayrshire.

Scheme details: The allocation was added to the existing North Ayrshire Council Participatory Budget (PB) exercise in order that projects that support mental health and wellbeing could be funded as part of the regular PB process.

2.15.6 Business Support (*see Appendix 1, Pages 25 - 28*)

Supporting the Resilience of Local Businesses

North Ayrshire Council provides a range of supports and interventions to assist businesses. These can be found at: Business and community (north-ayrshire.gov.uk)

Review and Improve Support for Childminders and Out of School Clubs Providers

Investments:

- North Ayrshire COVID Economic Recovery Fund - SG Funding: £0.126m.
- North Ayrshire COVID Economic Recovery Fund - SG Funding: £0.050m.

Key objectives: The funds support the provision of wrap around childcare for families who need it. Due to COVID-19, the use of childcare has changed significantly. The funds are aimed at providing local childcare provision, to support employability and offer positive placements for vulnerable children and those in kinship care.

Scheme details: With childcare available over the summer, the fund is encouraging parents and carers with school age children to undertake a variety of short courses that upskill or lead to a route into employment. This will then build relationships with the Employability team, whilst building up confidence in the use of childcare services.

Public Transport Travel Scheme

Investments: NAC Economic Covid Recovery Funding**: £20,000.

Key objectives: This fund supports low-income households, access to employment, address transport poverty and build confidence in public transport post covid. Due to the nature of the travel cards this will also benefit beneficiaries for both work and their personal life as they can also be used at evenings / weekends.

Scheme details: The scheme provides three months of free access to bus or rail travel. Beneficiaries are also supported with a free personalised travel plan to identify the best travel option for them.

2.15.7 Support for Communities (*see Appendix 1, Pages 29 - 30*)

Opening of Community Centres

Investments: Funding to accommodate activities associated with isolation / financial insecurity £0.005m.

Key objectives: To provide additional core opening hours funding to support opening of community centres to accommodate activities associated with isolation / financial insecurity.

Scheme details: This funding allows local community centres to be open longer in order to accommodate / offer a wider range of activities aimed at alleviating the effects of social isolation and delivering activities to contribute to positive mental health.

Community Books

Investments: £0.022m

Key objectives: To enable the development and sharing of the Community Book initiative developed during the pandemic.

Scheme details: Funding to establish the base / platform on which the local Community Books will be hosted in future. This resource will allow staff and community leaders access to a wide range of information relating to resources available in the local area. This will in turn assist with enquiries from citizens seeking help and advice.

Third Sector Support

Investments: £0.114m

Key objectives: To enable third sector partners to continue and develop "what works" programmes of activity.

Scheme details: This scheme builds on current programmes such as Out and About, working with families and key groups to improve access to food and environmental opportunities locally. This includes through the Fairer Food network and Eglinton Garden Project which develop skills to grow and cook food, as well as through family sessions and activities that build ongoing individual and community capacity. These sessions will encourage people to engage with the local environment to support mental health and wellbeing and to develop parenting skills,

family bonding, relationships, volunteering, and employability in a supportive environment.

2.15.8 Workforce wellbeing (see Appendix 1, Pages 31 - 32)

<u>Workforce Wellbeing – Employee Wellbeing</u>

Investments: LiveWell Healthy Working Lives Programme: £20k

Key objectives: The LiveWell Programme aims to increase awareness of support and information, while wellbeing related activities are made more accessible through reducing or negating the costs associated with participation. This in turn improves employee morale, wellbeing, engagement, and performance.

Scheme details: The LiveWell Programme takes an organic approach, with a framework of planned activities scheduled alongside ad hoc opportunities. This enables LiveWell to adapt quickly to new suggestions and ideas. The programme also provides small grants to teams for health and wellbeing activities via our LiveWell Grant Scheme. It also provides advice and support to employees in relation to cost-of-living concerns.

Investments: Primary Care & Social Care Staff Wellbeing Programme: (£368,454 – over 3 years).

Key objectives: The programmes give equal priority to staff in all sectors and provide funding for physical and mental health and wellbeing interventions to manage stress and anxiety.

Scheme details: The wellbeing of the health and social care workforce remains a key priority and it is recognised that teams are fatigued because of unrelenting pressures. It is important therefore that continued wellbeing initiatives are put in place to support staff on an ongoing basis.

2.16 Further detailed information about the funding associated with the above themes is

contained in **Appendix 1**, as well as progress in relation to expenditure, future plans and timescales. This will form the basis of future associated six-monthly updates to Cabinet.

3.   Proposals

 3.1   It is proposed that Cabinet:

1.   Notes the progress the Council has made on developing support in relation to the cost-of-living crisis; and

2.   Agrees to accept future progress reports on the investments, funds and activity associated with the cost-of-living crisis.

4. Implications/Socio-economic Duty

Financial

4.1 There are no direct financial implications as a result of this report.

Human Resources

4.2 There are no direct HR implications as a result of this report.

Legal

4.3 There are no direct legal implications as a result of this report.

Equality/Socio-economic

4.4 The purpose of the current report is to provide an overview of the measures which that Council has taken or delivers to mitigate the impacts of the cost-of-living crisis on our most vulnerable residents.

Climate Change and Carbon

4.5 This report includes information on the Energy Smart scheme which aims to reduce fuel poverty and increase affordable warmth, whilst reducing carbon emissions and providing local employment opportunities.

Key Priorities

4.6 The proposals impact strongly on the following:
- Active and strong communities
- Children and young people experience the best start in life
- Inclusive, growing, and enterprising local economy
- People enjoy good life-long health and well-being
- Effective infrastructure and digital connectivity
- Affordable, modern, and well-designed homes that meets residents' needs
- A sustainable environment

Community Wealth Building

4.7 Community Wealth Building is an approach to developing more resilient local economies. First initiated in response to a previous economic crisis in USA, it has gained substantial global momentum as an approach to local economic development. North Ayrshire Council has led the way in Scotland with the first Community Wealth Building Council strategy and the establishment of the Ayrshire CWB Commission. CWB is based on the premise that over time the development of more resilient and sustainable local economy will require fewer

reactive interventions in response to future economic, environmental or social crises.   It is recognised that as part of the council's comprehensive approach to CWB, short-term measures taken to mitigate the effects of the costs of living crisis will contribute to our medium and longer-term goals of developing a more resilient economy. A recent discussion at NAC CWB Expert Panel emphasised these points and advised where possible efforts should focus on supporting the long-term transition of our local economy, scaling up and joining up to drive the change that is needed. There are a wide range of initiatives and actions across each of the pillars which will mitigate the cost-of-living crisis including:

- Fair Work – supporting the update of the Real Living Wage and improving job security for employees.
- Procurement – development of local supply chains and strengthening the local company business base
- Plural ownership – evidence shows that cooperatives and other forms of plural ownership are more resilient through periods of economic shocks than shareholder-based businesses, in addition to contributing to addressing social and economic inequality.
- Financial Power - Work with partners including credit unions to encourage progressive finance

The forthcoming CWB legislation and the new Ayrshire regional economic strategy will further strengthen this approach.

5.   Consultation

5.1   A wide range of partners and residents have been consulted in the development of the interventions included in the report and improvements to delivery of services has resulted. The ongoing mini enquiries, on themes such as the "No Wrong Door" approach, are contributing to interventions and service design.

Audrey Sutton
Executive Director (Communities and Education)

For further information please contact **Audrey Sutton, Executive Director (Communities and Education),** on **(01294) 324308**.

Background Papers
Appendix 1

North Ayrshire Council Cabinet

Cost of Living Themes and Updates – November 2022

Energy Advice and Support

Food, Clothing and Essentials

Finance and Benefits

Children and Families

Health and Wellbeing

Business and Community including transport to work

Support for Communities

Employee Wellbeing

1

Energy Advice and Support

Community based energy support	
1. **Description of funding stream, date and amount**	£1.726m Energy Smart Scheme was secured from funds as part of the 2022/23 Budget process. The £1.726m investment was supplemented by an additional £0.450m to support the crisis payment element of the scheme by Cabinet on 23/08/2022.
2. **Intended impact**	The key objective is to support residents of North Ayrshire through the cost-of-living crisis by reducing fuel poverty and increasing affordable warmth, whilst reducing carbon emissions and providing local employment opportunities as part of the programme.
3. **Progress to date against milestones, including expenditure**	• Identify partner for energy advice: Minute of Agreement with the Energy Agency for Home Energy Scotland to administer advice line. • Establish energy advice line: complete, active since September 2022 and being regularly promoted. • Identify criteria and delivery method for crisis payment: complete, Energy Smart Emergency Support scheme launched 31 October 2022. ○ Physical measures: initial phase will focus on loft and cavity wall insulation, addresses being collated using Energy Savings Trust Home Analytics Data for targeted maildrop. Supplies of LED bulbs and draught excluders will be made available at touchpoints, for example food larders. Further measures will be added to the scheme following a procurement process to identify a partner contractor.
4. **What difference has the investment made?**	The following Key Performance Indicators (KPIs) will monitor the success of the programme: • Number of households in fuel poverty helped with energy efficiency advice. • Number of households in receipt of crisis support. • Number of households granted financial assistance for energy efficiency measures. • Estimated annual savings on fuel bills. • Carbon emissions saved through installing energy efficiency measures.
5. **Next steps and timescales**	• Continued implementation of Emergency Support element • Implement package of physical measures for delivery over heating season (loft and cavity wall insulation, LED bulks, draught excluders) (November 2022 – March 2023). • Appoint contractor early 2023 to deliver second phase of energy efficiency measures.
6. **Comments**	The Energy Smart model aims to support residents of North Ayrshire through the cost-of-living crisis by reducing fuel poverty and increasing affordable warmth, whilst reducing carbon emissions. Delivery of the sustainability initiative is being implemented across three stages and incorporating energy efficiency and low carbon behaviour advice, direct support payments and implementation of physical energy efficiency measures.

Citrus Energy	
1. **Description of funding stream, date and amount**	Fuel Poverty - increase capacity in Citrus Energy Fund - Tackling Financial Insecurity: Scottish Government Funding: £0.060m Date awarded - 15/06/2021
2. **Intended impact**	Increased capacity in Citrus Energy allowed the organisation to deliver the additional support in the Garnock Valley and Irvine and deliver much needed energy advice to local communities.
3. **Progress to date against milestones, including expenditure**	The additional capacity was for a 12-month period and is now finished with the allocation fully spent.
4. **What difference has the investment made?**	Additional information and advice has been provided at a critical time for residents seeking support.
5. **Next steps and timescales**	N/A
6. **Comments**	This piece of work was initiated as a result of learning from the pandemic.

3

Food, Clothing and Essentials

Fairer Food	
1. Description of funding stream, date and amount	Fair Food System Fund: Recovery and Renewal Investment Fund - £0.150m Support to Fairer Food Network Fund: Tackling Financial Insecurity SG – 2021/22 Winter - £0.247m North Ayrshire Fairer Food Network Fund: North Ayrshire COVID Economic Recovery Fund - SG Funding - £0.142m Community Food Network Fund: Original Investment Fund - £0.500m Cost of School Day Food allocation: £150,000
2. Intended impact	The prevention of food poverty through the provision of food with dignity. The aim is to reduce the cost of the weekly shop, not to provide a full shop, so that family budgets go further. This minimises pressure on the foodbank. Funding has been used for food vouchers during holidays and the provision of warm clothing/footwear/outdoor wear and basic household items, such as toiletries. It also includes support for self-isolation on islands, mental health, energy, and money advice.
3. Progress to date against milestones, including expenditure	A network of community food larders has been established with North Ayrshire Fairer Food branding. The Council provides support in food safety, health and safety and other regulations. The NA Fairer Food Network of community food providers meet regularly and have been co-developing, sharing good practice and piloting bulk-buying, as well as establishing community benefit partnerships. **Fairer Food System** Allocation fully spent. This was the initial funding allocation that started off the establishment of the network. Expenditure included shelving, tills, resources for cooking & food preparation areas, initial stock, branding, fridges, freezers, chill cabinets etc. £0.150m **Support to Fairer Food Network** • NA Food Resilience (Community Hubs and NA Foodbank) Peripatetic Support Officer supports the transportation of supplies such as emergency parcels, larder top up stock, delivery, and uplifts of stocks/equipment/materials across all sites. Funding to cover additional Venue Assistants for food support at Whitlees Centre. Emergency stock supplies and equipment investment for emergency situations including BBQs for each larder site. Additional urns, crockery and twelve months Foodbank Co-ordinator and cook costs: £0.077. • Food Larder Development: Top up for winter food supplies, marketing and promotion, equipment and adaptations, training of staff – The Royal Environmental Health Institute of Scotland (REHIS), Elementary Food Hygiene, Financial Regulations: £0.143m. • Community Cafes: Costs for food, supplies to host free soup days, coffee mornings or similar targeting financially vulnerable and isolated. Investment in equipment within Community Cafes: £0.027m. • The North Ayrshire Foodbank staffing, food supplies and resources have been supported.

	North Ayrshire Fairer Food Network The North Ayrshire Fairer Food Network is our local alternative to foodbanks and is aimed at addressing food insecurity in a dignified way. Further development of the larders and shops will support low -income residents by developing and improving the sustainability of the existing network. New initiatives and business models include community fridges, community cafes, social enterprises based on growing produce and better links across providers. It will also focus on support for the islands communities so that approaches are developed which fit their specific needs: £0.142m. **Cost of the School Day (Food element) 2021/22** • Reusable water bottles were purchased for all North Ayrshire school pupils. Water bottles reduce the need for pupils to purchase single-use plastic liquids during the school day. Providing all pupils with a water bottle reduces stigma and promotes healthy practices. It is also more environmentally friendly. • Those accessing Community Larders with school aged children were provided with supplementary food items linked to the cost of the school day. **Cost of the School Day (Food element) 2022/23** Planning with community larder network and partners are ongoing to address the particular issues created by the cost-of-living crisis.
4. What difference has the investment made?	14 Community Larders are operational. Network support group meets quarterly and members are part of a communication group for peer support. Weekly footfall across the Larders – 850 per week (families/members). Membership is far greater than the weekly footfall estimated c2000- 3000. "The people coming in are from all demographics, from those working to those on benefits." "The groups have become experts in where to buy and how to get the best value for money from supermarkets and other suppliers. However, what is being offered is being changed to meet the budgets available and rising cost of foods."
5. Next steps and timescales	External consultants have recently completed a review of the larder models, which vary depending on the local aims of the community organisation. This will be taken to the NA Fairer Food Network for discussion and coproduction of a sustainable model before more funding is distributed. Balance of Tackling Financial Insecurity £61,499. Officers are working on support for community groups to assist with warm banks, food, and energy advice for winter 2022.
6. Comments	The models have to align with the aspirations of community volunteers and the available budget. There is considerable potential for the larder volunteers to offer advice and refer to other partners.

Finance and Benefits

Tenant Grant Fund	
1. **Description of funding stream, date and amount**	The Scottish Government provided an allocation of £10m to Scottish local authorities during financial year 2021/22 to provide direct financial support to tenants - via landlords in their area - for the specific purpose of paying rent arrears arising from the impact of the COVID-19 pandemic. It was aimed at highly vulnerable tenants who would become homeless or did not have alternative sources of support. Coronavirus (COVID-19) Tenant Grant Fund: North Ayrshire Council received an allocation of £298k.
2. **Intended impact**	The grant is to help prevent homelessness and sustain tenancies by directly reducing, alleviating, or paying off rent arrears altogether, where a tenant is in either the social or private sector, and has faced difficulties due to Coronavirus. The grant covered arrears arising between 23 March 2020 and 9 August 2021.
3. **Progress to date against milestones, including expenditure**	The full allocation of funding has been spent; it was closed to new applications on 31 March 2022. Total expenditure was £298,259.65, split across 2021/22 and 2022/23.
4. **What difference has the investment made?**	555 applications were received, of which 460 were awarded grant. Of the remaining 95 applications, 75 were closed, 18 were assessed as not eligible and 2 were refused by the relevant landlord.
5. **Next steps and timescales**	N/A
6. **Comments**	Initial spend within the Fund was low despite a high level of applications being received. Although applications were being made these couldn't be progressed due to a number of factors, including the requirement for proofs and non-engagement from either the tenant or landlord. In January 2022 officers reviewed processes and engaged with landlords to expedite applications into decision making and awards being made. The process was very labour intensive, and staff had to make several contacts with both tenants and landlords despite best attempts to ensure the information required was fully captured within the application process.

Applications Approved	No of applications	Amount paid
Private let	29	£18,665.39
RSL	92	£54,978.63
NAC	341	£224,615.63

Housing Tenant Hardship Fund	
1. **Description of funding stream, date and amount**	The Scottish Government provided an allocation of £867,000 to North Ayrshire through the Scottish Government Winter Support Fund – Tackling Financial Insecurities. The supporting guidance detailed flexibility of use across a number of areas to target those most in need e.g., food support, fuel, isolation, welfare fund top ups, housing, homelessness. From this fund the Council's Housing Service was awarded £195K for help with tenancy hardship, focusing on highly vulnerable tenants affected by fuel poverty.
2. **Strategic intent: intended impact**	The funding assists any North Ayrshire Council tenant who is finding it difficult to manage fuel bills. The Support Worker provides person-centred housing related support including income maximisation, welfare benefit advice and assistance, fuel, and utilities advice, helping them to sustain their tenancy and prevent any potential homelessness issue in the future. The fund helps support winter warm initiatives and interventions for our most vulnerable tenant who are at the greatest risk of fuel poverty.
3. **Progress to date against milestones, including expenditure**	Funding was carried over into 2022/23 due to the timing of allocation. • 4 temporary posts funded until April 2023, at a cost of £142K: 4 Housing Support Workers posts were created at the end of 2021/22 (2 x Fuel Poverty and 2 x Sheltered Wellbeing). The funding was carried over into 2022/23 due to the time taken to recruit into the posts. • Top up of meters to help resettlement from temporary accommodation into mainstream tenancies. We have set aside £15K and are currently setting processes up with the Scottish Welfare Fund. • Assist to top up gas meters where they require to be uncapped in order to re-start a gas supply and allow for a gas safety check to be completed. To date we have only spent £210 as we have managed to gain access to other funds via energy suppliers/agencies, but expectations is that due to funding from these sources being limited we will achieve full expenditure of £10K by 31 March 2023. Winter warmth initiatives/interventions - officers are researching what could impact most effectively on making heating and overall energy cheaper in relation to the cost-of-living crisis. We currently anticipate expenditure of £28K by 31 March 2023.
4. **What difference has the investment made?**	To September 2022 we have supported 140 tenants with an average age of 40 to tackle fuel poverty. 5 of these tenants had previously been known to Homeless Services. Our engagement rate YTD is 46%. We carry out regular visits to each of the 28 sheltered units and have engaged with 167 residents/tenants to date.
5. **Next steps and timescales**	**Fuel Poverty/Sheltered Wellbeing Housing Support Workers** Continue to engage with tenants/residents to tackle fuel poverty and maximise income where possible to avert crisis with energy over the winter months – by 31 March 2023. **Winter Warmth Initiatives/Interventions** Provide our most vulnerable tenants with access to a range of goods that reduce energy costs over the winter months – by 31 March 2023.

	Sustainability Team • Linking in on any of the Sustainability team's projects that could support tenants. • Discussions around the new 'Energy Smart': Energy Based Community Support Model - by 31 December 2022. **Social Welfare Fund** Ongoing discussions with Social Welfare Fund (SWF) Manager about how we can assist with payments for meters for new tenancies (NAC only, as Registered Social Landlords (RSLs) do this as part of new tenancy set up) and people struggling to meet the cost of energy prices as they start to rise – by 31 October 2022. **Social Media/Referrals** Continue to engage with residents in North Ayrshire via social media and a referral process that will be managed via the Housing Support Service Co-ordinator - by 31 March 2023. **Cost-of-living Crisis** Working with other Council departments/agencies to address Cost-of-living crisis being faced by people at risk of homelessness and also tenants. Signposting to other agencies and collecting data on resources available within communities for support through the winter months – by 31 March 2023.
6. Comments	As funding was not made available until around February 2022, recruitment timescales meant staff were unable to take these posts up until May 2022. Within a short space of time the team have achieved great success in engaging with tenants who are in fuel poverty (46%). The team have also successfully engaged with tenants and helped to arrange gas safety checks, with gas restored to 92 properties. This intervention potentially avoided 158 forced entries into these properties and avoided a cost of approx. £25k to the Council.

Scottish Welfare Fund (SWF)	
1. **Description of funding stream, date and amount**	Total £1,153,000 recurring funding from Scottish Government: • £362,000 allocated to Crisis Grants • £791,000 allocated to Community Care Grants
2. **Intended impact**	The aim of the funding is to provide financial help by way of a Crisis Grant to those in immediate crisis or a Community Care Grant to those in need of essential household items. The funding is intended to provide a Crisis Grant of a cash award to people who are in financial crisis because of either a disaster like a fire or flood or are in an emergency situation such as having lost all their money, had their money stolen, or are in need of food. It is also used to provide energy vouchers for their home. The award is made using a text message or email to their phone with a code which can be redeemed at any Pay Point vendor ensuring they can access the cash or energy top up for their pre-payment meter quickly. Community Care grants aim to help people who are leaving any form of care such as hospital or prison or who have been homeless and require help to set up their own home by providing them with essential household items and furniture. It can also be used to help households facing exceptional pressure with on-off items such as a washing machine or cooker.
3. **Progress to date against milestones, including expenditure**	Crisis Grants - £128,820 Community Care Grants - £613,277 Total spend - £742,097
4. **What difference has the investment made?**	This financial year to date, the Scottish Welfare Fund has helped 1,608 people in financial crisis with a Crisis Grant. 815 people have received fuel vouchers, and 781 people have received a Community Care grant to help with essential household items and furniture.
5. **Next steps and timescales**	Continue to accept and process applications as quickly as possible throughout the year.
6. **Comments**	The SWF is delivered using a "One Team" approach ensuring that when someone calls to apply for a Crisis Grant that a decision to award is made whilst the customer is on the phone and the payment can be made quickly to enable them access to much needed cash or fuel vouchers.

Council Tax Reduction Scheme (CTR)	
1. Description of funding stream, date and amount	£12,880,000 recurring funding by North Ayrshire Council.
2. Intended impact	To help those on lower incomes by lowering the amount of Council Tax that they are liable to pay. This is based on age, household structure and income and is charged on a per dwelling basis rather than to individuals. To fund CTR awards to all eligible households on a low income across North Ayrshire.
3. Progress to date against milestones, including expenditure	Year to date £12,869,533 has been awarded in total.
4. What difference has the investment made?	CTR has enabled Council Tax bills to be more affordable for lower income families. Current caseload is 16,179.
5. Next steps and timescales	Continue to ensure that there is high uptake of CTR and that it is awarded quickly for those eligible.
6. Concluding comments	Automation of CTR has been introduced to ensure that any notifications received from The Department for Work and Pensions (DWP) confirming eligibility or changes are automatically applied to the relevant Council Tax account.

Housing Benefit (HB)	
1. **Description of funding stream, date and amount**	£34,400,000 recurring funding from DWP.
2. **Intended impact**	To help people who are on unemployed, on a low income or claiming benefits towards paying their rent costs. Housing Benefit is aimed at pensioners and people of working age who are unemployed, on a low income or claiming benefits and have not yet been moved across to Universal Credit to help them towards paying their rent costs.
3. **Progress to date against milestones, including expenditure**	Year to date £19,014,471 has been awarded in total.
4. **What difference has the investment made?**	This has helped people to afford to keep their tenancy and helped prevent them from falling into arrears with their rent. Current caseload is 7,828.
5. **Next steps and timescales**	Continue to ensure that Housing Benefit claims and changes of circumstances are processed quickly and accurately.
6. **Comments**	N/A

Discretionary Housing Payment (DHP)	
1. Description of funding stream, date and amount	£2,400,000 recurring funding agreed by North Ayrshire Council.
2. Intended impact	The aim is to provide financial help to people claiming Housing Benefit or who receive housing cost payments through Universal Credit but their benefit is less than the full amount of their rent. DHP is used to help cover the shortfall.
3. Progress to date against milestones, including expenditure	Year to date £1,437,795 has been awarded in total.
4. What difference has the investment made?	This has helped people to afford to keep their tenancy and helped prevent them from falling into arrears with their rent.
5. Next steps and timescales	Continue to ensure that DHP claims are processed fairly and quickly within the budget.
6. Concluding comments	DHP requests are managed annually within the budget.

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Financial Inclusion		
1.	**Description of funding stream, date and amount**	**Recovery and Renewal Investment Fund** Financial Inclusion: Progressive Finance Access to Finance (1st Alliance): £0.150m
2.	**Intended impact**	North Ayrshire Council approved funding for the 1st Alliance Credit Union to deliver a progressive finance scheme, to lend to individuals, who are considered as a higher credit risk due to history, but who can however afford repayments. Small loans would be available to low-income residents who would not normally qualify through typical lending rules i.e., due to the higher risk factor, the credit union would not be able to lend from members' funds. The agreed period for this investment is 1st October 2021 to 1st October 2023 (or whenever the capital investment is exhausted if prior to this date) and the total grant funding will be paid in three instalments. North Ayrshire residents who borrow from 1st Alliance must save a minimum of £3/week to access a loan (this saving and borrowing model is standard for Credit Unions), therefore borrowers will at the same time become savers. In the longer term this will provide a safety net for both planned and unplanned expenses and reduce the need to borrow from other sources, including high-cost lenders, or to fall into debt, including arrears with bills. The fund is recycled as each loan is cleared off and the member moves onto a members based loan. This will therefore provide a legacy fund which will enable 1st Alliance to continue providing low-cost loans to "high risk" customers in the future.
3.	**Progress to date against milestones, including expenditure**	To the end of September 2022, 128 individuals accessed loans through this investment, the total value of loans to date is £62,430 and the loans agreed range from £250-800. 63 loans were agreed from August to December 2021. 36 from January to June 2022. 29 from July to September 2022. Borrowers are from across North Ayrshire with the majority being from Irvine, Kilwinning or the Three Towns. Five were from Garnock Valley, 2 from the North Coast and 3 from Arran. 47 loan requests were declined mostly due to lack of affordability or defaults on credit files. 16 loans are currently in arrears, a total of £4,690.48, which represents 7.51% of total loans. A standard assumption of 5% bad debt provision had been assumed. This higher rate of bad debt applies to all 1st Alliance loan portfolios and they believe it to be linked to a number of factors including the increase in cost-of-living. £100,000 has been paid to 1st Alliance to support the delivery of the Progressive Finance Initiative.

4.	**What difference has the investment made?**	Borrowing through 1st Alliance costs less on interest rates than most other lenders. For example:
		    1st Alliance: £400 loan = 10 per week for 11 months = £72 interest.
		    Scotcash: £400 loan = £12.21 per week for 12 months= £234.78 interest & £24 fee.

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	This investment has therefore provided access to low-cost affordable loans for residents who would otherwise either have gone to higher cost lenders or have fallen into debt due to not being able to access a loan from anywhere. 22 loans were to buy out high-cost debts which have higher interest rates. The other loans were for a range of purposes including purchase of household items, clothes, events, holidays and for Christmas, which accounts largely for the higher number of loans agreed at the end of 2021 than in the first half of 2022. 114 borrowers are regularly saving. A total of £16,927.84 has been saved over the first 12 months, an average of £148 per saver. 11 borrowers have now accessed top-up loans which means that the interest rate is reduced, as they have evidenced that they are responsible borrowers.
5. Next steps and timescales	Progress will continue to be monitored and a meeting held with 1st Alliance in November to discuss. The final payment of £50,000 is likely to be transferred around end of 2022.
6. Comments	The investment is proving to be beneficial to North Ayrshire residents who may otherwise have been unable to access low-cost affordable loans, meaning that they have been able to cover additional unexpected and expected costs, purchase essential household items, and reduce higher costs loan payments. Many have improved credit ratings and/or moved on to top up loans with a lower interest rate and most have built up some savings, many of whom may not have managed to save before. 1st Alliance is now building that 'legacy fund' which will benefit residents beyond the scope of this investment period.

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Financial Inclusion Capacity Building	
1. **Description of funding stream, date and amount**	£258k for Financial Inclusion, agreed at August 2022 Cabinet.
2. **Intended impact**	The funding allocation was made to support the increasing demand for financial inclusion supports which is currently being experienced through the Money Matters and Welfare Reform Advice Teams. This is also to support the anticipated outcome of the current review of income maximisation and advice services when set within the context of the current cost-of-living crisis.
3. **Progress to date against milestones, including expenditure**	The review of financial inclusion services across the Council has now been concluded and it has been agreed that the Money Matters Team (Health & Social Care Partnership) and Welfare Reform Advice Team (Housing) will come together under a single lead for Financial Inclusion. The new team aims to build on the work of the existing services and create additional capacity to support local citizens through reducing cross-referrals and streamlining referral pathways. The additional funding will provide additional staffing capacity to support local people. The project to review financial inclusion services has just concluded. A particular need for ongoing debt advice has been identified through the project and this will be explored. *An update is provided in separate Cabinet report (29/11/22)*
4. **What difference has the investment made?**	N/A
5. **Next steps and timescales**	See 3 above. It is anticipated that the lead for financial inclusion will be appointed by the end of November and then decisions will be taken on the use of the funding.
6. **Comments**	N/A

Children and Families

Free School Meals	
1. **Description of funding stream, date and amount.**	1) Scottish Government revenue funding for 2022/23 (£712k). 2) Scottish Government revenue funding for 2022/23 (900k).
2. **Intended impact**	The funding supports the continued roll out of Universal Free School Meals (UFSMs). This funding is the revenue funding to cover costs for Primary 4 and Primary 5 children in the financial year 2022/23. The Scottish Government also provides funding to enable a continued provision of food-based support during the school holiday periods to those children with an assessed eligibility for free school meals.
3. **Progress to date against milestones, including expenditure**	1) The holiday programme ran over the Easter and summer breaks with support from community partners. Vouchers were also issued during the summer, autumn, and winter breaks. 2) Roll out of Universal Free School Meals (UFSMs) to Primary 4 & Primary 5 children is complete. We continue to monitor and encourage uptake of meals to ensure we maximise the benefits of this entitlement.
4. **What difference has the investment made? (Stats and qualitative information)**	Easter meals provided – 4,622 Summer meals provided – 16,213 Vouchers issued for circa 4,500 children Uptake of school meals has increased for primary 4 & primary 5 children following the UFSM provision roll out however, overall uptake for UFSMs is lower than anticipated. This is the general trend across other authorities. Quarter 2 figures 2022/23 P1-P5 UFSMs - 76.5%. P6 & 7 assessed need FSM uptake - 52.6%.
5. **Next steps and timescales**	Vouchers will be issued for the Christmas period. Planning has been undertaken in Facilities Management (FM) to facilitate a further roll out of UFSMs when it is announced by the Scottish Government.
6. **Concluding comments**	Holiday meal provision (food or vouchers) ensures continuity of food for all children assessed as eligible for FSMs. This supports access to food and removes a financial burden from families.

	The expansion of UFSMs continues to support all families in this difficult economic climate. Many families who are not eligible for assessed-need FSM, are also struggling with the cost-of-living increases therefore free provision of a hot meal will ease the financial burden of having to pay or provide an alternative lunch option.
Child Bridging Payment	
1. **Description of funding stream, date and amount.**	The scheduled summer Child Bridging Payment of £130 was increased to £230 (additional £100 payment by North Ayrshire Council) and eligibility for the £100 payment was extended to low-income families of children of pre-school age. (Funding source: North Ayrshire COVID Economic Recovery Fund SG Funding): £0.570m June 2022. The scheduled autumn and winter Child Bridging Payment of £130 was increased to £230 (additional £100 payment) and eligibility for the £100 payment was extended to low-income families of children of pre-school age. Funding source: The Council's uncommitted Investment funds and earmarked funds following approval from the 2022/23 Budget process: £1.140m August 2022.
2. **Intended impact**	The Scottish Government provides Child Bridging Payment funding to local authorities for each child in receipt of Free School Meals on the basis of low income. These payments are provided for all eligible children and young people of school age. The payments total £520 per annum and they are currently paid in spring, summer, autumn, and winter at £130 for each eligible child. The funding from Scottish Government has been increased to £260. The funding was increased to help address the current cost-of-living pressures and to also recognise the needs of families of children at pre-school age. It is estimated that the £100 payments directly to families benefit around 5,700 children (over 3,300 families) with payments made from late June 2022.
3. **Progress to date against milestones, including expenditure**	Summer and autumn payments have been made; the winter payment is scheduled in December 2022. The expenditure is scheduled to be completed in December 2022.
4. **What difference has the investment made?**	Feedback indicates that the timing and value of the payments has made a real difference to families, especially as school holidays and colder weather impact on household bills.
5. **Next steps and timescales**	The December 2022 payment is scheduled. A recent Scottish Government announcement updated that the December (winter) Child Bridging payment to double to £260 per eligible child.
6. **Concluding comments**	The payments have bridged the period of the roll out of the Scottish Child Payment and the local top-up has been welcomed by families.

Cost of the School Day Support	
1. **Description of funding stream, date and amount.**	**Cost of the School Day** Fund – Council budget 04/03/2021 and Cost of the School Day Cabinet Report 23/03/2021 Date allocated - 2021/22 budget Amount - £0.500m pa (recurring)
2. **Intended impact**	The aim of the Cost of the School Day (COSD) is to drive forward a whole systems approach to reducing the cost of the school day in order to deliver a fairer and more equal North Ayrshire. It delivers the NA Children's Services Plan 2020-23 vision which is "for all our children and young people to have the best start in life and for North Ayrshire to be the best place in Scotland to grow up".
3. **Progress to date against milestones, including expenditure**	There are three key elements: 1000 new digital devices each session for those in greatest need £100k for school uniform, winter clothing, outdoor learning, sports – participatory approach with schools £150k for food in partnership with community Expenditure 2021/22 –£500k 2022/23 - £500k committed
4. **What difference has the investment made? (Stats and qualitative information)**	2021/22 Expenditure £250k - 1,000 Chromebooks purchased. Devices are distributed annually to schools using Footwear and Clothing Grant (FCG) data. Schools issue to pupils in greatest need in P5 and S2. Providing devices enables pupils to participate in digital learning both in the classroom and at home. £100k - Using FCG data, schools provided with budget to purchase school uniform and equipment items linked to the cost of the school. This ensures clothing or equipment is not a barrier to accessing education. £61,470 - Reusable water bottles for all North Ayrshire school pupils. Water bottles reduced the need for pupils to purchase single-use plastic liquids during the school day. Providing all pupils with a water bottle reduces stigma and promotes healthy practices. It is also more environmentally friendly. £88,530 – funding for North Ayrshire's Community Larders. Those accessing Community Larders with school aged children were provided with supplementary food items linked to the cost of the school day.
5. **Next steps and timescales**	2022/23 Expenditure Informed by feedback from children and young people attending the COSD Conference in June 2022 £250k – 1000 digital devices are mid-procurement. £100k – Schools are progressing spend as allocation above. £150k – Discussions with community larder network and partners are ongoing as part of the network review.
6. **Comments**	The funding has been welcomed by schools as an enabler in reducing the poverty-related attainment gap.

Children and Families Investment Fund	
1. **Description of funding stream, date and amount.**	**Children and Families Investment Fund** Fund: Recovery and Renewal Investment Fund - £0.075m **Digital Access Fund** Fund - Recovery and Renewal Investment Fund - £0.255m **Support for the North Ayrshire Child Poverty Strategy and Action Plan** Fund: North Ayrshire COVID Economic Recovery Fund - SG Funding - £0.076m Date Allocated – 15/06/21
2. **Background: rationale for the funding allocation**	A Cabinet Report on 15/6/21 set out the rationale, including: • Prioritise the health and wellbeing of our residents by protecting the most vulnerable in our society against the immediate threat of coronavirus and the consequences of changes to the way we live. • Work with our communities in the renewal of services to ensure they meet their needs and priorities. • Build community capacity and resilience. • Ensure our children and young people get the best start in life by creating opportunities for education and employment, including through Community Wealth Building and Renewal. Prioritise and help tackle poverty, including child poverty.
3. **Intended impact**	The aim of the funding was to promote recovery and support the most vulnerable children and families. Funding also supported the further reduction in the Cost of the School Day, to contribute towards Scottish Government's aim of eradicating digital exclusion by improving digital access and skills, and the ongoing work to reduce Child Poverty and mitigate against its impact.
4. **Progress to date against milestones, including expenditure**	**Children and Families Investment Fund** This links into the Cost of the School Day funding and is allocated to community support for food and clothing. **Digital Access Fund** Digital access and skills are targeted by a newly recruited Digital Participation Officer. The Council also participated in Connecting Scotland programmes with Scottish Council for Voluntary Organisations (SCVO) which provided additional digital devices and connectivity. Its funding is not yet fully allocated. **Support for the North Ayrshire Child Poverty Strategy and Action Plan** An officer has been recruited to support this work and the funds will be fully utilised.
5. **What difference has the investment made?**	**Children and Families Investment Fund** This fund is supporting the Cost of the School Day initiatives. **Digital Access Fund** A Digital Participation Officer has been recruited to work in communities. Work is ongoing. **Support for the North Ayrshire Child Poverty Strategy and Action Plan** An officer has been recruited to support this work and the funds will be fully utilised.

6. Next steps and timescales	**Children and Families Investment Fund** Agree the full allocation via FCG data with Education in winter 2022. **Digital Access Fund** Continue to support the Digital Participation Officer and look for further opportunities. **Support for the North Ayrshire Child Poverty Strategy and Action Plan** Continue the proposed work.
7. Comments	Future reporting will include impact data as the work progresses.

School Clothing Grants	
1. **Description of funding stream, date and amount**	£816,500 recurring funding agreed by NAC. Additional funding is provided from the Council to match demand.
2. **Intended impact**	The aim of the funding is to provide financial help with children's school clothing and shoes. An annual payment of £120 is given to primary school children and £150 to secondary school children before the start of the new school year then to new applicants throughout the year. The intended impact is that all school children have adequate school clothes and shoes.
3. **Progress to date against milestones, including expenditure**	Total children – 4,599 from 2,837 families Total spend - £607,950 2,730 Primary children – spend £327,600 1,869 Secondary children – spend £280,350
4. **What difference has the investment made?**	Provided financial support to 2,837 families and a total of 4,599 children to enable them to afford school clothes and shoes.
5. **Next steps and timescales**	Continue to accept and process applications as quickly as possible throughout the year.
6. **Comments**	A promotional campaign takes place each year at the start of school summer holiday period to confirm that applications are open. Text messages and emails are sent out to previous recipients with a link to the online application form and encouraging people to apply. This is also promoted via the Council's Twitter and Facebook pages.

Education Maintenance Allowance (EMA)	
1. **Description of funding stream, date and amount.**	£580,000 recurring funding agreed by North Ayrshire Council.
2. **Intended impact**	To provide financial support to young people from low-income families to allow them to be able to afford to stay in post-16 education either in school or college who might otherwise have left education. The aim of the funding is to provide financial support of £30 a week (paid fortnightly in arrears) to 16-to-19 year-olds in education who come from low income families subject to attendance and agreement of a learning plan.
3. **Progress to date against milestones, including expenditure**	Total expenditure this financial year to date is £258,690. 478 young people have received at least one payment for this school year.
4. **What difference has the investment made?**	As payments are made directly into the young person's bank account, this ensures that they can access the funds easily and use them for whatever they need to help them maintain attendance in school.
5. **Next steps and timescales**	Continue to accept and process applications as quickly as possible throughout the year.
6. **Concluding comments**	A promotional campaign takes place each year after the start of the school year in August to confirm that applications are open and encourage uptake. This is also promoted via the Council's Twitter and Facebook pages.

Contribution to Mental Health and Wellbeing	
1. **Description of funding stream, date and amount.**	**Contribution to Community Mental Health and Wellbeing** Fund - Tackling Financial Insecurity Winter Funding 2021/22: £0.307m Date Allocated - 29/11/21 **Community Support for Mental Health** Fund - Recovery and Renewal Investment Fund: £0.075m Date Allocated – 15/06/21 **Costs for Island Self-Isolation** Fund – Tackling Financial Insecurity Fund Date Allocated 29/11/21
2. **Intended impact**	Empowering local communities to deliver a wide range of events, activities and interventions that support positive mental health and wellbeing across North Ayrshire.
3. **Progress to date against milestones, including expenditure**	**Contribution to Community Mental Health and Wellbeing** Scottish Government gave Arran Community & Voluntary Service (CVS) responsibility for the distribution of the National Community Mental Health and Wellbeing Fund.(CVS) developed a robust application and assessment process involving staff from across the Community Planning Partnership (CPP) and individuals with lived experience. The fund was heavily oversubscribed and the £307k was allocated in partnership with Arran CVS to allow more applications to be funded. **Community Support for Mental Health** The 75k formed part of a combined Locality PB budget. **Costs for Island Self-Isolation** During lockdown periods, protocols were developed for dealing with visitors to the island who tested positive whilst on Arran and were in need of assistance to self-isolate or travel home.
4. **What difference has the investment made?**	**Contribution to Community Mental Health and Wellbeing** The £307k formed part of a combined budget of £813,346k was allocated to a total of 55 groups over 61 projects. **Community Support for Mental Health** The £75k formed part of a combined budget of £813,346k was allocated to a total of 55 groups over 61 projects. The allocation was reported on the CPP website. **Costs for Island Self-Isolation** The availability of the fund allowed a robust and practical protocol to be in place if needed.

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5. Next steps and timescales	**Contribution to Community Mental Health and Wellbeing** As we approach the one-year milestone since allocations were made Arran CVS are carrying out the evaluations of the projects. The next round of the Community Mental Health and Wellbeing Fund has just launched and again CPP partners are involved in the process to maximise impact and share local knowledge and experience. **Community Support for Mental Health** Funding fully utilised as above, non-recurring.
6. Comments	**Contribution to Community Mental Health and Wellbeing** Using the established process made the spend quick and effective with money getting to the local groups quickly and via a single application process. It allowed the available money to be combined for maximum impact. **Community Support for Mental Health** As above. **Costs for Island Self-Isolation** The fund allowed North Ayrshire Council to proactively contribute to the CPP approach to situation and emergent protocols.

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Business and community including transport to work

Supporting the Resilience of Local Businesses	
1. Description of funding stream, date and amount	North Ayrshire Council provides a range of supports and interventions to assist businesses. These can be found at: Business and community (north-ayrshire.gov.uk)

Review and Improve Support for Childminders and Out of School Clubs (OOSC) Providers	
1. Description of funding stream, date and amount	**Review and improve support for childminders and OOSC providers** Fund - North Ayrshire COVID Economic Recovery Fund - SG Funding: £0.126m. **Targeted employability opportunities for key families during Summer 2022** Fund **-** North Ayrshire COVID Economic Recovery Fund - SG Funding: £0.050m. Date awarded – June 2022

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2. Intended impact	**Review and improve support for childminders and OOSC providers**
	By the end of this parliament Scottish Government has committed to ensure provision of wrap around childcare for families who need it. Use of childcare has changed significantly because of COVID-19. OOSC providers face a particularly unstable business environment. Reduced use of OOSC services during lockdown and changed working patterns provide an opportunity to assess future demand and support the sector to ensure the local availability of services in line with Scottish Government's expectations.
	Targeted employability opportunities for key families during Summer 2022
	Parents and carers with school age children will be encouraged to undertake a variety of short courses that upskill or lead to a route into employment. Build relationships between the Employability Team and participants, whilst building up confidence in the use of childcare services.
	Review and improve support for childminders and OOSC providers
	Aimed at sustaining local childcare provision, to support employability and offer positive placements for vulnerable children and those in kinship care.
	Targeted employability opportunities for key families during Summer 2022
	With childcare available in OOSC services over the summer, parents and carers with school age children will be encouraged to undertake a variety of short courses that upskill or lead to a route into employment. Ten programmes will be delivered near OOSC provision or in the same building. This will build relationships between the Employability Team and participants, whilst building up confidence in the use of childcare services. It will effectively provide a wider awareness of and confidence in the support available and will help to sustain the providers by addressing the current pressure created by current low uptake.
3. Progress to date against milestones, including expenditure	**Review and improve support for childminders and OOSC providers**
	The post associated with the work will be advertised in January 2023 with the timescale designed to maximise intelligence from Scottish Government about their intentions for early years and wraparound care.
	Targeted employability opportunities for key families during Summer 2022
	Plans are now progressing to deliver programmes with partners in Easter and Summer 2023.
4. What difference has the investment made?	Future report.
5. Next steps and timescales	**Review and improve support for childminders and OOSC providers**
	Recruitment in January / February 2023.
	Targeted employability opportunities for key families during Summer 2022
	Planning for delivery in Easter and Summer holidays 2023.
6. Concluding comments	**Review and improve support for childminders and OOSC providers**

	The fluctuating childcare services across North Ayrshire will benefit from the additional support and the local families will have access to quality services. **Targeted employability opportunities for key families during Summer 2022** Partners are keen to support this style of delivery.

Public Transport Travel Scheme	
1. Description of funding stream, date and amount	Public Transport Travel Scheme NAC Economic Covid Recovery Funding Approved by Cabinet 7 June 2022 and subsequent Audit and Scrutiny Committee on 20 June 2022: £20,000
2. Intended impact	The scheme contributes to the principles of the Recovery Fund and Child Poverty Action Plan. This scheme provides support low-income households and individuals returning to work with free access to public transport for a fixed three-month period.
3. Progress to date against milestones, including expenditure	The scheme provides three months of free access to bus or rail travel. Beneficiaries are also supported with a free personalised travel plan to identify the best travel option for them. This supports low-income households, access to employment, address transport poverty and build confidence in public transport post COVID-19. Due to the nature of the travel cards this will also benefit beneficiaries for both work and their personal life as they can also be used at evenings/weekends. They can also be used alongside other concessionary travel schemes including the: • Young Person's Free Bus Travel Scheme which allows children and young people under 22 free bus travel; • Kids for a Quid rail scheme allows children to travel for £1 alongside an adult traveller, for up to four children; and • Concessionary travel scheme for disabled people and those over 60 years of age. The Active Travel and Transport Team worked with the Council's Employability team, CEIS and the Lennox Partnership to identify beneficiaries. When beneficiaries were identified, the team prepared a personalised travel plan for each individual to work out the best public transport ticket solution for them. Thereafter the individual was provided with the most appropriate ticket for the three-month period. The £20,000 fund has been fully expended and providing free travel for to 79 beneficiaries. Additional match funding secured from Smarter Choices Smarter Places (SCSP) from Paths for All to extend the scheme. A further 105 beneficiaries will receive free travel through this funding.
4. What difference has the investment made?	79 individuals will benefit from the £20,000 investment. This comprised of 40 Strathclyde Partnership for Transport (SPT) ZoneCards and 39 Stagecoach bus travel passes. 105 individuals will benefit from the additional SCSP funding. This comprised of 105 Stagecoach bus travel passes. Qualitative information is not available at this stage. Pre and post intervention surveys are being undertaken with beneficiaries to assess the impact of the scheme.
5. Next steps and timescales	– Issue of remaining 31 travelcards to beneficiaries funded under Smarter Choices Smarter Places in week commencing 27 November 2022. – Completion of post intervention surveys with beneficiaries in March 2023.
6. Comments	The scheme will directly benefit low-income households by reducing the impact of travel costs on household budgets and helping to address transport poverty. This will improve access to employment opportunities and sustain employment. It will also build confidence in the public transport network post-pandemic and support sustainable travel for everyday journeys.

The mode of transport is tailored to individual beneficiaries' needs and both bus and rail travel solutions will be facilitated across North Ayrshire. Free travel and transport advice is available to all North Ayrshire residents under the Travel Smart and Trinity Active Travel Hub activities. This includes personalised travel plans. Qualitative information will be available on completion of the 3 month free travel period for all beneficiaries.

Support for Communities

Support for communities	
1. Description of funding stream, date and amount.	**Additional core hours to support opening of Community centres to accommodate activities associated with isolation and financial insecurity** Fund: Tackling Financial Insecurities Funding 2021/22: £0.005m. Date allocated- 29/11/21 **Community Books** Fund: Tackling Financial Insecurity Funding 2021/22: £0.022m. Date allocated - 29/11/21 **Third sector support for programmes to support low-income families and individuals by building on current programmes** Fund: North Ayrshire COVID Economic Recovery Fund – Scottish Government: £0.114m. Date allocated – 7/6/22
2. Intended impact	**Additional core hours to support opening of Community centres to accommodate activities associated with isolation/financial insecurity** This funding allows local community centres to be open longer in order to accommodate/offer a wider range of activities aimed at alleviating the effects of social isolation and delivering activities to contribute to positive mental health. The Winter Warmer programme will be delivered with and by community partners. **Community Books** Funding to establish the base/platform on which the local Community Books will be hosted. This resource will allow staff and community leaders access to a wide range of information relating to resources available in the local area. This will in turn assist with enquiries from citizens seeking help and advice.

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	Third sector support for programmes to support low-income families and individuals by building on current programmes Work with the third sector support for programmes to support low-income families and individuals by building on current programmes such as Out and About, working with families and key groups to improve access to food and environmental opportunities locally, including through the Fairer Food network and Eglinton Garden Project, to develop skills to grow and cook food and, through family sessions and activities, build ongoing individual and community capacity. These sessions will encourage people to engage with the local environment to support mental health and wellbeing and to develop parenting skills, family bonding, relationships, volunteering, and employability in a supportive environment.
3. Progress to date against milestones, including expenditure	**Additional core hours to support opening of Community centres to accommodate activities associated with isolation/financial insecurity** The funding is fully committed for spend via third sector partners with service level agreements. **Community Books** Work continues to find the most effective solution however a temporary fix is in place on the CPP web site. **Third sector support for programmes to support low-income families and individuals by building on current programmes** There will be a 'test and learn' trial in one locality over a year, which will establish impact and provide data and evidence for future service design and external funding bids. The initiative will link to the Love Local voucher scheme which will support local businesses. A pilot is planned for Ardrossan with the aspiration to widen to the Three Towns in 2023.
4. What difference has the investment made?	**Additional core hours to support opening of Community centres to accommodate activities associated with isolation/financial insecurity** Longer opening hours are available in some community centres and the Winter Warmer programme of events in warm spaces. **Community Books** 6 community books and 6 thematic Cost-of-living Crisis community books are live on the Community Planning Partnership webpages - http://northayrshire.community/communitysupport/ **Third sector support for programmes to support low -income families and individuals by building on current programmes** A pilot is being designed.
5. Next steps and timescales	**Additional core hours to support opening of Community centres to accommodate activities associated with isolation /financial insecurity** Funding fully allocated – non-recurring. **Community Books** Staff continue to work with partners and providers to select the most appropriate platform to host the resource. The aim is to have it in in place by the end of the calendar year for testing however, a temporary solution is currently operational on the CPP web site. **Third sector support for programmes to support low-income families and individuals by building on current programmes** Staff continue to work with partners to develop an inclusive model that fulfils the outcomes. This will be in place across Three Towns from Easter 2023 for 12 months with focussed pieces of work during school holidays.
6. Comments	Support is also provided for communities through the Fairer Food network and community grants, including Community Investment Fund (CIF).

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Employee Wellbeing

LiveWell Healthy Working Lives Programme	
1. Description of funding stream, date and amount	**LiveWell Healthy Working Lives Programme: £20k for 2022/ 23**
2. Intended impact	£20k of funding supports employee health and wellbeing through a programme of activities/events including a small grant fund. The Executive Leadership Team (ELT) allocates the funding which emphasises the importance of employee health and wellbeing within the workplace. The LiveWell Programme aims to breakdown some of the barriers that employees face when trying to improve their health and wellbeing. The LiveWell Programme aims to increase awareness of support and information, while wellbeing related activities are made more accessible through reducing or negating the costs associated with participation. This in turn improves employee morale, wellbeing, engagement, and performance.
3. Progress to date against milestones, including expenditure	The LiveWell Programme has always taken an organic approach, with a framework of planned activities scheduled alongside ad hoc opportunities. This enables LiveWell to adapt quickly to new suggestions and ideas. The Programme also provides small grants to teams for health and wellbeing activities via our LiveWell Grant Scheme. Provision of funding from the ELT has allowed the LiveWell group to explore a wider range of activities than otherwise possible. £3,972 has been spent over Q1 and Q2 2022. Activity is reduced over the summer holiday period and increases again during Q3.
4. What difference has the investment made?	*"During my time working from home, I found it difficult being on my own most of the time and not being able to just turn around and ask a colleague a quick question and having to send emails often. Although I was a bit reserved having never participated in Tai Chi, I thoroughly enjoyed the sessions and was looking forward to the next one. I believe this helped me cope with the isolation I was experiencing."* – Employee and Tai Chi Class participant. *"I can control my anxiety now I'm a lot calmer and loved the meditation."* – Employee and Meditation participant. *"…Was nice to be reassured that I am not actually 'going off my head' and the symptoms such as memory, foggy moments etc. are all part of the menopause. This session has given me the confidence to speak to my doctor. Thank you!"* – Employee and Menopause Awareness workshop participant. Short evaluations are produced on activities by topic and evaluate positively, sample evaluations are highlighted below for activities during Q1 and Q2:

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	• 2 x Menopause Awareness workshops rated 4.7 out of 5. • 2 x Mindfulness courses rated 4.7 out of 5. • 2 x Bouldering sessions rated 5 out of 5. • 1 x Mental Health and Return to Work session. • LiveWell Grant, (3 x LiveWell Grants were awarded for dance instructor training, a Transport Garage team building day and a Treetops Adventure team building activity). The activities listed are those paid for from the ELT budget; other activities are also promoted that do not have a direct cost. In addition to activities a wide range of health promotion topics are promoted via the LiveWell SharePoint page, News in Brief and LiveWell Facebook page. These have included, Mental Health Awareness, Oral Health, Diabetes Awareness, Sexual Health Services, Digital Detox, Blood Donation and Suicide Prevention awareness. In light of the Cost-of-living crisis a new section has been added to the LiveWell SharePoint page called SaveWell. This includes information on: benefits and income; debt; energy saving advice; savings and affordable loans; housing support and advice; accessing affordable food, white goods, and household items; financial pressures and your mental health; and employee discounts. Since being published in September the SaveWell site has been visited 312 times (as at 7 October 2022). In addition to the LiveWell Programme of activities, the following support is being provided to employees. • Living Wage implemented from date of announcement rather than official implementation date. • Promotion of tax relief opportunities such as income tax marriage allowance, aligned to issue of P60 issue. Laundry allowance and professional membership fees. • Promotion of government childcare support scheme. • Pay advances for those transitioning into employment with us. • Promotion of credit unions particularly Scotwest Credit Union and all their promotions through webinars. • Employee discounts including supermarkets.
5. Next steps and timescales	Following a recent LiveWell employee Survey, the LiveWell Programme is being further developed with opportunities up to December 2023. Activities and health promotion information will continue to be promoted and the LiveWell Grant Scheme will be re-promoted to encourage more teams across the Council to apply. The Council's new Energy Emergency Support Payment will also be promoted to employees.
6. Comments	The qualitative comments provided in the evaluation of activities highlight both the appreciation of and the benefits obtained from participating in wellbeing activities. Many employees would not access activities if they were not promoted through the workplace.

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Primary Care & Social Care Staff Wellbeing Programme	
1. Description of funding stream, date and amount	Scottish Government allocated a total of £108,590 to North Ayrshire Health & Social Care Partnership in financial year 2021/22 to support the wellbeing and mental health of the Primary Care and Social Care workforces, as well as meeting practical needs over the winter period. Additional funding of £250,000 over a two-year period (2022/23 & 2023/24) was agreed by the Integration Joint Board to continue the staff wellbeing programme. A bid was submitted to the Workforce Wellbeing Fund for Adult Social Work and Social Care and £9,864 was granted to fund Health & Wellbeing events. (£368,454 – over 3 years)
2. Intended impact	This funding gives equal priority to those working in primary care and social work/social care sectors, including independent contractors, out of hours services, volunteers, carers, personal assistants, and support staff. Key areas have been identified as local priorities, recognising the opportunity to build on existing local approaches: • Support for teams to 'take a step back' together and participate in wellbeing opportunities • Mindfulness Interventions • Support and management of distress and anxiety; post-traumatic stress disorder; bereavement; staff affected by 'long Covid.'
3. Progress to date against milestones, including expenditure	**Physical Activity** **Paths for All - online Workplace Walking Course** This is an interactive online course which helps get colleagues moving more in and around the working day. The course provides ideas, knowledge, and skills to develop and deliver a successful workplace walking initiative. **KA Leisure Activities** On two occasions in recent months there has been an opportunity for staff to receive a free 3-month gym pass to KA Leisure facilities. 100 passes have been allocated on a first come, first served basis. This has been very popular with staff taking the opportunity of a free 3-month trial and several have gone on to continuing a gym membership at corporate discounted rates. In addition, KA Leisure have delivered online weight management sessions, as well as physical activity and yoga sessions. **Mental Health** **Mindfulness** *Everyday Mindfulness Scotland* have delivered several 4-week online programmes over the last year, using a mix of presentation and mindfulness practices, focus on anxiety and stress, fight or flight and rest and digest. Over the last year, 137 staff have completed the mindfulness programme and positive feedback has been received on this method of supporting staff. Examples: *'It's so difficult to get time to look after ourselves that I didn't see how I was going to fit this in, but I did and the time was in the evening when I've got other commitments, but this has made me commit to myself and it's made all the difference to my stress levels'* *'I just want to say I didn't think this on-line was going to work but it does. I was so much more able to join in when I was in my own home environment. I know its all about using the practices and so I'm determined to try and make the time'*

	'At the start of the course, I wasn't particularly sure what I was going to learn, but it became clear as we progressed through the course. The course was very well delivered, and the explanations/teaching of the techniques and practices were excellent. I feel I have benefited greatly in myself and in my work with service users.' **Optima Health Workshops** Since the implementation of the Staff Wellbeing programme, the following suite of online workshops have been delivered by the Council's Occupational Health provider, Optima Health and were attended by 129 staff: • Psychological Impact of Working from Home • Emotional Wellbeing • Sleep • Financial Wellbeing • Returning to the workplace The following workshops are currently being delivered - Digital Wellbeing, Menopause and Winter Wellbeing. **Primary Care & Social Care Grants Scheme** The Grant Scheme has been operating since March 2022. Applications were invited from teams across North Ayrshire (including all Health & Social Care Partnership staff, GPs and Primary Care staff, Third & Independent Sector providers who are commissioned by HSCP, Personal Assistants, volunteers, and Unpaid Carers) for funding to support staff health & wellbeing activities, which would be arranged/delivered by staff for local teams. Applications are considered by the Primary Care & Social Care Grants Committee. And must meet one or more of the following criteria: • Support for teams to 'take a step back' together and participate in wellbeing opportunities, • Support and management of distress and anxiety; PTSD; bereavement; staff affected by 'long Covid' Some examples of wellbeing applications we have received to date. • Outdoor Group Activities – including Tree Tops, Cumbrae Cycling and Wellbeing Day Retreats • Yoga Sessions • Therapy Treatment and Training including reflexology, TRE, reiki, and Indian head massage • Escape Rooms • Fitness & Wellbeing equipment including a cross trainer and exercise bike • Self-Care plans, mindfulness, and positivity cards At the time of writing £176,115 has been spent on these wellbeing activities and interventions.
4. What difference has the investment made?	At the time of writing there has been a total of 207 applications since the commencement of the Scheme with 180 accepted, 8 partly funded, 5 pending awaiting more information, 3 withdrawn and 11 rejected. All of these supporting staff to take a time out with their own teams. Positive feedback has been received from all staff and teams, hence the approval from the IJB to continue the programme for a further two years, this is also in line with our strategic priority to develop and support our workforce.

5. Next steps and timescales	A bid was submitted to the Workforce Wellbeing Fund for Adult Social Work and Social Care in July 2022 for £9,864 and this was successful. The funding will deliver health and wellbeing events during February 2023 within KA Leisure facilities: The following activities will be delivered: • Menopause awareness sessions • Mindfulness exercise sessions • Weight management sessions • Mental Health Awareness Sessions • Appointments for health check ups • Appointments for Massage sessions • Appointments for manicures As per the criteria for the Workforce Wellbeing Fund, the approved grant is to fund initiatives for those staff working only in the Adult Social Care/Social Work field and does not include staff working in Children's Services, NHS staff and Partnership support staff. The Partnership Senior Management Team has agreed that grant monies can be moved to expand this wellbeing work to all staff in the Partnership, reflecting our integrated approach. The Staff Wellbeing programme will continue to offer health & wellbeing opportunities through Optima Health, KA Leisure as well as further Mindfulness training. In addition, the Grant Scheme will continue to offer opportunities for teams to apply for wellbeing grants.
6. Comments	The wellbeing of the health and social care workforce remains a key priority and it is recognised that teams are fatigued because of unrelenting pressures. It is important therefore that continued wellbeing initiatives are put in place to support staff on an ongoing basis. An evaluation process is in place to capture the views of staff against each wellbeing activity. In addition, the Primary Care & Social Care Grant Scheme seeks feedback from staff on approved wellbeing grants relating to the application process and evaluation of the activities undertaken.

NORTH AYRSHIRE COUNCIL

29 November 2022

Cabinet

Title:	**Financial Inclusion**
Purpose:	To provide an update to Cabinet on Financial Inclusion services.
Recommendation:	It is recommended that Cabinet notes the Financial Inclusion services that are being provided to local people, the increasing caseloads that are being handled in response to the cost of living crisis and through the expansion of service provision, and the initial findings of an ongoing review which will create a more integrated system to better support people in need.

1. Executive Summary

1.1 This report provides Cabinet with an overview of Financial Inclusion services provided by the Council. These services provide vital support to local people.

1.2 Staff have been working with an increasing caseload in recent months, providing additional support in response to the Cost of Living crisis. Additional funding has seen the expansion of service provision and the current review of services aims to create a joined-up approach to support further capacity and to provide equity of access and provision to all citizens in North Ayrshire.

1.3 A review of financial inclusion services has been taking place incorporating Money Matters, the Welfare Reform Advice Team and BONA, and recognising the importance of links to other teams including Customer Services and Financial Services teams.

2. Background

2.1 As part of the Council's Transformation Programme and in response to the incidence of poverty in North Ayrshire and the Cost of Living crisis, a review of Financial Inclusion services across the Council is being progressed at pace.

2.2 The Head of Service (Finance and Transformation) within the Health and Social Care Partnership was appointed to the role of Project Sponsor in June 2022 and has led the project in recent months.

2.3   In June, a project board and project team were formed to take forward the review. The project board consists of senior managers with responsibility for teams which either provide financial inclusion services or work in close partnership with these teams to support local people. The project team consists of the team managers leading these same teams. Appendix 1 shows the current reporting structures of the teams which were part of the review process, this also illustrates the wide range of Council services involved in supporting citizens with financial inclusion needs

2.4   The review has taken place over the summer months through a series of workshops involving the project board and project team and concluded that there is scope to join up Money Matters and Welfare Reform Advice Team, and further incorporating the key principles of the holistic approach of BONA. The current teams already provide excellent services to local people but sit in different parts of the structure which is not the most efficient way to deliver the supports.

2.5   As the following paragraphs outline, the teams provide many of the same services and it is considered that by bringing them closer together, there is scope to streamline referral pathways into these services and reduce the number of cross-referrals between the teams. This should create a more integrated system to support people in need in a more holistic way. As will be seen in the information below, caseloads are already increasing this financial year in response to the cost of living crisis.

<u>Money Matters</u>

2.6   The Money Matters team is part of the Health and Social Care Partnership. The team provides welfare rights assistance and representation to any resident of North Ayrshire to ensure that they receive their legal entitlement to state benefits. In doing so, they will carry out benefit checks and confirm the benefits which people are entitled to, help people to make a claim for benefits or to dispute benefit decisions or sanctions and provide representation at appeals tribunals. The team also provides welfare rights training.

2.7   Local people can contact the team for support, or can be referred by staff across the HSCP, the wider Council and NHS services and other agencies. They work closely with the Council's other financial inclusion teams and partner agencies.

2.8   The team has a significant presence in local communities; Welfare Rights Officers are based in HSCP offices across the area, as well as GP surgeries, schools and local foodbanks. This is critical in making the team as accessible as possible to local people.

2.9   The co-location of staff in schools and GP surgeries are recent developments. The schools project commenced in Autumn 2021 and has already generated £255k of additional income for local people over the last year, with welfare rights officers working in 7 schools across North Ayrshire.

2.10 Services commenced in GP surgeries at Frew Terrace in Irvine and the Ayrshire Medical Group in Stevenston at the end of June 2022 and have since been rolled out more widely to 9 surgeries across the area. Financial gains of £121k were reported to the end of September. Additional funding has recently been secured to further expand this service to 5 GP surgeries on Arran.

Welfare Reform Advice Team (WRAT)

2.11 The Welfare Reform Advice Team sits within Housing and provides services to Council tenants across the whole of North Ayrshire.

2.12 Like Money Matters, the WRAT provides welfare rights advice and assistance with benefits claims and with appeals and sanctions. WRAT also offers a debt advice service to tenants, support around rent arrears and other Housing matters, and employability support.

2.13 It is notable that the team received 154 referrals for debt advice during 2021/22 and by the end of September 2022 had already received 153 such referrals during the first six months of 2022/23.

2.14 WRAT also has a significant presence in localities, with Welfare Rights Officers and Debt Advisors based in local housing offices across North Ayrshire, to ensure that advice and support is accessible to tenants on a face-to-face basis.

Better Off North Ayrshire (BONA)

2.15 BONA is a demonstrator project which is currently operating until March 2023. It is a Public Social Partnership (PSP), established through a Memorandum of Understanding with CHAP to demonstrate the commitment to collaboration and innovation in the delivery of public services.   PSPs are voluntary partnerships involving one or more organisations from the public and third sectors. CHAP is a local charity that provides housing, welfare and debt advice services.

2.16 BONA delivers a person-centred service including advice on benefits, budgeting, debt, housing, health and wellbeing, digital and employability. The approach is piloted to residents of the Three Towns and Arran and operates from the Michael Lynch Centre in Ardrossan as well as Ardrossan Academy and Auchenharvie Academy.

2.17 The project provides works closely with Money Matters and the WRAT, as well as external partners. The pilot was designed to focus on those with complex and significant challenges.

2.18 An external evaluation of year 1 of the BONA pilot was carried out and highlights the financial and social benefits which services provided in a joined-up way can bring to people's lives. The single point of contact to access multiple services, benefits, budgeting, debt, employability, energy, digital, health and wellbeing and housing supported by a keyworker provides a holistic approach. The principles of the BONA pilot will be encompassed in the new approach to financial inclusion services provided by the Council for all residents in North Ayrshire moving

forward.

2.19 <u>Summary of services and financial outcomes</u>

	Money Matters	WRAT	BONA
Supports	All North Ayrshire residents	North Ayrshire Council tenants	Residents of 3 Towns and Arran
FTE staff	37.3	14	2 Council staff plus funding to CHAP
Cost	£1.5m	£0.566m	£0.238m
Financial gains 19/20	£15.3m	£1.644m	n/a
Financial gains 20/21	£15.9m	£1.702m	n/a
Referrals 21/22	4956	1528	261
Financial gains 21/22	£17.5m	£2.2m	£0.104m
Referrals 22/23 (to end Sept)	2982	1040	142
Financial gains 22/23 (to end Sept)	£7.6m	£1.234m	£0.174m

<u>Outcome of service review</u>

2.20 As part of the outcome of the review, a temporary senior manager post will be appointed to lead the joined-up financial inclusion services across North Ayrshire, with responsibility for integrating the teams and developing the Council's financial inclusion strategy. The new team will provide more holistic support by joining together services and ensuring that key work with third sector and community partners as well as national partners continues.

2.21 The advert for this post closed last week and interviews are scheduled to take place. In the short-term, this post will be line-managed by the Head of Service (Finance and Transformation), NAHSCP, as the project sponsor and in the longer-term, this will be transferred into the Council structure.

2.22 Cabinet agreed in August to invest a further £258k in financial inclusion supports and this will be taken forward quickly as part of the new joined-up team. A need for additional debt advice support has been identified through the review.

3. Proposals

3.1 It is proposed that Cabinet notes the Financial Inclusion services that are being provided to local people, the increasing caseloads that are being handled in

response to the cost of living crisis and through the expansion of service provision, and the outcome of a review which will see services better aligned to create further capacity. This will help ensure a consistent approach to support across North Ayrshire.

4.   Implications/Socio-economic Duty

Financial

4.1   Financial inclusion services provide significant levels of additional income for local people, through supporting them to access benefits to which they are entitled. These are detailed in the table at 2.19 above.

Human Resources

4.2   Creation of a joined-up financial inclusion team will result in the closer alignment of posts which are currently in separate structures in the HSCP and Housing.

Legal

4.3   None.

Equality/Socio-economic

4.4   Financial inclusion services provide local people with a range of support services and access to financial benefits.

Climate Change and Carbon

4.5   None.

Key Priorities

4.6   Financial inclusion services support the Council priority -" Aspiring Communities".

Community Wealth Building

4.7   Additional financial gains for local people will support spend in the local economy.

5.   Consultation

5.1   Consultation has taken place with the leads for financial inclusion services throughout the service review and in the gathering of information for this report.

Caroline Cameron
Director, Health and Social Care Partnership

For further information please contact **Paul Doak, Head of Service (Finance and Transformation), North Ayrshire HSCP,** on **pdoak@north-ayrshire.gov.uk**.

Background Papers

Appendix 1 – reporting structure of teams contributing to the review

Current Structure

- Chief Executive
  - Director HSCP
    - Senior Manager
      - HSCP
        - Money Matters
        - Blue Badge Team
        - Care Assessments
  - Head of Service People & ICT
    - Customer Services
      - Council Tax
      - Benefits
      - Education Maintenance Allowance
      - School Clothing Grants / Free School Meals
      - Scottish Welfare Fund
  - Head of Service (Financial Services)
    - Finance
      - Debt Recovery
      - Revenue & Benefits Policy Team
      - Non Domestic Rates
  - Head of Service (Housing & Public Protection)
    - Housing
      - Welfare Reform (Housing)
  - Executive Director Place
    - Head of Service (Economic Development & Regeneration)
      - Economic Development & Regeneration
        - Employability
        - Better off North Ayrshire

NORTH AYRSHIRE COUNCIL

29 November 2022

Cabinet

Title:	**Community Asset Transfer Application – Ardeer Quarry Football Ground and adjacent land**
Purpose:	To seek approval for the transfer of ownership of Ardeer Quarry Football Ground and adjacent land.
Recommendation:	That Cabinet: a) Agrees to the asset transfer of Ardeer Quarry Football Ground and adjacent land from North Ayrshire Council to Scottish Incorporated Charitable Organisation (SCIO), "TASS Community Sports." b) Approves the recommended terms of transfer on this occasion at 10% of the property valuation of £25,000 (totalling £2500); and c) Authorises officers to conclude the associated legal and community asset transfer processes for Ardeer Quarry Football Ground and adjacent land.

1. Executive Summary

1.1 The report proposes the community asset transfer of Ardeer Quarry Football Ground and adjacent land from North Ayrshire Council to the Scottish Incorporated Charitable Organisation (SCIO) "TASS Community Sports" (TASS).

1.2 The transfer of the land will provide a sustainable base for local community activity focusing on football and physical activity. The proposed uses include a range of events and activities which contribute to the Club's key objectives.

1.3 This report recommends that Cabinet agrees to the transfer of Ardeer Quarry Football Ground and adjacent land with an associated 10% of the valuation costs of £25,000 (£2500 in total) applied. This reflects the condition of the facility, savings made against current upkeep and the potential social return on investment. The report also recommends that officers should be authorised to conclude the process under these terms.

2. Background

2.1 Under the terms of the Community Empowerment (Scotland) Act 2015, community asset transfer provides an opportunity for people to be involved in developing and providing opportunities or services for their local communities. It may also allow groups to develop commercial ventures, which will support community benefit. Asset transfer may also mean that public assets get used more frequently and more effectively. Furthermore, community-led ownership may allow additional opportunities for groups to secure extra funding or resources.

2.2 The transfer of Ardeer Quarry Football Ground and adjacent land will provide a sustainable base for the local youth football provision. The asset recently came back into the Council's operational responsibility after its lease was relinquished by KA Leisure and is not required for service delivery by North Ayrshire Council.

2.3 The proposed uses include a range of events and activities which contribute to TASS Community Sports (TASS)'s charitable objectives: "*The aim of the Club is to use football to provide a fun, educational leisure time activity for boys and girls and so to help develop their physical and mental capacities and social skills.*"

2.4 TASS has been successfully running a football club in the heart of the local community for over 37 years. Securing the ownership of their own ground will allow TASS to further develop in a variety of ways to better serve the community. These include the opportunity to:
- develop a modern football facility, allowing the Club to expand and grow;
- increase membership by at least another 150 children, thus widening their involvement with the local community; and
- encourage more children and families to be involved with the Club's activities and engage in healthy lifestyle while having fun through playing football.

2.5 Sport is a fundamental way to develop community connection, and a sense of place and belonging. A sports club is a focal point where children can attend activities regularly, building friendships and influenced by positive role models. Parents can interact and start to extend their role into volunteering and, local people can meet with each other to build local support and friendship networks. People feel safer, valued and part of the community where there are clubs, activities, and facilities. The ownership of the asset will support TASS to contribute towards this community cohesion.

2.6 TASS is requesting the ownership of the current football field to deliver better outcomes. The request includes Ardeer Quarry Football Ground and two areas of land that form part of the overall recreational area (Plan of Ardeer Quarry Football Ground and adjacent land – Appendix I). The Club proposes to continue to play on the existing football field, taking on its care and maintenance, as well as facilitating bookings for other clubs and groups to make increased use of the asset. In addition, the Club intends to start to maintain the adjacent land and use it for training. In time, TASS hopes to use the land to create an all-weather playing surface to assist with training all year round.

2.7 Securing ownership, enhancing the assets and increasing the range of events and activities within an improved facility will encourage a wider range of people to get involved. Participants will benefit from being more physically active and engaged in sport. This will support several strategic and policy areas relating to the delivery of North Ayrshire's Active Communities Strategy, the Local Outcome Improvement Plan's

Wellbeing priority, the National Performance Framework's priorities of physical activity and positive mental health and wellbeing, and Public Health Priority 6, Diet and Healthy Weight. Opportunities for local volunteering will increase, stimulating involvement in shaping and regenerating community life, building self-esteem and confidence.

2.8 The Club have a well-developed business plan, which has been reviewed by officers from across the Council as part of the community asset transfer process. The business plan highlights key areas for investment in order to continue the improvements on site, as well as deliver an increased range of activities across age groups and socio-economic groups.

2.9 The statutory consultation required by the community asset transfer process has taken place, with no objections received. In addition, consultation has taken place with the current, key stakeholders who have premises adjacent to the assets being requested and who share the access road. Council officers have been supporting TASS and key stakeholders as the operational details are agreed. This will be concluded during the legal process to conclude the community asset transfer process, which would follow Cabinet approval. The stakeholders will be encouraged to seek independent legal advice with an appropriate contribution towards their costs.

2.10 The Community Empowerment Act provides that while relevant authorities have a duty to secure Best Value in their operations, including when disposing of or letting property, it has long been recognised that best value does not always mean the highest possible price. All authorities have the ability to dispose of property at less than market value where there are wider public benefits to be gained. This is set out in the Disposal of Land by Local Authorities (Scotland) Regulations 2010, and in the Scottish Public Finance Manual for other relevant authorities.

The financial and non-financial impacts, both positive and negative, of the different options must be balanced. The price proposed reflects the ground's condition, the investment the club plans to make, and full community ownership will facilitate the implementation of comprehensive business plan proposals for envisaged development. All Community Asset Transfer agreements are safeguarded with 'claw-back' provisions.

3. Proposals

3.1 It is proposed that Cabinet:

a) Agrees to the asset transfer of Ardeer Quarry Football Ground and adjacent land from North Ayrshire Council to Scottish Incorporated Charitable Organisation (SCIO), "TASS Community Sports"
b) Approves the recommended terms of transfer on this occasion at 10% of the property valuation of £25,000 (totalling £2500); and
c) Authorises officers to conclude the associated legal and community asset transfer processes for Ardeer Quarry Football Ground and adjacent land.

4. Implications/Socio-economic Duty

Financial

4.1 Through the transfer of the assets, the Council will achieve an overall capital receipt of £2500 (which is 10% of the valuation figure of £25,000), a reduction in revenue expenditure and, in the longer term, there will cost-avoidance in the capital budget due to the need for future investment in replacement of the pitch and maintenance of the adjacent land. The sum proposed reflects the community benefit.

Human Resources

4.2 None.

Legal

4.3 The Local Government (Scotland) Act 1973 places a statutory obligation on the Council to obtain the best price or the best rent when it disposes of any asset by sale or lease. These regulations permit a disposal at less than the best price achievable where either (a) the property is valued at less than £10,000, or (b) the Council has compared the financial cost of transfer against the community benefits and determined that the transfer is reasonable and promotes either economic development or regeneration, health, social well-being or environmental well-being.

Equality/Socio-economic

4.4 There will be considerable socio-economic benefits from the transfer for children, young people and the wider community in the Ardeer area of Stevenston and the value proposed reflects the community benefits.

Climate Change and Carbon

4.5 The transfer seeks to provide sustainable community facilities through securing the open space in Stevenston for recreational purposes.

Key Priorities

4.6 The proposals contained within the report support the following North Ayrshire Council Plan priorities:
- Active and strong communities
- Inclusive, growing, and enterprising local economy
- People enjoy good life-long health and wellbeing.

Community Wealth Building

4.7 This proposal supports the following pillars of community wealth building:
- Advancing community enterprises.
- Advancing local ownership of underused land and buildings; and
- Supporting local business activities and increasing the variety of ownership models.

5.   Consultation

5.1   The consultation required in terms of the Community Empowerment (Scotland) Act 2015 for a community asset transfer application has now concluded. The outcome is outlined in section 2.9.

5.2   Consultation has taken place with, Streetscene, Finance, Estates, Property Maintenance and Investment, and Legal Services. All parties are supportive of the proposal for the listed assets.

Audrey Sutton
Executive Director (Communities and Education)

For further information please contact **Rhona Arthur, Head of Connected Communities,** on **(01294) 324415**.

Background Papers
Plan of Ardeer Quarry Football Ground and adjacent land - Appendix 1

Ardeer Recreation
Bowls Club
6 min drive home

Ardeer Rifle
& Pistol Club

Garnock Rd

Garnock Rd

Hillcrest Dr

Hillcrest Dr

Hillcrest Dr

NORTH AYRSHIRE COUNCIL

29 November 2022

Cabinet

Title:	**Tackling Climate Change: Public Bodies Climate Change Duties Report and Review of North Ayrshire's Environmental Sustainability & Climate Change Strategy 3 (ESCCS 3)**
Purpose:	To update Cabinet on the Council's net zero journey, including highlights from the Public Bodies Climate Change Duties (PBCCD) 2021/22 report and proposed strategic principles to be followed for the review of ESCCS 3.
Recommendation:	That Cabinet: I. notes the Council's current progress on the journey to net zero; II. notes the highlights from the PBCCD 2021/22 reporting template submission at paragraph 2.11; and III. approves the strategic principles at paragraph 2.19 to guide development of ESCCS 4 as we continue our net zero journey.

1. Executive Summary

1.1 As part of the Council's ambition to achieve net zero carbon emissions by 2030, an update on current area-wide and Council estate carbon emissions, mandatory emissions reporting, and proposed future strategy is provided within this report.

1.2 The Council declared a climate emergency in June 2019 and has committed to achieve net zero carbon emission by 2030. Since 2005, area-wide emissions have reduced in North Ayrshire by 49% and Council estate-based emissions by 68%.

1.3 In order to improve the quality of climate change data and standardise reporting methodology across the public sector, the Scottish Government requires annual completion of the Public Bodies Climate Change Duties reporting template. Additional questions have been included for the 2021/22 reporting year, to accelerate the journey to net zero emissions. Key information from the PBCCD

2021/22 reporting template submission is provided at paragraph 2.11.

1.4   The ESCCS 3 is the Council's latest route map to achieve net zero emissions by 2030, and examples of achievements to date are provided within this report. Strategic principles have been developed to assist in the review and setting of priorities and actions for ESCCS 4, due for publication by the end of 2023, taking cognisance of the emissions reduction gap and also community and external stakeholder views, concerns and opportunities.

2.   Background

2.1   In June 2019, North Ayrshire Council declared a climate emergency, committing to achieve net zero carbon emissions by 2030, for both Council estate emissions and area-wide emissions. Council estate emissions are calculated using carbon dioxide equivalent (CO_2e) units to ensure that all greenhouse gases have been included for each activity, and to maintain a transparent overview of the impact of Council activities. The Department for Business, Energy and Industrial Strategy (BEIS) publish emission conversion factors each year, and these are used for national reporting and our internal calculations, to ensure a standardised approach to monitoring and reporting is taken.

North Ayrshire Carbon Emissions

2.2   Area-wide emissions are published by BEIS two years in arrears. Figure 1 below shows the change in area-wide emissions since 2005 (the first year of data collection). Total emissions have reduced across North Ayrshire by 49%, from 1,437 kilotonnes of carbon dioxide ($ktCO_2$) in 2005 to 730 $ktCO_2$ in 2020.

Figure 1: North Ayrshire area-wide emissions breakdown

Area-wide Emissions Breakdown
2015-2020 ($ktCO_2$)
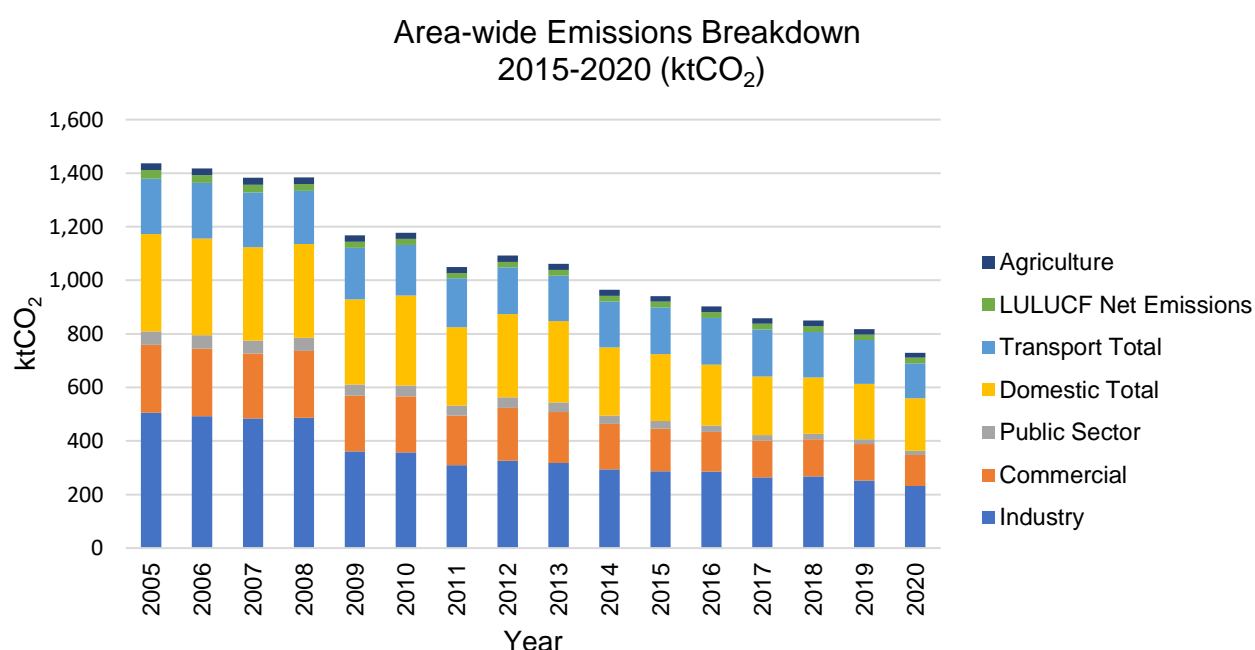
(*LULUCF- Land Use, Land Use Change, and Forestry)

2.3   The above graph outlines several important considerations in relation to North Ayrshire emissions, including:

- Public sector emissions (of which the Council's emissions form part) are a small fraction of the overall area-wide total. Nonetheless, we play a key civic leadership role in encouraging and advocating for climate change within communities for area-wide emissions reduction

- Domestic and transport emissions are a significant source of emissions, representing around half of the area-wide total. The Council has direct and indirect influence over these emissions sources through, for example, our Council housing stock, Electric Vehicle Strategy, and the attractiveness of the active travel network

- The remaining major emission sources, industrial and commercial, can be areas of limited local authority influence, however, we can be creative and engage with major emitters in our areas to understand any opportunities to work together to support further reductions

2.4   To ensure North Ayrshire Council can develop a leading, cross-sector and community led approach we established a Climate Change Steering Group (CCSG) in 2021. The CCSG is chaired by the Cabinet Member for Economy and Climate Change and brings together young people, local businesses and community organisations from across North Ayrshire.

2.5   The Council has taken action against climate change since our first Carbon Management Plan in 2006/07, by working to reduce emissions associated with Council services, and using the baseline year of 2005/06 from which to measure progress. For the Council's estate-based emissions, the following sources are currently taken into account:

- Non-domestic buildings (electricity, gas, biomass etc.)
- Waste (municipal waste to landfill and energy from waste treatment)
- Staff business mileage
- Transport (fleet transport usage of diesel, unleaded petrol, and gas fuel)
- Street lighting (electricity)

2.6   Since the baseline year of 2005/06, Council estate emissions have reduced by 67.8%, from 67,719 tCO_2e to 21,794 tCO_2e. Figure 2 below shows the progress in reducing Council estate emissions:

Figure 2: North Ayrshire Council estate emissions

Council Estate Emissions (tCO$_2$e)
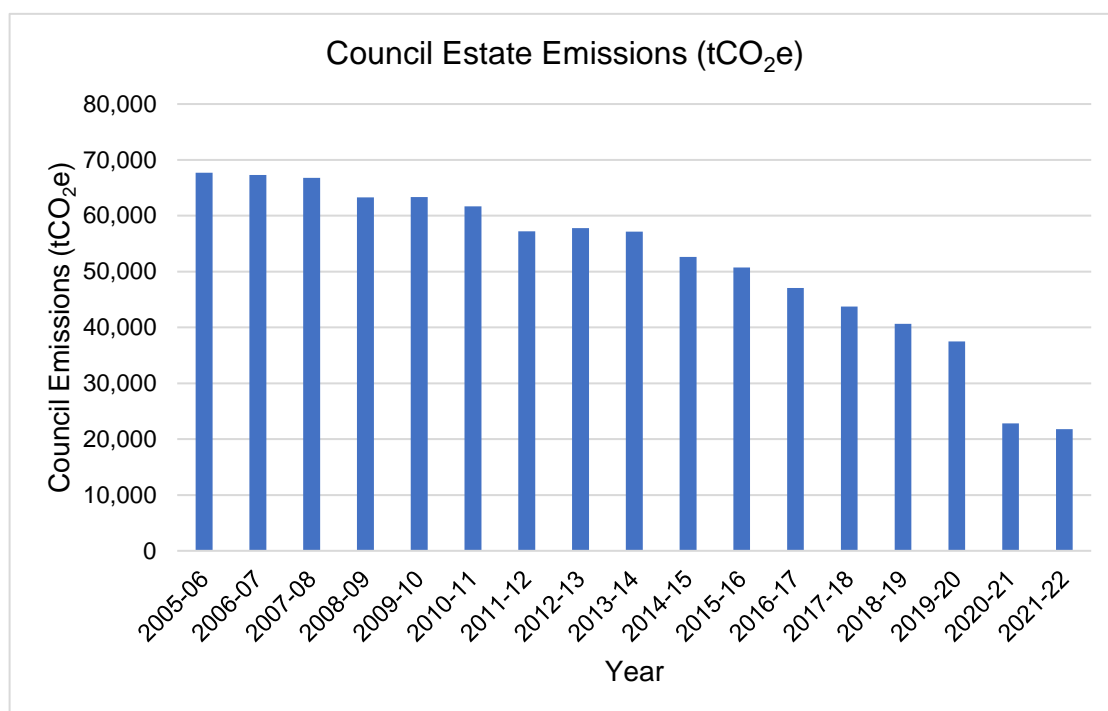
Public Bodies Climate Change Duties (PBCCD) Reporting

2.7   The Climate Change (Duties of Public Bodies Reporting Requirements) (Scotland) Order 2015 requires all public bodies to report annually on compliance with climate change duties outlined in the Climate Change (Scotland) Act 2009. The 2015 Order was amended in 2020 to include additional annual reporting requirements with effect from the reporting year 2021/22. The Sustainable Scotland Network (SSN) administers the submission and analysis of reports on behalf of the Scottish Government, to help guide future strategic reports, support mechanisms and policy. The Council has submitted Public Bodies Climate Change Duties (PBCCD) reports to SSN annually, since the first required reporting year 2015/16.

2.8   The PBCCD report seeks a range of information on the reporting body using a standard template for all public bodies to populate, the details of which include:

- Profile of body
- Governance
- Emissions and Projects
- Adaptation
- Procurement

2.9   Greenhouse gas emissions are classified by the impacts according to where and why they arise, and the accepted international standard to report greenhouse gas emissions is to categorise by scope. **Scope 1** are '**direct'** emissions defined as those arising from directly owned or controlled combustion, for example gas combustions in boilers to heat buildings or fuel combustion in fleet vehicles. **Scope 2** are energy related 'indirect' emissions which arise in the generation of purchased electricity i.e. for the electricity supplied to the grid that the Council

purchases. Finally, **Scope 3** emissions are non-energy indirect emissions and defined as any which arise as the consequence of the activities of the public sector but occur from sources not owned or controlled by it. Examples include emissions from business travel, waste and procurement of goods.

2.10 Scope 3 emissions are considered the most complex to monitor and report. We currently report Scope 3 emissions for electricity (transmission and distribution), water (supply and treatment), municipal waste (to landfill and to combustion), and transport. An area of future focus will be on calculating emissions associated with procurement of goods and services, and supply chain emissions. This is a complex area and SSN are working on behalf of the public sector to identify an approach to accurately calculate this emissions source for future reporting.

2.11 The PBCCD template for the 2021/22 reporting year has been completed with input from a number of Council services. Our submission will be circulated amongst the Climate Change Steering Group members and the North Ayrshire Community Planning Partnership, as well as being peer reviewed by another local authority. The CCSG will continue to oversee implementation of the ESCCS and will have an increasing focus on emissions reduction performance. The PBCCD return will be published on SSN's website. Some key highlights from the latest PBCCD report are as follows:

Governance
In 2021, the Council established the Climate Change Steering Group to act as a sounding board and critical friend to support and challenge the implementation of the North Ayrshire Environmental Sustainability and Climate Change Strategy. A revision to the Council's Structure was implemented in January 2022, placing Sustainability at the centre of a new Chief Officer remit, along with responsibility for property and fleet, which are two of the largest areas of emissions. Climate change is also now at the heart of democratic decision making on policy, programmes and strategies, with the inclusion of climate change and carbon implications as a standard item within our report templates.

The Council uses the Climate Change Assessment Tool (CCAT) to self-assess climate change capability and performance. Stakeholder views and evidence relating to the CCAT headings of Governance, Emissions, Adaptation, Behaviour and Procurement were collated from across various services, with identified areas for continued improvement to be actioned.

Emissions
The Council has reported 21,794tCO$_2$e for the financial year 2021/22, a reduction of 1,052 tCO$_2$e from the previous year. This is the collective emissions total from electricity, gas, oil, biomass and water used in Council owned non-domestic buildings, PPP schools and KA Leisure facilities. The total figure also includes emissions arising from fleet transport, business mileage waste (from landfill and combustion) and street lighting.

Adaptation
The Council has assessed current climate related threats as being one of our priority risks as reflected in our Strategic Risk Register. In the return, control

measures for identified risks, such as flood prevention and winter maintenance, have been highlighted along with the relevant strategies.

For future priorities in this area, work is being undertaken through our first Adaptation Capability Assessment using Adaptation Scotland's Capability Framework. This work involves benchmarking the Council's position on adaptation, conducting stakeholder interviews, delivering a workshop in partnership with Sniffer, a national climate change charity, and identifying required actions.

Procurement

Sustainable procurement is embedded within the Council's procurement processes which has been highlighted within this section of the reporting template. The Corporate Procurement Strategy 2021-23 has a strategic aim to create a more sustainable North Ayrshire. This objective is met by continuing to utilise the Scottish Governments sustainable procurement tools and applying relevant and proportionate selection and award criteria to procurement exercises to ensure that environmental impacts are considered appropriately in tender exercises.

2.12 Historically, not all emissions sources now reported in our PBCCD return have been taken into account in our internal carbon emissions performance reporting. Going forward, we will align our emissions reporting internally and externally via the PBCCD so that there is a common dataset and emissions baseline.

Review of ESCCS 3

2.13 In June 2019, the Council declared a Climate Emergency, committing to achieve net zero emissions by 2030. Environmental Sustainability & Climate Change Strategies (ESCCS) have been developed since 2014 to support the delivery of the Council's priorities and work towards achieving a sustainable environment. The most recent ESCCS is the third iteration and covers the period 2020-23.

2.14 ESCCS 3 is the Council's route map to achieve net zero emissions by 2030, and aims to:

- Inspire positive low carbon behaviour, raising awareness of the sustainability and climate change agenda
- Maximise access to affordable renewable energy technology
- Support sustainable transport
- Design and utilise our natural and built assets sustainably
- Support local businesses to deliver services sustainably through our Community Wealth Building Strategy

Across seven thematic workstreams (Affordable Warmth, A Green Economy, Transport & Travel, Natural Environment, Sustainable Operations, Carbon Absorption and Climate Change Adaptation), 65 actions have been identified and progressed over the course of the ESCCS 3 period. Updates on progress are provided through the Council's performance reporting system, Pentana, on a quarterly basis. These actions are designed to be directly and indirectly responsible for carbon reduction and deliver other socio-economic benefits.

2.15 Some examples of the achievements in our journey to net-zero so far are as follows:

- Completion of domestic solar PV installations on over 500 properties, reducing carbon emissions and saving households money on electricity bills
- Utilisation of the Council's investment fund to support the development of two large scale solar PV farms, with the aim, once completed, of utilising sterile land assets, reducing area wide carbon emissions and supporting the increase of renewable energy on the market
- Launch of 'Energy Smart' a new programme of advice, measures and other support to help those most impacted by the current energy crisis
- Completion of district heating schemes at various development sites, most recently for 120 homes at Flatt Road, Largs, providing affordable warmth at scale
- Ongoing programme of insulated render installations in homes across tenures, taking a 'fabric first' approach to lower emissions, reduce fuel poverty, and increase thermal comfort
- Implementation of energy efficiency measures across our non-domestic estate including LED heating, upgraded heating controls and other measures
- The Clyde Valley Waste Partnership diverts non-recyclable waste from landfill and converts it to energy at an Energy Recovery Facility
- Installation of over 50 publicly accessible charge points across North Ayrshire to help support the uptake of electric vehicles (EV) and participating in a pathfinder project with Scottish Futures Trust and Transport Scotland to identify preferred models of future delivery of EV infrastructure
- Implementation of the Upper Garnock Valley Flood Protection Scheme, to help adapt to the impacts of climate change and more extreme weather events
- Launch of the Council's Tree Planting Strategy, to increase afforestation across North Ayrshire providing a range of benefits including biodiversity, sustainable flood risk management and carbon sequestration
- Creation of the Climate Change Steering Group, bridging the net zero journeys of the Council with various stakeholders for example CPP partners, local businesses and community groups
- Ongoing development of a pan-Ayrshire Energy Masterplan with the support of Scottish Enterprise
- Participation in the Carbon Neutral Islands project, to support community led actions towards net zero emissions, and share lessons learned with other island communities
- Implementation of Adaptation Scotland's Public Bodies Capability Framework to help support North Ayrshire be a climate resilient area, and adapt to climate change

2.16 As the end of the ESCCS 3 period approaches, attention is turning to the review process to prepare the next three-year strategy. The seven workstreams are expected to remain fit for purpose and align with national targets, key emission sources, and the need for adaptation measures, with achieving net zero carbon emissions by 2030 being the overarching priority.

2.17 Figures 3 and 4 below set out the carbon reduction journey to date, across the Council's estate and North Ayrshire wide, respectively. It also outlines a trajectory to 2030. The scale of the emissions gap to net-zero is reflected across Scotland, and it is clear that additional funding and skills development, along with increased collaboration amongst all stakeholders, will be required if we are to meet the target.

Figure 3: Forward Projection of Council Estate Emissions to 2030
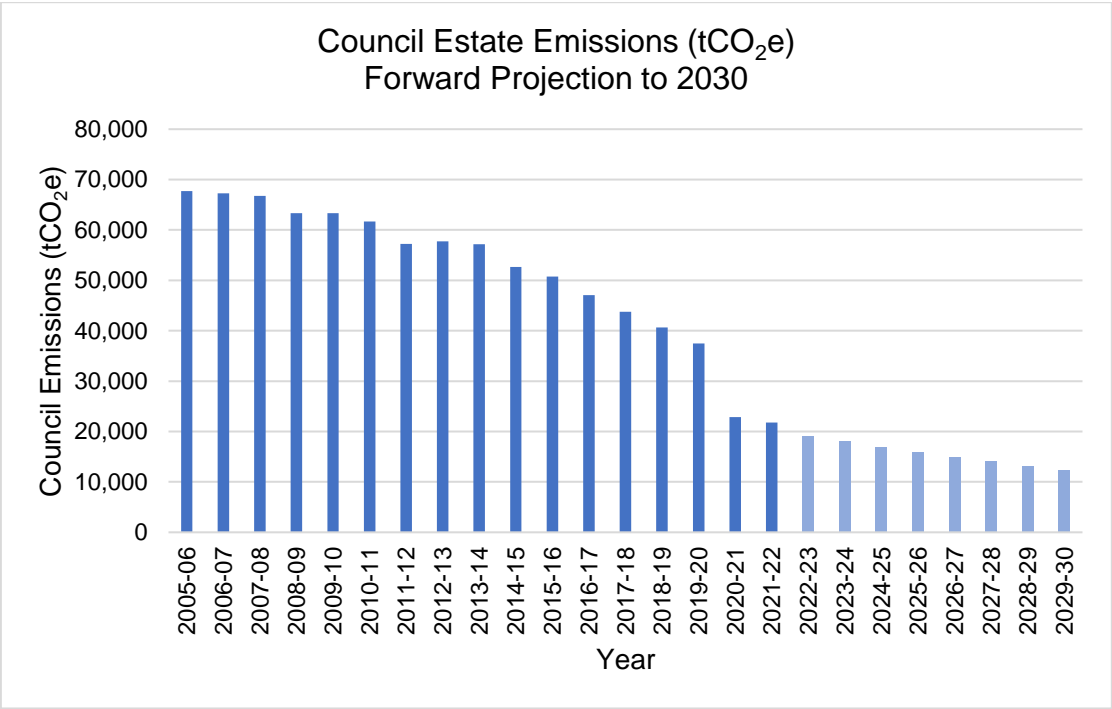
Figure 4: Forward Projection of Area-wide Emissions to 2030
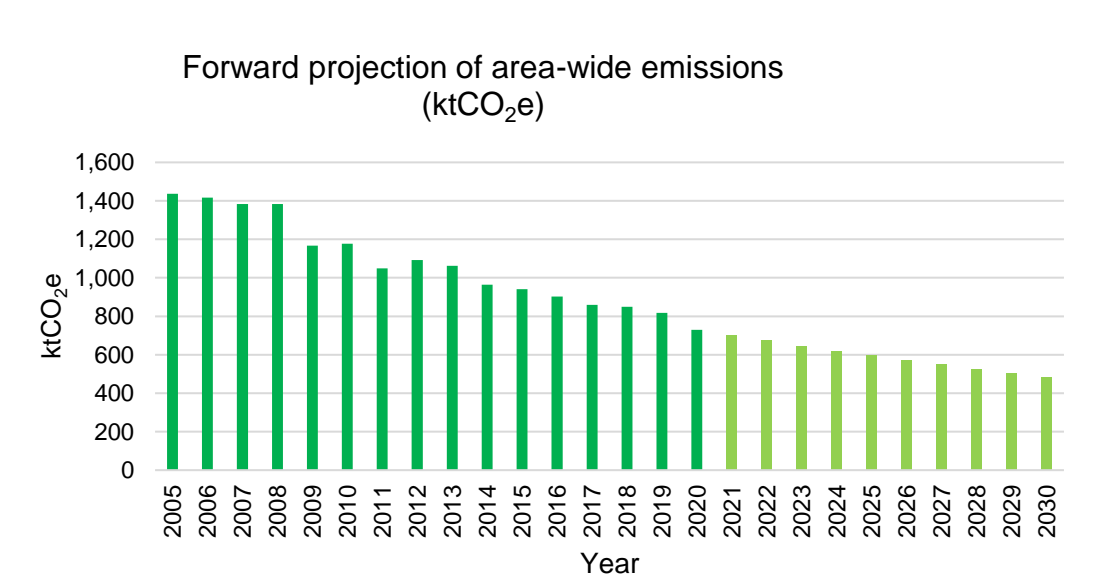
(*source: Department for Business, Energy & Industrial Strategy (BEIS) Area-wide Carbon Emissions)

2.18 Figures 3 and 4 above highlight that based on current emission reduction projections, there will be residual emissions by the target year of 2030 for both our estate and North Ayrshire as a whole. Achieving net zero emissions requires a combination of reduction of emissions generated and the removal of emissions from the atmosphere. We have identified opportunities to remove residual emissions from the atmosphere through our Tree Planting Strategy (expected to sequester around 3,000tCO_2 per annum), Renewable Energy Generation Obligation certificates from the developing solar PV farms, and there is potential for other local and national carbon capture and storage initiatives. The approach will be quantified further as part of ESCCS 4.

2.19 Officers have been developing proposed strategic principles to assist in the review process and in setting the priorities and actions for ESCCS 4 which will cover the period 2023-2026. These are:

- We will take a whole system approach to tackling climate change as far as possible, including identification of optimal approaches to achieve social and economic benefits alongside environmental ones
- We will continue to clarify and report transparently on our emissions so that the North Ayrshire emissions baseline is clearly understood
- We will complete a Local Heat and Energy Efficiency Strategy to help understand where efforts to reducing emissions and reducing fuel poverty are best focused
- We will prioritise actions in relation to two of the biggest emissions sources where have the most influence, commonly referred to as 'heat and fleet', including through project pathfinder approaches for decarbonisation of domestic and non-domestic buildings and vehicles to bring scale and pace to emissions reduction
- We will work with stakeholders, including the Scottish Government, to articulate the potential costs and skills requirements to meet our net-zero aspirations
- We will expand on the need for adaptation measures, recognising mitigation alone will not combat the impacts of climate changes on communities
- We will identify opportunities for expansion of carbon sinks and other carbon capture technologies, which are expected to be an essential element of our net-zero strategy to mitigate residual emissions by 2030
- We will seek to expand the remit and membership of the CCSG to enable us to work more closely with communities, taking account of outcomes from recent projects such as Climate Action Towns and Carbon Neutral Islands
- We will explore the potential for carbon accounting, including carbon budgets for Council services, to support our journey to net-zero

2.20 ESCCS 4, as with previous iterations, will contain project specific actions to reduce carbon emissions across a range of sources along with climate change adaptation measures. Some examples of the pipeline projects which will address the carbon gap articulated in Figure 3 in terms of the Council's estate, and our need for climate change adaptation, are:

- Installation of energy efficiency and heat decarbonisation measures in our non-domestic buildings and Council homes
- Implementation of a decarbonisation plan for the Council's fleet of vehicles
- Improvements to our active travel infrastructure
- Waste reduction and recycling programmes
- Implementation of flood protection schemes on Cumbrae

Further projects will be developed as part of our preparation of ESCCS 4.

2.21 The strategic principles at paragraph 2.19, subject to Cabinet approval, will be used to inform the review of ESCCS 3 and the development of ESCCS 4 to ensure that we have a robust and fit for purpose strategy and actions to tackle the significant challenge that lies ahead. Extensive consultation will be a key component of the updated approach, taking into account the views of communities, local businesses, external stakeholders and internal services to ensure these are reflected in the new strategy. Views will specifically be sought from young people through North Ayrshire schools and from participants in the Annual Youth Conference.

3. Proposals

3.1 It is proposed that Cabinet: (i) notes the Council's current progress on the journey to net zero; (ii) notes the highlights from the PBCCD 2021/22 reporting template submission at paragraph 2.11; and (iii) approves the strategic principles at paragraph 2.19 to guide development of ESCCS 4 as we continue our net zero journey.

4. Implications/Socio-economic Duty

Financial

4.1 The Council is investing significantly in the journey to net zero, taking action on climate change and addressing the Climate Emergency. A total of £9.7 million has been allocated from the Council's Investment Fund to support our climate change aspirations to deliver two solar pv farm projects. In addition, £1.69 million from the Investment Fund has also been assigned to progress a range of low carbon projects, for example a programme of works to install energy efficiency improvements across the non-domestic estate, a sustainability project for Children's Houses incorporating solar and EV infrastructure, and the expansion of EV charging infrastructure across North Ayrshire. The Investment Fund allocation also supports feasibility studies to realise the Council's renewable energy generation potential, specifically in solar and wind, and innovative applications of battery storage technology.

Human Resources

4.2 None.

Legal

4.3   The Council, as a public sector organisation, has an obligation to report on its emissions through the Public Bodies Climate Change Reporting Duty.

Equality/Socio-economic

4.4   By utilising capital investments to support a green economic recovery, the Council is tackling climate change, whilst supporting fair green jobs, tackling inequality and creating a fairer economy. It is essential that our green economic recovery continues to play a key part of our collective net zero aspirations. The recommendations provide an opportunity to develop an approach for decarbonisation and to achieve net zero emissions targets in a way which builds upon the principles of Community Wealth Building, focussing on using our land and assets and supporting local and sustainable supply chains.

Climate Change and Carbon

4.5   The proposal aims to:

- make a positive contribution to national carbon reduction targets
- contribute to the North Ayrshire Council Climate Emergency declaration commitment to be carbon neutral by 2030

Key Priorities

4.6   The proposals contained within the report support the North Ayrshire Council Plan priorities:

- Active and strong communities
- Inclusive, growing and enterprising local economy
- A sustainable environment; and
- People enjoy good life-long health and wellbeing

Community Wealth Building

4.7   The ESCCS 4 (2023-26) will be developed to support Community Wealth Building aims of creating a fairer local economy central to our aims of tackling climate change, poverty and inequality.

5.   Consultation

5.1   Extensive consultation will take place as part of the development of the ESCCS 4 (2023-26), ensuring the views of communities, local businesses, external stakeholders and internal services are reflected in the new strategy. Stakeholders will be consulted using the online platform CONSUL, and views will specifically be sought from young people through North Ayrshire schools and from participants in the Annual Youth Conference. Development of the ESCCS 4 (2023-26) will be discussed with a range of stakeholders engaged in the Climate Change Steering Group, including community groups, local businesses, NHS, Police and Scottish Fire & Rescue Service.

RUSSELL McCUTCHEON
Executive Director (Place)

For further information please contact **David Hammond, Head of Sustainability, Corporate Property & Transport,** on 01294 324514.

Background Papers
N/A

NORTH AYRSHIRE COUNCIL

Agenda Item 15

29 November 2022

Cabinet

Title:	**Ayrshire Local Flood Risk Management Plan**
Purpose:	To update Cabinet on progress and next steps in relation to the publication of: a) the Second Ayrshire Local Flood Risk Management Plan. b) the Final Progress Report on the First Ayrshire Local Flood Risk Management Plan.
Recommendation:	It is proposed that Cabinet: i. approves the Final Progress Report on the First Ayrshire Local Flood Risk Management Plan, which will allow its publication prior to the 31st of December 2022; ii. approves the Second Ayrshire Local Flood Risk Management Plan (North Ayrshire aspects) which will allow its publication prior to the 31st of December 2022; and iii. notes the potential North Ayrshire future financial implications of delivering the actions and flood studies contained within the Second Ayrshire Local Flood Risk Management Plan.

1. Executive Summary

1.1 The Flood Risk Management (Scotland) Act 2009 sets out a framework for a new approach to flood risk management in Scotland. The country was divided into 'Local Plan Districts' (LPDs), with Ayrshire operating as a single LPD. The Act sets out a requirement for the regular publication of a Flood Risk Management Plan as well as a Local Flood Risk Management Plan for each LPD. Both plans can be summarised as follows:

- The **Ayrshire Flood Risk Management Plan** is prepared by SEPA (Scottish Environment Protection Agency) and identifies the flood risk in each LPD and outlines mitigation actions;
- The **Ayrshire Local Flood Risk Management Plan** is prepared by the three Ayrshire local authorities and provides further detail on the mitigation actions identified in the Ayrshire Flood Risk Management Plan and confirms the resources and timescales for action delivery.

1.2 SEPA published the Second Flood Risk Management Plan for the Ayrshire Local Plan District on the 22nd of December 2021. This plan identifies actions to reduce flood risk

within Ayrshire over the 6-year Cycle 2 local plan period (2022-2028).

1.3   The Second Ayrshire Local Flood Risk Management Plan was due to be published in June 2022 however the publication deadline for all local plans was extended by Ministerial Direction and is now the 31st of December 2022. The draft second Local Flood Risk Management Plan is provided as an appendix to this paper.

1.4   Details about the delivery and funding for the North Ayrshire Council-led flood studies that are required to be included in the local plan are provided in Table 5 of Appendix 5 of this paper. There is also a description of the other North Ayrshire Council-led actions in paragraphs 2.92 to 2.94.

1.5   Approved Flood Protection Scheme actions currently qualify for Scottish Government grant funding to cover 80% of eligible scheme costs. Given that the current funding model is still under review, it has not been confirmed if any of the North Ayrshire Council-led scheme design actions would qualify for national funding. Further progress on these actions will not be made until funding becomes available.

1.6   The final progress report on the First Ayrshire Local Flood Risk Management Plan is also due to be published prior to the 31st of December 2022. The draft final progress report is provided as an appendix.

2.   **Background**

2.1   SEPA published the Second Ayrshire Flood Risk Management Plan on the 22nd of December 2021 (the '2021 SEPA Plan'). This plan identifies responsible authorities' committed actions to reduce flood risk within Ayrshire over the 6-year Cycle 2 local plan period (2022-2028).

2.2   Following publication of the 2021 SEPA Plan, North Ayrshire Council as lead local authority is required to publish the Second Ayrshire Local Flood Risk Management Plan (the 'Second Ayrshire LFRM Plan') by the 31st of December 2022. This date was extended by 6 months from the original publication date by a ministerial direction issued by the Scottish Government.

2.3   The Second Ayrshire LFRM Plan provides further detail about the actions of the 2021 SEPA Plan and is required to consist of a 'supplementary part' and an 'implementation part'. The 'supplementary part' is a summary of the objectives, measures and other information already contained in the published 2021 SEPA Plan.

2.4   The 'implementation part' is required to include a description of how the measures identified for the second local plan period (between 2022-2028) or the third local plan period (between 2028-2034) would be delivered.

2.5   The Second Ayrshire LFRM Plan must not be inconsistent with anything in the published the 2021 SEPA Plan.

2.6   The draft Second Ayrshire LFRM Plan is contained in Appendix 2. Subject to ongoing development, an online interactive digital format of the plan may be available at a later stage.

2.7 Funding

2.7.1 The 40 nationwide flood protection schemes prioritised in the first local plan period were to receive 80% capital grant funding from a £42m per year budget over the 6-year timescale. Due to the difference between the predicted and actual scheme costs, the available funding was insufficient. Subsequently, the Scottish Government tasked COSLA to review the suitability of the current funding model and to devise a future model. This review is ongoing, which means that the funding of all of the schemes that have been identified in the 2021 SEPA Plan have not been finalised.

2.7.2 The planned North Ayrshire Council-led scheme design actions that are currently awaiting funding confirmation are as follows:

- The Fairlie (Keppenburn) Flood Protection Scheme Design;

- The Brodick Flood Protection Scheme Design, which includes measures in Lamlash; and

- The Lower Irvine Flood Protection Scheme Design.

2.7.3 Due to ongoing construction price inflation increases and pressures it is possible that Scottish Government funding will not be available for the design of these schemes and that further progress will be very limited until funding becomes available.

2.7.4 Within North Ayrshire, Scottish Government funding that would cover 80% of eligible costs has been secured for the implementation of the confirmed Millport Coastal and Mill Burn Schemes as well as for the Upper Garnock Scheme, which is nearing completion.

2.7.5 Other than the design and implementation of flood protection schemes, indicative costs for the different local authority funded actions were included in 2021 SEPA Plan and are summarised in Table 3 of Appendix 3 of this paper.

2.8 Actions

2.8.1 A summary of the type, number and location of all of the actions contained with the 2021 SEPA Plan along with the delivery lead for each action type is provided in Table 4 of Appendix 4 of this paper. Table 4 also notes the different types of action along with location by both Potentially Vulnerable Area (PVA) and the more focussed Objective Target Area (OTA). The actions within the Ayrshire Local Plan District are led by either North Ayrshire Council, East Ayrshire Council, South Ayrshire Council, SEPA or Scottish Water.

2.9 North Ayrshire Council-Led Studies

2.9.1 Table 5 of Appendix 5 of this paper provides an indication of the North Ayrshire Council-led studies identified in the 2021 SEPA Plan together with an indication of the costs and programme for these studies. The costs of these studies will be met by existing Council revenue budgets. Given the uncertainty around future costs, it is not possible to accurately estimate the projected cost of the post 2028 (Cycle 3) studies at this time.

2.9.2 There are other ongoing actions that will be led by North Ayrshire Council over the 6-year (Cycle 2) local plan period. Costs for these actions, such as 'flood defence maintenance' or 'community engagement' are difficult to estimate but will typically be met by current revenue budgets.

2.9.3 There will also be area wide actions led by North Ayrshire Council to manage current and future flooding in all locations. These actions, such as Local Authority planning policy and emergency planning, will be funded by the relevant local authority revenue budgets.

2.9.4 The draft Second Ayrshire LFRM Plan is contained within Appendix 2. The content of plan is required to be agreed by all other responsible authorities, including the three Ayrshire local authorities, Scottish Water, SEPA and any other relevant authority with a flood risk management function within the Ayrshire Local Plan District prior to finalisation and publication. Cabinet approval is sought for the North Ayrshire Council-led actions contained within the draft plan and for the publication of the final plan as amended by the other authorities. The views of the other responsible authorities may also require minor modifications to the draft plan.

2.10 **Final Progress Report on the First Ayrshire Local Flood Risk Management Plan**

2.10.1 It is intended to append the final report on the progress of first (Cycle 1) actions to the finalised 2nd Ayrshire LFRM Plan. The final progress report finds that the delayed North Ayrshire Council actions are limited to the following:

- The Upper Garnock Flood Protection Scheme, which is currently under construction, and is almost substantially complete;

- The Millport Coastal Flood Protection Scheme, which has been confirmed and is due to go to construction in 2023;

- The Mill Burn Flood Protection Scheme, which has been confirmed and is due to go to construction in financial year 2023/24;

- The Fairlie (Keppenburn) Flood Protection Scheme, which has been submitted for national prioritisation for design funding in Cycle 2 as the originally envisaged funding sources could not be secured during Cycle 1.

2.10.2 The majority of actions identified in the First Ayrshire Local Flood Risk Management Plan have been delivered as planned as shown by Table 6 in Appendix 6.

2.10.3 The draft Final Progress Report on the First Ayrshire Local Flood Risk Management Plan is contained in Appendix 1. Cabinet approval is sought for the publication of the finalised plan (particularly the North Ayrshire Council aspects), noting it may be amended by the other authorities that have led or been involved in the implementation of their specific actions, prior to publication.

3. Proposals

3.1 It is proposed that Cabinet:

- approves the Final Progress Report on the First Ayrshire Local Flood Risk Management Plan, which will allow its publication prior to the 31st of December 2022;
- approves the Second Ayrshire Local Flood Risk Management Plan (North Ayrshire aspects) which will allow its publication prior to the 31st of December 2022; and
- notes the potential North Ayrshire future financial implications of delivering the actions and flood studies contained within the Second Ayrshire Local Flood Risk Management Plan.

4.   Implications/Socio-economic Duty

Financial

4.1   The funding for scheme design actions identified in the Second Local Flood Risk Management Plan have not been confirmed by the Scottish Government and it is not known when a decision on funding will be made. Funding for the implementation of previous committed schemes will remain at the current 80%/20% Scottish Government/local authority split.

4.2   Should the funding for scheme design actions become confirmed, all the schemes would require some degree of consultation, a relatively small amount of initial funding would be required for scheme development and consultation costs and the bulk of the expenditure for the construction is unlikely to be required before 2028 for any of the schemes.

4.3   Funding for the proposed flood studies, 'other' actions and area wide actions can be met from the revenue budget the Council annually receives from Scottish Government to deliver its statutory obligations resulting from the Flood Risk Management (Scotland) Act 2009.

Human Resources

4.4   There are no human resource implications at present. Any additional human resource requirements will be identified if commitment is made to take schemes forward and costs will be met from within available budgets.

Legal

4.5   The approval of the Second Ayrshire Local Flood Risk Management Plan and the Final Progress Report on the First Ayrshire Local Flood Risk Management Plan will enable the Council to undertake its statutory obligations as identified in the 2009 Flood Risk Management (Scotland) Act.

4.6   A Strategic Environmental Assessment (SEA) screening request was submitted to the Scottish Government gateway on the 5th of October 2021. As the second LFRM Plan will be fully consistent with the published 2021 SEPA Plan and would not propose any additional actions, a follow-up SEA will not be undertaken.

4.7   Similarly, the published 2021 SEPA Plan was subject to an appropriate Habitats Regulation Assessment (HRA). As the Second LFRM Plan adds further detail to the actions that have already been subject to an HRA, the plan will not result in any

additional significant effects and the mitigation statements prescribed by the earlier HRA will be included in the plan. Given this, a follow-up HRA is not required. The acceptability of this approach has been confirmed by Nature Scot.

Equality/Socio-economic

4.8 National studies have identified that the impact of flooding is greater within areas of deprivation. Where appropriate, an Equality Impact Assessment will be carried out during the implementation Local Flood Risk Management Plan actions.

Climate Change and Carbon

4.9 Flood risk management forms part of the Council's Environmental Sustainability and Climate Change Strategy by supporting the sustainability of our communities.

Key Priorities

4.10 Flood mitigation and protection of our communities addresses the Council Plan key priorities of 'protecting and enhancing the environment for future generations' and providing 'sustainable and effective infrastructure'.

Community Wealth Building

4.11 A package of community wealth building measures will be incorporated into the construction projects if and when they are progressed, and this will be considered further at the tender preparation stage.

5. Consultation

5.1 The Second Ayrshire LFRM Plan is required to address how it has responded to the consultation responses that were received in connection with the published 2021 SEPA Plan. SEPA has made a redacted version of the consultation responses available. Their responses have been reviewed and will be addressed in the published plan.

RUSSELL McCUTCHEON
Executive Director (Place)

For further information please contact Thomas Reaney, Head of Commercial Services, on 01294 324570.

Background Papers

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Flood Risk Management
(Scotland) Act 2009:

FINAL PROGRESS REPORT
Local Flood Risk Management Plan
(2016-2022)

Ayrshire Local Plan District

Draft Document

20th October 2022.

Contents

Foreword

This Final Report for the Local Flood Risk Management Plan shows the progress made in delivering the actions to avoid and reduce the risk of flooding, to allow us to prepare and protect ourselves and our communities across the breadth of the local plan district. The report also marks the completion of Cycle 1 as we now transition into Cycle 2.

"The impacts of flooding experienced by individuals, communities and businesses can be devastating and long lasting. It is vital that we continue to reduce the risk of any such future events and improve Scotland's ability to manage and recover from any events which do occur."
(Ayrshire Local Flood Risk Management Plan, June 2016)

The publication of this Final Report shows that the co-ordinated and collaborative efforts of public bodies can be brought together to deliver sustainable outcomes.

The Final Report is published by North Ayrshire Council on behalf of a partnership comprising three local authorities - North Ayrshire Council, East Ayrshire Council and South Ayrshire Council - as well other authorities including Scottish Water and SEPA.

Individuals are the first line of defence against flooding and have responsibilities to protect themselves from flooding. Through self-help and property level protection, awareness raising and signing up to Floodline (www.floodlinescotland.org.uk), individuals, businesses and communities can and have made key contributions to the delivery of the actions in the LFRMP (the 'Plan'), which are detailed in this Interim Report.

Since the publication of the Plan in June 2016, public sector finances in Scotland have continued to be under considerable pressure. This placed an even greater responsibility on SEPA, local authorities, Scottish Water and other responsible authorities to deliver their flood risk management responsibilities in an effective and sustainable way. During Cycle 1 we have also had to respond to the challenges of the COVID-19 pandemic.

SEPA, local authorities, Scottish Water, and other responsible authorities will continue to work collaboratively to implement the actions set out in the 2nd planning cycle to June 2028

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1. Background

The Final Report is a legal requirement of the Flood Risk Management (Scotland) Act 2009 (Section 38). The Final Report presents:

• an assessment of the progress made towards implementing the Ayrshire LFRMP (the 'Plan');

• a summary of the planned actions that were not implemented, with reasons for their non-implementation; and

• a description of any other actions implemented since the plan was finalised that the lead authority considers to have contributed to the achievement of the objectives.

A copy of the Plan can be found at the follow link.

https://www.north-ayrshire.gov.uk/community-safety/flooding/flood-risk-management-plan.aspx

2. Review of the Ayrshire Local FRM Plan

This section presents a review of the Plan including progress highlights, a statement on the planned actions not implemented, the significant challenges faced and the next steps to be taken forward during the 2nd planning cycle.

<u>Progress Highlights</u>

A selection of progress highlights since publication of the interim progress report in March 2019 are noted below to give a flavor of the work being undertaken across the Ayrshire Local Plan District to reduce flood risk. A summary of progress against every action in the Plan is presented in Section 4.

- The Upper Garnock Flood Protection Scheme has progressed to construction and is almost complete;
- The River Garnock Flood Warning scheme has been completed;
- The detailed design of the Millport Coastal Flood Protection Scheme has been completed and the construction of the scheme has been tendered;
- The prospective Upper and Lower Irvine Valley flood protection schemes were submitted for National Prioritisation;
- The Mill Burn Scheme has progressed to detailed design stage;
- The Ayrshire Shoreline Management Plan is completed and was adopted by both North and South Ayrshire Councils;
- The Girvan Flood Risk Assessment Study and Options Appraisal phase are completed. The chosen option has been submitted for national prioritisation;

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- The Troon Coastal Flood Study is ongoing and programmed to be completed in January 2023;
- The scoping phase for the Pow Burn Flood Risk Assessment has been completed and the study is scheduled to commence in Spring 2023;
- The Meadowhead Integrated Catchment Study Options Appraisal stage was completed in June 2021. Scottish Water are leading on detailed design for a phased approach to reduce surface water and sewer flooding in Prestwick. Scottish Water have created a multi-agency stakeholder group to assist the design and communication process for this project;
- The Stevenston Point Integrated Catchment Study has been completed;
- The Strategic Mapping and Modelling dataset for Largs, Cartineholm, Girvan, Underwood Cumnock and the Meadowhead Catchment completed by Scottish Water;
- The Brodick and Lamlash Flood Risk Assessments and the Option Appraisal has been completed;
- Surface Water Management Plans have been completed for Saltcoats, Ardrossan, Stevenston & Kilwinning (SASK); Irvine, Kilmarnock, Ayr, Prestwick and Dundonald; and
- Beach nourishment actions in Ayr and Troon continue to be successful in the propagation of natural sand dunes.

Significant Deviations from the Plan

The status of the planned actions is summarised in Section 3 and detailed in Sections 4 and 5. No significant deviations from the Plan are considered to have occurred.

Significant Challenges

Based on a review of the assessment of the progress of actions detailed in this Final Report, the following key challenges and issues have been identified, some of which have had an impact on the delivery of actions to manage flood risk. Where these challenges have had an impact on the delivery of specific actions, this impact is detailed in Sections 4 and 5.

Significant weather events

Whilst occasional flooding has occurred within the Ayrshire LPD over recent years, the area has generally not experienced the exceptional flooding witnessed in other parts of Scotland e.g. Ballater and the Scottish Borders. Storms over the 2015/16 winter period, including Storm Frank, brought some flooding to the area. When flooding does occur, resources are directed away from strategic planning to respond to the incident.

COVID-19 Pandemic

The COVID pandemic has impacted the delivery of Cycle 1 actions including a requirement to suspend flood risk management construction works as part of the national effort to minimise the spread of the virus during the first national lockdown. The pandemic also disrupted flood risk management studies and flood modelling due to the transition to home working and the challenges of effectively consulting and engaging with flood vulnerable communities. These impacts have resulted in higher implementation costs and programme delays.

Resources

Whilst the majority of actions have either been progressed in line or have advanced further than set out in the Plan, the primary reason for actions not progressing as far as intended was a challenging resource environment. A range of resources were required to progress the actions set out in the Plan to reduce flood risk. These include the authorities responsible for progressing individual actions being able to allocate sufficient funding for that purpose.

The available human resource, with the necessary skills to manage and develop solutions to reduce flood risk, has also constrained progress. Much of this human resource pressure has arisen from the increased level of investment in flood risk management across Scotland and the wider UK, leading to challenging recruitment. This pressure is compounded by flood risk management demanding particular technical skills. This human resource pressure has been observed within the authorities responsible for progressing individual actions and the engineering consultants that these authorities seek to engage to support the development of solutions.

Technical Complexity

Developing an understanding of how flooding occurs and the most appropriate combination of solutions to reduce flood risk is technically challenging, including the need to build complex computer models to understand how storm events, tides, watercourse geometry, topography, land use and climate change all interact to cause flooding. This challenge has impacted progress on a number of actions which has delayed progress on subsequent actions. More appropriate technical solutions have also been identified for a number of actions, compared to the way forward envisaged when the Plan was prepared but these enhanced solutions, particularly in relation to strategic mapping and modelling, have taken longer to implement.

Cyber-attack on SEPA

On 24 December 2020, SEPA was subject to a serious and complex cyber-attack, which significantly impacted the organisation, staff, public and private partners, and the communities who

rely on SEPA's services. Since the attack, SEPA has worked with Scottish Government, Police Scotland, the National Cyber Security Centre (NCSC) and the Scottish Business Resilience Centre (SBRC), to a clear recovery strategy. The incident has, however, temporarily impacted progress on a number of actions such as new flood warnings, mapping and modelling projects and some engagement activities. Many of these projects are still going ahead but the timescales for them have been adjusted.

The Next Planning Cycle

This report marks the completion of Cycle 1 and we are now transitioning into Cycle 2. The Flood Risk Management Plan for Cycle 2 can be accessed via the following link:

https://www2.sepa.org.uk/frmplans/documents/lpd12-ayrshire-frmp-2021.pdf

The Cycle 2 Local Flood Risk Management Plan is scheduled to be published during December 2022.

Many of the Cycle 1 actions were to undertake studies that have led to the identification of further actions to be implemented in Cycle 2 and beyond. For example, a flood protection study may recommend that a community flood action group is set up to increase resilience to flooding, or that flood defences are constructed.

Conclusions

Overall, through partnership working, by delivering the actions set out in the Ayrshire LFRMP we have reduced flood risk and helped to inform future actions to further reduce flood risk that will be progressed during Cycle 2 and subsequent cycles. Whilst the majority of actions have either been progressed in line or have advanced further than set out in the Plan, a number of actions have not progressed as far as intended, primarily due to a lack of resources. Other actions have been delayed where they have been dependent on the results from earlier studies. Some actions have also been superseded by a change in approach that will deliver better outputs but at a later date.

3. Assessment of Progress

This section sets out an assessment of the progress towards implementing the actions set out in the Local Flood Risk Management Plan. There are actions that apply across the whole of the Ayrshire LPD and actions that are specific to each of the 19 Potentially Vulnerable Areas (as defined under Section 13 of the Act) in the Ayrshire LPD, which are shown below in Figure 1.
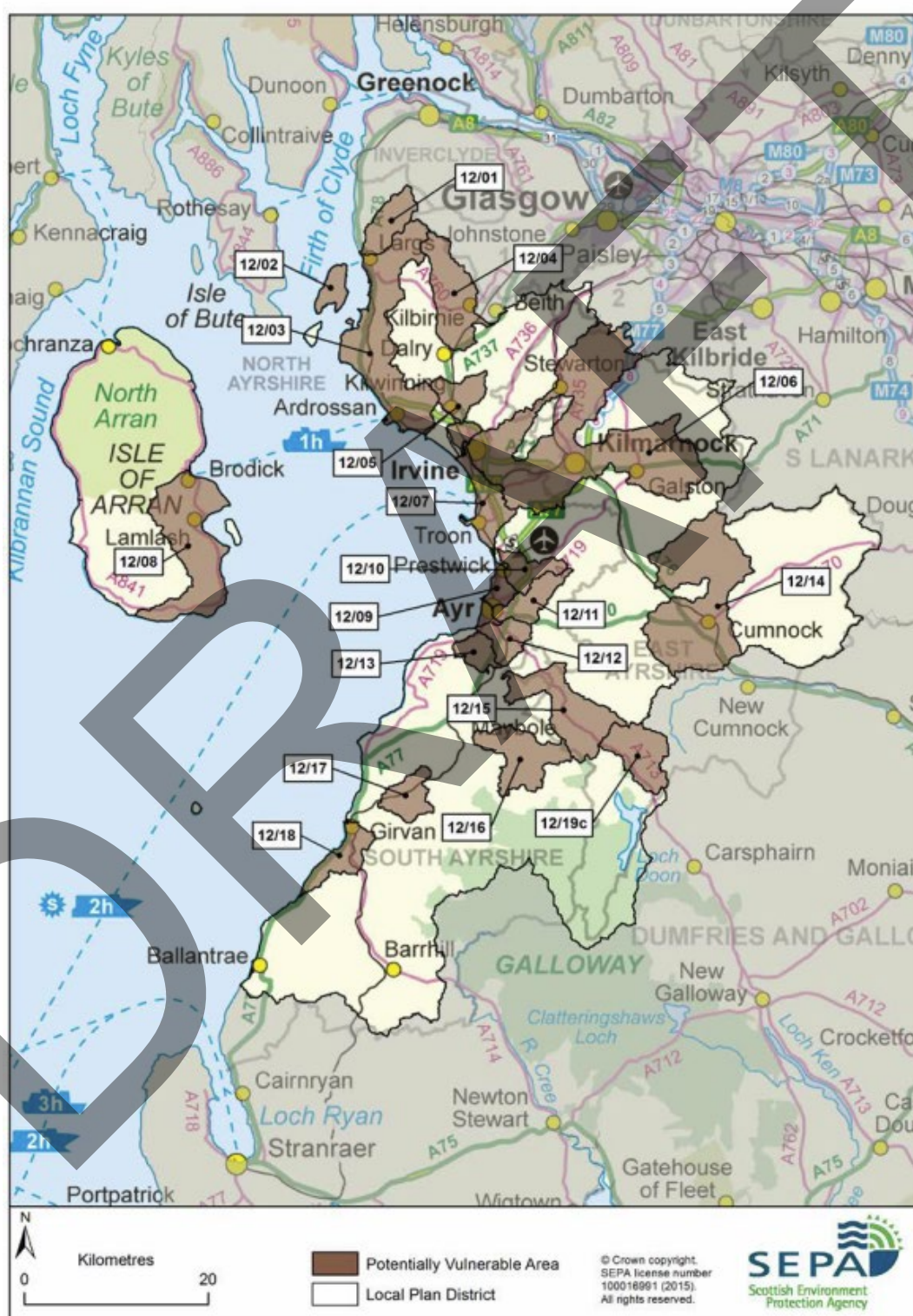

Figure 1: The Ayrshire Local Plan District with Potentially Vulnerable Areas identified [Reproduced from Ayrshire Local Plan District Flood Risk Management Strategy, SEPA (December 2015)]

The actions that apply to an individual PVA across the Ayrshire LPD are shown overleaf in Figure 2. The summary of the assessment of progress is shown using the traffic light system, where each item is marked as Red, Amber or Green (RAG) and where:

- **GREEN** – Action is on programme and within budget;
- **AMBER** – Action is behind programme and / or over budget but the key dates are anticipated still to be met.
- **RED** – Action is behind programme and / or over budget with key dates unlikely to be met and / or the outputs are unlikely to achieve what was anticipated by the Local FRM Plan.

Clarification was sought on the meaning of these definitions, see below:

- What is meant by 'programme'?

  It was agreed that this is the Local FRM Plan dates.

- What is meant by 'key dates'?

  It was agreed that this is the FRM cycle dates namely prioritisation December 2019 and end of cycle. For SEPA actions only the end of cycle will apply.

- What is the 'Budget'?

  It was agreed that the delivery to programme was more important for this report and 'Budget' means the budget an organisation has set aside for this work not any rough budget proposed in the Local FRM Plan.

- Will awareness raising actions have RAG?

  Status for all generic actions is to be produced. There was a consensus that if awareness raising was supporting an action that was Amber or Red then the awareness raising itself would likely be Amber or Red.

Further detail on specific actions can be found in the relevant Potentially Vulnerable Area within Section 4.

Potentially Vulnerable Areas by actions	Flood protections shemes /works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping and modeling Scottish Water	Strategic mapping and modeling SEPA	Maintain flood protection scheme	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintanance	Emergency plans / response	Planning policies
12/01 Noddsdale Water				✓			✓		N/A	N/A	✓		✓	✓	✓	✓	✓	✓
12/02 Great Cumbrae Island	🟧			✓				🟧	✓	✓	✓			✓	✓	✓	✓	✓
12/03 Largs to Stevenston	🟧			✓		✓		🟧	✓	✓	✓		✓	✓	✓	✓	✓	✓
12/04 Upper Garnock Catchment	🟧✓		✓		✓		✓		N/A	N/A	✓			✓	✓	✓	✓	✓
12/05 Kilwinning			✓	✓		✓	✓		N/A	N/A	✓			✓	✓	✓	✓	✓
12/06 River Irvine and Annick Water			✓	✓		✓	✓	🟧✓	✓	✓	✓		✓	✓	✓	✓	✓	✓
12/07 Irvine to Troon		✓		✓		✓		🟧	✓	✓	✓			✓	✓	✓	✓	✓
12/08 Isle of Arran				✓				🟧	✓	✓	✓			✓	✓	✓	✓	✓
12/09 Prestwick to Ayr		✓		✓		✓		🟧	✓	✓	✓			✓	✓	✓	✓	✓
12/10 Pow Burn Catchment			✓	✓		✓		🟧	N/A	N/A	✓			✓	✓	✓	✓	✓
12/11 River Ayr			✓			✓		🟧	N/A	N/A	✓			✓	✓	✓	✓	✓
12/12 Ayr east								🟧	N/A	N/A	✓			✓	✓	✓	✓	✓
12/13 Ayr south							✓		N/A	N/A	✓			✓	✓	✓	✓	✓
12/14 Cumnock and Catrine				🟧			✓		N/A	N/A	✓	✓		✓	✓	✓	✓	✓
12/15 Dalrymple and Patna				✓				🟧	✓	N/A	✓			✓	✓	✓	✓	✓
12/16 Straiton									N/A	N/A	✓			✓	✓	✓	✓	✓
12/17 Dailly									N/A	N/A	✓			✓	✓	✓	✓	✓
12/18 Girvan				✓			✓	🟧	✓	✓	✓			✓	✓	✓	✓	✓
12/19c Dalmellington				✓					N/A	N/A	✓			✓	✓	✓	✓	✓

Figure 2: Summary of progress of actions to manage flood risk in the Potentially Vulnerable Areas of the Ayrshire LDP

Note: N/A is used where there is no formal Flood Protection Scheme of Flood Warning Scheme present; ticked boxes confirm that the action is complete or that it is envisaged to be complete by the publication date of this final progress report.

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4. Progress with PVA-specific Actions

This section sets out an assessment of the progress towards implementing actions that are specific to each of the 19 Potentially Vulnerable Areas (PVAs) within the Ayrshire Local Plan District.

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4.1 Noddsdale Water (Potentially Vulnerable Area 12/01)

Local Plan District	Local authority	Main catchment
Ayrshire	North Ayrshire Council	Noddsdale Water

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Summary of Progress for Noddsdale Water

There are approximately 30 residential properties at risk of flooding. The Annual Average Damages are approximately £68,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/01 please click here.

Progress has been made with the completion of the Flood Study for the Brisbane Glen Culvert, including natural flood management options and the viability of property level protection. Largs has not been exposed to any significant recent weather events.

Overview of actions to manage flooding in Noddsdale Water

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/01				G			G				G		G	G	G	G	G	G

Noddsdale Water (Potentially Vulnerable Area 12/01)   12

Summary of progress of actions to manage flood risk in the Noddsdale Water (PVA 12/01)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Flood protection study	G	The Council will assess the flood mitigation options identified by the Largs Culvert Realignment Feasibility Report completed in early 2016 in order to determine the outline design work for a flood protection scheme.	01/01/2016-31/12/2016	A flood study with option appraisal for the culvert realignment was completed in early 2016, which investigated the feasibility of a flood protection scheme focussing on realigning culverts in the Brisbane Glen Road area and property level protection. This study also considered the potential for natural flood management to reduce runoff to the small burns in the area and other actions to select the most sustainable combination of actions. The Cost Benefit Ratio is around 0.43 The completed study found that the prospective options for improving the culverts at Brisbane Glen Road would not be economically viable. No further studies are planned but the culverts shall continue to be assessed by North Ayrshire Council for clearance and repair works to minimise flood risk.	N/A.

Noddsdale Water (Potentially Vulnerable Area 12/01)   13

		Scottish Water will undertake further investigation and modelling in the Largs sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.	01/01/2018-31/12/2020	The Scottish Water assessment of flood risk within the sewer catchment has been completed. The assessment is now completed and has been shared with the Local Authority.	N/A.
Strategic mapping and modelling - Section 16 assessment					
Flood forecasting	G	The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2 Responders. The service also provides information which allows SEPA to issue flood warnings, giving people a better chance of reducing the impact of flooding on their home or business. For more information please visit SEPA's website.	22/12/2015-22/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water	N/A.

Noddsdale Water (Potentially Vulnerable Area 12/01)   14

			flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public, to raise awareness of flood risk and how those affected can be better	01/06/2016-22/06/2022	North Ayrshire Council raised awareness about flood risk via a separate action noted for this PVA. Specific awareness raising about flood risk matters was achieved when the Council's flooding team responded to reported flood incidents, enquiries from prospective developers & flood risk consultants and when responding to planning application consultations.	N/A.

Noddsdale Water (Potentially Vulnerable Area 12/01)   15

		prepared. Further detail can be found in the Council's and Scottish Flood Forum websites.			
Community flood action groups	G	Although not part of a community flood action group the public take an active interest in flooding issues within Largs and inform the Council about debris in the watercourse. North Ayrshire Council will liaise with the group through Community Council meetings and directly to the public.	01/06/2016-22/06/2022	North Ayrshire Council engaged with responsible authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared.	N/A.
Awareness raising	G	North Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Through the continued development of flood schemes and studies at higher risk locations, officers from the Council's Flood Risk Management Team attend community council events to discuss elements of flood risk management. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19.

North Ayrshire Council raised awareness about flood risk matters by updating the Council's website and by supporting Local Flood Emergency Groups. | N/A. |

Noddsdale Water (Potentially Vulnerable Area 12/01) 16

|					
		resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the public on large capital projects and detailed local studies.		Project related public consultations affecting Largs were carried out by North Ayrshire Council.	
Maintenance	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets	01/06/2016-01/06/2022	North Ayrshire Council inspected trash screens, watercourses and coastal flood protection structures in accordance with the published inspection programme throughout the 1st Local Flood Risk Management Plan cycle.	N/A.

Noddsdale Water (Potentially Vulnerable Area 12/01)   17

	G	including those which help to reduce flood risk.			
	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.	01/06/2016-01/06/2022	North Ayrshire Council commissioned emergency plans, aimed at Category 1 and 2 responders, for population centres within North Ayrshire that have a notable flood risk. These plans were completed in September 2020.	N/A.
Emergency plans/response					
Planning policies	G	Scottish Planning Policy and accompanying Planning Advice	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to	N/A.

Noddsdale Water (Potentially Vulnerable Area 12/01) 18

Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.

reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach.

North Ayrshire Council completed a Strategic Flood Risk Assessment for

Noddsdale Water (Potentially Vulnerable Area 12/01)

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			LDP2 in May 2018. In addition, the Ayrshire Shoreline Management Plan (SMP), which prompts land use, policy changes and further studies to allow physical protective measures to take place in the future was adopted by North Ayrshire Council and South Ayrshire Council in September 2018. National Planning Framework 4 is expected to be adopted by the Scottish Parliament later in 2022 and will become part of the Development Plan, ensuring national planning policies on flooding are applied in local decision making.	

Noddsdale Water (Potentially Vulnerable Area 12/01)   20

4.2 Great Cumbrae Island (Potentially Vulnerable Area 12/02)

Local Plan District	Local authority	Main catchment
Ayrshire	North Ayrshire Council	Great Cumbrae coastal
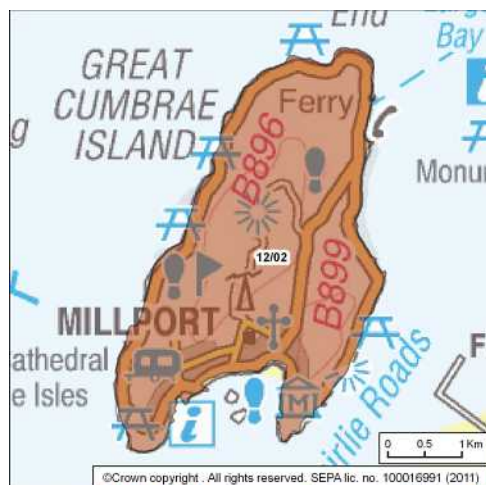
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Summary of Progress for Great Cumbrae Island

Local studies have shown approximately 800 properties to be at risk. The Annual Average Damages are approximately £2.2 million. Further information can be found in Ayrshire Local FRMP under PVA 12/02, please click here.

Key progress has been made in Millport with the confirmation of the Millport Coastal Flood Protection Scheme and the Mill Burn Flood Protection Scheme. The Ayrshire Shoreline Management Plan was adopted by both North and South Ayrshire Councils in September/October 2018.

Overview of actions to manage flooding in Great Cumbrae Island

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/02	A			G				A	G	G	G			G	G	G	G	G

Summary of progress of actions to manage flood risk in the Great Cumbrae Island (PVA 12/02)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Flood protection scheme/works	A	Future investigations will look to identify the most sustainable flood mitigation option to manage coastal flooding in Millport. The current option includes the creation of a breakwater with flood walls. It is recommended that the options are further developed, including an assessment of property level protection to supplement the primary actions.	01/06/2016-01/06/2022	North Ayrshire Council confirmed the Millport Coastal Flood Protection Scheme on the 10th of November 2020. The detailed design is complete and the scheme is planned to be implemented during the 2nd Local Flood Risk Management Plan cycle (2022-2028).	The scheme is planned to be implemented during the 2nd Local Flood Risk Management Plan cycle (2022-2028).
	A	It is recommended that the council progress work on the proposed flood protection work on the Mill Burn in Millport. The Mill Burn Flood Risk Assessment has provided information along with an economic appraisal which identifies potential options to mitigate flooding. Initial remedial work has helped to reduce	01/06/2016-01/06/2022	North Ayrshire Council confirmed the Mill Burn Flood Protection Scheme on the 15th of June 2021. The detailed design is underway and the scheme is planned to be implemented during the 2nd Local Flood Risk Management Plan cycle (2022-2028).	The scheme is planned to be implemented during the 2nd Local Flood Risk Management Plan cycle (2022-2028).

Flood protection scheme/works		the level of risk in the area however further analysis should be carried out to establish the remaining level of risk and the most sustainable combination of actions to manage this risk.			
Flood protection study	G	A shoreline management plan is recommended, this study is not limited to Potentially Vulnerable Areas but should cover the whole of the Ayrshire coastline and any areas beyond this which may be influenced by changes in coastal processes. The study should investigate flooding and coastal erosion, wave overtopping and the current coastal protection offered. The study will help to develop an understanding of coastal issues and identify where further work may be required to mitigate against flooding.		The Ayrshire Shoreline Management Plan was completed and was adopted by both North Ayrshire Council and South Ayrshire Council in September/October 2018.	N/A.
Strategic mapping and modelling	A	SEPA will update strategic surface water mapping in some parts of this catchment to improve understanding of flood risk.	01/01/2016-31/12/2016	SEPA's current Surface water hazard maps use design rainfall estimates based on FEH99 methodology, this has now been superseded by FEH22 methodology. The FEH22 dataset contains the latest science and	The national surface water flooding modelling project will be completed in 2023. The outputs from this will be used to update SEPA maps early in cycle 2 and will inform SEPA's flood risk

Great Cumbrae Island (Potentially Vulnerable Area 12/02)   23

				understanding of rainfall across Scotland and represents a significant change in rainfall amounts compared to FEH99 dataset, as such it is no longer consider appropriate to deliver this action as originally intended. This action will not be taken forwards as described. A major national update of the surface water maps is underway which will deliver updated surface water flooding maps for Scotland representing the latest scientific understanding.	assessments for the next flood risk management cycle.
Maintain flood protection scheme*	G	North Ayrshire Council to continue to inspect and maintain the existing Millport Coastal Flood defences, which will continue to manage flooding according to the design standard at the time of construction.	01/06/2016-01/02/2022	The Millport coastal flood defence structures were either inspected on an annual basis throughout the 1st Local Flood Risk Management Plan cycle and were subject to a principal inspection every three years or were inspected in accordance with the inspection schedule published by North Ayrshire Council.	N/A.
Maintain flood warning Millport Seafront flood warning area	G	SEPA will continue to maintain the Millport Seafront flood warning area, which is part of the Firth of Clyde coastal flood warning scheme. When flood events occur in an area	22/12/2015-22/06/2022	SEPA has continued to operate the flood warning service.	N/A.

Great Cumbrae Island (Potentially Vulnerable Area 12/02)   24

		with a flood warning service, SEPA will seek to verify and validate the warning service. SEPA will use feedback and post-event data to ensure that our flood warning service is timely and accurate.			
Flood forecasting	G	SEPA will continue to maintain the the Millport Seafront flood warning area, which is part of the Firth of Clyde coastal flood warning scheme. When flood events occur in an area with a flood warning service, SEPA will seek to verify and validate the warning service. SEPA will use feedback and post-event data to ensure that our flood warning service is timely and accurate.	22/12/2015-22/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022	N/A

Great Cumbrae Island (Potentially Vulnerable Area 12/02)   25

				to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be	01/06/2016-22/06/2022	North Ayrshire Council raised awareness about flood risk via a separate action noted for this PVA. Specific awareness raising about flood risk matters was achieved when the Council's flooding team responded to reported flood incidents, enquiries from prospective developers & flood risk consultants and when responding to planning application consultations.	N/A.

Great Cumbrae Island (Potentially Vulnerable Area 12/02)   26

		found in the Councils and Scottish Flood Forum websites.			
Awareness raising	G	North Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Through the continued development of flood schemes and studies at higher risk locations, officers from the Council's Flood Risk Management Team attend community council events to discuss elements of flood risk management. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19.

North Ayrshire Council raised awareness about flood risk matters by updating the Council's website and by supporting Local Flood Emergency Groups.

Project related public consultations affecting the Great Cumbrae PVA were carried out by North Ayrshire Council. | N/A |

Great Cumbrae Island (Potentially Vulnerable Area 12/02)   27

	G	public on large capital projects and detailed local studies.			
Maintenance	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets including those which help to reduce flood risk.	01/06/2016-01/06/2022	North Ayrshire Council inspected trash screens, watercourses and coastal flood protection structures in accordance with the published inspection programme throughout the 1st Local Flood Risk Management Plan cycle.	N/A.
Emergency plans/response	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2	01/06/2016-01/06/2022	North Ayrshire Council commissioned emergency plans, aimed at Category 1 and 2 responders, for population centres within North Ayrshire that have a notable flood risk. These plans were completed in September 2020.	N/A.

Great Cumbrae Island (Potentially Vulnerable Area 12/02)   28

	G	Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.			
Planning policies	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach,	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and	N/A.

	new development in areas with medium to high likelihood of flooding should be avoided.		encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach. North Ayrshire Council completed a Strategic Flood Risk Assessment for LDP2 in May 2018. In addition, the Ayrshire Shoreline Management Plan (SMP), which prompts land use, policy changes and further studies to allow physical protective measures to take place in the future was adopted by North Ayrshire Council and South Ayrshire Council in September 2018. National Planning Framework 4 is expected to be adopted by the Scottish Parliament later in 2022 and will become part of the Development Plan, ensuring national planning policies on	

Great Cumbrae Island (Potentially Vulnerable Area 12/02)   30

				flooding are applied in local decision making.	

Great Cumbrae Island (Potentially Vulnerable Area 12/02) 31

4.3 Largs to Stevenston (Potentially Vulnerable Area 12/03)

Local Plan District	Local authority	Main catchment
Ayrshire	North Ayrshire Council	Saltcoats to Largs coastal

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Summary of Progress for Largs to Stevenston

There are approximately 960 residential properties at risk of flooding. The Annual Average Damages are approximately £1.2 million. Further information can be found in the Ayrshire Local FRMP under PVA 12/03, please click here.

Key progress has been made with the completion of the Stevenston Point ICS Study and the associated Saltcoats, Ardrossan, Stevenston & Kilwinning (SASK) Surface Water Management Plan. The Ayrshire Shoreline Management Plan was completed and adopted by both North and South Ayrshire Councils in September/October 2018.

The preferred option for the upgrade of the Keppen Burn culvert has been identified and the design of the Fairlie Flood Protection Scheme is an action in the published Cycle 2 Flood Risk Management Plan.

Overview of actions to manage flooding in Largs to Stevenston

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/03	A			A		G		A	G	G	G		G	G	G	G	G	G

Summary of progress of actions to manage flood risk in the Largs to Stevenston (PVA 12/03)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Flood protection scheme/works	A	North Ayrshire Council, Transport Scotland and Network Rail are all working in partnership on the Keppen Burn Culvert upgrade. All three organisations have an approved prioritised worklist for the next 3-5 years based on the organisations own objectives and funding availability. The Keppen Burn Culvert upgrade will be assessed by all three organisations separately and will fit into the already prioritised worklist.	01/06/2016-01/06/2022	The preferred option for the Keppen Burn Culvert upgrade has been identified and design work is programmed to be completed during the 2nd Local Flood Risk Management Plan cycle (2022-2028), depending on the scheme qualifying for Scottish Government capital grant funding.	The design of the Fairlie Flood Protection Scheme is programmed to be completed during the 2nd Local Flood Risk Management Plan cycle (2022-2028), depending on the scheme qualifying for Scottish Government capital grant funding.
Flood protection scheme/works	G	Network Rail will carry out civil engineering work which will reduce flood risk to identified sections of the rail network within this PVA, including work to Saltcoats Coastal Defence.	01/01/2019-31/12/2024	Network Rail repaired Saltcoats Coastal Defence (asset ref. CD 200/433) in 2016. The works included the filling of voids, wall toe protection and concrete repairs along 700m length of wall to prevent water ingress.	N/A.
Flood protection study	G	A study is planned to further investigate the river and coastal	01/06/2016-01/06/2022	The Gogo Water Flood Risk Assessment Update was completed in	N/A

Largs to Stevenston (Potentially Vulnerable Area 12/03)   33

	G	flood risk in Largs and if there is significant interaction between the two. The study will look at updating the existing modelling on the Gogo Water, and further investigate enhancing and extending the existing coastal defences.		2020, the Largs Coastal Flood Risk Appraisal was completed in 2019 the Ayrshire Shoreline Management Plan was completed in 2018. A Natural Flood Management Study for the Gogo Water has been completed.	
Flood protection study	G	A shoreline management plan is recommended, this study is not limited to Potentially Vulnerable Areas but should cover the whole of the Ayrshire coastline and any areas beyond this which may be influenced by changes in coastal processes. The study should investigate flooding and coastal erosion, wave overtopping and the current coastal protection offered. The study will help to develop an understanding of coastal issues and identify where further work may be required to mitigate against flooding.	01/06/2016-01/06/2022	The Ayrshire Shoreline Management Plan was completed and was adopted by both North Ayrshire Council and South Ayrshire Council in September/October 2018.	N/A.
Surface water plan/study	G	An integrated catchment study covering the Stevenston Point catchment will be carried out. This study will help support the surface water management planning	01/06/2016-01/06/2022	The Integrated Catchment Study for Stevenston Point has been completed. Outputs have been shared with local authorities to inform Surface Water Management Plans.	N/A.

Largs to Stevenston (Potentially Vulnerable Area 12/03)   34

		process in Kilwinning, Saltcoats, Ardrossan and Stevenston. The study will improve knowledge and understanding of the interactions between the above ground and below ground drainage network e.g. with the sewer network, watercourses and the sea.			
Surface water plan/study		North Ayrshire Council will develop a surface water management plan or plans to cover Kilwinning, Saltcoats, Ardrossan and Stevenston which set objectives for the management of surface water flood risk and identify the most sustainable actions to achieve the objectives. Scottish Water will provide local knowledge and understanding of the sewer network. This includes Scottish Water corporate data (as applicable) and outputs of the Stevenston Point integrated catchment study and Section 16 modelling, to assist with the surface water management planning process.	01/06/2016-01/06/2022	The Saltcoats, Ardrossan, Stevenston & Kilwinning (SASK) Surface Water Management Plan was completed in 2021.	N/A.

Largs to Stevenston (Potentially Vulnerable Area 12/03)   35

	A	SEPA will seek to develop flood mapping in the Ayr to Ardrossan area to improve understanding of coastal flood risk. The extent and timing of improvements will depend on detailed scoping and data availability. Where this work coincides with local authority studies, SEPA will work collaboratively to ensure consistent modelling approaches are applied. The coastal mapping and modelling process will start in 2016, with early work focussing on methodology development and data collection. Once this stage has been completed a thorough review will be carried out to identify the final mapping improvements that can be made in the area.	22/12/2015-22/06/2022	Work completed to date includes the production of key data sets including extreme water levels and offshore wave and wind conditions to support future coastal modelling work.	SEPA will complete a review of coastal flood hazard mapping in south west Scotland including in this area. This includes identifying where taking account of the impact of waves on flooding from the sea may be required. SEPA will collect the required coastal defence asset and other information necessary to progress with improved flood modelling and mapping in the highest priority areas taking account of wave overtopping where required. SEPA will look for opportunities to progress future modelling work in a way that best supports improvements to SEPA's Coastal Flood Warning Schemes. Expected to progress to the next stage around the middle of cycle 2 and complete early in the following cycle, subject to funding.
Strategic mapping and modelling					
Strategic mapping and modelling - Section 16 assessment		Scottish Water will undertake further investigation and modelling in the Three Town sewer catchment to improve knowledge and	01/01/2018-31/12/2020	The Scottish Water assessment of flood risk within the sewer catchment has been completed.	N/A.

Largs to Stevenston (Potentially Vulnerable Area 12/03)   36

	G	understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.			
Maintain flood protection scheme*	G	Largs Flood Protection Scheme was constructed in 2002 and consists of a concrete seawall from Old Fish Quay to Gogo Water. This scheme built to provide protection to the area up to a 200-year flood. The Gogo Street Flood Protection Scheme was completed in 2013.	01/06/2016-01/06/2022	The Largs coastal flood defence structures were inspected on an annual basis throughout the 1st Local Flood Risk Management Plan cycle and were subject to a principal inspection every three years. Other flood risk management assets were inspected in accordance with the inspection schedule published by North Ayrshire Council.	N/A.
Maintain flood protection scheme*	G	Saltcoats Flood Protection Scheme was constructed in 2006 and consists of breakwaters, seawalls and flood banks at Outer Nebbock. This scheme provides protection to the area up to a 200-year flood.	01/06/2016-01/06/2022	The Saltcoats flood defences were either inspected on an annual basis throughout the 1st Local Flood Risk Management Plan cycle and were subject to a principal inspection every three years or were inspected in accordance with the inspection schedule published by North Ayrshire Council.	N/A.
Maintain flood warning Largs Fort Street, Largs Seafront and Saltcoats Harbour	G	SEPA will continue to maintain the Largs Fort Street, Largs Seafront and Saltcoats Harbour flood warning areas, which are part of the Firth of	22/12/2015-22/06/2022	SEPA has continued to operate the flood warning service.	N/A.

Largs to Stevenston (Potentially Vulnerable Area 12/03)   37

flood warning areas		Clyde coastal flood warning scheme. When flood events occur in an area with a flood warning service, SEPA will seek to verify and validate the warning service. SEPA will use feedback and post-event data to ensure that our flood warning service is timely and accurate.			
Flood forecasting	G	The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2 Responders. The service also provides information which allows SEPA to issue flood warnings, giving people a better chance of reducing the impact of flooding on their home or business. For more information please visit SEPA's website.	22/12/2015- 22/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for	N/A.

Largs to Stevenston (Potentially Vulnerable Area 12/03)   38

				developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how	01/04/2016-22/06/2022	North Ayrshire Council raised awareness about flood risk via a separate action noted for this PVA. Specific awareness raising about flood risk matters was achieved when the Council's flooding team responded to reported flood incidents, enquiries from prospective developers & flood risk consultants and when responding to planning application consultations.	N/A.

Largs to Stevenston (Potentially Vulnerable Area 12/03)

		those affected can be better prepared. Further detail can be found in the Councils and Scottish Flood Forum websites.			
Community flood action groups	G	Although not part of a community flood action group the public take an active interest in flooding issues within Largs and inform the Council about debris in the watercourse. North Ayrshire Council will liaise with the group through Community Council meetings and directly to the public.	01/06/2016-22/06/2022	North Ayrshire Council engaged with responsible authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared.	N/A.
Maintenance	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets	01/06/2016-01/06/2022	North Ayrshire Council inspected trash screens, watercourses and coastal flood protection structures in accordance with the published inspection programme throughout the 1st Local Flood Risk Management Plan cycle.	N/A.

Largs to Stevenston (Potentially Vulnerable Area 12/03)   40

	G	including those which help to reduce flood risk.			
Emergency plans/response	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.	01/06/2016-01/06/2022	North Ayrshire Council commissioned emergency plans, aimed at Category 1 and 2 responders, for population centres within North Ayrshire that have a notable flood risk. These plans were completed in September 2020.	N/A.
Planning policies	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management	

Largs to Stevenston (Potentially Vulnerable Area 12/03)   41

development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.

and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach.

North Ayrshire Council completed a Strategic Flood Risk Assessment for LDP2 in May 2018. In addition, the Ayrshire Shoreline Management Plan (SMP), which prompts land use, policy

Largs to Stevenston (Potentially Vulnerable Area 12/03)

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			changes and further studies to allow physical protective measures to take place in the future was adopted by North Ayrshire Council and South Ayrshire Council in September 2018. National Planning Framework 4 is expected to be adopted by the Scottish Parliament later in 2022 and will become part of the Development Plan, ensuring national planning policies on flooding are applied in local decision making.	

Largs to Stevenston (Potentially Vulnerable Area 12/03)   43

4.4 Upper Garnock Catchment (Potentially Vulnerable Area 12/04)

Local Plan District	Local authority	Main catchment
Ayrshire	North Ayrshire Council, Renfrewshire Council	River Garnock Catchment
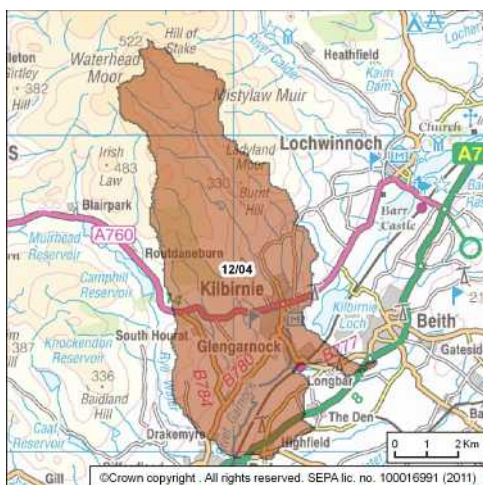
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Summary of Progress for Upper Garnock Catchment

There are approximately 810 residential properties at risk of flooding. The Annual Average Damages are approximately £790,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/04, please click here.

Key progress has been made with the Upper Garnock Flood Protection Scheme, which is under construction and is projected to be completed by Autumn 2022. The scheme includes the creation of a dam and upstream reservoir north of Kilbirnie and some limited flood walls throughout Glengarnock and Dalry that will protect over 200 properties and businesses in the Garnock Valley.

Overview of actions to manage flooding in Upper Garnock Catchment

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/04	A		G		G		G				G			G	G	G	G	G

Summary of progress of actions to manage flood risk in the Upper Garnock Catchment (PVA 12/04)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Flood protection scheme/works	A	North Ayrshire Council are progressing work on the proposed flood protection scheme on the upper River Garnock. The Outline design of the Upper Garnock Flood Protection Scheme and notification period completed in October 2015. A total of five objections were received during this period and the Council is currently trying to resolve these objections with the individuals before making a decision to confirm the scheme either with or without an unresolved objection.	01/06/2016-01/06/2022	North Ayrshire Council confirmed the Upper Garnock Flood Protection Scheme on the 2nd of October 2018. The detailed design was completed and construction of the scheme began in August 2020. Construction work is ongoing and is due to be completed in 2022.	The Upper Garnock Flood Protection Scheme is under construction, which will be completed in the early part of 2nd Local Flood Risk Management Plan cycle (2022-2028).
New flood warning River Garnock	G	SEPA will continue with the development and implementation of a flood warning scheme on the River Garnock. Detail of communities that will benefit from the warnings will be determined during scheme development.	22/12/2015-31/12/2016	SEPA has continued to operate the flood warning service since it was completed earlier in the FRM cycle.	N/A.

Natural Flood Management Study	G	Further investigations will be undertaken which will focus on the potential benefits of natural flood management, including runoff control and sediment, to the tributaries of the River Garnock, and how these combined actions may reduce flood risk on the River Garnock.	01/06/2016-01/06/2022	The Upper Garnock Natural Flood Management Study was completed in 2020.	N/A.
Strategic mapping and modelling	G	Scottish Water will undertake further investigation and modelling in the Stevenson Point sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 if the Flood Risk Management (Scotland) Act 2009.	01/01/16-31/12/2020	The Scottish Water assessment of flood risk within the sewer catchment has been completed.	The assessment is now completed and has been shared with Local Authority.
Flood forecasting	G	SEPA will continue with the development and implementation of a flood warning scheme on the River Garnock. Detail of communities that will benefit from the warnings will be determined during scheme development.	22/12/2015-22/12/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better	N/A

Upper Garnock Catchment (Potentially Vulnerable Area 12/04)   46

			and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and	01/04/2016-22/06/2022	North Ayrshire Council raised awareness about flood risk via a separate action noted for this PVA. Specific awareness raising about flood risk matters was achieved when the Council's	N/A.

Upper Garnock Catchment (Potentially Vulnerable Area 12/04)   47

		businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be found in the Councils and Scottish Flood Forum websites.		flooding team responded to reported flood incidents, enquiries from prospective developers & flood risk consultants and when responding to planning application consultations.	
Awareness raising	G	North Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Through the continued development of flood schemes and studies at higher risk locations, officers from the Council's Flood Risk Management Team attend community council events to discuss elements of flood risk management. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These resources will include	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19. North Ayrshire Council's general awareness raising was a	N/A

Upper Garnock Catchment (Potentially Vulnerable Area 12/04)   48

		awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the public on large capital projects and detailed local studies.		continuous activity via updates to the Council's website. Supporting Local Flood Emergency Groups was an occasional activity in the Upper Garnock PVA. Project related public consultations affecting the Upper Garnock PVA were carried out.	
Maintenance	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk-based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets including those which help to reduce flood risk.	01/06/2016-01/06/2022	North Ayrshire Council inspected trash screens, watercourses and coastal flood protection structures in accordance with the published inspection programme throughout the 1st Local Flood Risk Management Plan cycle.	N/A.
Emergency plans/response	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities,	01/06/2016-01/06/2022	North Ayrshire Council commissioned emergency plans, aimed at Category 1 and 2	N/A.

Upper Garnock Catchment (Potentially Vulnerable Area 12/04)   49

		the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.		responders, for population centres within North Ayrshire that have a notable flood risk. These plans were completed in September 2020.	
Planning policies	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high	N/A

Upper Garnock Catchment (Potentially Vulnerable Area 12/04)   50

	long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.		risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach.

North Ayrshire Council completed a Strategic Flood Risk Assessment for LDP2 in May 2018.

National Planning Framework 4 is expected to be adopted by the Scottish Parliament later in 2022 and will become part of the | |

Upper Garnock Catchment (Potentially Vulnerable Area 12/04)   51

			Development Plan, ensuring national planning policies on flooding are applied in local decision making.	

4.5 Kilwinning (Potentially Vulnerable Area 12/05)

Local Plan District	Local authority	Main catchment
Ayrshire	North Ayrshire Council	River Garnock

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Summary of Progress for Kilwinning

There are approximately 170 residential properties at risk of flooding. The Annual Average Damages is approximately £400,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/05, please click here.

Key progress has been made with the completion of the Stevenston Point Integrated Catchment Study and the Saltcoats, Ardrossan, Stevenston & Kilwinning (SASK) Surface Water Management Plan.

Overview of actions to manage flooding in Kilwinning

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/05			G	G		G	G				G			G	G	G	G	G

Kilwinning (Potentially Vulnerable Area 12/05)

53

Summary of progress of actions to manage flood risk in the Kilwinning (PVA 12/05)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
New flood warning	G	SEPA will continue with the development and implementation of a flood warning scheme on the River Garnock. Detail of communities that will benefit from the warnings will be determined during scheme development. Once implemented SEPA will continue to maintain the flood warning scheme. When flood events occur in an area with a flood warning service, SEPA will seek to verify and validate the warning service. SEPA will use feedback and post-event data to ensure that our flood warning service is timely and accurate.	22/12/2015-22/06/2022	SEPA has continued to operate the flood warning service since it was completed earlier in the FRM cycle.	N/A.
Surface water plan/study		An integrated catchment study covering the Meadowhead catchment was carried out in SR10 2010-2015 to support the surface	22/12/2015-31/12/2021	The Meadowhead ICS has been completed. No areas within this PVA were included to be taken forwards for	N/A.

Kilwinning (Potentially Vulnerable Area 12/05) 54

		water management planning process in Kilmarnock, Greenholme, Irvine, Prestwick and Ayr. The study will improve knowledge and understanding of the interactions between the above ground and below ground drainage network e.g. with the sewer network, watercourses and the sea.		optioneering as priority areas under the ICS.	
Surface water plan/study	G	North Ayrshire Council will develop a surface water management plan or plans to cover Irvine and Kilwinning which set objectives for the management of surface water flood risk and identify the most sustainable actions to achieve the objectives.	01/06/2016-01/06/2022	The Irvine surface water management plan was completed in 2020 and the Saltcoats, Ardrossan, Stevenston & Kilwinning (SASK) Surface Water Management Plan was completed in 2021.	N/A.
Surface water plan/study	G	An integrated catchment study covering the Stevenston Point catchment will be carried out to support the surface water management planning process in Kilwinning, Saltcoats, Ardrossan and Stevenston. The study will improve knowledge and understanding of the interactions between the above ground and below ground drainage	01/06/2016-01/06/2022	The Integrated Catchment Study for Stevenston Point has been completed. Outputs have been shared with local authorities to inform Surface Water Management Plans.	N/A

Kilwinning (Potentially Vulnerable Area 12/05)   55

	G	network e.g. with the sewer network, watercourses and the sea.			
Surface water plan/study	G	North Ayrshire Council will develop a surface water management plan or plans to cover Kilwinning, Saltcoats, Ardrossan and Stevenston which set objectives for the management of surface water flood risk and identify the most sustainable actions to achieve the objectives. Scottish Water will provide local knowledge and understanding of the sewer network. This includes Scottish Water corporate data (as applicable) and outputs of the Stevenston Point integrated catchment study and Section 16 modelling, to assist with the surface water management planning process.	01/06/2016-01/06/2022	The Saltcoats, Ardrossan, Stevenston & Kilwinning (SASK) Surface Water Management Plan was completed in 2021.	N/A.
Strategic mapping and modelling - Section 16 assessment	G	Scottish Water will undertake further investigation and modelling in the Three Town sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of	01/01/2016-31/12/2020	The Scottish Water assessment of flood risk within the sewer catchment has been completed.	The assessment is now completed and has been shared with the Local Authority.

Kilwinning (Potentially Vulnerable Area 12/05) 56

		the Flood Risk Management (Scotland) Act 2009.			
Flood forecasting	G	SEPA has continued to operate the Scottish Flood Forecasting Service (SFFS) Partnership with the Met Office with daily, national flood guidance statements issued to Category 1 and 2 agencies (such as emergency responders, local authorities and other organisations with flooding management duties). Each daily statement gives an assessment of the risk of flooding for the next five days to help enable these organisations to put preparations in place to reduce the impact of flooding. SEPA's Flood Alert service is freely available to everyone and helps enable communities to be aware and prepared to reduce the impacts of flooding.	22/12/2015-22/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this	N/A

Kilwinning (Potentially Vulnerable Area 12/05)   *57*

	G			service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be found in the Councils and Scottish Flood Forum websites.	01/04/2016-22/06/2022	North Ayrshire Council raised awareness about flood risk via a separate action noted for this PVA. Specific awareness raising about flood risk matters was achieved when the Council's flooding team responded to reported flood incidents, enquiries from prospective developers & flood risk consultants and when responding to planning application consultations.	N/A.
Self help					
Awareness raising	G	North Ayrshire Council, SEPA and Scottish Water collectively work to	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its	N/A.

		raise awareness of flood risk and how those affected can be better prepared. Through the continued development of flood schemes and studies at higher risk locations, officers from the Council's Flood Risk Management Team attend community council events to discuss elements of flood risk management. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the public on large capital projects and detailed local studies.		flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19. North Ayrshire Council raised awareness about flood risk matters by updating the Council's website and by supporting Local Flood Emergency Groups.	
Maintenance	G	Local authorities have a duty to assess watercourses and carry out	01/06/2016-01/06/2022	North Ayrshire Council inspected trash screens, watercourses and coastal	N/A.

Kilwinning (Potentially Vulnerable Area 12/05)   *59*

		clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets including those which help to reduce flood risk.		flood protection structures in accordance with the published inspection programme throughout the 1st Local Flood Risk Management Plan cycle.	
Emergency plans/response	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local	01/06/2016-01/06/2022	North Ayrshire Council commissioned emergency plans, aimed at Category 1 and 2 responders, for population centres within North Ayrshire that have a notable flood risk. These plans were completed in September 2020.	N/A.

Kilwinning (Potentially Vulnerable Area 12/05)

60

		resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.			
Planning policies	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to	N/A

Kilwinning (Potentially Vulnerable Area 12/05)

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| | | | | exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach.

North Ayrshire Council completed a Strategic Flood Risk Assessment for LDP2 in May 2018.

National Planning Framework 4 is expected to be adopted by the Scottish Parliament later in 2022 and will become part of the Development Plan, ensuring national planning policies on flooding are applied in local decision making. | |

Kilwinning (Potentially Vulnerable Area 12/05)

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4.6 River Irvine and Annick Water (Potentially Vulnerable Area 12/06)

Local Plan District	Local authority	Main catchment
Ayrshire	East Ayrshire Council, East Renfrewshire Council, North Ayrshire Council, South Ayrshire Council,	River Irvine
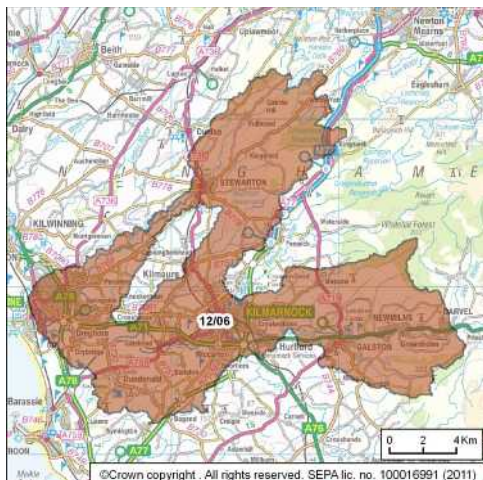
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SEPA (December 2015).

Summary of Progress for River Irvine and Annick Water

There are approximately 2,900 residential properties at risk of flooding. The Annual Average Damages are approximately £7.1 million. Further information can be found in the Ayrshire Local FRMP under PVA 12/06, please click here.

Key progress has been made with the completion of the Upper and Lower Irvine Valley Flood Protection Studies, including option appraisal.

The River Irvine Catchment has been exposed to a number of significant recent weather events during Storm Edmund and Storm Frank in 2016.

Overview of actions to manage flooding in River Irvine and Annick Water

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/06			G	G		G	G	A	G	G	G		G	G	G	G	G	G

River Irvine and Annick Water (Potentially Vulnerable Area 12/06)   63

Summary of progress of actions to manage flood risk in the River Irvine and Annick Water (PVA 12/06)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
New Flood Warning Newmilns, Galston, Kilmarnock, Irvine and Stewarton	G	The scope of a new flood warning for the River Irvine is currently being examined. The area under consideration for a new flood warning includes properties in Newmilns affected by flooding from the River Irvine. The risk to Galston will be reviewed using the councils new flood study for the River Irvine. This could impact on the potential for provision of warnings at Galston. For areas where the risk is from the Irvine an update to the flood forecasting system will be required. Another area under consideration includes properties in Kilmarnock affected by flooding from the Kilmarnock Water and River Irvine. An update to the existing flood forecasting system will be required to deliver flood warning in this	20/03/2016 - 19/06/2020	The River Irvine flood forecasting system has been updated in Kilmarnock to include an operational warning at Burnside and a new flood warning area on the Kilmarnock Water in Kilmarnock and continues to cover the Queens drive, New Mill Road and Samson Avenue area. A new flood warning service for the Annick Water has been completed, with three new flood warning areas provided for Stewarton, Perceton and the Annick Water in Irvine. New flood warning areas have also been provided for Shewalton and Springbank industrial estates, as well as updating the Low Green (previously waterside) flood warning area.	N/A.

River Irvine and Annick Water (Potentially Vulnerable Area 12/06)   64

		location. Flood warning is also required for properties mainly in Irvine and Stewarton affected by flooding from the Annick Water. Full scoping, infrastructure and a flood forecasting system will be required to develop a new flood warning scheme in this area.			
Flood protection study	G	Upper Irvine Valley Flood Study and option appraisal	01/06/2016-01/06/2022	The Upper River Irvine Valley Flood Study including fluvial modelling is complete. The option appraisal is complete and a Scheme was submitted for prioritisation in December 2018. The submitted scheme offeres a 1:100 year level of protection and was valued at £27M at time of submission.	Awaiting outcome of Scottish Government Prioritisation of Flood Schemes and Funding Review.
Surface water plan/study		An integrated catchment study covering the Meadowhead catchment was carried out in SR10 (2010-2015). This study will help to support the surface water management planning process in	01/06/2016-01/06/2022	Pre Optioneering Catchment Plan and prioritisation stages completed. The Optioneering Phase was completed. The implementation of the findings will be considered in	N/A.

River Irvine and Annick Water (Potentially Vulnerable Area 12/06)   65

		Kilmarnock, Greenholm, Irvine, Prestwick and Ayr. The study has improved knowledge and understanding of flood risk and interactions between the above ground and below ground drainage network e.g. with the sewer network and watercourses. The Optioneering phase of this study, to establish the preferred solution(s) to the flooding issues, is now being progressed.		coordination with Scottish Water in the next cycle of FRM Plan.	
Surface water plan/study	G	North and East Ayrshire Council will develop a surface water management plan or plans to cover Irvine and Kilmarnock which set objectives for the management of surface water flood risk and identify the most sustainable actions to achieve the objectives.	01/06/2016-01/06/2022	The Irvine Surface Water Management Plan was completed in 2020. The report was issued to Scottish Water and SEPA. Most issues are for either Scottish Water or East Ayrshire Council and both authorities will action as appropriate.	N/A.
Strategic mapping and modelling River Irvine mapping improvements	G	SEPA will work with East Ayrshire Council to improve the understanding of flood risk along the River Irvine. The Council are leading on the production of the River Irvine modelling with SEPA providing	01/01/2016-31/12/2020	Action complete. Updated river flood hazard mapping for the River Irvine was published on the SEPA website in November 2020.	N/A

River Irvine and Annick Water (Potentially Vulnerable Area 12/06) 66

		advice and reviewing information during the process. SEPA will update strategic surface water mapping in some parts of this catchment to improve understanding of flood risk. The inclusion of additional surface water hazard data resulting from the completion of local authority surface water management plans will be considered as these projects are completed.			
Strategic mapping and modelling Pluvial mapping update	A	SEPA will update strategic surface water mapping in some parts of this catchment to improve understanding of flood risk. The inclusion of additional surface water hazard data resulting from the completion of local authority surface water management plans will be considered as these projects are completed.	01/01/2016-31/12/2020	SEPA's current Surface water hazard maps use design rainfall estimates based on FEH99 methodology, this has now been superseded by FEH22 methodology. The FEH22 dataset contains the latest science and understanding of rainfall across Scotland and represents a significant change in rainfall amounts compared to FEH99 dataset, as such it is no longer consider appropriate to deliver this action as originally intended. This action will not be taken forwards as described. A major national update of the surface water maps is underway	The national surface water flooding modelling project will be completed in 2023. The outputs from this will be used to update SEPA maps early in cycle 2 and will inform SEPA's flood risk assessments for the next flood risk management cycle.

River Irvine and Annick Water (Potentially Vulnerable Area 12/06)   67

				which will deliver updated surface water flooding maps for Scotland representing the latest scientific understanding.	
Strategic mapping and modelling Section 16 Assessment		Scottish Water will undertake further investigation and modelling in the Meadowhead Point sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.	01/01/2016-31/12/2020	The Meadowhead ICS has been completed. No areas within this PVA were included to be taken forwards for optioneering as priority areas under the ICS.	N/A
Maintain flood protection scheme*	G	The Kilmarnock Flood Protection Scheme was designed to mitigate flooding from the River Irvine in the Riccarton and Crookedholm areas of Kilmarnock. The scheme has a standard of protection of 100 years. The schemes currently constructed form two main types: Walled structures maintained under the Annual Flap valve and Penstock Maintenance Contract; and earth embankments maintained by Panel engineers and supported by the annual grass cutting contract (to allow inspection).	01/06/2016-01/06/2022	East Ayrshire Council continues to carry out its maintenance contracts. The Council will continue to inspect and maintain the flood protection structures within the catchment.	N/A.

River Irvine and Annick Water (Potentially Vulnerable Area 12/06)   68

		Defences along the banks of the Irvine River protect properties in the Waterside up to a 20 year flood. North Ayrshire Council will continue to inspect and maintain the River Irvine flood defences at Waterside, which will continue to manage flooding according to the design standard at the time of construction. Given the relatively minor nature of the structures, the inspection works will be scheduled as part of the Council`s duties in accordance with Sections 18 of the Flood Risk Management (Scotland) Act 2009. In 2014 the River embankment stabilisation was carried out, and recently the surface water outfall valves were inspected and proposed to be lowered/replaced as part of the surface water flood mitigation effort for the area. If the defences remain the same, levels of flood risk are likely to increase over time as a consequence of climate change.	01/06/2016-01/06/2022	The flood defences at Waterside, Irvine were inspected by North Ayrshire Council in accordance with the Council's published inspection schedule.	N/A.
Maintain flood protection scheme*	G				
Maintain flood warning	G	SEPA will continue to maintain the Irvine Waterside/Low Green flood	22/12/2015-22/06/2022	The River Irvine flood forecasting system has been updated in	N/A

River Irvine and Annick Water (Potentially Vulnerable Area 12/06)　69

Irvine Waterside/Low Green flood warning areas in Irvine and the Queen's Drive, New Mill Road and Samson Avenue flood warning areas in Kilmarnock		warning area in Irvine and the Queen's Drive, New Mill Road and Samson Avenue flood warning areas in Kilmarnock which are part of the Irvine river flood warning scheme. When flood events occur in an area with a flood warning service, SEPA will seek to verify and validate the warning service. SEPA will use feedback and post-event data to ensure that our flood warning service is timely and accurate.		Kilmarnock to include an operational warning at Burnside and a new flood warning area on the Kilmarnock Water in Kilmarnock and continues to cover the Queens Drive, New Mill Road and Samson Avenue area. A new flood warning service for the Annick Water has been completed, with three new flood warning areas provided for Stewarton, Perceton and the Annick Water in Irvine. New flood warning areas have also been provided for Shewalton and Springbank industrial estates, as well as updating the Low Green (previously waterside) flood warning area.	
Flood forecasting	G	The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2 Responders. The service also provides information which allows SEPA to issue flood warnings,	22/12/2015-22/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily	N/A

River Irvine and Annick Water (Potentially Vulnerable Area 12/06)   70

		giving people a better chance of reducing the impact of flooding on their home or business. For more information please visit SEPA's website.		Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Community flood action groups	G	Although not part of a community flood action group the public take an active interest in flooding issues within Galston and inform the Council about debris in the watercourse. East Ayrshire Council	01/06/2016-22/06/2022	East Ayrshire Council, SEPA and Scottish Water will continue to engage with responsible authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how	N/A.

River Irvine and Annick Water (Potentially Vulnerable Area 12/06)   71

		will liaise with the group through Community Council meetings and directly to the public.		those affected can be better prepared. EAC will continue the ongoing support for the Community Flood Group.	
	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be found in the Councils and Scottish Flood Forum websites.	01/04/2016-22/06/2022	North Ayrshire Council and East Ayrshire Council raised awareness about flood risk via a separate action noted for this PVA. Specific awareness raising about flood risk matters was achieved when the Councils' flooding teams responded to reported flood incidents, enquiries from prospective developers & flood risk consultants and when responding to planning application consultations.	N/A.
Self help					
Awareness raising	G	North Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including	N/A.

River Irvine and Annick Water (Potentially Vulnerable Area 12/06)   72

Awareness raising		prepared. Through the continued development of flood schemes and studies at higher risk locations, officers from the Council's Flood Risk Management Team attend community council events to discuss elements of flood risk management. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the public on large capital projects and detailed local studies. Further Information is provided on North Ayrshire Council, SEPA, Scottish Water websites.		school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19. North Ayrshire Council raised awareness about flood risk matters by updating the Council's website and by supporting Local Flood Emergency Groups.	

River Irvine and Annick Water (Potentially Vulnerable Area 12/06)   73

	G	East Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the public on large capital projects and detailed local studies. Further Information is provided on East Ayrshire Council, SEPA, Scottish Water and Ayrshire Road Alliance websites.	01/04/2016-22/06/2022	East Ayrshire Council and SEPA has delivered a range of awareness raising activities through campaigning, education activities and partnership delivery. We have run national and local digital and direct engagement campaigns to raise awareness of flood risk and SEPA's flood warning service, Floodline. We publish and publicise an electronic newsletter (Flooding Gateway) four times a year which is distributed to a wide audience. SEPA are working with Education Scotland and Scottish Government Resilience team to embed flooding awareness within the Curriculum for Excellence, and resilience partners in Safer Communities programmes. We have also developed an online tool that helps everyone share information on current flooding issues (Report-a-Flood). We have worked in partnership with local authorities, emergency services and community organisations (e.g. Neighbourhood Watch Scotland, Citizens Advice Scotland and others) to share our resources and help to	East Ayrshire Council and SEPA will continue to raise awareness of flood risk through campaigning, developing education and engagement tools, creating new partnerships and improving the flood warning and forecasting service. Many of our awareness raising activities currently underway will continue. Our focus will be on promoting flood warning and forecasting service, innovation, education and engagement with partners, customers and the public.
Awareness raising				

River Irvine and Annick Water (Potentially Vulnerable Area 12/06)   74

	G			promote preparedness and understanding of how we manage flood risk in Scotland. We have actively supported the Scottish Flood Forum and worked closely with UK agencies to develop joint flooding information.	
Maintenance	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets including those which help to reduce flood risk.	01/06/2016-01/06/2022	North Ayrshire Council inspected trash screens, watercourses and coastal flood protection structures in accordance with the published inspection programme throughout the 1st Local Flood Risk Management Plan cycle.	N/A.
Maintenance	G	East Ayrshire Council in accordance with Section 18 of the FR Scotland Act 2009 undertake assessment of water bodies to determine whether	01/06/2016-01/06/2022	High risk locations such as those with screens and smaller culverts are inspected in a scheduled basis. The majority of inspections are to be	The Council will continue to inspect and maintain watercourses, screens and other relevant Council assets.

River Irvine and Annick Water (Potentially Vulnerable Area 12/06)   75

	G	works of clearance and repair would substantially reduce risk of flooding. This information is used to produce a schedule of works, which is available for the public to inspect		undertaken in the winter months when flows are higher and water born debris can be an issue.	
Emergency plans/response	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.	01/06/2016-01/06/2022	North Ayrshire Council commissioned emergency plans, aimed at Category 1 and 2 responders, for population centres within North Ayrshire that have a notable flood risk. These plans were completed in September 2020.	N/A.
Planning policies	G	Scottish Planning Policy and accompanying Planning Advice	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to	N/A.

Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.

reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach.

River Irvine and Annick Water (Potentially Vulnerable Area 12/06)   77

| | | | North Ayrshire Council completed a Strategic Flood Risk Assessment for LDP2 in May 2018.

National Planning Framework 4 is expected to be adopted by the Scottish Parliament later in 2022 and will become part of the Development Plan, ensuring national planning policies on flooding are applied in local decision making.

East Ayrshire Council are Planning to update their LDP in 2022 – 23. East Ayrshire Council has prepared and consulted on its Proposed Plan LDP2. As part of the preparation of the Plan, the Council engaged early with SEPA on sites it was considering allocating and took on board comments from SEPA. In addition, The Council has worked extensively with SEPA and the KAG on issues pertaining to flooding in Kilmarnock and has undertaken a series of flood workshops with the Key Agencies. The new proposed plan contains flood | |

			policies reflective of SEPA's stance and of NPF4.	

River Irvine and Annick Water (Potentially Vulnerable Area 12/06)   79

4.6 Irvine to Troon (Potentially Vulnerable Area 12/07)

Local Plan District	Local authority	Main catchment
Ayrshire	North Ayrshire Council, South Ayrshire Council	Monkton to Irvine coastal

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Summary of Progress for Irvine to Troon

There are approximately 1,000 residential properties at risk of flooding. The Annual Average Damages are approximately £1.3 million. Further information can be found in the Ayrshire Local FRMP under PVA 12/07, please click here.

The Ayrshire Shoreline Management Plan was completed and adopted by both North and South Ayrshire Councils in September 2018.The Meadowhead Integrated Catchment Study and the Irvine Surface Water Management Plan were also completed.   Natural flood risk measures in South Ayrshire in the form of sand dune propagation have successfully continued throughout the reporting period.

Overview of actions to manage flooding in Irvine to Troon

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/07		G		G		G	G	A	G	G	G			G	G	G	G	G

Irvine to Troon (Potentially Vulnerable Area 12/07)   80

Summary of progress of actions to manage flood risk in the Irvine to Troon (PVA 12/07)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Natural flood management works	G	South Ayrshire Council are currently undertaking sand dune propagation in Troon, and some of the benefits of these actions are to help reduce the risk of coastal erosion and flooding. It is recommended that this should continue.	22/12/2015-22/06/2022	This work continues to be carried out on an annual basis.	The Council will continue to undertake sand dune propagation.
Flood protection study	G	A shoreline management plan is recommended, this study is not limited to Potentially Vulnerable Areas but should cover the whole of the Ayrshire coastline and any areas beyond this which may be influenced by changes in coastal processes. The study should investigate flooding and coastal erosion, wave overtopping and the current coastal protection offered. The study will help to develop an understanding of coastal issues and identify where further work may be required to mitigate against flooding.	01/06/2016-01/06/2022	The Ayrshire Shoreline Management Plan was completed and was adopted by both North Ayrshire Council and South Ayrshire Council in September/October 2018.	N/A.

Irvine to Troon (Potentially Vulnerable Area 12/07)   81

Surface Water Management Plan	G	An integrated catchment study covering the Meadowhead catchment was carried out in SR10 (2010-2015). This study will help to support the surface water management planning process in Kilmarnock, Greenholm, Irvine, Prestwick and Ayr. The study has improved knowledge and understanding of flood risk and interactions between the above ground and below ground drainage network e.g. with the sewer network and watercourses. The Optioneering phase of this study, to establish the preferred solution(s) to the flooding issues, is now being progressed.	01/06/2016-01/06/2022	The Meadowhead ICS has been completed. No areas of this PVA were included to be taken forwards for optioneering as priority areas under the ICS.	N/A.
Surface water plan/study	G	North Ayrshire Council will develop a surface water management plan or plans to cover Irvine town which set objectives for the management of surface water flood risk and identify the most sustainable actions to achieve the objectives.	01/06/2016-01/06/2022	The Irvine Surface Water Management Plan was completed in 2020.	N/A.
	A	SEPA will seek to develop flood mapping in the Ayr to Ardrossan	22/12/2016 – 01/06/2022	Work completed to date includes the production of key data sets	SEPA will complete a review of coastal flood hazard mapping in

Irvine to Troon (Potentially Vulnerable Area 12/07)   82

		area to improve understanding of coastal flood risk. The extent and timing of improvements will depend on detailed scoping and data availability. The coastal mapping and modelling process will start in 2016, with early work focussing on methodology development and data collection. Once this stage has been completed a thorough review will be carried out to identify the final mapping improvements that can be made in the area. Where this work coincides with local authority studies, SEPA will work collaboratively to ensure consistent modelling approaches are applied.		including extreme water levels and offshore wave and wind conditions to support future coastal modelling work.	south west Scotland including in this area. This includes identifying where taking account of the impact of waves on flooding from the sea may be required. SEPA will collect the required coastal defence asset and other information necessary to progress with improved flood modelling and mapping in the highest priority areas taking account of wave overtopping where required. SEPA will look for opportunities to progress future modelling work in a way that best supports improvements to SEPA's Coastal Flood Warning Schemes. Expected to progress to the next stage around the middle of cycle 2 and complete early in the following cycle, subject to funding.
Strategic mapping and modelling					
Strategic mapping and modelling- Section 16 assessment		Scottish Water will undertake further investigation and modelling in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of	01/01/2016-31/12/2020	The Meadowhead ICS has been completed. No areas within this PVA were included to be taken forwards for optioneering as priority areas under the ICS.	N/A.

Irvine to Troon (Potentially Vulnerable Area 12/07)   83

		the Flood Risk Management (Scotland) Act 2009.			
Maintain flood protection scheme*	G	In Troon there are sections of seawalls, rock armour and gabion mattresses running from the golf club to the harbour and north of the harbour to Beach Road. These defences offer some level of protection to the properties in this area. These defences will be maintained and will continue to manage flooding according to the design standard at the time of construction.	01/06/2016-01/06/2022	This work continues to be carried out on an annual basis. South Ayrshire Council will continue to inspect and maintain the flood protection structures within the catchment.	N/A.
Maintain flood warning Troon Coastal, Troon Central and Prestwick Links Road flood warning areas	G	SEPA will continue to maintain the Troon Coastal, Troon Central and Prestwick Links Road flood warning areas which are part of the Firth of Clyde coastal flood warning scheme. When flood events occur in an area with a flood warning service, SEPA will seek to verify and validate the warning service. SEPA will use feedback and post-event data to ensure that our flood warning service is timely and accurate.	22/12/2015-22/06/2022	SEPA has continued to operate the flood warning service.	N/A

Irvine to Troon (Potentially Vulnerable Area 12/07)   84

Flood forecasting	G	The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2 Responders. The service also provides information which allows SEPA to issue flood warnings, giving people a better chance of reducing the impact of flooding on their home or business. For more information please visit SEPA's website.	22/12/2015-22/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport	N/A

Irvine to Troon (Potentially Vulnerable Area 12/07)   85

				network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be	01/04/2016- 22/06/2022	North Ayrshire Council and South Ayrshire Council raised awareness about flood risk via a separate action noted for this PVA. Specific awareness raising about flood risk matters was achieved when the Councils' flooding team responded to reported flood incidents, enquiries from prospective developers & flood risk consultants and when responding to planning application consultations.	N/A.

Irvine to Troon (Potentially Vulnerable Area 12/07)   86

	G	found in the Councils and Scottish Flood Forum websites.			
Awareness raising	G	North Ayrshire Council, South Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Through the continued development of flood schemes and studies at higher risk locations, officers from the Council's Flood Risk Management Team attend community council events to discuss elements of flood risk management. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19.

North Ayrshire Council raised awareness about flood risk matters by updating the Council's website and by supporting Local Flood Emergency Groups.

Awareness raising is a continuous activity for South Ayrshire Council which is actioned by updating the Council's website, working with partners and engagement with | N/A. |

	G	supplying targeted information to the public on large capital projects and detailed local studies.		relevant stakeholders as appropriate.	
	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk-based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets including those which help to reduce flood risk.	01/06/2016-01/06/2022	North Ayrshire Council inspected trash screens, watercourses and coastal flood protection structures in accordance with the published inspection programme throughout the 1st Local Flood Risk Management Plan cycle. South Ayrshire Council carry out monthly inspections and clearance work where necessary on 17 debris screens where there is a known flood risk from blockage. Watercourse inspections are carried out on a regular basis where there are known flood risk issues. 25km of coastal protection structures are inspected annually.	N/A.
Maintenance General					
Maintain flood Protection Schemes	G	In Troon there are sections of seawalls, rock armour and gabion mattresses running from the golf club to the harbour and north of the	01/06/2016-01/06/2022	This work continues to be carried out on an annual basis.	N/A.

Irvine to Troon (Potentially Vulnerable Area 12/07)   88

	G	harbour to Beach Road. These defences offer some level of protection to the properties in this area. These defences will be maintained and will continue to manage flooding according to the design standard at the time of construction.		The Council will continue to inspect and maintain the flood protection structures within the catchment.	
Emergency plans/response	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be	01/06/2016-01/06/2022	North Ayrshire Council commissioned emergency plans, aimed at Category 1 and 2 responders, for population centres within North Ayrshire that have a notable flood risk. These plans were completed in September 2020.\n\nThe Ayrshire Civil Contingency Team has developed emergency plans for major flooding incidents in the South Ayrshire Council area in partnership with Category 1 and 2 responders.	N/A.

Irvine to Troon (Potentially Vulnerable Area 12/07)　　89

	G	supported by the work of voluntary organisations.			
Planning policies	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our	N/A.

Irvine to Troon (Potentially Vulnerable Area 12/07)

90

			planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach. North Ayrshire Council completed a Strategic Flood Risk Assessment for LDP2 in May 2018. In addition, the Ayrshire Shoreline Management Plan (SMP), which prompts land use, policy changes and further studies to allow physical protective measures to take place in the future was adopted by North Ayrshire Council and South Ayrshire Council in September 2018. National Planning Framework 4 is expected to be adopted by the Scottish Parliament later in 2022 and will become part of the Development Plan, ensuring	

Irvine to Troon (Potentially Vulnerable Area 12/07)   91

			national planning policies on flooding are applied in local decision making. The South Ayrshire Council Local Development Plan recognises the importance of sustainable flood risk management in both urban and rural developments and is in alignment with Scottish Planning Policy. The Local Development Plan was published in February 2022.	

4.8 Isle of Arran (Potentially Vulnerable Area 12/08)

Local Plan District	Local authority	Main catchment
Ayrshire	North Ayrshire Council	Brodick to Kilmory – Arran coastal

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SEPA (December 2015).

Summary of Progress for Isle of Arran

There are approximately 120 residential properties at risk of flooding. The Annual Average Damages are approximately £390,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/08, please click here.

Key progress has been made with the completion of the Ayrshire Shoreline Management Plan and the completion of the flood study at Brodick and Lamlash. The design of the Brodick Flood Protection Scheme, which also includes measures in Lamlash is an action in the published Cycle 2 Flood Risk Management Plan .

Overview of actions to manage flooding in Isle of Arran

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/08				G					G	G	G			G	G	G	G	G

Isle of Arran (Potentially Vulnerable Area 12/08)

93

Summary of progress of actions to manage flood risk in the Isle of Arran (PVA 12/08)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Flood protection study	G	A study will be undertaken to further investigate river flood risk combined with coastal flood risk to Brodick and Lamlash. This study should build on the work within the shoreline management plan to provide a detailed investigation of the current and future risk. The study should examine the most sustainable combination of actions to manage flooding.	01/04/2018-13/03/2020	The study identified a preferred option for the Brodick Flood Protection Scheme, which includes measures in the neighbouring village of Lamlash.

The design of the Brodick Flood Protection Scheme is an action identified in the Flood Risk Management Plan, published by SEPA in 2021. | N/A. |
| Flood protection study | G | A shoreline management plan is recommended, this study is not limited to Potentially Vulnerable Areas but should cover the whole of the Ayrshire coastline and any areas beyond this which may be influenced by changes in coastal processes. The study should investigate flooding and coastal erosion, wave overtopping and the current coastal protection offered. The study will help to develop an | 01/06/2016-01/06/2022 | The Ayrshire Shoreline Management Plan was completed and was adopted by both North Ayrshire Council and South Ayrshire Council in September/October 2018. | N/A. |

Isle of Arran (Potentially Vulnerable Area 12/08)

94

		understanding of coastal issues and identify where further work may be required to mitigate against flooding.		
Maintain flood protection scheme*	G	There are a range of formal and informal coastal defences in Brodick and Lamlash. These defences offer some level of protection to the properties in this area. North Ayrshire Council will continue to inspect and maintain the Brodick and Lamlash coastal flood defences, which will continue to manage flooding according to the design standard at the time of construction.	01/06/2016-01/06/2022	The coastal flood defence structures in Brodick and Lamlash were either inspected on an annual basis throughout the 1st Local Flood Risk Management Plan cycle and were subject to a principal inspection every three years or were inspected in accordance with the inspection schedule published by North Ayrshire Council.	N/A.
Maintain flood warning Arran Lamlash Cordon and Arran Seafront and Montrose Terrace flood warning areas	G	SEPA will continue to maintain the Arran Lamlash Cordon and the Arran Seafront and Montrose Terrace flood warning areas which are part of the Firth of Clyde coastal flood warning scheme.	22/12/2015-22/06/2022	SEPA has continued to operate the flood warning service.	N/A
Flood forecasting	G	The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2	22/12/2015-22/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to	N/A.

Isle of Arran (Potentially Vulnerable Area 12/08)   95

		Responders. The service also provides information which allows SEPA to issue flood warnings, giving people a better chance of reducing the impact of flooding on their home or business. For more information please visit SEPA's website.		reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and	01/04/2016-22/06/2022	North Ayrshire Council raised awareness about flood risk via a separate action noted for this PVA.	N/A.

Isle of Arran (Potentially Vulnerable Area 12/08)   96

		business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be found in the Councils and Scottish Flood Forum websites.		Specific awareness raising about flood risk matters was achieved when the Council's flooding team responded to reported flood incidents, enquiries from prospective developers & flood risk consultants and when responding to planning application consultations.	
Awareness raising	G	North Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Through the continued development of flood schemes and studies at higher risk locations, officers from the Council's Flood Risk Management Team attend community council events to discuss	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19.	N/A.

Isle of Arran (Potentially Vulnerable Area 12/08)   97

		elements of flood risk management. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the public on large capital projects and detailed local studies.		North Ayrshire Council raised awareness about flood risk matters by updating the Council's website and by supporting Local Flood Emergency Groups.	
Maintenance	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk-based inspection, maintenance and repair on the	01/06/2016- 01/06/2022	North Ayrshire Council inspected trash screens, watercourses and coastal flood protection structures in accordance with the published inspection programme throughout the 1st Local Flood Risk Management Plan cycle.	N/A.

Isle of Arran (Potentially Vulnerable Area 12/08)   98

	G	public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets including those which help to reduce flood risk.			
Emergency plans/response	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.	01/06/2016-01/06/2022	North Ayrshire Council commissioned emergency plans, aimed at Category 1 and 2 responders, for population centres within North Ayrshire that have a notable flood risk. These plans were completed in September 2020.	N/A.

Isle of Arran (Potentially Vulnerable Area 12/08)　　　99

	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach.	N/A.
Planning policies				

Isle of Arran (Potentially Vulnerable Area 12/08)   100

| | | | | North Ayrshire Council completed a Strategic Flood Risk Assessment for LDP2 in May 2018. In addition, the Ayrshire Shoreline Management Plan (SMP), which prompts land use, policy changes and further studies to allow physical protective measures to take place in the future was adopted by North Ayrshire Council and South Ayrshire Council in September 2018.

National Planning Framework 4 is expected to be adopted by the Scottish Parliament later in 2022 and will become part of the Development Plan, ensuring national planning policies on flooding are applied in local decision making. | |

Isle of Arran (Potentially Vulnerable Area 12/08)

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4.9 Prestwick to Ayr (Potentially Vulnerable Area 12/09)

Local Plan District	Local authority	Main catchment
Ayrshire	South Ayrshire Council	Doonfoot to Monkton coastal

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Reproduced from Ayrshire Flood Risk Management Strategy, SEPA (December 2015).

Summary of Progress for Prestwick to Ayr

There are approximately 300 residential properties at risk of flooding. The Annual Average Damages are approximately £240,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/09, please click here.

The Ayrshire Shoreline Management Plan has been completed and was adopted by both North and South Ayrshire Councils in September/October 2018. The Meadowhead Integrated Catchment Study and Surface Water Management Plans for Ayr and Prestwick are complete.

Natural flood risk measures in South Ayrshire in the form of sand dune propagation have successfully continued through the reporting period.

Overview of actions to manage flooding in Prestwick to Ayr

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/09		G		G		G		A	G	G	G			G	G	G	G	G

Prestwick to Ayr (Potentially Vulnerable Area 12/09)   102

Summary of progress of actions to manage flood risk in the Prestwick to Ayr (PVA 12/09)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Natural flood management works	G	South Ayrshire Council are currently undertaking sand dune propagation at Prestwick North Beach and Ayr South Beach. Some of the benefits of these actions are to help reduce the risk of coastal erosion and flooding. It is recommended that this should continue.	22/12/2015-22/06/2022	This work continues to be carried out on an annual basis. The Council will continue to undertake sand dune propagation.	N/A.
Flood protection study	G	A shoreline management plan is recommended; this study is not limited to Potentially Vulnerable Areas but should cover the whole of the Ayrshire coastline and any areas beyond this which may be influenced by changes in coastal processes. The study should investigate flooding and coastal erosion, wave overtopping and the current coastal protection offered.	01/06/2016-01/06/2022	The Ayrshire Shoreline Management Plan is completed and adopted by both North and South Ayrshire Councils in September/October 2018. The Ayrshire Shoreline Management Plan will be reviewed every 6 years.	N/A.

Prestwick to Ayr (Potentially Vulnerable Area 12/09)   103

		The study will help to develop an understanding of coastal issues and identify where further work may be required to mitigate against flooding.			
Surface water plan/study	G	An integrated catchment study covering the Meadowhead catchment was carried out in SR10 (2010-2015). This study will help to support the surface water management planning process in Kilmarnock, Greenholm, Irvine, Prestwick and Ayr. The study has improved knowledge and understanding of flood risk and interactions between the above ground and below ground drainage network e.g. with the sewer network and watercourses. The Optioneering phase of this study, to establish the preferred solution(s) to the flooding issues, is now being progressed.	01/06/2016-01/06/2022	Pre Optioneering Catchment Plan and prioritisation stages completed. The Optioneering Phase was completed in June 2021. The implementation of the findings are currently being considered in coordination with Scottish Water and detailed design has commenced. This will continue in the next cycle of the FRM Plan.	N/A.
Surface water plan/study	G	South Ayrshire Council will develop a surface water management plan or plans to cover Prestwick and Ayr which set objectives for the management of surface water flood	01/06/2016-01/06/2022	The Surface water management Plan for South Ayrshire Council catchments was completed in November 2021.	N/A.

Prestwick to Ayr (Potentially Vulnerable Area 12/09)   104

		risk and identify the most sustainable actions to achieve the objectives.		The implementation of the findings will be considered in the next cycle of FRM Plan.	
Strategic mapping and modelling Section 16 Assessment		Scottish Water will undertake further investigation and modelling in the Prestwick and Ayr sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.	01/01/2016-31/12/2020	The Optioneering phase of the ICS has been completed. This has identified potential solutions to reduce surface water flood risk in priority areas within Prestwick.	N/A.
Strategic mapping and modelling	A	SEPA will seek to develop flood mapping in the Ayr to Ardrossan area to improve understanding of coastal flood risk. The extent and timing of improvements will depend on detailed scoping and data availability. Where this work coincides with local authorities.	01/06/2016-01/06/2022	Work completed to date includes the production of key data sets including extreme water levels and offshore wave and wind conditions to support future coastal modelling work.	SEPA will complete a review of coastal flood hazard mapping in south west Scotland including in this area. This includes identifying where taking account of the impact of waves on flooding from the sea may be required. SEPA will collect the required coastal defence asset and other information necessary to progress with improved flood modelling and mapping in the highest priority areas taking account of wave overtopping where required. SEPA will look for opportunities to progress future modelling work in

Prestwick to Ayr (Potentially Vulnerable Area 12/09)   105

					a way that best supports improvements to SEPA's Coastal Flood Warning Schemes. Expected to progress to the next stage around the middle of cycle 2 and complete early in the following cycle, subject to funding.
Maintain flood protection scheme*	G	The South Pier protects the entrance of Ayr Harbour from the action of waves while also reducing siltation in the channel. An existing seawall runs from the South Pier to the mouth of the River Doon, the purpose of which is to protect coastal erosion however it also provides a limited level of flood protection to the area. There are similar coastal defences in Prestwick. These will be maintained, and will continue to manage flooding according to the design standard at the time of construction. An annual inspection is carried out on all	01/06/2016-01/06/2022	The coastal protection structures are on a scheduled inspection and maintenance programme. The Council will continue to inspect and maintain the flood protection structures within the catchment.	N/A.
Maintain flood warning Ayr Seafield and Prestwick Links	G	SEPA will continue to maintain the Ayr Seafield the Prestwick Links Road flood warning areas which are		SEPA has continued to operate the flood warning service.	N/A

Prestwick to Ayr (Potentially Vulnerable Area 12/09)   106

Road flood warning areas		part of the Firth of Clyde coastal flood warning scheme. When flood events occur in an area with a flood warning service, SEPA will seek to verify and validate the warning service. SEPA will use feedback and post-event data to ensure that our flood warning service is timely and accurate.	22/12/2015 - 22/06/2022		
Flood forecasting	G	The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2 Responders. The service also provides information which allows SEPA to issue flood warnings, giving people a better chance of reducing the impact of flooding on their home or business. For more information please visit SEPA's website.	22/12/2015 - 22/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk	N/A

Prestwick to Ayr (Potentially Vulnerable Area 12/09) 107

	G		management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise	01/04/2016-22/06/2022	Community Engagement includes, PLP exhibitions, selection, surveys and appropriate and relevant information to enable clients to make the right decisions.	Ongoing community support, PLP training, Flood Warden and resilience group promotion.

Prestwick to Ayr (Potentially Vulnerable Area 12/09)   108

	G	awareness of flood risk and how those affected can be better prepared. Further detail can be found in the Councils and Scottish Flood Forum websites.			
Awareness raising	G	South Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Through the continued development of flood schemes and studies at higher risk locations, officers from the Council's Flood Risk Management Team attend community council events to discuss elements of flood risk management. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19.

Awareness raising is a continuous activity for South Ayrshire Council which is actioned by updating the Council's website, working with partners and engagement with relevant stakeholders as appropriate. | N/A. |

Prestwick to Ayr (Potentially Vulnerable Area 12/09)   109

	G	specific activities and raise awareness by producing and supplying targeted information to the public on large capital projects and detailed local studies.			
Maintenance	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets including those which help to reduce flood risk.	01/06/2016-01/06/2022	South Ayrshire Council carry out monthly inspections and clearance work where necessary on 17 debris screens where there is a known flood risk from blockage. Watercourse inspections are carried out on a regular basis where there are known flood risk issues. 25km of coastal protection structures are inspected annually. The Council will continue to inspect and maintain watercourses, screens and other relevant Council assets.	N/A.
Emergency plans/response	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on	01/06/2016-01/06/2022	For South Ayrshire Council, the Ayrshire Civil Contingencies maintain and update all emergency response plans. These are updated every 3 years or as required after an incident. This is done in conjunction with the	N/A.

Prestwick to Ayr (Potentially Vulnerable Area 12/09)   110

<table>
<tr>
<td></td>
<td></td>
<td>emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.</td>
<td></td>
<td>relevant department and external agency.

The Ayrshire Civil Contingencies team is responsible for producing the Civil Contingencies Plan, which outlines the management and operational arrangements that the Councils will follow in the event of an emergency as well as encouraging other agencies to prepare for their role. The Councils will contribute to the production and review of the Civil Contingencies Plan and the Emergency Plan for Severe Weather and Flooding, as required. This response may be supported by the work of voluntary organisations.</td>
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<td></td>
<td>G</td>
<td>Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the</td>
<td>01/06/2016-01/06/2022</td>
<td>SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to</td>
<td>N/A.</td>
</tr>
</table>

Planning policies		resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.		development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach. The South Ayrshire Council Local Development Plan recognises the importance of sustainable flood risk management in both urban and rural developments and is in alignment with Scottish Planning Policy. The Local Development Plan was published in February 2022.	

Prestwick to Ayr (Potentially Vulnerable Area 12/09)   112

4.10 Pow Burn Catchment (Potentially Vulnerable Area 12/10)

Local Plan District	Local authority	Main catchment
Ayrshire	South Ayrshire Council	Pow Burn
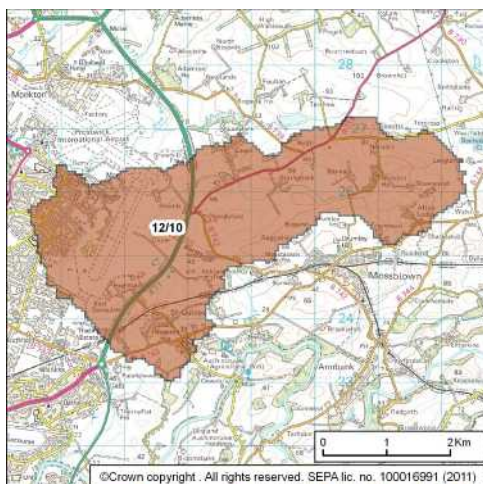
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Summary of Progress for Pow Burn Catchment

There are approximately 410 residential properties at risk of flooding. The Annual Average Damages are approximately £940,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/01, please click here.

The Meadowhead Integrated Catchment study and Surface Water Management Plans for Ayr and Prestwick are complete.

Overview of actions to manage flooding in Pow Burn Catchment

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/10			G			G		A			G			G	G	G	G	G

Pow Burn Catchment (Potentially Vulnerable Area 12/10)   113

Summary of progress of actions to manage flood risk in the Pow Burn Catchment (PVA 12/10)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
New Flood Warning	G	The area under consideration includes properties in Prestwick affected by flooding from the Pow Burn. Further feasibility assessment will be required to assess the delivery potential of a flood warning scheme in this location.	01/01/2016-31/12/2016	Action not progressed (action not going ahead after initial scoping).	N/A
Surface water plan/study	G	An integrated catchment study covering the Meadowhead catchment was carried out in SR10 (2010-2015). This study will help to support the surface water management planning process in Kilmarnock, Greenholm, Irvine, Prestwick and Ayr. The study has improved knowledge and understanding of flood risk and interactions between the above ground and below ground drainage network e.g. with the sewer network and watercourses. The Optioneering	01/06/2016-01/06/2022	Pre Optioneering Catchment Plan and prioritisation stages completed. The Optioneering Phase was completed in June 2021. The implementation of the findings are currently being considered in coordination with Scottish Water.	N/A.

Pow Burn Catchment (Potentially Vulnerable Area 12/10)   114

	G	phase of this study, to establish the preferred solution(s) to the flooding issues, is now being progressed.			
Surface water plan/study	G	South Ayrshire Council will develop a surface water management plan or plans to cover Prestwick and Ayr which set objectives for the management of surface water flood risk and identify the most sustainable actions to achieve the objectives.	01/06/2016-01/06/2022	The Surface water management Plan for South Ayrshire Council catchments was completed in November 2021. The implementation of the findings will be considered in the next cycle of FRM Plan	N/A.
Strategic mapping and modelling	A	SEPA will seek to incorporate additional surface water data into the flood maps to improve understanding of flood risk. Approximately 1,300km² of improved surface water data is currently available within this Local Plan District.	01/06/2016-01/06/2022	SEPA's current Surface water hazard maps use design rainfall estimates based on FEH99 methodology, this has now been superseded by FEH22 methodology. The FEH22 dataset contains the latest science and understanding of rainfall across Scotland and represents a significant change in rainfall amounts compared to FEH99 dataset, as such it is no longer consider appropriate to deliver this action as originally intended. This action will not be taken forwards as described. A major national update of the surface water maps is underway	The national surface water flooding modelling project will be completed in 2023. The outputs from this will be used to update SEPA maps early in cycle 2 and will inform SEPA's flood risk assessments for the next flood risk management cycle.

Pow Burn Catchment (Potentially Vulnerable Area 12/10)   115

				which will deliver updated surface water flooding maps for Scotland representing the latest scientific understanding.	
Strategic mapping and modelling Section 16 Assessment		Scottish Water will undertake further investigation and modelling in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area and as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.	01/01/2016-31/12/2020	The Meadowhead ICS has been completed. No areas within this PVA were included to be taken forwards for optioneering as priority areas under the ICS.	
New flood warning Prestwick	G	The potential benefits and feasibility of a new flood warning scheme for the Pow Burn in Prestwick will be assessed in 2016.	01/01/2016 – 2017	Scoping was completed by SEPA in 2017. Actions carried out along the Pow Burn meant that a new flood warning scheme was no longer beneficial. This decision was discussed and agreed with the local authority.	No further actions will be carried out.
Flood forecasting	G	The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2 Responders. The service also provides information which allows	22/12/2015-01/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has	N/A

Pow Burn Catchment (Potentially Vulnerable Area 12/10)   116

		SEPA to issue flood warnings, giving people a better chance of reducing the impact of flooding on their home or business. For more information please visit SEPA's website.		developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and	01/06/2016-22/06/2022	Community Engagement includes, PLP exhibitions, selection, surveys and appropriate and relevant information to enable clients to make the right decisions.	Ongoing community PLP training, Flood Warden and resilience group promotion.

Pow Burn Catchment (Potentially Vulnerable Area 12/10)   117

		disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be found in the Councils and Scottish Flood Forum websites.		
Awareness raising	G	South Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Through the continued development of flood schemes and studies at higher risk locations, officers from the Council's Flood Risk Management Team attend community council events to discuss elements of flood risk management. Across Scotland, SEPA will create	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19.

Awareness raising is a continuous activity for South Ayrshire Council | N/A. |

Pow Burn Catchment (Potentially Vulnerable Area 12/10)   118

		and share communication and education resources with other responsible authorities. These resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the public on large capital projects and detailed local studies.		which is actioned by updating the Council's website, working with partners and engagement with relevant stakeholders as appropriate.	
Maintenance	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are	01/06/2016-01/06/2022	South Ayrshire Council carry out monthly inspections and clearance work where necessary on 17 debris screens where there is a known flood risk from blockage. Watercourse inspections are carried out on a regular basis where there are known flood risk issues. 25km of coastal protection structures are inspected annually.	N/A.

Pow Burn Catchment (Potentially Vulnerable Area 12/10)   119

	G	responsible for the maintenance and management of their own assets including those which help to reduce flood risk.		The Council will continue to inspect and maintain watercourses, screens and other relevant Council assets.	
Emergency plans/response	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.	01/06/2016-01/06/2022	For South Ayrshire Council, the Ayrshire Civil Contingencies maintain and update all emergency response plans. These are updated every 3 years or as required after an incident. This is done in conjunction with the relevant department and external agency. The Ayrshire Civil Contingencies team is responsible for producing the Civil Contingencies Plan, which outlines the management and operational arrangements that the Councils will follow in the event of an emergency as well as encouraging other agencies to prepare for their role. The Councils will contribute to the production and review of the Civil Contingencies Plan and the Emergency Plan for Severe Weather and Flooding, as required. This response may be supported by the work of voluntary organisations.	N/A.

Pow Burn Catchment (Potentially Vulnerable Area 12/10)   120

	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach.	N/A.
Planning policies				

Pow Burn Catchment (Potentially Vulnerable Area 12/10)   121

			The South Ayrshire Council Local Development Plan recognises the importance of sustainable flood risk management in both urban and rural developments and is in alignment with Scottish Planning Policy. The Local Development Plan was published in February 2022	

Pow Burn Catchment (Potentially Vulnerable Area 12/10)   122

4.11 River Ayr (Potentially Vulnerable Area 12/11)

Local Plan District	Local authority	Main catchment
Ayrshire	South Ayrshire Council	River Ayr

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Summary of Progress for River Ayr

There are approximately 90 residential properties at risk of flooding. The Annual Average Damages are approximately £72,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/11, please click here.

The Meadowhead Integrated Catchment study and Surface Water Management Plans for Ayr and Prestwick are complete, which has identified surface water flood risk in the area.

Overview of actions to manage flooding in River Ayr

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/11			G			G					G			G	G	G	G	G

River Ayr (Potentially Vulnerable Area 12/11))

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Summary of progress of actions to manage flood risk in the River Ayr (PVA 12/11)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
New flood warning River Ayr	G	The area under consideration for a new flood warning includes properties affected by flooding from the River Ayr. Full scoping, infrastructure and a flood forecasting system will be required before a flood warning service can be delivered in this area. Communities that will benefit from a warning will be identified during development of the scheme.	01/06/2016-30/09/2018	A new flood warning service for the River Ayr has been delivered, with three new flood warning areas provided in Sorn, Catrine and Failford. SEPA has continued to operate the flood warning service since it was completed.	N/A
Surface water plan/study	G	An integrated catchment study covering the Meadowhead catchment was carried out in SR10 (2010-2015). This study will help to support the surface water management planning process in Kilmarnock, Greenholm, Irvine, Prestwick and Ayr. The study has improved knowledge and understanding of flood risk and interactions between the above	01/06/2016-01/06/2022	Pre Optioneering Catchment Plan and prioritisation stages completed. The Optioneering Phase was completed in June 2021. The implementation of the findings are currently being considered in coordination with Scottish Water.	N/A.

River Ayr (Potentially Vulnerable Area 12/11))

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	G	ground and below ground drainage network e.g. with the sewer network and watercourses. The Optioneering phase of this study, to establish the preferred solution(s) to the flooding issues, is now being progressed.			
Surface water plan/study	G	South Ayrshire Council will develop a surface water management plan or plans to cover Prestwick and Ayr which set objectives for the management of surface water flood risk and identify the most sustainable actions to achieve the objectives.	01/06/2016-01/06/2022	The Surface water management Plan for South Ayrshire Council catchments was completed in November 2021. The implementation of the findings will be considered in the next cycle of FRM Plan.	N/A.
Strategic mapping and modelling	G	Scottish Water will undertake further investigation and modelling in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area and as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.	01/01/2016-31/12/2020	The Scottish Water assessment of flood risk within the sewer catchment has been completed.	The assessment is now completed and has been shared with Local Authority.
Flood forecasting	G	The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood	22/12/2015-01/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional	N/A

River Ayr (Potentially Vulnerable Area 12/11)) 125

| | | guidance statements which are issued to Category 1 and 2 Responders. The service | | Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance. | |

River Ayr (Potentially Vulnerable Area 12/11))

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Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be found in the Councils and Scottish Flood Forum websites.	01/04/2016-22/06/2022	Community Engagement includes, PLP exhibitions, selection, surveys and appropriate and relevant information to enable clients to make the right decisions.	Ongoing community PLP training, Flood Warden and resilience group promotion.
Awareness raising	G	South Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Through the continued development of flood schemes and studies at higher risk locations,	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person	N/A.

River Ayr (Potentially Vulnerable Area 12/11)) 127

		officers from the Council's Flood Risk Management Team attend community council events to discuss elements of flood risk management. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the public on large capital projects and detailed local studies.		joint events have been limited or delayed due to Covid 19. Awareness raising is a continuous activity for South Ayrshire Council which is actioned by updating the Council's website, working with partners and engagement with relevant stakeholders as appropriate.	
Maintenance	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for	01/06/2016-01/06/2022	South Ayrshire Council carry out monthly inspections and clearance work where necessary on 17 debris screens where there is a known flood risk from blockage. Watercourse inspections are carried out on a regular basis where there are known	N/A.

River Ayr (Potentially Vulnerable Area 12/11))   128

		public inspection. Scottish Water undertake risk based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets including those which help to reduce flood risk.		flood risk issues. 25km of coastal protection structures are inspected annually. South Ayrshire Council will continue to maintain watercourses, screens and other relevant Council assets.	
Emergency plans/response	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be	01/06/2016-01/06/2022	For South Ayrshire Council, the Ayrshire Civil Contingencies maintain and update all emergency response plans. These are updated every 3 years or as required after an incident. This is done in conjunction with the relevant department and external agency. The Ayrshire Civil Contingencies team is responsible for producing the Civil Contingencies Plan, which outlines the management and operational arrangements that the Councils will follow in the event of an emergency as well as encouraging other agencies to prepare for their role. The Councils will contribute to the production and review	N/A.

River Ayr (Potentially Vulnerable Area 12/11))   129

		supported by the work of voluntary organisations.		of the Civil Contingencies Plan and the Emergency Plan for Severe Weather and Flooding, as required. This response may be supported by the work of voluntary organisations.	
Planning policies	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk,	N/A.

River Ayr (Potentially Vulnerable Area 12/11))
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| | | | | and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach.

The South Ayrshire Council Local Development Plan recognises the importance of sustainable flood risk management in both urban and rural developments and is in alignment with Scottish Planning Policy. The Local Development Plan was published in February 2022. | |

River Ayr (Potentially Vulnerable Area 12/11))   131

4.12 Ayr East (Potentially Vulnerable Area 12/12)

Local Plan District	Local authority	Main catchment
Ayrshire	South Ayrshire Council	River Ayr
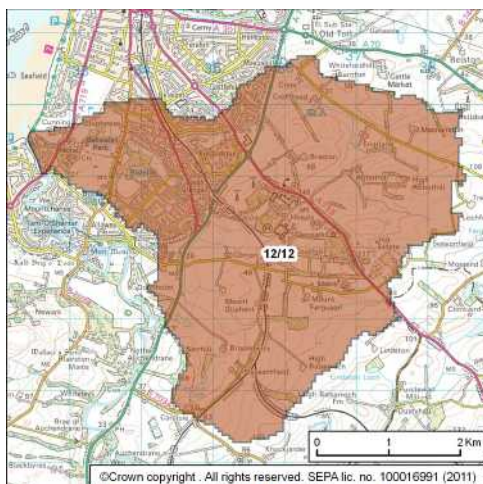
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Reproduced from Ayrshire Flood Risk Management Strategy, SEPA (December 2015).

Summary of Progress for Ayr East

There are approximately 290 residential properties at risk of flooding. The Annual Average Damages are approximately £720,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/12, please click here.

The Meadowhead Integrated Catchment study and Surface Water Management Plans for Ayr and Prestwick are complete. A new 'Ayr to Troon' flood warning area was added to the existing Firth of Clyde coastal flood warning scheme.

Overview of actions to manage flooding in Ayr East

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/12								A			G			G	G	G	G	G

Ayr East (Potentially Vulnerable Area 12/12) 132

Summary of progress of actions to manage flood risk in the Ayr East (PVA 12/12)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Strategic mapping and modelling	A	SEPA will update strategic coastal mapping in the Ayr to Ardrossan area to improve understanding of flood risk. The extent and timing of improvements will depend on detailed scoping and data availability. Where this work coincides with local authority studies, SEPA will work collaboratively to ensure consistent modelling approaches are applied. The coastal mapping and modelling process will start in 2016, with early work focussing on methodology development and data collection. Once this stage has been completed a thorough review will be carried out to identify the final mapping improvements that can be made in the area.	01/01/2016-31/12/2018	Work completed to date includes the production of key data sets including extreme water levels and offshore wave and wind conditions to support future coastal modelling work. Although this work has not been completed to the timescale described in the plan, the work that will be progressed will deliver a more comprehensive update of the coastal flood hazard maps across the whole area.	SEPA will complete a review of coastal flood hazard mapping in south west Scotland including in this area. This includes identifying where taking account of the impact of waves on flooding from the sea may be required. SEPA will collect the required coastal defence asset and other information necessary to progress with improved flood modelling and mapping in the highest priority areas taking account of wave overtopping where required. SEPA will look for opportunities to progress future modelling work in a way that best supports improvements to SEPA's Coastal Flood Warning Schemes. Expected to progress to the next stage around the middle of cycle

Ayr East (Potentially Vulnerable Area 12/12)   133

	🟧				2 and complete early in the following cycle, subject to funding.
Strategic mapping and modelling Section 16 Assessment	🟩	Scottish Water will undertake further investigation and modelling in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area and as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.	01/01/2016-31/12/2020	The Scottish Water assessment of flood risk within the sewer catchment has been completed.	The assessment is now completed and has been shared with Local Authority.
Maintain Flood Warning Ayr Seafield flood warning area	G	SEPA will continue to maintain the Ayr Seafield flood warning area which is part of the Firth of Clyde coastal flood warning scheme. When flood events occur in an area with a flood warning service, SEPA will seek to verify and validate the warning service. SEPA will use feedback and post-event data to ensure that our flood warning service is timely and accurate.	22/12/2015-22/06/2022	SEPA has recently reviewed and recalibrated the Firth of Clyde flood forecasting model. SEPA has continued to maintain the Ayr Seafield flood warning area within a new 'Ayr to Troon' flood warning area which is part of the Firth of Clyde coastal flood warning scheme.	SEPA will continue to operate the flood warning service.
Flood forecasting	G	The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2	22/12/2015-01/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to	N/A

Ayr East (Potentially Vulnerable Area 12/12)   134

		Responders. The service also provides information which allows SEPA to issue flood warnings, giving people a better chance of reducing the impact of flooding on their home or business. For more information please visit SEPA's website.		reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and	01/06/2016-22/06/2022	Community Engagement includes, PLP exhibitions, selection, surveys and appropriate and relevant	Ongoing community PLP training, Flood Warden and resilience group promotion.

Ayr East (Potentially Vulnerable Area 12/12)

135

		business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be found in the Councils and Scottish Flood Forum websites.		information to enable clients to make the right decisions.	
Awareness raising	G	South Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Through the continued development of flood schemes and studies at higher risk locations, officers from the Council's Flood Risk Management Team attend community council events to discuss	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19.	N/A.

Ayr East (Potentially Vulnerable Area 12/12)   136

		elements of flood risk management. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the public on large capital projects and detailed local studies.		Awareness raising is a continuous activity for South Ayrshire Council which is actioned by updating the Council's website, working with partners and engagement with relevant stakeholders as appropriate.	
Maintenance	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk based inspection, maintenance and repair on the	01/06/2016-01/06/2022	South Ayrshire Council carry out monthly inspections and clearance work where necessary on 17 debris screens where there is a known flood risk from blockage. Watercourse inspections are carried out on a regular basis where there are known flood risk issues. 25km of coastal protection structures are inspected annually.	N/A.

Ayr East (Potentially Vulnerable Area 12/12) 137

	G	public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets including those which help to reduce flood risk.		South Ayrshire Council will continue to inspect and maintain watercourses, screens and other relevant Council assets.	
Emergency plans/response	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.	01/06/2016-01/06/2022	For SAC Ayrshire Civil Contingencies maintain and update all emergency response plans. These are updated every 3 years or as required after an incident. This is done in conjunction with the relevant department and external agency.

The Ayrshire Civil Contingencies team is responsible for producing the Civil Contingencies Plan, which outlines the management and operational arrangements that the Councils will follow in the event of an emergency as well as encouraging other agencies to prepare for their role. The Councils will contribute to the production and review of the Civil Contingencies Plan and the Emergency Plan for Severe Weather and Flooding, as required. This | N/A. |

Ayr East (Potentially Vulnerable Area 12/12) 138

				response may be supported by the work of voluntary organisations.	
Planning policies	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022	N/A.

Ayr East (Potentially Vulnerable Area 12/12)   139

| | | | | via the National Planning Framework 4, we will take the same approach.

The South Ayrshire Council Local Development Plan recognises the importance of sustainable flood risk management in both urban and rural developments and is in alignment with Scottish Planning Policy. The Local Development Plan was published in February 2022. | |

Ayr East (Potentially Vulnerable Area 12/12)   140

4.13 Ayr South (Potentially Vulnerable Area 12/13)

Local Plan District	Local authority	Main catchment
Ayrshire	South Ayrshire Council	River Doon
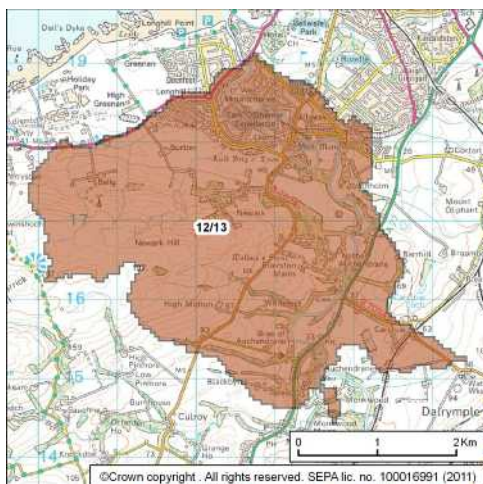
© Crown copyright. SEPA licence number 100016991 (2015). All rights reserved.
Reproduced from Ayrshire Flood Risk Management Strategy, SEPA (December 2015).

Summary of Progress for Ayr South

There are approximately 20 residential properties at risk of flooding. The Annual Average Damages are approximately £40,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/13, please click here.

Throughout the period South Ayrshire Council have carried out inspection and maintenance works at known high flood risk locations such as debris screens and small culverts.

The Meadowhead Integrated Catchment study and Surface Water Management Plans for Ayr and Prestwick are complete.

Overview of actions to manage flooding in Ayr South

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/13							G				G			G	G	G	G	G

Ayr South (Potentially Vulnerable Area 12/13)   141

Summary of progress of actions to manage flood risk in the Ayr South (PVA 12/13)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Strategic mapping and modelling Section 16 Assessment	G	Scottish Water will undertake further investigation and modelling in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area and as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.	01/01/2016-31/12/2020	The Scottish Water assessment of flood risk within the sewer catchment has been completed.	The assessment is now completed and has been shared with Local Authority.
Flood forecasting	G	The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2 Responders. The service also provides information which allows SEPA to issue flood warnings, giving people a better chance of reducing the impact of flooding on their home or business. For more information please visit SEPA's website.	22/12/2015-01/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be	N/A

	G		refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.		
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline	01/06/2016-22/06/2022	Community Engagement includes, PLP exhibitions, selection, surveys and appropriate and relevant information to enable clients to make the right decisions.	Ongoing community PLP training, Flood Warden and resilience group promotion.

Ayr South (Potentially Vulnerable Area 12/13)   143

		The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be found in the Councils and Scottish Flood Forum websites.			
Awareness raising	G	South Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Through the continued development of flood schemes and studies at higher risk locations, officers from the Council's Flood Risk Management Team attend community council events to discuss elements of flood risk management. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These resources will include awareness campaigns, media and marketing	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19. Awareness raising is a continuous activity for South Ayrshire Council which is actioned by updating the Council's website, working with partners and engagement with relevant stakeholders as appropriate.	N/A.

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		activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the public on large capital projects and detailed local studies.			
Maintenance	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets including those which help to reduce flood risk.	01/06/2016-01/06/2022	South Ayrshire Council carry out monthly inspections and clearance work where necessary on 17 debris screens where there is a known flood risk from blockage. Watercourse inspections are carried out on a regular basis where there are known flood risk issues. South Ayrshire Council will continue to inspect and maintain watercourses, screens and other relevant Council Assets.	N/A.

Ayr South (Potentially Vulnerable Area 12/13)   145

	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary	01/06/2016-01/06/2022	For South Ayrshire Council, the Ayrshire Civil Contingencies maintain and update all emergency response plans. These are updated every 3 years or as required after an incident. This is done in conjunction with the relevant department and external agency. The Ayrshire Civil Contingencies team is responsible for producing the Civil Contingencies Plan, which outlines the management and operational arrangements that the Councils will follow in the event of an emergency as well as encouraging other agencies to prepare for their role. The Councils will contribute to the production and review of the Civil Contingencies Plan and the Emergency Plan for Severe Weather and Flooding, as required. This response may be supported by the work of voluntary organisations.	N/A.
Emergency plans/response					
	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of	N/A.
Planning policies					

Ayr South (Potentially Vulnerable Area 12/13)   146

	planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.		sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach. The South Ayrshire Council Local Development Plan recognises the importance of sustainable flood risk management in both urban and rural	

Ayr South (Potentially Vulnerable Area 12/13)   147

				developments and is in alignment with Scottish Planning Policy. The Local Development Plan was published in February 2022.	

Ayr South (Potentially Vulnerable Area 12/13)   148

4.14 Cumnock and Catrine (Potentially Vulnerable Area 12/14)

Local Plan District	Local authority	Main catchment
Ayrshire	East Ayrshire Council	River Ayr
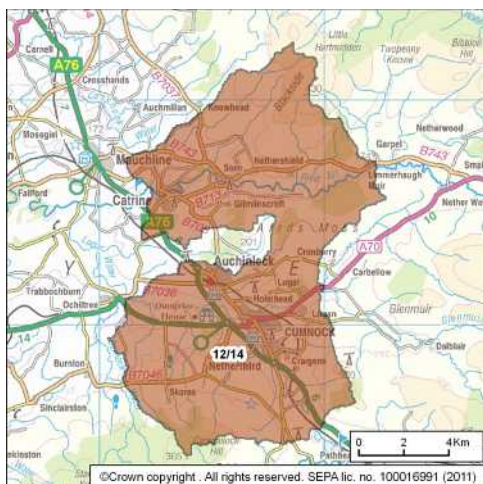
Summary of Progress for Cumnock and Catrine

There are approximately 330 residential properties and 240 non-residential properties at risk of flooding. The Annual Average Damages are approximately £970,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/14, please click here.

Key progress has been made with the installation of River Monitors on the Lugar and Glaisnock Waters. These are being used in conjunction with the SEPA monitor on the River Ayr at Catrine, to gather hydraulic data to inform the planned combined Flood study (2020 -2023) for these watercourses. The Flood study will inform Cycle 2 flooding actions for these locations.

Overview of actions to manage flooding in Cumnock and Catrine

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/14				A			G	A			G	G		G	G	G	G	G

Cumnock and Catrine (Potentially Vulnerable Area 12/14)   149

Summary of progress of actions to manage flood risk in the Cumnock and Catrine (PVA 12/14)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Flood protection study	A	A study will investigate the feasibility of a flood protection scheme along the River Ayr at Sorn/Catrine and further investigate any measures required in Cumnock.	01/06/2016-22/06/2022	Progress has been made with the installation of River Monitors on the Lugar and Glaisnock Waters. These are being used in conjunction with the SEPA monitor on the River Ayr at Catrine, to gather hydraulic data to inform the planned combined Flood study (2020 -2022) for these watercourses. The Flood study will inform Cycle 2 flooding actions for these locations.	Additional resourcing is required in order procure these works out to tender. These works are expected to progress on schedule.
Strategic mapping and modelling	A	SEPA will seek to incorporate additional surface water data into the flood maps to improve understanding of flood risk. Approximately 1,300km² of improved surface water data is currently available within this Local Plan District.	01/06/2016-22/06/2022	SEPA's current Surface water hazard maps use design rainfall estimates based on FEH99 methodology, this has now been superseded by FEH22 methodology. The FEH22 dataset contains the latest science and understanding of rainfall across Scotland and represents a significant change in rainfall amounts compared to FEH99 dataset, as such it is no	The national surface water flooding modelling project will be completed in 2023. The outputs from this will be used to update SEPA maps early in cycle 2 and will inform SEPA's flood risk assessments for the next flood risk management cycle.

Cumnock and Catrine (Potentially Vulnerable Area 12/14)   150

				longer consider appropriate to deliver this action as originally intended. This action will not be taken forwards as described. A major national update of the surface water maps is underway which will deliver updated surface water flooding maps for Scotland representing the latest scientific understanding.	
Strategic mapping and modelling - Section 16 assessment	G	Scottish Water will undertake further investigation and modelling in the Catrineholm and Underwood Cumnock sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.	01/01/2016-31/12/2019	The Scottish Water assessment of flood risk within the sewer catchment has been completed.	The assessment is now completed and has been shared with Local Authority.
Flood forecasting	G	The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2 Responders. The service also provides information which allows SEPA to issue flood warnings,	22/12/2015-01/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily	N/A

Cumnock and Catrine (Potentially Vulnerable Area 12/14)   151

		giving people a better chance of reducing the impact of flooding on their home or business. For more information please visit SEPA's website.		Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Property level protection scheme	G	East Ayrshire Council is currently procuring suitable flow and level monitoring installations on appropriate watercourses identified for studies, with the intention of informing those studies in areas	01/06/2016-22/06/2022	The Flood Study for the River Ayr for Catrine and Lugar and Glaisnock in Cumnock informed property level protection requirements for the area and the monitors will form the basis for	N/A.

Cumnock and Catrine (Potentially Vulnerable Area 12/14)   152

	G	known to have little or no information currently available. Information gaps and proposed locations are being identified in co-operation with SEPA. Once this in place the Flood Study for the River Ayr will inform any property level protection requirements for the area and the monitors will form the basis for a Flood Warning scheme to support the placement.		a Flood Warning scheme to support the placement. East Ayrshire Council made PLP available to all residents in EAC, who would benefit from there use, and will continue to do so.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline. The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how	01/04/2016-22/06/2022	Community Engagement included, PLP exhibitions, selection, surveys and appropriate and relevant information to enable clients to make the right decisions. Ongoing community PLP training, Flood Warden and resilience group promotion will continue to be supported.	N/A.

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		those affected can be better prepared. Further detail can be found in the Councils and Scottish Flood Forum websites.			
Awareness raising	G	East Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the public on large capital projects and detailed local studies. Further Information is provided on East Ayrshire Council, SEPA,	01/04/2016-22/06/2022	Ayr & Annick Flood Warning Scheme, which includes the communities of Catrine and Sorn, launched in 2020. It was a soft launch due to Covid-19 pandemic but awareness raising to promote the new service was carried out in February 2022. Ayr & Annick Flood Warning Scheme, which includes the communities of Catrine and Sorn, launched in 2020. It was a soft launch due to Covid-19 pandemic but awareness raising to promote the new service was carried out in February 2022. East Ayrshire Council and SEPA has delivered a range of awareness raising activities through campaigning, education activities and partnership delivery. We have run national and local digital and direct engagement campaigns to raise awareness of flood	East Ayrshire Council and SEPA will continue to raise awareness of flood risk through campaigning, developing education and engagement tools, creating new partnerships and improving the flood warning and forecasting service. Many of our awareness raising activities currently underway will continue. Our focus will be on promoting flood warning and forecasting service, innovation, education and engagement with partners, customers and the public.

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		Scottish Water and Ayrshire Road Alliance websites.		risk and SEPA's flood warning service, Floodline. We publish and publicise an electronic newsletter (Flooding Gateway) four times a year which is distributed to a wide audience. SEPA are working with Education Scotland and Scottish Government Resilience team to embed flooding awareness within the Curriculum for Excellence, and resilience partners in Safer Communities programmes. We have also developed an online tool that helps everyone share information on current flooding issues (Report-a-Flood). We have worked in partnership with local authorities, emergency services and community organisations (e.g. Neighbourhood Watch Scotland, Citizens Advice Scotland and others) to share our resources and help to promote preparedness and understanding of how we manage flood risk in Scotland. We have actively supported the Scottish Flood Forum and worked closely with UK agencies to develop joint flooding information.	

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	G	East Ayrshire Council in accordance with Section 18 of the Flood Risk Management (Scotland) Act 2009 undertake assessment of water bodies to determine whether works of clearance and repair would substantially reduce the risk of flooding. This information is used to produce a schedule of works which is available for the public to inspect.	01/04/2016-22/06/2022	High risk locations such as those with screens and some smaller culverts were inspected on a scheduled basis. The majority of inspections tended to be undertaken in the winter months when flows are higher, and leaves and other waterborne debris can be an issue. Works of clearance were carried out during these inspections which are not specifically "scheduled". The main water bodies, and other water bodies, within urban areas were subject to an annual visual inspection and any works were undertaken where it would be expedient and in the interests of good flood risk management to do so.

East Ayrshire Council will continue to inspect and maintain watercourses, screens and other relevant Council assets. | N/A. |
| Maintenance | | | | |
| Emergency plans/response | G | The Civil Contingencies Team ensures that the Council will be able to respond speedily and effectively in a major emergency. North, | 01/04/2016-22/06/2022 | Emergency Response Planning is carried out by Ayrshire Civil Contingencies Team (ACCT) this is an all Ayrshire shared service. ACCT | N/A. |

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South and East Ayrshire teams are a shared service team known as the Ayrshire Civil Contingencies Team. If disaster strikes, or if emergencies develop in Ayrshire, communities will look to the Council for support and advice. The Ayrshire Civil Contingencies Team ensures that the Council will be able to respond speedily and effectively in a major emergency in accordance with the Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005. Our responsibilities include preparing comprehensive and robust contingency plans and procedures irrespective of the nature of the emergency. The main aim is to preserve life and property. Every emergency plan also sets out to: Mitigate the harmful effects of the emergency on the environment; bring about a swift return to normal life in the communities and environment affected; and

update and co-ordinate (all Emergency Responders) the emergency response plans (ERP) as required (in direct consultation with ARA, where appropriate). In addition to the ERP, EAC has implemented a system of river monitors in known areas and a rota of Flood Scouts (FS) is maintained who are tasked to monitor and report back on status on receipt of any alarm.

Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through

		encourage all agencies and organisations to prepare for their role.		regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.	
Planning policies	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.	01/06/2016-22/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning	N/A.

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			policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach. East Ayrshire Council has prepared and consulted on its Proposed Plan LDP2. As part of the preparation of the Plan, the Council engaged early with SEPA on sites it was considering allocating and took on board comments from SEPA. In addition, The Council has worked extensively with SEPA and the KAG on issues pertaining to flooding in Kilmarnock and has undertaken a series of flood workshops with the Key Agencies. The new proposed plan contains flood policies reflective of SEPA's stance and of NPF4. National Planning Framework 4 is expected to be adopted by the Scottish Parliament later in 2022 and will become part of the Development Plan, ensuring national planning policies on flooding are applied in local decision making.	

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4.15 Dalrymple and Patna (Potentially Vulnerable Area 12/15)

Local Plan District	Local authority	Main catchment
Ayrshire	East Ayrshire Council, South Ayrshire Council	River Doon
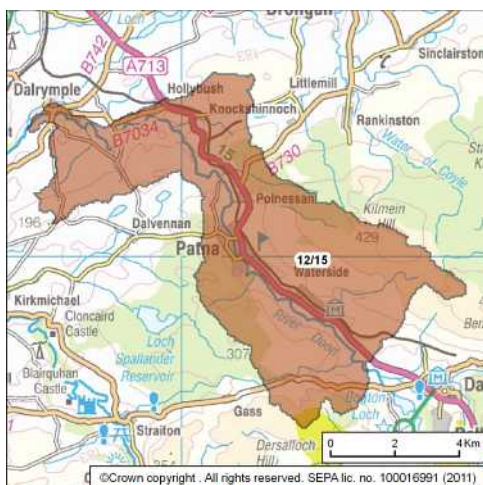
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Summary of Progress for Dalrymple and Patna

There are approximately 90 residential properties at risk of flooding. The Annual Average Damages are approximately £120,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/15, please click here.

 Key progress has been made with the installation of River Monitors on the Taiglum and Primpton Burns and on the River Doon at Dalrymple Bridge, to gather hydraulic data to inform the completed combined Flood study (2020 -2022) for these watercourses. The Flood study has informed Cycle 2 flooding actions for these locations.

Overview of actions to manage flooding in Dalrymple and Patna

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/15				G				A	G		G			G	G	G	G	G

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Summary of progress of actions to manage flood risk in the Dalrymple and Patna (PVA 12/15)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Flood protection study	G	A study will investigate the feasibility of a flood protection scheme, including modification of conveyance through a historic bridge and Construction of direct defences. The study will also examine the current operating procedure of Loch Doon to increase the level of storage, this will be carried out in coordination with Scottish Power	01/06/2016-22/06/2022	Progress has been made with the installation of River Monitors on the Taiglum and Primpton Burns and the River Doon, to gather hydraulic data to inform the completed combined Flood study (2020 -2022) for these watercourses. The Flood study will inform Cycle 2 flooding actions for these locations. Additional resourcing was required in order to procure these works. This study has now been completed. The anticipated rescheduling is not envisaged to affect the ability to report as intended in Cycle 2.	N/A.
Strategic mapping and modelling Pluvial mapping updates	A	SEPA will seek to incorporate additional surface water data into the	01/01/2016-31/12/2016	SEPA's current Surface water hazard maps use design rainfall estimates based on FEH99 methodology, this has now been superseded by FEH22 methodology. The FEH22 dataset	The national surface water flooding modelling project will be completed in 2023. The outputs from this will be used to update SEPA maps early in cycle 2 and

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		flood maps to improve understanding of flood risk. Approximately 1,300km² of improved surface water data is currently available within this Local Plan District.		contains the latest science and understanding of rainfall across Scotland and represents a significant change in rainfall amounts compared to FEH99 dataset, as such it is no longer consider appropriate to deliver this action as originally intended. This action will not be taken forwards as described. A major national update of the surface water maps is underway which will deliver updated surface water flooding maps for Scotland representing the latest scientific understanding.	will inform SEPA's flood risk assessments for the next flood risk management cycle.
Maintain flood protection scheme*	G	An existing overflow channel on the Primpton Burn reduces the flood risk from the watercourse. The Council should investigate the current benefit which is offered by the scheme. This channel will be maintained, and will continue to manage flooding according to the design standard at the time of construction. Levels of flood risk are likely to increase over time as a consequence of climate change.	01/06/2016-22/06/2022	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of	N/A.

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		The Primpton Burn is particularily prone to high water levels in the River Doon. East Ayrshire Council/ACCT have held meetings with Scottish Power to liaison on the operating protocols of the Doon Dam. Scottish Power have agreed to release more water earlier to mitigate against the need to open the gates only in an emergency. This earlier release is intended to lessen the impact during heavy rainfall events. This section of the Doon is an area that has been I identified for a future study (2016-2021) to establish any further works required here.		their own assets including those which help to reduce flood risk. The Council will continue to inspect and maintain the flood protection structures within the Catchment.	
Flood forecasting	G	The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2 Responders. The service also provides information which allows SEPA to issue flood warnings, giving people a better chance of	22/12/2015-01/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the	N/A

Dalrymple and Patna (Potentially Vulnerable Area 12/15)   163

		reducing the impact of flooding on their home or business. For more information please visit SEPA's website.		Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen.	01/06/2016-22/06/2022	Community Engagement included, PLP exhibitions, selection, surveys and appropriate and relevant information to enable clients to make the right decisions. Responsible Authorities shall continue to provide ongoing community PLP	N/A.

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		This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be found in the Councils and Scottish Flood Forum websites.		training, Flood Warden and resilience group promotion.	
Awareness raising	G	East Ayrshire Council, South Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared.	01/06/2016-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19. East Ayrshire Council and SEPA has delivered a range of awareness raising activities through campaigning, education activities and partnership	N/A.

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			delivery. We have run national and local digital and direct engagement campaigns to raise awareness of flood risk and SEPA's flood warning service, Floodline. We publish and publicise an electronic newsletter (Flooding Gateway) four times a year which is distributed to a wide audience. SEPA are working with Education Scotland and Scottish Government Resilience team to embed flooding awareness within the Curriculum for Excellence, and resilience partners in Safer Communities programmes. We have also developed an online tool that helps everyone share information on current flooding issues (Report-a-Flood). We have worked in partnership with local authorities, emergency services and community organisations (e.g. Neighbourhood Watch Scotland, Citizens Advice Scotland and others) to share our resources and help to promote preparedness and understanding of how we manage flood risk in Scotland. We have actively supported the Scottish Flood	

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				Forum and worked closely with UK agencies to develop joint flooding information. Awareness raising is a continuous activity for South Ayrshire Council which is actioned by updating the Council's website, working with partners and engagement with relevant stakeholders as appropriate.	
Maintenance	G	East Ayrshire Council in accordance with Section 18 of the Flood Risk Management (Scotland) Act 2009 undertake assessment of water bodies to determine whether works of clearance and repair would substantially reduce the risk of flooding. This information is used to produce a schedule of works which is available for the public to inspect.	01/06/2016-22/06/2022	High risk locations such as those with screens and some smaller culverts were inspected on a scheduled basis. The majority of inspections tended to be undertaken in the winter months when flows are higher, and leaves and other waterborne debris can be an issue. Works of clearance were carried out during these inspections which are not specifically "scheduled". The main water bodies, and other water bodies, within urban areas were subject to an annual visual inspection and any works were undertaken where it would be expedient and in the interests of good flood risk management to do so.	N/A.

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	G			East Ayrshire Council will continue to inspect and maintain watercourses, screens and other relevant Council assets.	
Emergency plans/response	G	The Civil Contingencies Team ensures that the Council will be able to respond speedily and effectively in a major emergency. North, South and East Ayrshire teams are a shared service team known as the Ayrshire Civil Contingencies Team. If disaster strikes, or if emergencies develop in Ayrshire, communities will look to the Council for support and advice. The Ayrshire Civil Contingencies Team ensures that the Council will be able to respond speedily and effectively in a major emergency in accordance with the Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005. Our responsibilities include preparing comprehensive and robust contingency plans and procedures irrespective of the nature of the	01/06/2016-22/06/2022	Emergency Response Planning is carried out by Ayrshire Civil Contingencies Team (ACCT) this is an all Ayrshire shared service. ACCT update and co-ordinate (all Emergency Responders) the emergency response plans (ERP) as required (in direct consultation with ARA, where appropriate). In addition to the ERP EAC has implemented a system of river monitors in known areas and a rota of Flood Scouts (FS). Is maintained who are tasked to monitor and report back on status on receipt of any alarm. Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on	N/A.

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	G	emergency. The main aim is to preserve life and property. Every emergency plan also sets out to: Mitigate the harmful effects of the emergency on the environment; bring about a swift return to normal life in the communities and environment affected; and encourage all agencies and organisations to prepare for their role.		emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.	
Planning policies	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning	N/A.

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	to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.		Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach. East Ayrshire Council has prepared and consulted on its Proposed Plan LDP2. As part of the preparation of the Plan, the Council engaged early with SEPA on sites it was considering allocating and took on board comments from SEPA. In addition, The Council has worked extensively with SEPA and the KAG on issues pertaining to flooding in Kilmarnock and has undertaken a series of flood workshops with the Key Agencies. The new proposed plan contains flood	

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				policies reflective of SEPA's stance and of NPF4.	
				National Planning Framework 4 is expected to be adopted by the Scottish Parliament later in 2022 and will become part of the Development Plan, ensuring national planning policies on flooding are applied in local decision making.	
				The South Ayrshire Council Local Development Plan recognises the importance of sustainable flood risk management in both urban and rural developments and is in alignment with Scottish Planning Policy. The Local Development Plan was published in February 2022.	

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4.16 Straiton (Potentially Vulnerable Area 12/16)

Local Plan District	Local authority	Main catchment
Ayrshire	East Ayrshire Council, South Ayrshire Council	Water of Girvan
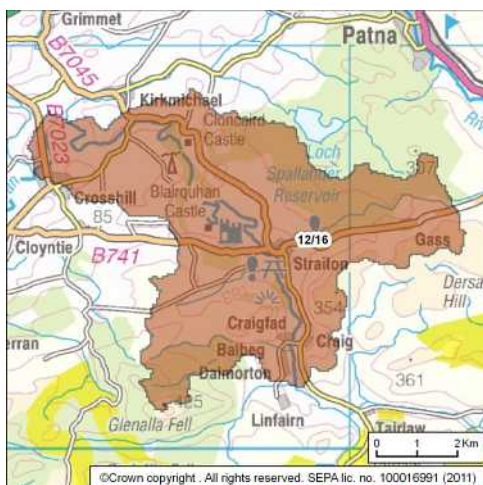
Summary of Progress for Straiton

There are approximately 20 residential properties at risk of flooding. The Annual Average Damages are approximately £45,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/16, please click here.

Key progress has been made with the installation of River Monitors on the Muck Water along with others in the Doon Valley, to gather hydraulic data to inform the planned combined Flood study (2020-2022) for these watercourses. The Flood study will inform Cycle 2 flooding actions for these locations

Overview of actions to manage flooding in Straiton

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/16											G			G	G	G	G	G

Summary of progress of actions to manage flood risk in the Straiton (PVA 12/16)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Flood forecasting		The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2 Responders. The service also provides information which allows SEPA to issue flood warnings, giving people a better chance of reducing the impact of flooding on their home or business. For more information please visit SEPA's website.	22/12/2015-01/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport	N/A

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	G		network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be	01/06/2016-22/06/2022	Community Engagement included, PLP exhibitions, selection, surveys and appropriate and relevant information to enable clients to make the right decisions. Responsible Authorities shall continue to support Ongoing community PLP training, Flood Warden and resilience group promotion.	N/A.

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		found in the Councils and Scottish Flood Forum websites.			
Awareness raising	G	South Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Through the continued development of flood schemes and studies at higher risk locations, officers from the Council's Flood Risk Management Team attend community council events to discuss elements of flood risk management. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19.

Awareness raising is a continuous activity for South Ayrshire Council which is actioned by updating the Council's website, working with partners and engagement with relevant stakeholders as appropriate. | N/A. |

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		public on large capital projects and detailed local studies.			
Maintenance	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets including those which help to reduce flood risk.	01/06/2016-01/06/2022	South Ayrshire Council carry out monthly inspections and clearance work where necessary on 17 debris screens where there is a known flood risk from blockage. Watercourse inspections are carried out on a regular basis where there are known flood risk issues. South Ayrshire Council will continue to inspect and maintain the flood protection structures within the Catchment.	N/A.
Emergency plans/response	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act	01/06/2016-01/06/2022	For SAC Ayrshire Civil Contingencies maintain and update all emergency response plans. These are updated every 3 years or as required after an incident. This is done in conjunction with the relevant department and external agency.	N/A.

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		2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.		The Ayrshire Civil Contingencies team is responsible for producing the Civil Contingencies Plan, which outlines the management and operational arrangements that the Councils will follow in the event of an emergency as well as encouraging other agencies to prepare for their role. The Councils will contribute to the production and review of the Civil Contingencies Plan and the Emergency Plan for Severe Weather and Flooding, as required. This response may be supported by the work of voluntary organisations.	
Planning policies	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning	N/A.

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	to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.		Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach. East Ayrshire Council has prepared and consulted on its Proposed Plan LDP2. As part of the preparation of the Plan, the Council engaged early with SEPA on sites it was considering allocating and took on board comments from SEPA. In addition, The Council has worked extensively with SEPA and the KAG on issues pertaining to flooding in Kilmarnock and has undertaken a series of flood workshops with the Key Agencies. The new proposed plan contains flood	

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| | | | policies reflective of SEPA's stance and of NPF4.

National Planning Framework 4 is expected to be adopted by the Scottish Parliament later in 2022 and will become part of the Development Plan, ensuring national planning policies on flooding are applied in local decision making.

The South Ayrshire Council Local Development Plan recognises the importance of sustainable flood risk management in both urban and rural developments and is in alignment with Scottish Planning Policy. The Local Development Plan was published in February 2022. | |

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4.17 Dailly (Potentially Vulnerable Area 12/17)

Local Plan District	Local authority	Main catchment
Ayrshire	South Ayrshire Council	Water of Girvan
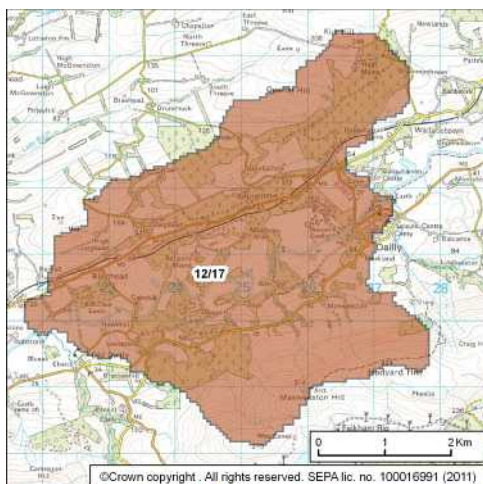
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Summary of Progress for Dailly

There are fewer than ten residential properties at risk of flooding. The Annual Average Damages are approximately £38,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/17, please click here.

Throughout the reporting period South Ayrshire Council have carried out inspection and maintenance works at known high flood risk locations such as debris screens and small culverts.

Overview of actions to manage flooding in Dailly

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/17											G			G	G	G	G	G

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Summary of progress of actions to manage flood risk in the Dailly (PVA 12/17)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Flood forecasting	G	The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2 Responders. The service also provides information which allows SEPA to issue flood warnings, giving people a better chance of reducing the impact of flooding on their home or business. For more information please visit SEPA's website.	22/12/2015-01/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport	N/A

	G			network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be	01/06/2016-22/06/2022	Community Engagement includes, PLP exhibitions, selection, surveys and appropriate and relevant information to enable clients to make the right decisions.

Ongoing community PLP training, Flood Warden and resilience group promotion. | N/A. |

Dailly (Potentially Vulnerable Area 12/17)

		found in the Councils and Scottish Flood Forum websites.			
Awareness raising	G	South Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Through the continued development of flood schemes and studies at higher risk locations, officers from the Council's Flood Risk Management Team attend community council events to discuss elements of flood risk management. Across Scotland, SEPA will create and share communication and education resources with other responsible authorities. These resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19.

Awareness raising is a continuous activity for South Ayrshire Council which is actioned by updating the Council's website, working with partners and engagement with relevant stakeholders as appropriate. | N/A. |

Dailly (Potentially Vulnerable Area 12/17)   183

	G	public on large capital projects and detailed local studies			
Maintenance	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets including those which help to reduce flood risk.	01/06/2016-01/06/2022	South Ayrshire Council carry out monthly inspections and clearance work where necessary on 17 debris screens where there is a known flood risk from blockage. Watercourse inspections are carried out on a regular basis where there are known flood risk issues. South Ayrshire Council will continue to inspect and maintain watercourses, screens and other relevant Council assets.	N/A.
Emergency plans/response	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2	01/06/2016-01/06/2022	For South Ayrshire Council, the Ayrshire Civil Contingencies maintain and update all emergency response plans. These are updated every 3 years or as required after an incident. This is done in conjunction with the relevant department and external agency.	

Dailly (Potentially Vulnerable Area 12/17)   184

		Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.		The Ayrshire Civil Contingencies team is responsible for producing the Civil Contingencies Plan, which outlines the management and operational arrangements that the Councils will follow in the event of an emergency as well as encouraging other agencies to prepare for their role. The Councils will contribute to the production and review of the Civil Contingencies Plan and the Emergency Plan for Severe Weather and Flooding, as required. This response may be supported by the work of voluntary organisations.	
Planning policies	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning	N/A.

Dailly (Potentially Vulnerable Area 12/17)   185

	to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.		Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach. The South Ayrshire Council Local Development Plan recognises the importance of sustainable flood risk management in both urban and rural developments and is in alignment with Scottish Planning Policy. The Local Development Plan was published in February 2022.	

Dailly (Potentially Vulnerable Area 12/17)

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4.18 Girvan (Potentially Vulnerable Area 12/18)

Local Plan District	Local authority	Main catchment
Ayrshire	South Ayrshire Council	Girvan to Lendalfoot coastal

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Summary of Progress for Girvan

There are approximately 110 residential properties at risk of flooding. The Annual Average Damages are approximately £220,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/18, please click here.

The Ayrshire Shoreline Management Plan has been completed and adopted by both North and South Ayrshire Councils in September/October 2018.

The Mill Burn and Girvan Water Flood Study has been completed.

Overview of actions to manage flooding in Girvan

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/18				G			G	A	G	G	G			G	G	G	G	G

Girvan (Potentially Vulnerable Area 12/18)   187

Summary of progress of actions to manage flood risk in the Girvan (PVA 12/18)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Flood protection study	G	A shoreline management plan is recommended; this study is not limited to Potentially Vulnerable Areas but should cover the whole of the Ayrshire coastline and any areas beyond this which may be influenced by changes in coastal processes. The study should investigate flooding and coastal erosion, wave overtopping and the current coastal protection offered. The study will help to develop an understanding of coastal issues and identify where further work may be required to mitigate against flooding.	01/06/2016-01/06/2022	The Ayrshire Shoreline Management Plan is completed and adopted by both North and South Ayrshire Councils in September/October 2018. The Ayrshire Shoreline Management Plan will be reviewed every 6 years.	N/A.
Flood protection study		A flood study will be carried out to further investigate river flood risk combined with coastal flood risk to Girvan. This study will build on the work within the shoreline management plan to provide a	01/06/2016-01/06/2022	Mill Burn & Girvan Water Flood Study including fluvial modelling has been completed. The options appraisal has been completed and a flood scheme was submitted for national prioritisation in December 2018. The submitted	N/A.

		detailed investigation of the current and future flood risk. The study should examine the most sustainable combinations of actions to manage flooding.		flood scheme would provide a 1 in 200 year level of flood protection and was valued at £3M at the time of submission.

Awaiting the outcome of the Scottish Government prioritisation process and scheme funding review. | |
| Strategic mapping and modelling | A | SEPA will seek to develop flood mapping in the Ayr to Ardrossan area to improve understanding of coastal flood risk. The extent and timing of improvements will depend on detailed scoping and data availability. Where this work coincides with local authority studies, SEPA will work collaboratively to ensure consistent modelling approaches are applied. The coastal mapping and modelling process will start in 2016, with early work focussing on methodology development and data collection. Once this stage has been completed a thorough review will be carried out to identify | 01/01/2016-31/12/2018. | Work completed to date includes the production of key data sets including extreme water levels and offshore wave and wind conditions to support future coastal modelling work. Although this work has not been completed to the timescale described in the plan, the work that will be progressed will deliver a more comprehensive update of the coastal flood hazard maps across the whole area. | SEPA will complete a review of coastal flood hazard mapping in south west Scotland including in this area. This includes identifying where taking account of the impact of waves on flooding from the sea may be required. SEPA will collect the required coastal defence asset and other information necessary to progress with improved flood modelling and mapping in the highest priority areas taking account of wave overtopping where required. SEPA will look for opportunities to progress future modelling work in a way that best supports improvements to SEPA's Coastal Flood Warning Schemes. |

Girvan (Potentially Vulnerable Area 12/18)   189

		the final mapping improvements that can be made in the area.			Expected to progress to the next stage around the middle of cycle 2 and complete early in the following cycle, subject to funding.
Strategic mapping and modelling Section 16 Assessment		Scottish Water will undertake further investigation and modelling in the Girvan sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland0 Act 2009.	01/01/2018 – 31/12/2020	The Scottish Water assessment of flood risk within the sewer catchment has been completed.	The assessment is now completed and has been shared with Local Authority.
Maintain flood protection scheme*	G	There are a number of sections of coastal defences in Girvan which provide some protection to the area. These defences will be maintained, and will continue to manage flooding according to the design standard at the time of construction. An annual inspection is carried out on all coastal protection structures in South Ayrshire with maintenance works carried out on a priority basis within available resources. Additional inspections are carried out in response to external defect	01/06/2016- 01/06/2022	This work continues to be carried out on an annual basis.

South Ayrshire Council will continue to inspect and maintain the flood protection structures within the catchment. | N/A. |

Girvan (Potentially Vulnerable Area 12/18)

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		reports or following severe storm events.			
Maintain flood warning Girvan Esplanade flood warning area	G	SEPA will continue to maintain the Girvan Esplanade flood warning area which is part of the Firth of Clyde coastal flood warning scheme. When flood events occur in an area with a flood warning service, SEPA will seek to verify and validate the warning service. SEPA will use feedback and post-event data to ensure that our flood warning service is timely and accurate.	22/12/2015-22/06/2022	SEPA has continued to operate the flood warning service.	N/A.
Flood forecasting	G	The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2 Responders. The service also provides information which allows SEPA to issue flood warnings, giving people a better chance of reducing the impact of flooding on their home or business. For more	22/12/2015-01/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the	N/A

Girvan (Potentially Vulnerable Area 12/18)   191

		information please visit SEPA's website.		public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and communication challenges associated with providing surface water flooding guidance.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing	01/06/2016-01/06/2022	Community Engagement includes, PLP exhibitions, selection, surveys and appropriate and relevant information to enable clients to make the right decisions.	Ongoing community PLP training, Flood Warden and resilience group promotion.

Girvan (Potentially Vulnerable Area 12/18)   192

		property level protection, signing up to Floodline. The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be found in the Councils and Scottish Flood Forum websites.			
Awareness raising	G	South Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and how those affected can be better prepared. Through the continued development of flood schemes and studies at higher risk locations, officers from the Council's Flood Risk Management Team attend community council events to discuss elements of flood risk management. Across Scotland, SEPA will create and share communication and education	22/12/2015-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19.

Awareness raising is a continuous activity for South Ayrshire Council which is actioned by updating the Council's website, working with | N/A. |

Girvan (Potentially Vulnerable Area 12/18) 193

		resources with other responsible authorities. These resources will include awareness campaigns, media and marketing activity and promotion of SEPA's flood forecasting and warning services (Floodline). Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the public on large capital projects and detailed local studies		partners and engagement with relevant stakeholders as appropriate.	
Maintenance	G	Local authorities have a duty to assess watercourses and carry out clearance and repair works where such works would substantially reduce flood risk. They produce schedules of clearance and repair works and make these available for public inspection. Scottish Water undertake risk based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the	01/06/2016-01/06/2022	South Ayrshire Council carry out monthly inspections and clearance work where necessary on 17 debris screens where there is a known flood risk from blockage. Watercourse inspections are carried out on a regular basis where there are known flood risk issues.

South Ayrshire Council will continue to inspect and maintain watercourses, screens and other Council assets. | N/A. |

Girvan (Potentially Vulnerable Area 12/18)   194

	G	maintenance and management of their own assets including those which help to reduce flood risk.			
Emergency plans/response	G	Providing an emergency response to flooding is the responsibility of many organisations, including local authorities, the emergency services and SEPA. Effective management of an emergency response relies on emergency plans that are prepared under the Civil Contingencies Act 2004 by Category 1 and 2 Responders. Scottish Water are a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required. The emergency response by these organisations is coordinated through regional and local resilience partnerships. This response may be supported by the work of voluntary organisations.	01/06/2016-01/06/2022	For South Ayrshire Council, the Ayrshire Civil Contingencies maintain and update all emergency response plans. These are updated every 3 years or as required after an incident. This is done in conjunction with the relevant department and external agency.

The Ayrshire Civil Contingencies team is responsible for producing the Civil Contingencies Plan, which outlines the management and operational arrangements that the Councils will follow in the event of an emergency as well as encouraging other agencies to prepare for their role. The Councils will contribute to the production and review of the Civil Contingencies Plan and the Emergency Plan for Severe Weather and Flooding, as required. This response may be supported by the work of voluntary organisations. | N/A. |

Girvan (Potentially Vulnerable Area 12/18)   195

	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.	01/06/2016-01/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach.	N/A.
Planning policies				

Girvan (Potentially Vulnerable Area 12/18)   196

				The South Ayrshire Council Local Development Plan recognises the importance of sustainable flood risk management in both urban and rural developments and is in alignment with Scottish Planning Policy. The Local Development Plan was published in February 2022.	

Girvan (Potentially Vulnerable Area 12/18) 197

4.19 Dalmellington (Potentially Vulnerable Area 12/19c)

Local Plan District	Local authority	Main catchment
Ayrshire	East Ayrshire Council	East Ayrshire Council Muck Water

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Summary of Progress for Dalmellington

There are approximately 50 residential properties at risk of flooding. The total Annual Average Damages are approximately £140,000. Further information can be found in the Ayrshire Local FRMP under PVA 12/019c, please click here.

Key progress has been made with the installation of River Monitors on the Muck Water along with others in the Doon Valley to gather hydraulic data to inform the completed combined Flood study (2020 -2022) for these watercourses. The Flood study will inform Cycle 2 flooding actions for these locations

Overview of actions to manage flooding in Dalmellington

PVA	Flood protection scheme / works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping & modelling	Strategic mapping & modelling SEPA	Maintain flood protection scheme*	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/19c				G							G			G	G	G	G	G

Dalmellington (Potentially Vulnerable Area 12/19c) 198

Summary of progress of actions to manage flood risk in the Dalmellington (PVA 12/19c)

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Flood protection study	G	A study will investigate the feasibility of a flood protection scheme along the Muck Water. East Ayrshire Council is currently procuring suitable flow and level monitoring installations on appropriate watercourses identified for studies, with the intention of informing those studies in areas known to have little or no information currently available. Information gaps and proposed locations are being identified in co-operation with SEPA. Once this information is available the study will look to refine understanding of the current and future flood risk in the area and investigate the feasibility of actions to reduce flooding, as prioritised in the Ayrshire Flood Risk Management Strategy.	01/06/2016-22/06/2022	Progress has been made with the installation of River Monitors on the Muck Water along with others in the Doon Valley, to gather hydraulic data to inform the planned combined Flood study (2020 -2022) for these watercourses. The Flood study will inform Cycle 2 flooding actions for these locations. Additional resourcing was required in order to procure these works. This study has now been completed. The anticipated rescheduling is not envisaged to affect the ability to report as intended in Cycle 2.	N/A.

Dalmellington (Potentially Vulnerable Area 12/19c)   199

		The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2 Responders. The service also provides information which allows SEPA to issue flood warnings, giving people a better chance of reducing the impact of flooding on their home or business. For more information please visit SEPA's website.	20/122015-22/06/2022	SEPA continues to improve the Scottish Flood Forecasting Service with the Met Office, with daily Flood Guidance Statements and regional Flood Alerts issued as required to enable communities and responders to reduce the impacts of flooding. SEPA in partnership with the Met Office has developed a public version of the daily Flood Guidance Statement, the Scottish Flood Forecast, to provide better and earlier information to the public. A beta version of this product was launched in May 2022. It will be refined in the wake of user feedback. A more focussed version of the product, producing guidance at a local level, is planned for the next flood risk management cycle. Options for developing forecasts of surface water flooding have been published in 2022 to help urban areas and the transport network improve their resilience to and preparedness for flooding. The development and wider roll-out of this service is being considered alongside the technical, resource and	N/A
Flood forecasting	G				

Dalmellington (Potentially Vulnerable Area 12/19c)   200

	G			communication challenges associated with providing surface water flooding guidance.	
Self help	G	Everyone is responsible for protecting themselves and their property from flooding. Property and business owners can take simple steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property level protection, signing up to Floodline The Councils, SEPA and Scottish Water will continue to engage with responsible Authorities and all other stakeholders, including community groups and the public to raise awareness of flood risk and how those affected can be better prepared. Further detail can be found in the Councils and Scottish Flood Forum websites.	01/06/2016-22/06/2022	Community Engagement includes, PLP exhibitions, selection, surveys and appropriate and relevant information to enable clients to make the right decisions. Responsible Authorities shall continue to support ongoing community PLP training, Flood Warden and resilience group promotion.	
Awareness raising	G	East Ayrshire Council, South Ayrshire Council, SEPA and Scottish Water collectively work to raise awareness of flood risk and	01/06/2016-22/06/2022	SEPA continues to work with others to raise awareness of flood risk and its flood warning service. It has participated in local activities including	N/A.

Dalmellington (Potentially Vulnerable Area 12/19c)

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| | | how those affected can be better prepared. | | school / education and community resilience activities when able. Some planned activities notably in person joint events have been limited or delayed due to Covid 19.

East Ayrshire Council and SEPA has delivered a range of awareness raising activities through campaigning, education activities and partnership delivery. We have run national and local digital and direct engagement campaigns to raise awareness of flood risk and SEPA's flood warning service, Floodline. We publish and publicise an electronic newsletter (Flooding Gateway) four times a year which is distributed to a wide audience. SEPA are working with Education Scotland and Scottish Government Resilience team to embed flooding awareness within the Curriculum for Excellence, and resilience partners in Safer Communities programmes. We have also developed an online tool that helps everyone share information on current flooding issues (Report-a- | |

Dalmellington (Potentially Vulnerable Area 12/19c)   202

				Flood). We have worked in partnership with local authorities, emergency services and community organisations (e.g. Neighbourhood Watch Scotland, Citizens Advice Scotland and others) to share our resources and help to promote preparedness and understanding of how we manage flood risk in Scotland. We have actively supported the Scottish Flood Forum and worked closely with UK agencies to develop joint flooding information.	
Maintenance	G	East Ayrshire Council in accordance with Section 18 of the Flood Risk Management (Scotland) Act 2009 undertake assessment of water bodies to determine whether works of clearance and repair would substantially reduce the risk of flooding. This information is used to produce a schedule of works which is available for the public to inspect.	01/06/2016-22/06/2022	High risk locations such as those with screens and some smaller culverts were inspected on a scheduled basis. The majority of inspections tended to be undertaken in the winter months when flows are higher, and leaves and other waterborne debris can be an issue. Works of clearance were carried out during these inspections which are not specifically "scheduled". The main water bodies, and other water bodies, within urban areas were subject to an annual visual	The Council will continue to inspect and maintain watercourses, screens and other relevant Council assets.

Dalmellington (Potentially Vulnerable Area 12/19c)   203

				inspection and any works	
Emergency plans/response	G	The Civil Contingencies Team ensures that the Council will be able to respond speedily and effectively in a major emergency. North, South and East Ayrshire teams are a shared service team known as the Ayrshire Civil Contingencies Team. If disaster strikes, or if emergencies develop in Ayrshire, communities will look to the Council for support and advice. The Ayrshire Civil Contingencies Team ensures that the Council will be able to respond speedily and effectively in a major emergency in accordance with the Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005. Our responsibilities include preparing comprehensive and robust contingency plans and procedures irrespective of the nature of the emergency. The main aim is to preserve life and property. Every emergency plan also sets out to:	01/06/2016-22/06/2022	Emergency Response Planning (ERP) is carried out by Ayrshire Civil Contingencies Team (ACCT). This is an all Ayrshire shared service. ACCT update and co-ordinate (all Emergency Responders) the emergency response plans (ERP) as required (in direct consultation with ARA, where appropriate). In addition to the ERP, East Ayrshire Council has implemented a system of river monitors in known areas and a rota of Flood Scouts is maintained. The Flood Scouts are tasked to monitor and report back on status on receipt of any alarm.	N/A.

Dalmellington (Potentially Vulnerable Area 12/19c)   204

		Mitigate the harmful effects of the emergency on the environment; bring about a swift return to normal life in the communities and environment affected; and encourage all agencies and organisations to prepare for their role.			
Planning policies	G	Scottish Planning Policy and accompanying Planning Advice Notes set out Scottish Ministers' priorities for the operation of the planning system and for the development and use of land. In terms of flood risk management, the policy supports a catchment-scale approach to sustainable flood risk management and aims to build the resilience of our cities and towns, encourage sustainable land management in our rural areas, and to address the long-term vulnerability of parts of our coasts and islands. Under this approach, new development in areas with medium to high likelihood of flooding should be avoided.	01/06/2016-22/06/2022	SEPA continues to exercise its planning functions with a view to reducing overall flood risk. We effectively contribute to the delivery of sustainable flood risk management and we support the delivery of FRM Plans and Local FRM Plans. In line with the management actions that accord with national planning policies, we have and will continue to object to development at medium to high risk of flooding when it is contrary to the risk framework set out in Scottish Planning Policy. We have and will continue to engage from the start of the development plan process and encourage planning authorities to undertake a Strategic Flood Risk Assessment to inform their spatial	N/A.

Dalmellington (Potentially Vulnerable Area 12/19c)

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strategy. We remain committed to exercising our planning functions with a view to reducing overall flood risk, and when a new national planning policy context is finalised later in 2022 via the National Planning Framework 4, we will take the same approach.

East Ayrshire Council has prepared and consulted on its Proposed Plan LDP2. As part of the preparation of the Plan, the Council engaged early with SEPA on sites it was considering allocating and took on board comments from SEPA. In addition, The Council has worked extensively with SEPA and the KAG on issues pertaining to flooding in Kilmarnock and has undertaken a series of flood workshops with the Key Agencies. The new proposed plan contains flood policies reflective of SEPA's stance and of NPF4.

Dalmellington (Potentially Vulnerable Area 12/19c)   206

4.20 Other actions

This section sets out details of additional significant actions undertaken in the LPD by local authorities to contribute to the implementation of the current actions in the plan and the achievement of the objectives in the plan.

Action	Status	Description	Dates	Progress in Delivery, including key deliverables and dates	Revised dates and planned actions to complete / address delay
Flood protection study	G	A study needs to be undertaken to further investigate river flood risk at the Lower Irvine Valley catchment and re-evaluate the fluvial flood risk. The study should examine the most sustainable combination of actions to manage flooding.	01/06/2016-01/06/2022	The River Irvine and Annick Water fluvial modelling is complete. The study included a regional climate change sensitivity assessment and was approved by SEPA in July 2018. The option appraisal is complete, and the design of a flood protection scheme is an action that has been identified in the Flood Risk Management Plan, published in 2021 by SEPA.	N/A

Other actions

Appendix1: Roles and Responsibilities

Individuals are the first line of defence against flooding. However, public bodies have responsibilities too and are working together to reduce the impacts of flooding in Scotland. Responsibility for flood risk management planning falls in the main to SEPA, local authorities and Scottish Water. However, individuals have a personal responsibility to protect themselves and their property.

Some of the key roles are outlined below and more information is available from the SEPA website.

Your responsibilities

Organisations and individuals have responsibilities to protect themselves from flooding. Being prepared by knowing what to do and who to contact if flooding happens can help you reduce the damage and disruption flooding can have on your life.

The first step to being prepared is to sign up to Floodline - www.floodlinescotland.org.uk - to receive messages to let you know where and when flooding is likely to happen. Other useful tools and advice on how to be prepared are available on the Floodline website including a quick guide to who to contact in the event of a flood. You can also check how your area could be affected by flooding by looking at SEPA's flood maps - www.sepa.org.uk/environment/water/flooding/flood-maps

SEPA

SEPA is Scotland's national flood forecasting, flood warning and strategic flood risk management authority. SEPA has a statutory duty to produce Scotland's Flood Risk Management Strategies. SEPA works closely with other organisations responsible for managing flood risk through a network of partnerships and stakeholder groups to ensure that a nationally consistent approach to flood risk management is adopted.

SEPA also has a responsibility to identify where in Scotland there is the potential for natural flood management techniques to be introduced. Natural flood management is the use of the natural features of the land to store and slow down the flow of water.

In running Floodline, SEPA provides live flooding information and advice on how to prepare for or cope with the impacts of flooding 24 hours a day, seven days a week. To help forecast for flooding SEPA works closely with the Met Office.

To raise awareness of flooding at a national level, SEPA runs education initiatives, community engagement programmes and an annual campaign to promote the useful advice and information available through Floodline. SEPA works in partnership with local authorities, Neighbourhood Watch Scotland, Ready Scotland and others to share resources and help to promote preparedness and understanding of how flood risk is managed.

SEPA has a statutory role in relation to the provision of flood risk advice to planning authorities. This role is expressed in Section 72 of the FRM Act, 2009. SEPA also has a duty to co-operate with planning authorities in the preparation of development plans. When consulted in relation to planning applications for development or site allocations in development plans, and where the planning authority considers there may be a risk of flooding, SEPA will provide advice. The advice provided by SEPA will be with respect to the risk of flooding and on the basis of the relevant information it holds which is suitable for planning purposes. It will also be in line with the principles and duties set out in the FRM Act. Further information about how SEPA engage in the

planning system, including guidance on flood risk and planning is available on SEPA website www.sepa.org.uk/environment/land/planning

Local authorities

Local authorities work together for flood risk management planning purposes through a single lead authority which has the responsibility to produce a Local Flood Risk Management Plan. Local authorities have been working collaboratively in the manner described above to develop these.

It is the responsibility of your local authority to implement its flood protection actions agreed within the Local Flood Risk Management Plan. You can help your local authority to manage flooding by not dumping material on the banks of a watercourse and by letting them know if flood defences are tampered with.

During severe flooding, local authorities will work with the emergency services and coordinate shelter for people evacuated from their homes.

The Lead Local Authority for the Ayrshire Local Plan District is: **North Ayrshire Council**

Other local authorities who are responsible authorities for the Ayrshire Local Plan District are: **East Ayrshire Council and South Council.**

Scottish Water

Scottish Water is a responsible authority for flood risk management and is working closely with SEPA, local authorities and other responsible authorities to coordinate plans to manage flood risk.

Scottish Water has the public drainage duty and is responsible for foul drainage and the drainage of rainwater run-off from roofs and any paved ground surfaces from the boundary of properties. Additionally, Scottish Water helps to protect homes from flooding caused by sewers either overflowing or becoming blocked. Scottish Water is not responsible for private pipework or guttering within the property boundary.

Forestry Commission Scotland

Forestry Commission Scotland was designated in 2013 as a responsible authority for flood risk management planning purposes and has engaged in the development of the Local Flood Risk Management Plan. This reflects the widely held view that forestry can play a significant role in managing flooding.

Other organisations

- The **Scottish Government** oversees the implementation of the Flood Risk Management (Scotland) Act 2009 which requires the production of Flood Risk Management Strategies and Local Flood Risk Management Plans. Scottish Ministers are responsible for setting the policy framework for how organisations collectively manage flooding in Scotland.

- **Scottish Natural Heritage** has provided general and local advice in the development of this Flood Risk Management Strategies. Flooding is seen as a natural process that can maintain the features of interest at many designated sites, so Scottish Natural Heritage helps to ensure that any changes to patterns of flooding do not adversely affect the environment. Scottish Natural Heritage also provides advice on the impact of Flood Protection Schemes and other land use development on designated sites and species.

- During the preparation of the first flood risk management plans **Network Rail** and **Transport Scotland** have identified works to address flooding at a number of frequently flooded sites. Further engagement is

planned with SEPA and local authorities to identify areas of future work. There is the opportunity for further works to be undertaken during the first flood risk management planning cycle although locations for these works are yet to be confirmed.

- **Utility companies** have undertaken site specific flood risk studies for their primary assets and have management plans in place to mitigate the effects of flooding to their assets and also minimise the impacts on customers.

- The **Met Office** provides a wide range of forecasts and weather warnings. SEPA and the Met Office work together through the [Scottish Flood Forecasting Service](#).

- The **emergency services** provide emergency relief when flooding occurs and can coordinate evacuations. You should call the emergency services on 999 if you are concerned about your safety or the safety of others and act immediately on any advice provided.

- The **Scottish Flood Forum** is a Scottish charitable organisation that provides support for those who are affected by, or are at risk of, flooding. It provides flood advice, information, awareness, education and training to individuals and communities to help reduce the risk of flooding; in partnership with the local authority, provides support during the recovery process following a flood incident and aims to support the development of resilient communities.

Appendix2: Consultation and engagement

From 22 December 2014 a national consultation on the current state of knowledge of flood risk across Scotland and what the potential solutions might be, was undertaken with the public on the work carried out to develop draft Flood Risk Management Strategies and Local Flood Risk Management Plans.

The consultation was run jointly between SEPA and local authorities and involved the publication of draft information that is contained in the strategies and local plans. The consultation was carried out in 2 phases:

- Phase 1 commenced on 22 December 2014 and initially provided a summary of the main sources and impacts of flooding.

- Phase 2 commenced on 2 March 2015 when the proposed initial objectives to manage the identified flood risk were made available alongside a short list of potential measures, as well as information on the draft local flood risk management plans.

There was an opportunity to comment on the all the information provided between 2 March and 2 June 2015. The responses helped to form the final Strategies and Plans.

The final Flood Risk Management Strategies for 14 Local Plan Districts were approved by the Scottish Government and published by SEPA in December 2015. Further information is available on the SEPA website here - http://apps.sepa.org.uk/FRMStrategies/

Following publication of the Flood Risk Management Strategies by SEPA, the Ayrshire local authorities undertook a range of engagement activities through February and early March 2016 to raise awareness of the Ayrshire Flood Risk Management Strategy, flood risk within the local authority area, as identified in the SEPA Flood Maps available here - http://map.sepa.org.uk/floodmap/map.htm - and inform the development of the Ayrshire Local Flood Risk Management Plan. The objective of this activity was to ensure a greater awareness of these key documents, particularly for those communities identified as at risk of flooding. Further details of the activities being undertaken are available from each Ayrshire Local Authority. There will be ongoing engagement both with raising public awareness of the Plan and its approaches to managing or reducing flood risk, and as part of the process of delivering Actions.

Appendix3: Supporting Information

Sources of flooding described in this Plan

The Local Flood Risk Management Plan addresses the risk of flooding from rivers, the coast and surface water. The risk of flooding from rivers is usually due to rainfall causing a river to rise above bank level spreading out and inundating adjacent areas. Coastal flooding is where the risk is from the sea. Sea levels can change in response to tidal cycles or atmospheric conditions. Over the longer term sea levels and coastal flood risk may change due to climate change. Surface water flooding happens when rainwater does not drain away through the normal drainage systems or soak into the ground, but lies on or flows over the ground instead.

There can be interactions between these sources of flooding, and the Actions set out in this Plan take this into account.

The following aspects of flooding have not been incorporated into this Plan:

- **Groundwater** is generally a contributing factor to flooding rather than the primary source. It is caused by water rising up from underlying rocks or flowing from springs.

- **Reservoir breaches** have been assessed under separate legislation (Reservoirs (Scotland) Act 2011). Further information and maps can be found on SEPA's website.

- The Flood Risk Management Act (Scotland) 2009 does not require SEPA or responsible authorities to assess or manage **coastal erosion**. However, SEPA has included consideration of erosion in the Flood Risk Management Strategies by identifying areas that are likely to be susceptible to erosion and where erosion can exacerbate flood risk. As part of considering where actions might deliver multiple benefits, SEPA has looked to see where the focus of coastal flood risk management studies coincides with areas of high susceptibility to coastal erosion. Subsequent detailed studies and scheme design will need to consider how coastal erosion in these areas.

- **Coastal flood modelling.** The information on coastal flooding used to set objectives and identify actionsis based on SEPA modelling using simplified coastal processes and flooding mechanisms at work during a storm. Wave overtopping cannot be accurately modelled at a national scale due to the importance of local factors such as prevailing wind conditions, the depth and profile of the near-shore sea bed or the influence of any existing defences or management structures. As a result, coastal flood risk may be underestimated in some areas. Conversely, in locations with wide and flat floodplains, the modelling may overestimate flood risk. To address this, in a number of locations where more detailed local models were available they have been incorporated into the development of the Flood Risk Management Strategies. Where wave overtopping has been specifically identified as a concern – but where no further detailed modelling is available – particular compensation has been made in the selection of appropriate actions to address coastal flood risk.

Commonly used terms

Below are explanatory notes for commonly used terms in flood risk management. A glossary of terms is also available.

- **Reference to flood risk.** During the development of the Strategy and Plan, flood risk has been assessed over a range of likelihoods. For consistency in reporting information, unless otherwise stated, all references to properties or other receptors being 'at risk of flooding' refer to a medium likelihood flood (up to a 1 in 200 chance of flooding in any given year). By exception, references will be made to high or low risk flooding, which should be taken to mean a 1 in 10 chance/likelihood or 1 in 1000 chance/likelihood of flooding in any given year respectively.

Likelihood of Flooding	Return Period	Annual Exceedance Probability (chance of event occurring in any one year)
High	10 year	10%
Medium	200 year	0.5%
Low	1000 year	0.1%

- **Annual Average Damages** have been used to assess the potential economic impact of flooding within an area. Depending on its size or severity each flood will cause a different amount of damage to a given area. Annual Average Damages are the theoretical average economic damages caused by flooding when considered over a very long period of time. It does not mean that damage will occur every year: in many years there will be no damages, in some years minor damages and in a few years major damages may occur.

High likelihood events, which occur more regularly, contribute proportionally more to Annual Average Damages than rarer events. Annual Average Damages incorporate economic damages to the following receptors: residential properties, non-residential properties, vehicles, emergency services, agriculture and roads. They have been calculated based on the principles set out in the Flood Hazard Research Centre Multi-Coloured Handbook (2010).

Flood risk management planning process

Flood risk management in Scotland aims to manage flooding in a sustainable way. Sustainable flood risk management considers where floods are likely to occur in the future and takes action to reduce their impact without moving the problem elsewhere. It considers all sources of flooding, whether from rivers, the sea or from surface water. It delivers actions that will meet the needs of present and future generations whilst also protecting and enhancing the environment.

The sustainable approach to managing flood risk works on a six year planning cycle, progressing through the key stages outlined below.

- **Identifying priority areas at significant flood risk**

The first step to delivering a risk based, sustainable and plan-led approach to flood risk management was SEPA's **National Flood Risk Assessment**, which was published in 2011. The assessment considered the likelihood of flooding from rivers, groundwater and the sea, as well as flooding caused when heavy

rainfall is unable to enter drainage systems or the river network. The likelihood of flooding was examined alongside the estimated impact on people, the economy, cultural heritage and the environment. It significantly improved our understanding of the causes and consequences of flooding and identified areas most vulnerable to floods.

- **Potentially Vulnerable Areas and Local Plan Districts**

Based on the National Flood Risk Assessment, SEPA identified areas where flooding was considered to be nationally significant. These areas are based on catchment units as it is within the context of the wider catchment that flooding can be best understood and managed. These nationally significant catchments are referred to as **Potentially Vulnerable Areas**.

In Scotland, 243 Potentially Vulnerable Areas were identified. They are estimated to contain 92% of the total number of properties at risk.

A small number of Candidate Potentially Vulnerable Areas were identified after the National Flood Risk Assessment in light of new information that warranted further assessment and appraisal. They are included in the flood risk management planning process. The National Flood Risk Assessment will be updated to inform each subsequent planning cycle.

For flood risk management purposes, Scotland was divided into 14 Local Plan Districts. Each Local Plan District will have a Flood Risk Management Strategy and a Local Flood Risk Management Plan.

- **Improving the understanding of flooding**

SEPA developed **flood hazard and flood risk maps** between 2012 and 2014. These maps improved the understanding of flooding and helped inform the subsequent selection of actions to manage flood risk in Potentially Vulnerable Areas. The flood hazard maps show information such as the extent of flooding, water level, as well as depth and velocity where appropriate. The flood risk maps provide detail on the impacts on people, the economy, cultural heritage and the environment.

In 2012 SEPA also developed an **assessment of the potential for natural flood management**. The assessment produced the first national source of information on where natural flood management actions would be most effective within Scotland.

Flood hazard and flood risk maps and the assessment of the potential for natural flood management can be viewed on the SEPA website www.sepa.org.uk.

- **Identifying objectives and selecting actions**

The objectives and actions to manage flooding will provide the long-term vision and practical steps for delivering flood risk management in Scotland.

Working collaboratively with local partnerships, SEPA has agreed the objectives for addressing the main flooding impacts. Actions that could deliver these agreed objectives have been appraised for their costs and benefits to ensure the right combinations are identified and prioritised. The actions considered in the development of this strategy include structural actions (such as building floodwalls, restoring flood plains, or clearance and repair works to rivers) and non-structural actions (such as flood warning, land use planning or improving our emergency response). Structural and non-structural actions should be used together to manage flood risk effectively.

An assessment of the potential for natural flood management was used to help identify opportunities for using the land and coast to slow down and store water. Natural flood management actions were

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recommended in areas where they could contribute to the management of flood risk. In such instances these actions were put forward as part of flood protection or natural flood management studies.

- **Lead local authority**

The FRM Act requires a lead local authority to be identified for each Local Plan District. The lead local authority is crucial to the successful implementation of the FRM Act and, as such, must perform several important functions over and above the general duties and powers given to local authorities elsewhere in the FRM Act.

The lead local authority, having contributed with other local authorities to the production of the Flood Risk Management Strategy, must prepare a Local Flood Risk Management Plan of co-ordinated actions to reduce flood risk within the Local Plan District. Although the lead local authority is responsible for the production of the plan, its content will be drawn from and agreed by all local authorities, other responsible authorities and SEPA within the Local Plan District.

- **Surface Water Management Plans**

A Surface Water Management Plan (SWMP) is a best practice plan which outlines the preferred surface water management strategy in a given location. In this context surface water flooding describes flooding from sewers, drains, groundwater, and runoff from land, small water courses and ditches that occurs as a result of heavy rainfall.

A SWMP study is undertaken in consultation with key local partners who are responsible for surface water management and drainage in their area. Partners work together to understand the causes and effects of surface water flooding and agree the most cost effective way of managing surface water flood risk for the long term. The process of working together as a partnership is designed to encourage the development of innovative solutions and practices.

A SWMP should establish a long-term action plan to manage surface water in an area and should influence future capital investment, drainage maintenance, public engagement and understanding, land-use planning, emergency planning and future developments.

The UK Government SWMP guidance seeks to provide a simplified overarching framework, which allows different organisations to work together and develop a shared understanding of the most suitable solutions to surface water flooding problems. The SWMP guidance has been written for local authorities to assist them as they co-ordinate and lead local flood risk management activities.

- **Integrated Catchment Studies**

Integrated Catchment Studies (ICS) are led by Scottish Water in partnership with local authorities and SEPA. These studies will improve knowledge and understanding of the interactions between the above ground and below ground drainage network e.g. with the sewer network, watercourses and (where appropriate) the sea. This will improve the understanding of contributions these drainage networks play in local surface water flood risk.

Five ICS's were undertaken in Scotland during SR10 (2010-2015), to Modelling and Flood Risk Assessment stage, which have provided a fuller understanding of the sources and mechanisms of flooding across these catchments. These studies are expected to undertake an Optioneering phase between 2015-2021. This will identify the actions to reduce flood risk across the catchments, with the outputs feeding into the Local Authority led Surface Water Management Planning process.

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Fifteen ICS's will begin in Scotland during SR15 (2015-2021). These studies will go through the Scoping and Modelling phases, which culminates in defining the sources and mechanisms of flooding in the catchment, and an understanding of the impacts of that flooding. It is expected that the ICS partnerships will remain and it is anticipated that the Optioneering phase for these studies will be initiated directly after the preceding phases.

Within this Local Plan District, ICS's are being carried out in the following areas; Meadowhead (including Irvine, Kilmarnock, Prestwick and Ayr), Stevenston Point (including Ardrossan, Stevenston, Saltcoats and Kilwinning).

- **Natural flood management assessment and mapping of artificial and natural features**

The new approach to Flood Risk Management requires SEPA to consider whether techniques that restore, enhance or alter natural features and characteristics can contribute to managing flood risk. This means looking at the potential to work with natural hydrological and morphological processes.

Because the National Flood Risk Assessment provides only a strategic assessment of flood risk, further refined assessments may be required in Potentially Vulnerable Areas, including the mapping of artificial and natural features whose removal could increase flood risk.

The development of catchment characteristics and methodologies, to assess the potential for natural flood management, commenced in 2012 alongside work to identify natural flood management actions, that could contribute to the management of flood risk. The information was published in 2013. The assessment of natural flood management was a consideration in the setting of objectives and actions in the Flood Risk Management Strategies. In January 2016 SEPA published the Natural Flood Management Handbook to provide practitioners with information on how best to implement natural flood management measures.

- **Flood hazard and flood risk maps**

The production of flood hazard and flood risk maps has improved our understanding of flooding and helped inform the selection of actions required to manage flood risk in Potentially Vulnerable Areas. Work on production of these maps began in January 2012. These maps show details of flood events for a range of probabilities and cover flooding from rivers, the sea, sewers, surface water run-off and groundwater.

A flood hazard map shows information that describes the nature of a flood, such as the extent of flooding, water level, depth and velocity where appropriate.

A flood risk map provides detail on the impacts on people, the economy, cultural heritage and the environment.

Further information regarding the development of the flood maps and providing a link to the maps, is available online on the SEPA website here – http://www.sepa.org.uk/environment/water/flooding/flood-maps/

Appendix4: Acknowledgements

The information described in this Annex relates to the Figures and Maps that have been generated by SEPA as part of the Flood Risk Management Strategy and have been reproduced in this Local Flood Risk Management Plan. The Ayrshire Local Plan District Partners gratefully acknowledge the cooperation and input that various parties have provided, including inter alia, the following organisations:

SEPA

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The Met Office

Data provided by The Met Office has been used under licence in some areas of flood risk information production. ©Crown Copyright (2015), the Met Office

Local authorities

Lead authorities acknowledge the provision of flood models and other supporting data and information from local authorities and their collaboration in the production of flood risk management information.

Scottish Water

Local authorities acknowledge the inclusion of surface water flooding data generated by Scottish Water in preparation of flood risk information.

Appendix5: Glossary

Actions - Actions describe where and how flood risk will be managed. These actions have been set by SEPA and agreed with flood risk management authorities following consultation. Selection of actions to deliver the agreed objectives has been based on a detailed assessment and comparison of economic, social and environmental criteria. The FRM Act uses the term 'measures' rather than 'actions'.

Annual Average Damages (AAD) - Depending on its size or severity, each flood will cause a different amount of damage to a flood prone area and we can calculate the cost of this damage. Annual Average Damages for an area are the average costs per year that would occur from flooding over a very long period of time. Scottish figures have been calculated based on the method set out in the Flood Hazard Research Centre's Multi-Coloured Handbook (2010).

Appraisal - Appraisal is the process of defining objectives, examining options and weighing up the costs, benefits, risks and uncertainties before a decision is made. The FRM Strategy appraisal method is designed to set objectives and identify the most sustainable combination of actions to tackle flooding from rivers, sea and surface water.

Awareness Raising - Public awareness, participation and community support are essential components of sustainable flood risk management. SEPA and the responsible authorities have a duty to raise public awareness of flood risk. This is undertaken both individually and collaboratively by a range of organisations. Improved awareness of flood risk and actions that prepare individuals, homes and businesses for flooding can reduce the overall impact.

Benefit Cost Ratio (BCR) - A benefit cost ratio summarises the overall value for money of an action or project. It is expressed as the ratio of benefits to costs (both expressed as present value monetary values). A ratio of greater than 1:1 indicates that the economic benefits associated with an action are greater than the economic costs of implementation; therefore this is taken as the threshold of economic viability. It should be acknowledged that it is not always possible to accurately estimate economic values for all elements of benefit, and BCR is just one of a number of techniques used in appraisal.

Candidate Potentially Vulnerable Area – A small number of Candidate Potentially Vulnerable Areas were identified after the National Flood Risk Assessment in light of new information that warranted further assessment and appraisal. They are included in the flood risk management planning process. The National Flood Risk Assessment will be updated to inform each subsequent planning cycle.

Catchment – The area of land drained by a drainage system – either natural or piped.

Category (CAT) 1 and 2 Responders – As defined by the Civil Contingencies Act 2004. Category 1 responders are 'core' responders: local authorities, police, fire and rescue services, ambulance service, NHS health boards, SEPA and the Maritime and Coastguard Agency. Category 2 responders are key co-operating responders in support of Category 1 responders. These include gas and electricity companies, rail and air transport operators, harbour authorities, telecommunications providers, Scottish Water, the Health and Safety Executive and NHS National Services Scotland.

Coastal Flooding – Flooding that results from sea level rise from a combination of high tides and stormy conditions. The term coastal flooding is used under the Flood Risk Management (Scotland) Act 2009, but in some areas it is also referred to as tidal flooding and covers areas such as estuaries and river channels that are influenced by tidal flows.

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Combined Sewer - Combined sewers transport foul sewage from homes and industry as well as carrying surface water runoff from gutters, drains and some highways. Heavy or prolonged rainfall can rapidly increase the flow in a combined sewer until the amount of water exceeds sewer capacity.

Combined Sewer Overflow - Combined sewer overflows are purposely designed structures to ensure any excess water from sewerage systems is discharged in a controlled way and at a specific managed location.

Confluence - Where two or more rivers meet.

Conveyance - Conveyance is a measure of the carrying capacity of a watercourse. Increasing conveyance enables flow to pass more rapidly and reducing conveyance slows flow down. Both actions can be effective in managing flood risk depending on local conditions.

Culvert - A pipe, channel or tunnel used for the conveyance of a watercourse or surface drainage water under a road, railway, canal or other obstacle.

Damages - Flood damages are categorised as direct or indirect i.e. as a result of the flood water itself, or subsequent knock on effects. Damage to buildings and contents caused by flood water are an example of direct damages, whilst loss of industrial production, travel disruption or stress and anxiety are indirect. Some damages can be quantified in monetary terms, and others can only be described. The potential damages avoided by implementation of a flood risk management action are commonly referred to as the benefits of that action. When comparing the effectiveness of different actions, it is useful to consider estimated damages and damages avoided across the lifespan of the action. Within the FRM Strategies, a 100 year appraisal period has been used as standard. This allows costs, damages and benefits across this time frame to be compared in present value terms. See also 'Annual Average Damages'.

Economic Impact - An assessment of the economic value of the positive and negative effects of flooding and / or the actions taken to manage floods.

Embankment – A flood embankment is an engineered earthfill structure designed to contain high river levels or protect against coastal flooding. They are commonly grass-covered, but may need additional protection against erosion by swiftly flowing water, waves or overtopping.

Emergency Plans / Response - Emergency response plans are applicable for all types of flooding. They set out the steps to be taken during flooding in order to maximise safety and minimise impacts where possible. Under the Civil Contingencies Act, Category 1 Responders have a duty to maintain emergency plans. Emergency plans may also be prepared by individuals, businesses, organisations or communities.

Environmental Impact - A change in the environment as a result of an action or activity. Impacts can be positive or negative and may vary in significance, scale and duration.

Environmental Impact Assessment (EIA) - A process which identifies the potential environmental impacts, both negative and positive, of a proposal.

Estuary - A coastal body of water usually found where a river meets the sea; the part of the river that is affected by tides.

FEH99/13 The Flood Estimation Handbook (FEH) provides industry-standard methods for assessing flood risk in the UK as well as guidance on rainfall and river flood frequency estimation. The latest update launched in 2013 has incorporated a larger dataset with an increased number of Scottish catchments included. This has improved the confidence in the usage of this methodology across Scotland.

Flood - In the terms of the FRM Act, 'flood' means a temporary covering by water, from any source, of land not normally covered by water. This does not include a flood solely from a sewerage system, as a result of

normal weather or infrastructure drainage. A flood can cause significant adverse impacts on people, property and the environment.

Flood Bund - A constructed retaining wall, embankment or dyke designed to protect against flooding to a specified standard of protection.

Flood defence - Infrastructure, such as flood walls, embankments or flood storage intended to protect an area against flooding to a specified standard of protection.

Flood Extent - The area that has been affected by flooding, or is at risk of flooding from one or more sources for a particular likelihood.

Flood Frequency - The probability that a particular size/severity of flood will occur in a given year (see likelihood).

Flood Hazard - In terms of the FRM Act, hazard refers to the characteristics (extent, depth, velocity) of a flood.

Flood Hazard Map - Flood hazard maps are required by the FRM Act to show information that describes the nature of a flood in terms of the source, extent, water level or depth and, where appropriate, velocity of water. Flood hazard and risk maps are referred to collectively as flood maps and are available on the SEPA website.

Flood Prevention / Protection Scheme - A flood protection scheme, as defined by the FRM Act, is a scheme by a local authority for the management of flood risk within the authority area. This includes defence measures (flood prevention schemes) formerly promoted under the Flood Prevention (Scotland) Act 1961.

Flood Protection Study - Flood protection studies aim to refine understanding of the hazard and risk associated with flooding in a particular area, catchment or coastline. They will involve detailed assessment of flood hazard and / or risk and may develop options for managing flood risk.

Flood Protection Works - Flood protection works can include the same flood defence measures that would make up a formal Flood Protection Scheme but without the legal process, protections and requirements that would come by delivering the works as a scheme.

Flood Risk - A measure of the combination of the likelihood of flooding occurring and the associated impacts on people, the economy and the environment.

Flood Risk Assessment - Flood Risk Assessments are detailed studies of an area where flood risk may be present. These are often used to inform planning decisions, may help to develop flood schemes and have also contributed to the National Flood Risk Assessment.

Flood Risk Management Strategy - Sets out a long-term vision for the overall reduction of flood risk. Contains a summary of flood risk in each Local Plan District, together with information on catchment characteristics and a summary of objectives and actions for Potentially Vulnerable Areas. Flood Risk Management Plans Strategies have been re-named **Flood Risk Management Plans** in 2021.

Flood Risk Management (Scotland) Act 2009 (FRM Act) - The flood risk management legislation for Scotland. It transposes the EC Floods Directive into Scots Law and aims to reduce the adverse consequences of flooding on communities, the environment, cultural heritage and economic activity.

Flood Risk Management Cycle - Under the FRM Act flood risk management planning is undertaken in six year cycles. The first planning cycle is 2015 – 2021. The first delivery cycle is lagged by approximately 6 months and is from 2016 - 2022.

Flood Warning Scheme - A flood warning scheme is the network of monitoring on a coastal stretch or river, which provides SEPA with the ability to issue Flood Warnings.

Floodplain - Area of land that borders a watercourse, an estuary or the sea, over which water flows in time of flood, or would naturally flow but for the presence of flood defences and other structures where they exist.

Floodplain Storage - Floodplains naturally store water during high flows. Storage can be increased through natural or man-made features to increase flood depth or slow flows in order to reduce flooding elsewhere.

Green (Blue-Green) Infrastructure - The European Commission defines green infrastructure as "the use of ecosystems, green spaces and water in strategic land use planning to deliver environmental and quality of life benefits. It includes parks, open spaces, playing fields, woodlands, wetlands, road verges, allotments and private gardens. Green infrastructure can contribute to climate change mitigation and adaptation, natural disaster risk mitigation, protection against flooding and erosion as well as biodiversity conservation."

Historic Environment Scotland - The new lead public body for the country's historic environment. It brings together Historic Scotland and the Royal Commission on the Ancient and Historic Monuments of Scotland.

Habitats Regulations Appraisal - The Habitats Regulations require competent authorities to assess certain plans or projects which affect Natura sites. Any development proposal, which requires planning permission or other consent, is a 'project' which may require consideration under the Habitats Regulations.

Land Use Planning – The process undertaken by public authorities to identify, evaluate and decide on different options for the use of land, including consideration of long term economic, social and environmental objectives and the implications for different communities and interest groups.

Lead Local Authority - A local authority responsible for leading the production, consultation, publication and review of a Local Flood Risk Management Plan.

Local Development Plan – A Local Development Plan (LDP) provides the vision for how communities will grow and develop in the future. The intention is that they provide certainty for communities and investors alike about where development should take place and where it should not and the supporting infrastructure required for growth. A LDP is required for each council area across Scotland.

Local Flood Risk Management Plan - Produced by lead local authorities, these will take forward the objectives and actions set out in Flood Risk Management Plans. They will provide detail on the funding, timeline of delivery, arrangements and co-ordination of actions at the local level during each six year FRM planning cycle.

Local Plan District - Geographical areas for the purposes of flood risk management planning. There are 14 Local Plan Districts in Scotland.

Local Plan District Partnerships - Each Local Plan District has established a local partnership comprised of local authorities, SEPA, Scottish Water and others as appropriate. These partnerships are distinct from the FRM Local Advisory Groups and they retain clear responsibility for delivery of the FRM actions set out in the Local Flood Risk Management Plans. It is the local partnership that makes decisions and supports the delivery of these plans.

Maintenance - Sections 18 and 59 of the Flood Risk Management (Scotland) Act 2009 put duties of watercourse inspection, clearance and repair on local authorities. In addition, local authorities may also be responsible for maintenance of existing flood protection schemes or defences.

National Flood Risk Assessment (NFRA) - A national analysis of flood risk from all sources of flooding which also considers climate change impacts. Completed in December 2011 this provides the information required to undertake a strategic approach to flood management that identifies areas at flood risk that require further appraisal. The NFRA was reviewed and updated in December 2018.

Natural Flood Management - A set of flood management techniques that aim to work with natural processes (or nature) to manage flood risk.

Non-Residential Properties - Properties that are not used for people to live in, such as shops or other public, commercial or industrial buildings.

Potentially Vulnerable Area - Catchments identified as being at risk of flooding and where the impact of flooding is sufficient to justify further assessment and appraisal. There were 243 Potentially Vulnerable Areas identified by SEPA in the National Flood Risk Assessment and these will be the focus of the first FRM planning cycle.

Property Level Protection - Property level protection includes flood gates, sandbags and other temporary barriers that can be used to prevent water from entering individual properties during a flood.

Q&S - Quality and Standards (Q&S) is the process, governing costs and outputs, through which the planning and delivery of improvements by Scottish Water to the public drinking water and sewerage services in Scotland is carried out.

Receptor - Refers to the entity that may be impacted by flooding (a person, property, infrastructure or habitat). The vulnerability of a receptor can be reduced by increasing its resilience to flooding.

Residual Risk - The risk that remains after risk management and mitigation. This may include risk due to very severe (above design standard) storms or risks from unforeseen hazards.

Resilience - The ability of an individual, community or system to recover from flooding.

Responsible Authority - Designated under the FRM (Scotland) Act 2009 and associated legislation as local authorities, Scottish Water and, from 21 December 2013, the National Park Authorities and Forestry Commission Scotland. Responsible authorities, along with SEPA and Scottish Ministers, have specific duties in relation to their flood risk related functions.

Return Period - A measure of the rarity of a flood event. It is the statistical average length of time separating flood events of a similar size.

River Basin Management Planning (RBMP) - The Water Environment and Water Services (Scotland) Act 2003 transposed the European Water Framework Directive into Scots law. The Act created the River Basin Management Planning process to achieve environmental improvements to protect and improve our water environment. It also provided the framework for regulations to control the negative impacts of all activities likely to have an impact on the water environment.

Runoff Reduction - Actions within a catchment or sub-catchment to reduce the amount of runoff during rainfall events. This can include intercepting rainfall, storing water, diverting flows or encouraging infiltration.

Scottish Advisory and Implementation Forum for Flooding (SAIFF) - The stakeholder forum on flooding set up by the Scottish Government to ensure legislative and policy aims are met and to provide a platform for sharing expertise and developing common aspirations and approaches to reducing the impact of flooding on Scotland's communities, environment, cultural heritage and economy.

Scottish Flood Forecasting Service - SEPA operates a network of over 250 rainfall, river and coastal monitoring stations throughout Scotland that generate data 24 hours a day. The Scottish Flood Forecasting Service is a joint initiative between SEPA and the Met Office that produces daily, national flood guidance statements which are issued to Category 1 and 2 Responders. The flood guidance statements provide an assessment of the risk of flooding for a five day period allowing responders time to put preparations in place to reduce the impact of flooding. The service also provides information which allows SEPA to issue flood warnings, giving people a better chance of reducing the impact of flooding on their home or business. For more information please visit SEPA's website.

Self Help - Self help actions can be undertaken by any individuals, businesses, organisations or communities at risk of flooding. They are applicable to all sources, frequency and scales of flooding. They focus on awareness raising and understanding of flood risk.

Site Protection Plans - Site protection plans are developed to identify whether normal operation of a facility can be maintained during a flood. This may be due to existing protection or resilience of the facility or the network.

Site of Special Scientific Interest - Sites protected by law under the Nature Conservation (Scotland) Act 2004 to conserve their plants, animals and habitats, rocks and landforms.

Special Area of Conservation (SAC) - Strictly protected site designated under the European Habitats Directive. The Directive requires the establishment of a European network of protected areas which are internationally important for threatened habitats and species.

Strategic Environmental Assessment - A process for the early identification and assessment of the likely significant environmental effects, positive and negative, of activities. Often considered before actions are approved or adopted.

Strategic Flood Risk Assessment (SFRA) - A Strategic Flood Risk Assessment is designed for the purposes of specifically informing the Development Plan Process. A SFRA involves the collection, analysis and presentation of all existing and readily available flood risk information (from any source) for the area of interest. It constitutes a strategic overview of flood risk.

Standard of protection (SoP) - All flood protection structures are designed to be effective up to a specified flood likelihood (Standard of Protection). For events beyond this standard, flooding will occur. The chosen Standard of Protection will determine the required defence height and / or capacity.

Surface Water Management Plan (SWMP) - A plan that takes an integrated approach to drainage accounting for all aspects of urban drainage systems and produces long term and sustainable actions. The aim is to ensure that during a flood the flows created can be managed in a way that will cause minimum harm to people, buildings, the environment and business.

Surface Water Plan / Study - The management of flooding from surface water sewers, drains, small watercourses and ditches that occurs, primarily in urban areas, during heavy rainfall. FRM Strategy actions in this category include: Surface Water Management Plans, Integrated Catchment Studies and assessment of flood risk from sewerage systems (FRM Act Section 16) by Scottish Water. These have been selected as appropriate for each Potentially Vulnerable Area.

Sustainable Drainage Systems (SuDS) - A set of techniques designed to slow the flow of water. They can contribute to reducing flood risk by absorbing some of the initial rainfall and then releasing it gradually, thereby reducing the flood peak and helping to mitigate downstream problems. SuDS encourage us to take account of quality, quantity and amenity / biodiversity.

Sustainable Flood Risk Management - The sustainable flood risk management approach aims to meet human needs, whilst preserving the environment so that these needs can be met not only in the present, but also for future generations. The delivery of sustainable development is generally recognised to reconcile three pillars of sustainability – environmental, social and economic.

Surface Water Flooding - Flooding that occurs when rainwater does not drain away through the normal drainage systems or soak into the ground, but lies on or flows over the ground instead.

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Vulnerability - A measure of how likely someone or something is to suffer long-term damage as a result of flooding. It is a combination of the likelihood of suffering harm or damage during a flood and the ability to recover following a flood (resilience).

DRAFT

Flood Risk Management (Scotland) Act 2009:

Ayrshire Local Plan District

Draft Local Flood Risk Management Plan (2022-2028)

Prepared by: North Ayrshire Council

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Section 1

1. Flood Risk Management in Ayrshire Local Plan District

1.1. What is a Local Flood Risk Management Plan?

This Local Flood Risk Management Plan for the Ayrshire Local Plan District (the 'Local FRM Plan') has been developed to describe how the actions set out in the Ayrshire Flood Risk Management Plan published by SEPA (the 'SEPA FRM Plan') will be delivered.

The SEPA FRM Plan was published in December 2021 and sets out the long-term ambitions for flood risk management across the Ayrshire Local Plan District. The SEPA FRM Plan has set objectives for tackling flooding in high-risk areas and has identified the actions needed to work towards those objectives. These actions were agreed by the responsible authorities and are based on the best available evidence on the causes and consequences of flooding.

The actions contained in both plans are updated every 6 years. This Local FRM Plan describes how these actions will be implemented between 2022 and 2028. The SEPA FRM Plan replaced the earlier strategy published by SEPA in 2015 while this Local FRM Plan replaces the earlier Local FRM Plan published by North Ayrshire Council in 2016. The updated plans continue to build on the established risk-based, plan-led approach of the earlier plans.

The Local FRM Plan is published by North Ayrshire Council, lead authority for the Ayrshire Local Plan District. This Local FRM Plan has been prepared in close collaboration with East Ayrshire Council, South Ayrshire Council and any other organisations with a responsibility or interest in managing flooding. This plan is a requirement under the Flood Risk Management (Scotland) Act 2009.

There are 13 other Local Plan Districts and covering other parts of Scotland. Each will have a SEPA FRM Plan and Local FRM Plan.

1.2. How to read this plan

This Local FRM Plan should be read in parallel with the SEPA FRM Plan for the Ayrshire Local Plan District, which is publicly available on SEPA's website at: https://www2.sepa.org.uk/frmplans/documents/lpd12-ayrshire-frmp-2021.pdf. Extracts or other formats can be made available from SEPA on request.

The layout of this Local FRM Plan is broadly similar to the SEPA FRM Plan and uses the same objective and action identification references (IDs).

This Local Flood Risk Management Plan has two sections:

Section 1 contains background information on the approach taken in Scotland to manage flood risk. It explains the duties and aims of relevant organisations, including how they work together and how flood risk management planning is linked to other government policies and initiatives. It also describes how flood risk management planning is delivered locally through a Local FRM Plan.

Section 2 is the most important section for those individuals and communities seeking to understand their flood risk and its management. This section contains information on the 21 separate catchments within the Ayrshire Local Plan District that have the most significant flood risk. These catchments are termed 'Potentially Vulnerable Areas'.

Within each Potentially Vulnerable Area (PVA), objectives and actions have been set for defined areas, termed Target Areas. For each Target Area there is a short description of the causes and consequences of flooding; the agreed goals or objectives are clearly defined; and actions that will help to deliver these goals are explained in more detail, focusing on responsibility, coordination, timing and funding.

Section 2 also contains details about area wide actions. These actions apply across the entire Ayrshire Local Plan District, including areas that are not within PVAs or Target Areas.

Annexes to the plan provide supporting documents and references.

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1.3   How we have developed the Local Flood Risk Management Plan?

1.3.1   Coordination, collaboration and partnership working

Many organisations and individuals are involved in flood risk management in Scotland. The causes and effects of flooding are complex, and issues cross the boundaries of neighbouring authorities as well as the responsibilities of different organisations. To be successful, flood risk management needs coordination, as set out in the flood risk management plans and the local flood risk management plans. Collaboration by those responsible for flood management is essential along with a commitment to work in partnership with the other organisations and stakeholders who can contribute to the sustainable management of flooding. Partnership working is at the heart of these plans and will be central to delivery of the objectives and actions they set out.

This Local FRM Plan has been developed in partnership, which has provided the evidence through data sharing and improved understanding of each organisations objectives to allow informed joint decisions.

The Local FRM Plan has been developed by:

North Ayrshire Council (lead authority);
East Ayrshire Council,
South Ayrshire Council,
Scottish Water;
SEPA; and
Any other responsible authority

1.3.2   Roles and responsibilities for flood risk management planning

Individuals have a personal responsibility to protect themselves and their property from flooding. However, public bodies have responsibilities too and are working together to reduce the impacts of flooding in Scotland. Some of the key roles are outlined below and more information is available from the organisations listed.

a) Your responsibilities It is your responsibility to manage your own flood risk and protect yourself, your family, property or business. There are steps you can take now to be flood prepared and reduce the damage and disruption flooding can have on your life.

• View SEPA's maps to check if your area is affected by flooding
https://map.sepa.org.uk/floodmaps

• Sign up to Floodline to receive messages when flooding is forecast in your area
https://www.floodlinescotland.org.uk/

• Know who to contact if flooding happens
https://www.sepa.org.uk/media/28952/who_to_contact_2014.pdf

Other useful tools and advice on how to be prepared are available on the Floodline website.

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b) Local Authorities are responsible for working together to produce Scotland's local flood risk management plans and work in partnership with SEPA, Scottish Water and other responsible authorities to develop these. It is the responsibility of your local authority to implement any of the identified actions within the Local FRM Plan that they lead on.

Local authorities also inspect, clear and repair watercourses to reduce flood risk and routinely maintain road gullies on public roads and highways. During severe flooding, local authorities will work with the emergency services and coordinate shelter for people evacuated from their homes.

c) SEPA is Scotland's national flood forecasting, flood warning authority and strategic flood risk management authority.

SEPA works in partnership with the Met Office to forecast for flooding and operate Floodline in Scotland to warn the public and emergency responders when flooding is likely. SEPA produces Scotland's Flood Risk Management Plans and works closely with other organisations responsible for managing flood risk to ensure that a nationally consistent approach to flood risk management is adopted.SEPA provides flood risk advice to land use planning in Scotland when requested and raises awareness of flooding at a national level through education initiatives, community engagement and campaigns.

d) Scottish Water Scottish Water is a responsible authority for flood risk management and is working closely with SEPA, local authorities and others to coordinate plans to manage flood risk. Scottish Water has the public drainage duty and is responsible for draining wastewater from properties and businesses, and rainwater run-off from roofs and paved areas within the boundary of properties. Pipework and guttering within the boundary, are the responsibility of the property owner.

Scottish Water helps to protect homes from flooding caused by sewers either overflowing or becoming blocked. This is done in a way that is fair and consistent to customers across the country, with sewer flooding investment prioritised to provide the biggest benefit for customers and the environment first. Currently investment to reduce the risk of sewer flooding is prioritised towards properties that have experienced internal sewer flooding and are at the highest risk of repeat occurrence of sewer flooding during frequent rainfall events.

e) Other organisations

The **Scottish Government** oversees the implementation of the Flood Risk Management (Scotland) Act 2009, which requires the production of flood risk management plans and local flood risk management plans. Scottish Ministers are responsible for setting the policy framework for how organisations collectively manage flooding in Scotland. Scottish Ministers have also approved the SEPA FRM Plan for Ayrshire.

NatureScot has provided general and local advice in the development of this Flood Risk Management Plan. Flooding is seen as natural process that can maintain the features of

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interest at many designated sites, so NatureScot helps to ensure that any changes to patterns of flooding do not adversely affect the environment. NatureScot also provides advice on the impact of Flood Protection Schemes and other land use development on designated sites and species.

Scottish Forestry and **Forestry and Land Scotland** took over the roles of Forestry Commission Scotland in 2018 when the Forestry and Land Management (Scotland) Act 2018 came into force. While these executive agencies of Scottish Government are not formally designated as a responsible authority under the Flood Risk Management (Scotland) Act 2009, they support Scottish Government in delivering its flood risk related duties. This includes engaging in the development of the SEPA FRM Plans through national and local advisory groups, Local Plan District partnerships, and collaborative projects. This reflects the widely held view that forestry can play a significant role in managing flooding.

There is the opportunity for further works to be undertaken during the second flood risk management planning cycle by **Utility Companies**, **Network Rail** and **Transport Scotland** to mitigate the effects of flooding to their assets and also minimise the impacts on customers.

The **Met Office** provides a wide range of forecasts and weather warnings. SEPA and the Met Office work together through the Scottish Flood Forecasting Service.

The emergency services provide emergency relief when flooding occurs and can coordinate evacuations. You should call the emergency services on 999 if you are concerned about your safety or the safety of others and act immediately on any advice provided.

Historic Environment Scotland considers flooding as part of their regular site assessments. As such, flooding is considered as one of the many factors which inform the development and delivery of its management and maintenance programmes.

1.3.3   Consultation, engagement and advice

Two public consultations have been held during the development of the SEPA FRM Plan and this Local FRM Plan. The first by SEPA was on the national flood risk assessment and the identification of PVAs (2018); the second, held jointly with local authorities, was on the understanding of flooding in these priority areas and on the objectives and actions to manage flooding (2021).

The second, most recent consultation ran from December 2020 to October 2021 in 2 parts. From December 2020, information on the Local Plan Districts, the PVAs and the communities identified as target areas was made available. Further information on the objectives and actions planned for each target area was added in July 2021. The consultation was advertised widely by both SEPA and the local authorities. 678 responses were received, and these helped shape the content of the SEPA FRM Plan and this Local FRM Plan.

A summary of the consultation was submitted to Scottish Ministers and a more detailed report on what contributors said and what SEPA did in response will be available on SEPA's website from March 2022.

The consultation responses were noted and considered by the three local authorities within the Ayrshire Local Plan District. While it was considered that the responses from members of the public would not have a material impact on the planned funding, timing or coordination of the actions, the responses were passed to the relevant local authority for consideration in the development or implementation of the actions.

NatureScot responded to the consultation to share the locations where there is potential for partnership working. In response, an informative was added to the relevant pages of Section 2 of this plan.

Some of the work carried out by SEPA on the production of the FRM Plan has been complex and technical in nature for which they sought professional advice. Through membership of the Scottish Advisory and Implementation Forum for Flooding (SAIFF), SEPA has received assistance from local authorities, Scottish Water, Scottish Forestry, the National Park Authorities and other key interested organisations. SEPA has also developed some of its methods by working with other organisations with similar responsibilities within the UK and Europe, more specifically with the Environment Agency and English local authorities in the cross-border areas.

1.3.4 Strategic Environmental Assessment and Habitats Regulations Appraisal

North Ayrshire Council submitted a Strategic Environmental Assessment (SEA) Screening Report to the SEA Gateway. The consultation authority responses agreed that a follow-up Strategic Environmental Assessment was not required for the Local FRM Plan and that the FRM Plan could rely on the SEA for the SEPA FRM Plan. The assessment for the Ayrshire Local Plan District is available on SEPA's website at:
https://www2.sepa.org.uk/frmplans/documents/environmental-report-appendicies-e-to-r.pdf

No significant adverse effects have been identified.

A Habitats Regulations Appraisal (HRA) was undertaken for the SEPA FRM Plan and this has been used to inform the Local FRM Plan. This approach has been agreed with NatureScot. Where the HRA identified mitigation measures to protect Natura sites or interests, these have been incorporated into the Local FRM Plan.

The Local FRM Plan only includes further detail on the implementation of the actions identified in the SEPA FRM Plan and does not propose any additional actions.

Further studies or works in future planning cycles (i.e. after 2028) will be the subject of future flood risk management plans, which would need to be supported by a full habitats regulations appraisal.

1.3.5   Identifying objectives and selecting actions

The objectives in both the SEPA FRM Plan and this Local FRM Plan provide the long-term vision for delivering flood risk management in Scotland, and the actions give the practical steps required to achieve those objectives.

A community perspective was used to identify where flood risk management actions should target their benefits. Those areas are described as target areas.

A whole catchment approach was then used to understand the flood risk and the steps needed towards managing the risk. Objectives and actions have been set for each target area within each PVA. National actions have also been identified, which apply across all Local Plan Districts including to areas that are not within PVAs.

Objectives were set by SEPA in collaboration with other flood risk management authorities and partners and follow a set of national principles designed to deliver sustainable flood management. The national principles are:

- Take a long term, risk-based approach to decisions, considering the impacts of climate change and how we will be able to adapt;

- Deliver coordinated management of flood risk by engaging with communities and working in partnership with others; and

- Consider whole catchments and coastlines, working with natural processes and the environment to deliver multiple benefits.

These national principles sit alongside the more specific target area objectives. The target area objectives fall into the following four categories in the 2021 plans:

- Avoid increasing flood risk;

- Improve understanding of the flood risk;

- Prepare for current flood risk and future flooding; and

- Reduce the risk of flooding.

Actions are required to achieve the objectives set for each community. To identify the most sustainable actions, SEPA created a long list of all potential structural and non-structural actions. A decision framework was used to identify the most appropriate set of actions taking account of how well flood risk is currently understood in the area, what the scale of the risk is and whether the options meet the national principles set out above. Indicative costs for different types of action can be found in Annex 1.

The potential for natural flood management and blue-green infrastructure measures was explored in developing the most sustainable actions. However, these actions are not specifically noted as the need to consider such options is built into all actions for detailed flood studies, and all actions to appraise potential options for managing risk.

The overall long-term aim is to reduce the impact of flooding across Scotland as far as is reasonable, taking full account of environmental, economic, and social priorities and needs.

1.4   Links with other plans, policies, strategies and legislative requirements

1.4.1   River basin management planning

River basin management aims to protect and improve the condition of Scotland's rivers, lochs, estuaries, coastal waters and groundwater. Taking action to reduce flood risk in Scotland provides opportunities to deliver joint objectives for restoration and flood risk management. Coordination between river basin management and flood risk management can reduce flood risk, while also improving water quality and biodiversity. SEPA is leading the delivery of both the river basin management plan and the flood risk management plans so has worked to ensure that there is integration and coordination between them. This coordination, particularly in regard to consultation and engagement, is important for stakeholders who have an interest in the objectives of both plans.

1.4.2   Scottish Water Investment Plan

There is a close relationship between flood risk management plans and Scottish Water's 25 year strategic plan. Sewer flooding is not considered in detail in the flood risk management plans as it remains a high priority for Scottish Water and its customers. Scottish Water's close involvement in flood risk management planning aims to ensure that there is strong coordination between the management of sewer flooding and wider surface water flood risk, and the actions to be taken forward by local authorities and others.

1.4.3   Land Use and Spatial Planning

Land use planning decisions are one of the most powerful tools available to manage flood risk, and the alignment of flood risk management and land use planning policy is pivotal to achieving sustainable flood risk management. Decisions relating to flood risk management can have significant implications for the location of development and, likewise, decisions relating to the location of development can impact on flood risk. Flood risk management plans must take account of local development plans relating to the district, and the need for development plans to take account of flood risk management plans is included in the Town and Country Planning (Development Planning) (Scotland) Regulations 2008 (as amended). SEPA is a key agency in the land use planning process with a duty to cooperate with planning authorities in the preparation of development plans and a statutory role to provide flood advice for appropriate development management applications. The advice we give seeks to promote flood avoidance. In addition, land use planning objectives and actions have been agreed with responsible authorities, which will ensure flood risk is adequately considered in local planning decisions.

1.4.4 Emergency Planning Response

Many organisations across Scotland, including local authorities, the emergency services and SEPA provide an emergency response to flooding. Emergency plans are prepared and maintained under the Civil Contingencies Act 2004 by Category 1 and 2 Responders and are coordinated through regional and local resilience partnerships, often supported by voluntary organisations. They set out the steps to be taken to maximise safety and minimise impacts during flooding, ensuring the effective management of response to emergencies. Emergency plans may also be prepared by individuals, businesses, organisations or communities. Scottish Water is a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required.

1.5 Next steps and monitoring progress

1.5.1 Monitoring and progress reporting

The Plan runs for six years from 2022-2028. Over this period the Ayrshire Local Plan District partnership will continue to meet periodically to monitor progress towards implementing the actions detailed in Section 2 of this Plan.

Between years 2 and 3 of the FRM cycle (i.e. before December 2025), North Ayrshire Council, as lead authority will publish a report on the conclusions of a review of the Plan, including information on the progress that has been made towards implementing the measures identified in the implementation part of the Plan.

Between years 5 and 6 of the FRM cycle (i.e. before December 2028), North Ayrshire Council, as lead authority will publish a report on the Plan containing an assessment of the progress made towards implementing the current measures, a summary of the current measures which were not implemented, with reasons for their non-implementation, and a description of any other measures implemented since the plan was finalised which the lead authority considers have contributed to the achievement of the objectives summarised in the Plan.

The lead authority will make these reports available for public inspection.

Unless otherwise stated, the actions in Section 2 of this plan will either be delivered on an ongoing basis throughout the plan period or will be delivered in the middle part of the plan period or will be delivered in the second part of the plan period. For future monitoring purposes, the key dates for action deliver will be as follows:

1. The end of the plan period is the 22nd of June 2028
2. The first half of the cycle will end on the 20th of June 2025
3. The second half of the cycle will run from 21st of June 2025 until the end of the plan period.

1.5.2   Funding review

SEPA has carried out a national prioritisation exercise based on the best available understanding of flood risk and the capacity of lead organisations to deliver actions.

Funding for flood risk management actions typically come either directly from the lead organisations or as happened in 2016, through an allocation of capital grant from the Scottish Government. However, funding can be procured from other sources.

The distribution of Scottish Government grant funding for flood protection scheme actions in the plan for the period 2022-2028 is currently being considered by a flood risk management working group. This group will put forward options and recommendations to Scottish Ministers and COSLA, through the Settlement and Distribution Group, for consideration.

A decision on future funding has not yet been made. As such, it should be noted that it may not be possible for all flood protection scheme actions identified in this draft flood risk management plan to be grant funded. Inclusion of an action in this plan does not formally commit a Council to implement it, if reasons arise which make any actions undeliverable, including inability to secure adequate funding.

A decision on grant funding is expected in time for the publication of the final local flood risk management plan, which is required by Ministerial Direction to be published before the 31st of December 2022.

A funding statement is expected by the 4th of November to allow this plan to be finalised.

Given all of the above, there may be changes to the detail of actions, or the ability to deliver actions in the identified timescales contained within Section 2 of this draft plan.

1.6   Acknowledgements

A list of acknowledgements can be found in Annex 3 of this Plan.

Section 2

The Ayrshire Local Plan District covers around 3,100km2 and has a population of approximately 370,000 people. The coastline has a length of around 300km from Largs in the North to North Eastern Edge of Lochryan in the south and includes the Isle of Arran and Great Cumbrae. Urban areas are mainly concentrated along the coast and include Kilmarnock, Irvine and Ayr.

The area is largely rural with the main land use being agricultural in the lower catchments whilst upland areas have large sections of woodland and heather grassland. There are many lochs and reservoirs in the area including Loch Doon, Loch Bradan, Loch Riecawr and Loch Finlas. The main rivers are the Ayr, the Doon, the Garnock, the Girvan and the Irvine.

There is a river, surface water and coastal flood risk in the Local Plan District. There have been several large floods, including Storm Desmond and Storm Frank in December 2015 and Storm Caroline in December 2017. More recently, in August 2019, the Local Plan District was subject to river and surface water flooding affecting many areas.

Currently it is estimated there are around 39,000 people and 23,000 homes and businesses at risk from flooding. This may increase to 47,000 people and 28,000 homes and businesses by the 2080s due to climate change. The expected annual cost of flooding is around £18 million. Note however that flooding from wave overtopping is not fully represented in the assessment of flood risk and the impact of coastal flooding may be underestimated.

SEPA lead development of the flood risk management plans for Scotland and delivery of flood warning services. North Ayrshire Council are the Lead Local Authority for the Ayrshire Local Plan District which comprises of North Ayrshire Council, East Ayrshire Council and South Ayrshire Council. Other responsible authorities include Scottish Water. They are supported by Scottish Government agencies including Forestry and Land Scotland, Scottish Forestry and Transport Scotland.

Within this Local Plan District, actions are regularly carried out by SEPA and responsible authorities to help prepare communities for potential flooding and reduce the impact of any flooding that does occur.

Actions across the Local Plan District

SEPA and responsible authorities carry out actions in all areas of the Local Plan District which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. The following actions are due to take place over the next 6 years, and most of these are carried out on an ongoing basis.

	Awareness raising
Action	SEPA, the responsible authorities and other organisations such as the Scottish Flood Forum work together through national and local initiatives to help communities understand the risk of flooding and what actions individuals can take. Improved awareness of flood risk and actions that prepare individuals, homes and businesses for flooding can reduce the overall impact of flooding. Local authorities undertake additional awareness raising activities when developing any specific project proposals and will engage with community resilience groups and local communities. Scottish Flood Forum support flood risk communities by raising community awareness, promoting self-help, developing community groups and establish a recovery support programme after a flood. Scottish Water will provide targeted flooding communications for Scottish Water specific activities and raise awareness by producing and supplying targeted information to the public on large capital projects and detailed local studies.
Indicative Delivery	Ongoing throughout the plan period (2022-2028)
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement. Scottish Water is funded by customer charges as set by our economic regulator. All business activities required under this action by Scottish Water are accounted for in their capital or operational expenditure.
Coordination	Delivery of actions to raise awareness will be coordinated by the responsible authorities through the Local Plan District Partnership.

	Data to support climate resilience
Action	As Scotland's hydrometric authority, SEPA operates a network of stations to measure river level, flow, rainfall, sea level, loch and groundwater level. The data goes into a long term data archive and is critical to underpin all flood risk management activities including flood warning, flood mapping, design of flood protection and sustainable development as well as supporting a range of regulatory and recreational uses. SEPA will continue to maintain and develop its hydrometric network, contribute to UK and international data archives, and improve and update the datasets used for flood frequency analysis. SEPA will support research and development of data, methods and guidance to improve the evidence on which decisions can be made, and to enable the impact of climate change to be included in all flood risk management activities.
Indicative Delivery	Ongoing throughout the plan period (2022-2028)
Funding	SEPA will coordinate with a range of other parties as required to deliver better and more accessible data, and ongoing improvements to the use of the data to underpin flood risk management activities and decisions.
Coordination	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.

	Emergency plans
Action	Many organisations, including local authorities, the emergency services and SEPA provide an emergency response to flooding. Emergency plans are prepared and maintained under the Civil Contingencies Act 2004 by Category 1 and 2 Responders and are coordinated through regional and local resilience partnerships, often supported by voluntary organisations. They set out the steps to be taken to maximise safety and minimise impacts during flooding. Emergency plans may also be prepared by individuals, businesses, organisations or communities. Scottish Water is a Category 2 responder under the Civil Contingencies Act 2004 and will support regional and local resilience partnerships as required.
Indicative Delivery	Ongoing throughout the plan period (2022-2028)
Funding	The Scottish Government provides civil contingencies funding for local authority emergency planning activities through grant aided expenditure. SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	Coordination when required will be via local resilience partnerships. The Ayrshire Civil Contingencies Team ensures that North Ayrshire, East Ayrshire and South Ayrshire Councils will be able to respond in accordance with the Civil Contingencies Act 2004 (Contingency Planning) (Scotland) Regulations 2005.

	Flood forecasting
Action	The Scottish Flood Forecasting Service is a partnership between SEPA and the Met Office. The service continues to produce a daily, national flood guidance statement, issued to emergency responders, local authorities, and other organisations with flood risk management duties. In 2022 a new 3-day daily Scottish Flood Forecast was launched for the public. As the flood warning authority for Scotland SEPA continues to provide its flood warning service issuing flood alerts and warnings when required, giving people a better chance of reducing the impact of flooding on their home or business.
Indicative Delivery	Ongoing throughout the plan period (2022-2028)
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA work in partnership with the Met Office and will work closely with all other authorities involved in emergency response to flooding.

	Flood warning development framework
Action	SEPA published a new flood warning development framework in 2022, which details the ambition and strategic actions to maintain and improve the flood warning service across Scotland.
	SEPA will further develop phase 1 of the Scottish Flood Forecast based on feedback gathered during public beta release before fully launching the service to the public formally in early 2023. Phase 1 is the national 3-day flood forecast and the starting point of our journey in providing the public with earlier and improved flood information.
	SEPA will continue to follow the service design approach for phase 2 of the Scottish Flood Forecast, which will provide the public with more localised flood forecast information. User research will determine what information will be displayed on the regional flood forecast webpages. It is anticipated that the final service will bring together all live information such as flood warnings, river levels and rainfall data into a central hub that is easily accessible for the public.
	Working in close partnership with the Met Office through the Scottish Flood Forecasting Service, SEPA will develop its capability in surface water flooding forecasting, focusing initially on the transport sector to support climate-ready infrastructure. SEPA will also undertake a prioritised improvement programme of existing river and coastal flood warning schemes to provide more accurate forecasting with improved lead time.
Indicative Delivery	Ongoing throughout the plan period (2022-2028)
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA work in partnership with the Met Office. Appropriate engagement with the other authorities involved in emergency response will happen as the flood warning developments are progressed.

	Future flood risk management planning
Action	The years covered by the lifetime of this plan are crucial. Radical progress is needed in how we reduce our impact on the climate and respond to the effects of climate change. How we plan to manage flooding to our communities is on the front line of the challenges of this decade. The 2027 flood risk management plans will be more ambitious than ever before. The plans will look to develop long term plans for more flood resilient communities prepared for the impacts of climate change. The priority areas which will be the focus points of the next flood risk management plans will be identified in 2024 with the designation of PVAs. A 3-month public consultation will be held to inform the PVA designation. We will plan for a better future by publishing our flooding services strategy in 2023 with a clear and measurable delivery plan. We will put greener, fairer communities at the heart of our ambitions. SEPA has set its own target to be a regenerative organisation by 2030 and the next set of plans will further this ambition. During this plan cycle, SEPA will work to develop new partnerships with a wider range of stakeholders, including businesses and commercial sectors. We will investigate alternative sources of finance to tackle flooding and drive forward practical options for adaptation.
Indicative Delivery	Ongoing throughout the plan period (2022-2028). Flooding services strategy will be delivered in 2023 and the next flood risk management plans will be published in 2027.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will lead the work, in partnership with the Scottish Government and other responsible authorities. A wider range of partners and stakeholders will be developed to support the action. SEPA will carry out a full consultation on the next draft flood risk management plans in 2026.

	Guidance development
Action	The Scottish Government and SEPA will develop and update guidance to inform flood risk management projects. This guidance will be produced in 2022 and will look at how best to adapt to the long-term impacts of climate change and the most appropriate methods of assessing the benefits of flood risk management actions. Technical guidance to support flood risk management partners will be reviewed and updated by SEPA where required.

Scottish Forestry, in collaboration with its UK counterparts, will produce guidance on designing and managing forests to reduce flood risk.

Guidance will be developed to help local authorities understand the requirements for mapping relevant bodies of water and sustainable urban drainage systems in their areas. |
Indicative Delivery	Draft flood studies guidance will be delivered by SEPA in 2023; Options appraisal & adaptation guidance will be delivered by the Scottish Government and SEPA in 2023; other guidance & updates will be delivered between 2023-2028.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	The Scottish Government, SEPA and Scottish Forestry all have lead roles in delivering the new or updated guidance outlined. A range of forums will be used to help coordinate and develop the guidance with the appropriate input from others, including SAIFF (The Scottish Advisory Implementation Forum for Flooding) and cross-party working groups.

	Hazard mapping updates
Action	An understanding of flooding is essential to develop a plan led risk-based approach to flood risk management. SEPA will continue to update their national hazard mapping, which shows the likelihood of flooding in Scotland from different flooding sources: https://www.sepa.org.uk/environment/water/flooding/flood-maps/. SEPA will continue to develop the hazard mapping viewer to make it easier for the public, partners and stakeholders to access data on the likelihood of flooding. SEPA will also review how modelling and mapping updates are undertaken to develop a more effective method of regional and national updates for the hazard maps.
Indicative Delivery	Ongoing throughout the plan period (2022-2028)
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with other relevant parties - including authorities who have ownership of data used in flood mapping - to develop the quality and accessibility of flood hazard mapping.

	Land use planning
Action	Local authorities, SEPA and Scottish Water all have a responsibility under the Flood Risk Management (Scotland) Act 2009 to support sustainable flood risk management through the land use planning process. National planning policies set out the Scottish Ministers' priorities for the development and use of land. Under this approach, new development in areas with medium to high likelihood of flooding should generally be avoided. Current national planning policies aim to restrict development within the floodplain and limit exposure of new receptors to flood risk, promote flood reduction via natural and structural flood management measures and restoration of natural features, and avoid increased surface water flooding through sustainable drainage and the minimisation of impermeable surfaces. Locally determined planning policies may place further requirements within their area of operation to restrict inappropriate development and prevent unacceptable risk.
Indicative Delivery	Ongoing throughout the plan period (2022-2028)
Funding	North Ayrshire, East Ayrshire and South Ayrshire Councils' statutory development planning and development management activities will be funded through revenue budgets provided by the Scottish Government. SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA delivery statutory advice on flooding on both planning applications and Local Development Plans and will continue to work with the other responsible authorities to support the land use planning process.

	Maintenance
Action	Local authorities have a duty to assess bodies of water and to carry out clearance and repair works where such works would substantially reduce flood risk. Local authorities are also responsible for the drainage of roads. In addition, local authorities may also be responsible for maintenance of any existing flood protection schemes or works. Scottish Water will continue to undertake risk-based inspection, maintenance and repair on the public sewer network. Asset owners and riparian landowners are responsible for the maintenance and management of their own assets including those which help to reduce flood risk.
Indicative Delivery	Ongoing throughout the plan period (2022-2028)
Funding	North Ayrshire, East Ayrshire and South Ayrshire Councils' routine clearance and repair work, routine maintenance of road drainage systems and the maintenance of other Council owned flood risk management assets will be funded through revenue budgets provided by the Scottish Government. Funding for this action is secured within Scottish Water's business plan.
Coordination	North Ayrshire, East Ayrshire and South Ayrshire Councils' will work in coordination with all relevant stakeholders identified through the planning and implementation of routine maintenance works. Scottish Water will keep responsible authorities informed of large-scale capital maintenance work to identify opportunities for co-ordination.

	Natural flood management mapping
Action	SEPA will continue to support activities that improve our understanding of how to effectively target and deliver natural flood management. As part of this, SEPA will review and update the opportunities mapping for natural flood management. This will include linking blue-green infrastructure with the surrounding natural catchment and coastline. Natural flood management seeks to store or slow down flood waters through measures such as the planting of woodlands, wetland creation, river restoration, or the creation of intertidal habitats. In addition to flooding benefits, natural flood management measures can also provide many additional benefits to biodiversity, water quality, recreation, and carbon storage.
Indicative Delivery	By the end of 2025.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with key stakeholders to review and update the opportunities mapping. NatureScot are very supportive of the principle of Natural Flood Management (NFM). The agency's view is that NFM could be widely promoted throughout the implementation of the action contained in this plan and would welcome further engagement on this with SEPA and other key stakeholders in realising the potential of this important nature-based solution.

National flood risk assessment	
Action	SEPA will use the most suitable data to review and update the national flood risk assessment (NFRA) undertaken in 2018. This update will be used to identify future potentially vulnerable areas and focus flood risk management planning.
Indicative Delivery	December 2024
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with others as the NFRA is updated, including to keep other responsible authorities informed through the Local Plan District Partnerships.

National surface water mapping	
Action	The national flood risk assessment 2018 identified that surface water flooding has the potential to impact more properties in Scotland than any other source of flooding. Over the next 6 year cycle SEPA will look to vastly improve its national understanding of surface flood risk by undertaking a wholescale update of the national surface water maps to reflect developments in data and understanding, including the impact of climate change.
Indicative Delivery	2024
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA is currently working with a contractor to develop the modelling needed to deliver the flood maps. As the mapping is developed, local authorities and Scottish Water will continue to be engaged in opportunities to verify, shape and understand the new mapping products.

	Reservoirs
Action	SEPA will continue to develop its assessment of flood risk from dam failure and use these assessments to direct a proportionate regulatory approach to ensure reservoir safety. Over the next management cycle we will implement further developments of our flood warning capabilities in the unlikely event of reservoir failure.
Indicative Delivery	Ongoing throughout the plan period (2022-2028). Flood warning developments 2022-2024
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with others as required, to deliver the regulatory duties and to develop flood warning capabilities. Others will include reservoir managers and operators, and Civil Contingencies Act responders who share duties for emergency response.

	Scottish Flood Defence Asset Database
Action	The Scottish Flood Defence Asset Database provides information on existing flood protection schemes. National data on flood protection infrastructure is needed to understand flood risk and to develop adaptation planning for Scotland. SEPA will continue to host SFDAD and look for opportunities to support the development of our understanding of how and when Scotland's flood defence assets should be adapted to continue to maintain protection from flooding in the future.
Indicative Delivery	Ongoing throughout the plan period (2022-2028)
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authorities to ensure accurate data on existing and new schemes is made available for the Scottish Flood Defence Asset Database.

	Self help
Action	Everyone is responsible for protecting themselves and their property from flooding. People can take steps to reduce damage and disruption to their homes and businesses should flooding happen. This includes preparing a flood plan and flood kit, installing property flood resilience measures, signing up to Floodline, engaging with their local flood group, and ensuring that properties and businesses are insured against flood damage. The following places offer help with taking steps to protect yourself: https://www.floodre.co.uk/ https://www.biba.org.uk/current-issues/flood-insurance/ https://floodlinescotland.org.uk/ https://scottishfloodforum.org/ Responsible authorities and SEPA will continue to develop the understanding of flood risk to communities and promote measures to help individuals and businesses to reduce their risk.
Indicative Delivery	Ongoing throughout the plan period (2022-2028)
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement. North Ayrshire, East Ayrshire and South Ayrshire's role in this action will be funded through revenue budgets provided by the Scottish Government.
Coordination	Work by the responsible authorities to develop understanding and help communities reduce their risk will be coordinated through the Local Plan District Partnership.

More specific local actions to manage flood risk in target areas are detailed in the potentially vulnerable areas (PVAs) sections below.

Potentially vulnerable areas

Potentially vulnerable areas (PVA) were designated in 2018 based on the potential current or future risk from all sources of flooding. This designation was informed by the national flood risk assessment (available to view at: https://www.sepa.org.uk/data-visualisation/nfra2018/). As part of continued analysis of flood risk, the national flood risk assessment and potentially vulnerable areas (PVA) will be reviewed every 6 years to take on board any new information. There are 21 potentially vulnerable areas (PVA) in this Local Plan District. Following sections provide more information on these areas.
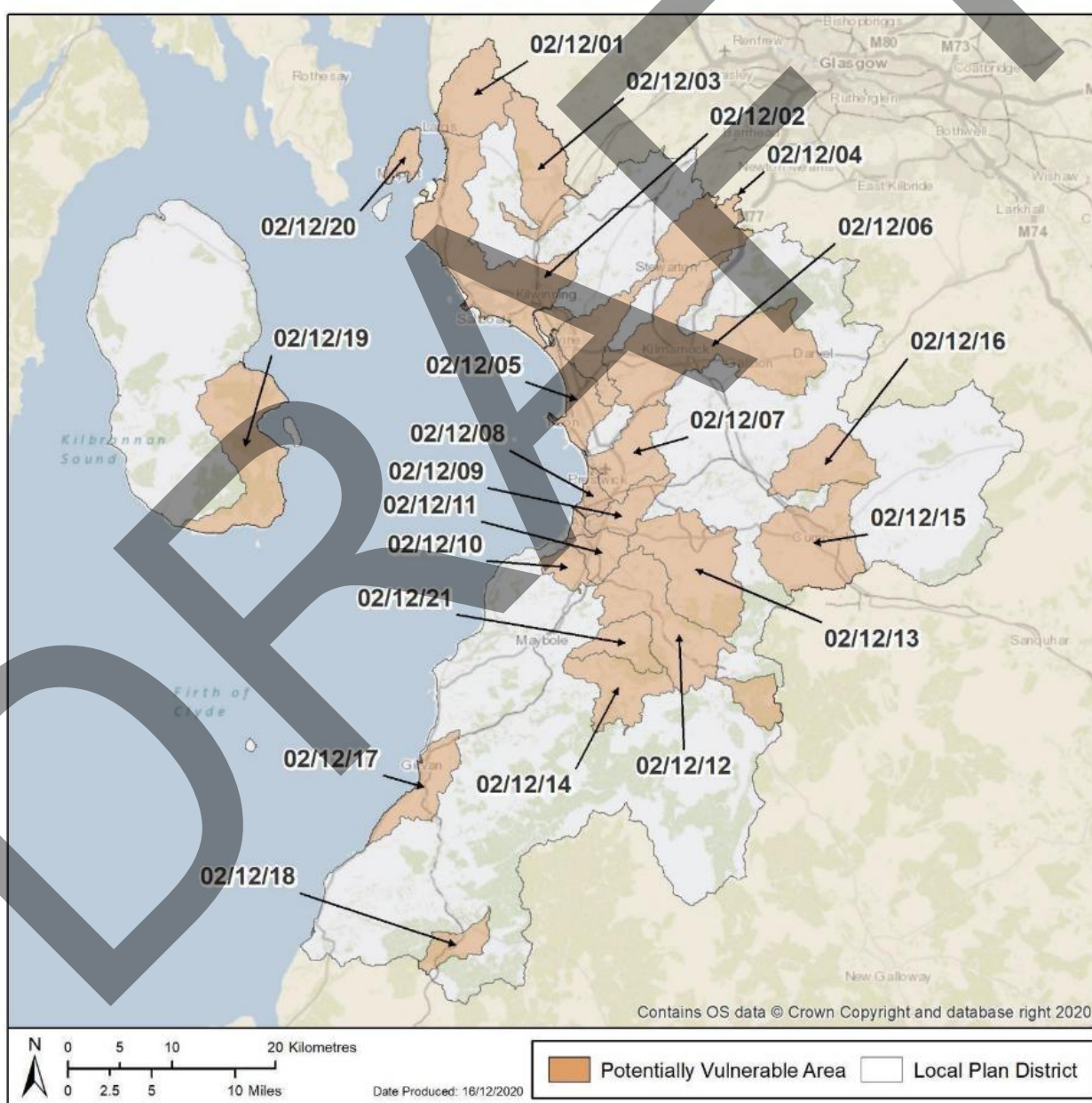
Figure 1. Potentially vulnerable areas in Ayrshire Local Plan District

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LPD 12 Ayrshire – List of PVAs

PVA Ref	PVA Name	Local authority area	Page number
02/12/01	Largs	North Ayrshire	30
02/12/02	Largs to Kilwinning	North Ayrshire	36
02/12/03	Upper Garnock catchment	North Ayrshire	54
02/12/04	Lower Irvine and Annick Water catchment	East Ayrshire, North Ayrshire, South Ayrshire	64
02/12/05	Irvine to Troon	North Ayrshire, South Ayrshire	79
02/12/06	Kilmarnock and Upper Irvine catchment	East Ayrshire	88
02/12/07	Pow Burn catchment	South Ayrshire	113
02/12/08	Prestwick and Ayr	South Ayrshire	120
02/12/09	River Ayr catchment	South Ayrshire	133
02/12/10	Ayr south	South Ayrshire	138
02/12/11	Ayr east	South Ayrshire	143
02/12/12	Dalrymple to Dalmellington	East Ayrshire	149
02/12/13	Drongan	East Ayrshire	157
02/12/14	Straiton	South Ayrshire	161
02/12/15	Cumnock	East Ayrshire	165
02/12/16	Catrine	East Ayrshire	172
02/12/17	Girvan	South Ayrshire	180

PVA Ref	PVA Name	Local authority area	Page number
02/12/18	Barrhill	South Ayrshire	186
02/12/19	Isle of Arran	North Ayrshire	190
02/12/20	Great Cumbrae Island	North Ayrshire	206
02/12/21	Kirkmichael	South Ayrshire	214

02/12/01 (Largs)

This area is designated as a potentially vulnerable area due to flood risk in Largs. There is flooding from river, coastal and surface water. Recent floods have been caused by surface water.

There is 1 target area in this potentially vulnerable area, which has been the focus of further assessment, this is identified below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Largs north   (target area 148)

Flood risk management plan datasheet

Largs north (target area 148)

Summary	Location map
Largs North covers the coastal town of Largs which is located on the banks of Noddsdale Water and Gogo Water. The area is located within the North Ayrshire local authority area. The main source of flooding in Largs North is surface water flooding, however, there is also risk from coastal flooding which is currently not well understood and river flooding from the burns. There are approximately 2,700 people and 1,400 homes and businesses currently at risk from flooding. This is likely to increase to 3,000 people and 1,700 homes and businesses by the 2080s due to climate change.	
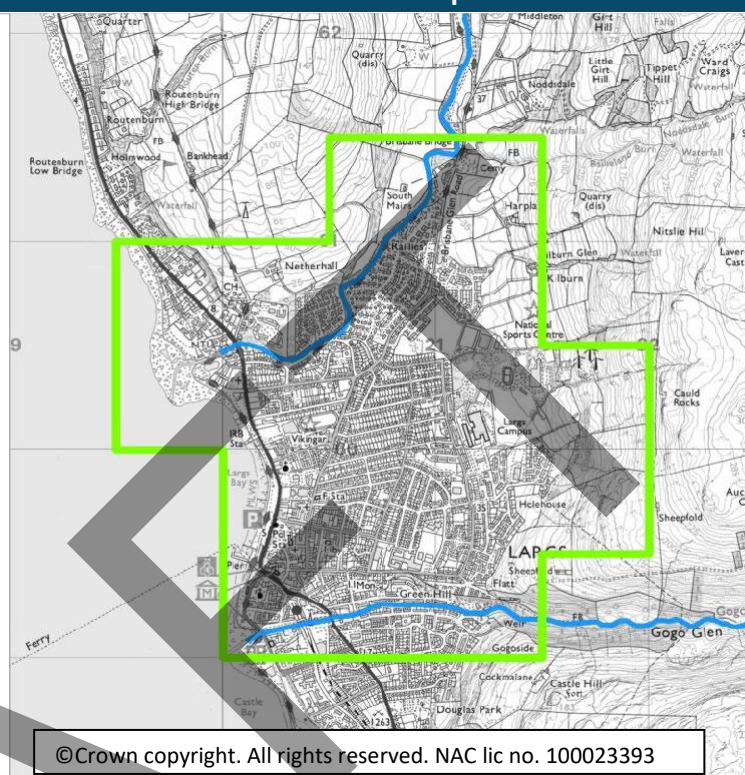
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river flooding by the Gogo Water (2013) and Noddsdale Water (2015) flood studies and for coastal flooding by the shoreline management plan. There is a long record of flooding in this target area.

The Dynamic Coast project has shown that parts of the shoreline in or adjacent to this target area are subject to erosion at present or are considered likely to erode in the future. Consideration should be given to how erosion might impact flood risk. Any actions taken should aim to support building natural resilience to flooding and not lead to an increase in erosion.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver

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multiple outcomes.

Objective ref	Objective type	Objective Description
1481	Avoid flood risk	Avoid an increase in flood risk by the appropriate management and maintenance of Largs Coastal Flood Protection Scheme 2002 and Gogo Street Flood Protection Scheme 2013
1482	Avoid flood risk	Avoid inappropriate development that increases flood risk in Largs
1483	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Largs
1484	Reduce flood risk	Reduce the risk of flooding in Largs

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities especially when connected to protected areas.

Actions proposed to start between 2022 and 2028

Flood study (options appraisal) (14801)	
Action	In areas where flood risk is confirmed, a range of possible options to manage flood risk are to be identified, including natural flood management actions where suitable, and a preferred approach is to be chosen. This should include adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Following the outcome of the Largs wave overtopping study, a further study should be undertaken to investigate options for coastal flood risk mitigation. The flood modelling should quantify the flood risk from all sources (as per objectives), identifying all flooding mechanisms. The existing coastal flood protection scheme should be considered for all flood sources and scenarios. Flood risk should be quantified for present day and future flood risk. If coastal and/or surface water flood risk is confirmed in the target area a scoping study should be carried out to identify the future studies and works required that will achieve the Prepare, Avoid and Reduce objectives set.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This action will be delivered during the first half of Cycle 2 (2022 - 2025).
Funding	This study shall be funded through North Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	North Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities. SEPA will work with the local authority on the potential to coordinate this action with work on coastal flood mapping and flood warning actions.
Local Detail	The completed Largs Wave Overtopping Study will be reviewed to include other flood sources and mechanisms. This information along with the established predicted standard of protection of the existing Largs Flood Protection Scheme will guide future flood studies in this location.

Community engagement (14802)

Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	Awareness raising should be developed based on the findings of the flood modelling. Update the community resilience plan including accounting for expected changes in flood risk over the lifespan of the flood protection scheme. This should consider the need for a community resilience group and the need for a resilience and self help plan.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Community engagement will be an ongoing action throughout Cycle 2 (2022 - 2028).
Funding	This action shall be funded through North Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	Work by the responsible authorities to develop understanding and help communities reduce their risk will be coordinated through the Local Plan District Partnership.
Local Detail	North Ayrshire Council shall update the relevant community flood resilience plan to account for expected changes in flood risk over the lifespan of the Flood Protection Scheme.

Flood defence maintenance (14803)

Action	The existing flood defences are to be maintained by the asset owner to ensure they are in good condition.
Description	Largs Flood Protection Scheme was constructed in 2002 and consists of a concrete seawall from Old Fish Quay to Gogo Water. This scheme provides protection to the area for up to a 200 year flood. The Gogo Street Flood Protection Scheme was completed in 2013 to mitigate flooding from the Gogo Water to a standard of protection of a 1 in 75 year flood. These schemes will continue to be maintained.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Flood defence maintenance will be an ongoing action throughout Cycle 2 (2022 - 2028).
Funding	Maintenance works as required will be funded through North Ayrshire Council's budget provided by Scottish Government.
Coordination	North Ayrshire Council will work in coordination with all relevant stakeholders identified through the planning and implementation of maintenance works.
Local Detail	North Ayrshire Council shall continue to inspect and maintain the Largs Flood Protection Scheme and the Gogo Street Flood Protection Scheme to secure the performance of these assets.

Flood warning maintenance (14804)

Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Firth of Clyde coastal flood warning scheme.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authorities on the potential to use information from the flood schemes and studies along the Firth of Clyde to inform ongoing flood warning. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

Strategic mapping improvements (14805)

Action Description	SEPA will continue to update flood maps based on new information. SEPA will be undertaking a review of coastal flood modelling in this target area to identify where it may be appropriate to include the impact of waves on coastal flooding. We will progress with improved flood modelling and mapping in the highest priority areas taking account of availability of data to support the modelling work.
Delivery Lead	SEPA.
Indicative Delivery	2025-2028.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authority on the potential to coordinate the flood map update with any other actions being carried out to understand or reduce coastal flooding.
Local Detail	N/A.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Data collection (14806)

Action	Equipment that measures rainfall, river levels, erosion, ground levels or wave height may be installed and maintained to improve our understanding of flood risk. This can be done over short term or to measure longer term impacts.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034)
Funding	This action will be funded through North Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	North Ayrshire Council and SEPA will work on the potential to coordinate opportunities for joint data collection activities.
Local Detail	To inform any future long term flood study, appropriate gauging equipment may be installed, as appropriate. Further details of this action will be informed by developments in flood risk management planning between 2022-2028.

Shoreline management plan (coastal adaptive plan) (14807)

Action	The existing assessment of coastal flood and erosion risk is to be reviewed and updated as required. The plan should include assessment of climate change and develop adaptive approaches to allow for the impacts of climate change to be monitored, understood and managed.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034)
Funding	This action will be funded through North Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	North Ayrshire Council will work with other relevant responsible authorities, statutory bodies and key stakeholders identified through the scoping stage of the planned update to the shoreline management plan.
Local Detail	Details of this action will be informed by developments in flood risk management planning between 2022-2028.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/02 (Largs to Kilwinning)

This area is designated as a potentially vulnerable area due to flood risk in Fairlie, Kilwinning and Dalgarven, Largs, Saltcoats and Stevenston and West Kilbride. There is flooding from coastal, river and surface water. Recent surface water and river flooding has occurred in this area.

There are 5 target areas in this potentially vulnerable area, which have been the focus of further assessment, these are listed below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Kilwinning and Dalgarven   (target area 80)
Saltcoats and Stevenston   (target area 121)
West Kilbride   (target area 124)
Largs south   (target area 149)
Fairlie   (target area 155)

Flood risk management plan datasheet

Kilwinning and Dalgarven (target area 80)

Summary	Location map
Kilwinning and Dalgarven are located west of Glasgow. They are located within the North Ayrshire local authority area. The main sources of flooding in Kilwinning and Dalgarven are river and surface water flooding. There are approximately 1,500 people and 810 homes and businesses currently at risk from flooding. This is estimated to increase to 1,700 people and 890 homes and businesses by the 2080s due to climate change.	

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for surface water flooding by the sewer flood risk assessment, integrated catchment study and the ongoing surface water management plan. There is a long record of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
801	Avoid flood risk	Avoid inappropriate development that increases flood risk in Kilwinning and Dalgarven
802	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Kilwinning and Dalgarven
803	Reduce flood risk	Reduce the risk of flooding in Kilwinning and Dalgarven

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Surface water management plan (8001)	
Action	Areas at risk of heavy or prolonged rainfall causing flooding due to water ponding on man-made surfaces or overwhelming the drainage system are to be identified. These priority areas will provide a baseline for the identification of next steps in managing water ponding or over-whelmed drainage systems. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	North Ayrshire Council completed the development of the plan pre-2022. The next steps in managing water ponding or over-whelmed drainage systems within the priority areas shall be identified by either North Ayrshire Council or Scottish Water depending on the predominant flood source / mechanisms.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This action will be delivered during the second half of Cycle 2 (2025 - 2028).
Funding	Surface water flood risk options appraisals will be funded through North Ayrshire Council's budget provided by Scottish Government or funded by Scottish Water's budget as appropriate.
Coordination	North Ayrshire Council will work with Scottish Water to identify which organisation should lead on managing surface water flood risk in each identified priority area. There is potential to work with SEPA's River Basin Management team to improve the physical condition of the water environment.
Local Detail	The Saltcoats, Ardrossan, Stevenston and Kilwinning (SASK) surface water management plan and the Stevenston Point integrated catchment study were completed in Cycle 1 (2016 - 2022). Options to reduce surface water flood risk shall be progressed by either North Ayrshire Council or Scottish Water depending on the source / mechanism of flood risk.

Sewer flood risk assessment (8002)

Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Stevenston sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2025-2027
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Stevenston Point sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Flood warning maintenance (8003)

Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the River Garnock flood warning scheme. The scheme should be investigated for improvement and/or recalibration.
Delivery Lead	SEPA.
Indicative Delivery	Second half of cycle.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	The aciton delivery lead is SEPA. SEPA will maintain the River Garnock flood warning scheme. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Coordination with the river basin management plan

This area has been identified as having potential for restoration in Scotland's river basin management plan. Actions should be coordinated to deliver any potential joint objectives for restoration and flood risk management. This should be considered in the earliest stages of any projects.

Flood risk management plan datasheet

Saltcoats and Stevenston (target area 121)

Summary	Location map
This area covers the coastal towns of Saltcoats, Stevenston and Ardrossan. The area is located within the North Ayrshire local authority area. The main source of flooding is surface water, however there are also risks from coastal and river flooding. There are approximately 4,400 people and 2,500 homes and businesses currently at risk from flooding. This is likely to increase to 5,300 people and 3,000 homes and businesses by the 2080s due to climate change.	©Crown copyright. All rights reserved. NAC lic no. 100023393
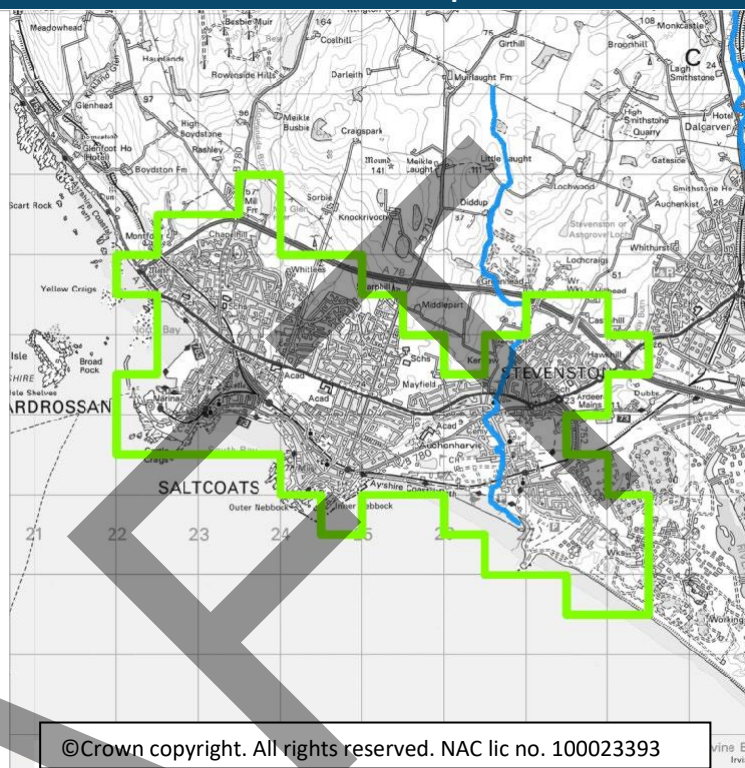
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for surface water flooding by the sewer flood risk assessment, integrated catchment study and the ongoing surface water management plan. Understanding of coastal flooding is improved by the shoreline management plan and Saltcoats Coastal Defence works in 2006 performance review. There is a long record of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
1211	Avoid flood risk	Avoid an increase in flood risk by the appropriate management and maintenance of Saltcoats flood protection scheme 2006
1212	Avoid flood risk	Avoid inappropriate development that increases flood risk in this target area
1213	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in this target area
1214	Reduce flood risk	Reduce the risk of flooding in this target area

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Flood study (12101)	
Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	Following the outcomes of the surface water management plan, a flood study to further investigate the interaction between surface water flooding and other sources should be carried out. The impacts of climate change on flood risk should be evaluated. If flood risk is confirmed, scoping of the next steps should be completed.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This study will be delivered during the first half of Cycle 2 (2022 - 2025).
Funding	This study will be funded through North Ayrshire Council's budget provided by Scottish Government.
Coordination	North Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.
Local Detail	Following the completed Saltcoats, Ardrossan, Stevenston and Kilwinning (SASK) Surface Water Management Plan, this study shall investigate all sources of flood risk in Saltcoats and Stevenston. Where flood risk is confirmed, a second phase of the study shall be commissioned to scope the next steps towards reducing flood risk.

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Sewer flood risk assessment (12102)

Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Stevenston sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2025-2027
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Stevenston Point sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Flood defence maintenance (12103)

Action	The existing flood defences are to be maintained by the asset owner to ensure they are in good condition.
Description	Maintenance to the Saltcoats Flood Protection Scheme 2006 and Saltcoats coastal defence works 2006 should continue and updates to the maintenance regime be made based on the findings of the flood study.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Flood defence maintenance will be an ongoing action throughout Cycle 2 (2022 - 2028).
Funding	Maintenance works as required will be funded through North Ayrshire Council's budget provided by Scottish Government.
Coordination	North Ayrshire Council will work in coordination with all relevant stakeholders identified through the planning and implementation of maintenance works.
Local Detail	North Ayrshire Council shall continue to inspect and maintain the Saltcoats Flood Protection Scheme (2006) and the Saltcoats coastal defence works (2006) to preserve the performance of these assets.

Flood warning maintenance (12104)	
Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Firth of Clyde coastal flood warning scheme.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will maintain the Firth of Clyde coastal flood warning scheme. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document

Flood risk management plan datasheet

West Kilbride (target area 124)

Summary	Location map
The coastal village of West Kilbride is located within the North Ayrshire local authority area. The main source of flooding in West Kilbride is surface water flooding, however there is also a risk from coastal and river flooding. There are approximately 270 people and 150 homes and businesses at risk of flooding. This is likely to increase to 320 people and 180 homes and businesses by the 2080s due to climate change.	 ©Crown copyright. All rights reserved. NAC lic no. 100023393

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for coastal flooding by the shoreline management plan. There are periodic records of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
1241	Avoid flood risk	Avoid inappropriate development that increases flood risk in West Kilbride
1242	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in West Kilbride
1243	Reduce flood risk	Reduce the risk of flooding in West Kilbride

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

Actions proposed to start between 2022 and 2028

	Sewer flood risk assessment (12401)
Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Stevenston sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Stevenston Point sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Flood study (12402)

Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This study will be delivered during Cycle 3 (2028 - 2034).
Funding	This study will be funded through North Ayrshire Council's budget provided by Scottish Government.
Coordination	North Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.
Local Detail	Following the proposed review of the Ayrshire Shoreline Management Plan and the proposed Scottish Water sewer flood risk assessment, this study shall investigate Flood Risk in West Kilbride.

Where flood risk is confirmed, a second phase of the study shall be commissioned to scope the next steps towards reducing flood risk. |

Shoreline management plan (coastal adaptive plan) (12403)

Action	The existing assessment of coastal flood and erosion risk is to be reviewed and updated as required. The plan should include assessment of climate change and develop adaptive approaches to allow for the impacts of climate change to be monitored, understood and managed.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034)
Funding	This action will be funded through North Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	North Ayrshire Council will work with other relevant responsible authorities, statutory bodies and key stakeholders identified through the scoping stage of the planned update to the shoreline management plan.
Local Detail	Details of this action will be informed by developments in flood risk management planning between 2022-2028.

Community engagement (12404)	
Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034).
Funding	This action shall be funded through North Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	Work by the responsible authorities to develop understanding and help communities reduce their risk will be coordinated through the Local Plan District Partnership.
Local Detail	Community engagement will be carried out to inform stakeholders about the latest understanding of flood risk following the updated Shoreline Management Plan and the proposed Scottish Water sewer flood risk assessment.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet

Largs south (target area 149)

Summary	Location map
Largs South includes the southern part of the coastal town of Largs, which is located near Haylie Reservoir. The area is located within the North Ayrshire local authority area. The main source of flooding in Largs South is from surface water flooding, however there is also a risk of coastal flooding. There are approximately 110 people and 70 homes and businesses currently at risk from flooding. This is likely to increase to 160 people and 141 homes and businesses by the 2080s due to climate change.	
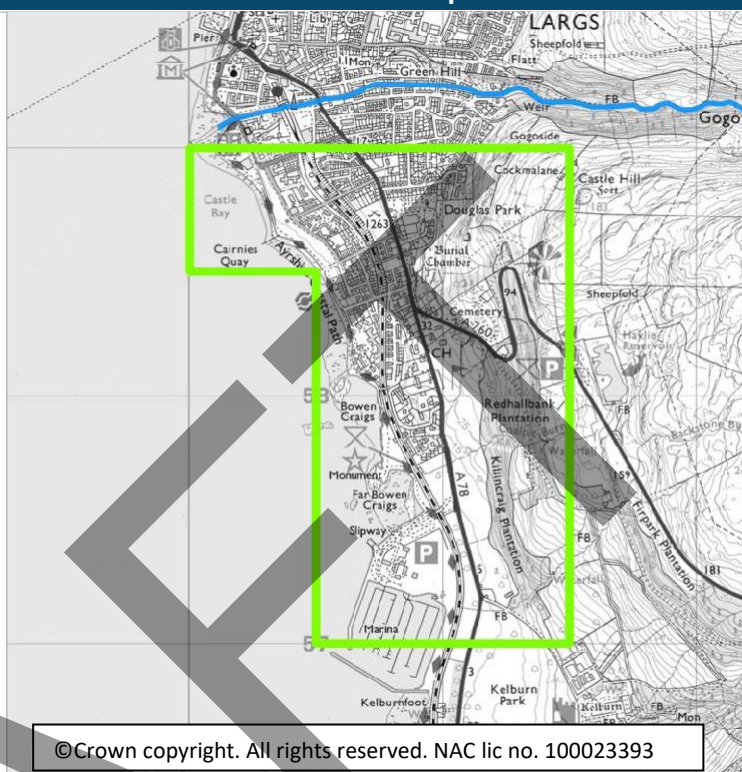
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for coastal flooding by the shoreline management plan and for surface water flooding by the sewer flood risk assessment. There are periodic records of flooding in this target area.

The Dynamic Coast project has shown that parts of the shoreline in or adjacent to this target area are subject to erosion at present or are considered likely to erode in the future. Consideration should be given to how erosion might impact flood risk. Any actions taken should aim to support building natural resilience to flooding and not lead to an increase in erosion.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple benefits.

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Objective ref	Objective type	Objective Description
1491	Avoid flood risk	Avoid inappropriate development that increases flood risk in Largs
1492	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Largs
1493	Reduce flood risk	Reduce the risk of flooding in Largs

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

Actions proposed to start between 2022 and 2028

Flood warning maintenance (14901)	
Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Firth of Clyde coastal flood warning scheme.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authorities on the potential to use information from the flood schemes and studies along the Firth of Clyde to inform ongoing flood warning. SEPA will continue to raise awareness of flood warning, and engage with communities
Local Detail	N/A.

Strategic mapping improvements (14902)	
Action	SEPA will continue to update flood maps based on new information.
Description	SEPA will be undertaking a review of coastal flood modelling in this target area to identify where it may be appropriate to include the impact of waves on coastal flooding. We will progress with improved flood modelling and mapping in the highest priority areas taking account of availability of data to support the modelling work.
Delivery Lead	SEPA.
Indicative Delivery	2025-2028.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authority on the potential to coordinate the flood map update with any other actions being carried out to understand or reduce coastal flooding.
Local Detail	N/A.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Shoreline management plan (coastal adaptive plan) (14903)	
Action	The existing assessment of coastal flood and erosion risk is to be reviewed and updated as required. The plan should include assessment of climate change and develop adaptive approaches to allow for the impacts of climate change to be monitored, understood and managed.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034)
Funding	This action will be funded through North Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	North Ayrshire Council will work with other relevant responsible authorities, statutory bodies and key stakeholders identified through the scoping stage of the planned update to the shoreline management plan.
Local Detail	Details of this action will be informed by developments in flood risk management planning between 2022-2028.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet

Fairlie (target area 155)

Summary	Location map
The coastal village of Fairlie is located within the North Ayrshire Council area. The main sources of flooding in Fairlie are coastal and surface water flooding. There are approximately 380 people and 200 homes and businesses at risk from flooding. This is likely to increase to 480 people and 260 homes and businesses by the 2080s due to climate change.	©Crown copyright. All rights reserved. NAC lic no. 100023393
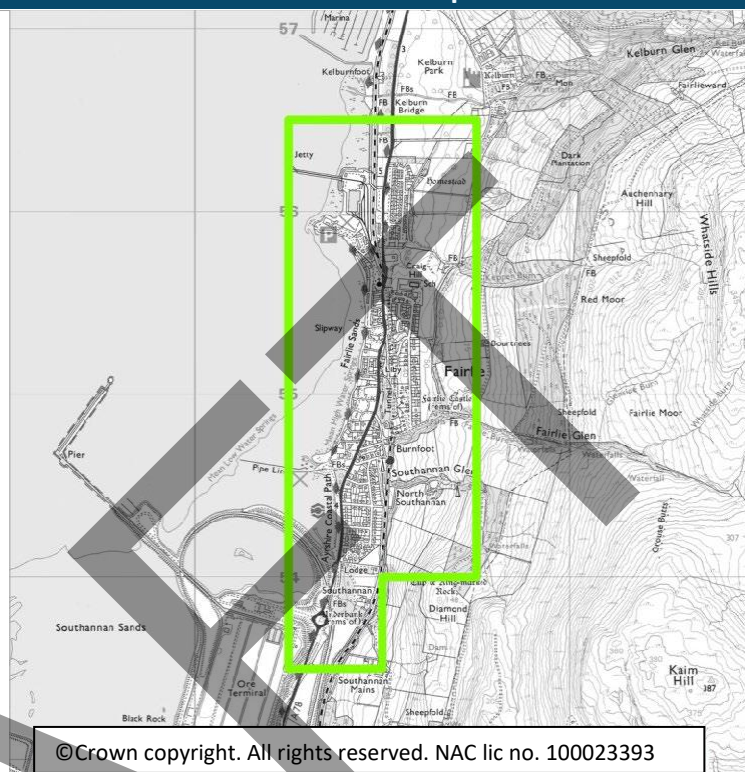
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river flooding by the Fairlie Flood Alleviation Project Option Review and Appraisal (2019) and for coastal flooding by the shoreline management plan. There is a long record of flooding in this target area.

The Dynamic Coast project has shown that parts of the shoreline in or adjacent to this target area are subject to erosion at present or are considered likely to erode in the future. Consideration should be given to how erosion might impact flood risk. Any actions taken should aim to support building natural resilience to flooding and not lead to an increase in erosion.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple benefits.

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Objective ref	Objective type	Objective Description
1551	Avoid flood risk	Avoid inappropriate development that increases flood risk in Fairlie
1552	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Fairlie
1553	Reduce flood risk	Reduce the risk of flooding in Fairlie

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Flood scheme or works design (15501)	
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	North Ayrshire Council to develop detailed design for Fairlie Flood Protection Scheme based on the preferred option from the flood study and stakeholder engagement. The preferred option provides a standard of protection for the 1 in 200 year (0.5% annual exceedance probability) event plus a 20% allowance for climate change and consists of channel widening, regrading and culvert enlarging. The responsible authority proposes this action as the best viable option for managing flood risk in this community. The delivery of this action is subject to capital funding being made available.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	The flood scheme design shall be completed during Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	North Ayrshire Council will deliver this action in coordination with the Scottish Government and SEPA along with Network Rail and Transport Scotland as the detailed design would affect their assets. SEPA will work with the local authority on the potential to coordinate this action with work on coastal flood mapping.
Local Detail	The detailed design of the Fairlie Flood Protection Scheme is to include joint working with Network Rail and Transport Scotland to provide a scheme that will reduce flood risk to the nearby railway line and the trunk

road network as well as providing protection to 41 properties in a 1 in 200-year flood event plus a 20% allowance for climate change.

North Ayrshire Council proposes this action as the best viable option for managing flood risk in this community.

Community engagement (15502)	
Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	North Ayrshire Council to carry out community engagement linked to the proposed (funding dependant) Fairlie Flood Protection Scheme. A community engagement plan will be created to cover the time period from detailed design to implementation of the flood protection solution.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Community engagement will be an ongoing action throughout Cycle 2 (2022 - 2028).
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	Work by the responsible authorities to develop understanding and help communities reduce their risk will be coordinated through the Local Plan District Partnership.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified through the development of the detailed design and the implementation of the Fairlie Flood Protection Scheme.

Strategic mapping improvements (15503)	
Action Description	SEPA will continue to update flood maps based on new information.
Description	SEPA will be undertaking a review of coastal flood modelling in this target area to identify where it may be appropriate to include the impact of waves on coastal flooding. We will progress with improved flood modelling and mapping in the highest priority areas taking account of availability of data to support the modelling work.
Delivery Lead	SEPA.
Indicative Delivery	2025-2028.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authority on the potential to coordinate the flood map update with any other actions being carried out to understand or reduce coastal flooding.
Local Detail	N/A.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/03 (Upper Garnock catchment)

This area is designated as a potentially vulnerable area due to flood risk to Dalry and Kilbirnie. The main source of flooding is the River Garnock and its tributaries, with some risk from surface water flooding. There is a history of flooding in this area, with recent flooding being caused by flooding from the River Garnock.

There are 2 target areas in this potentially vulnerable area, which have been the focus of further assessment, these are listed below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Dalry   (target area 76)
Kilbirnie and Glengarnock   (target area 97)

Flood risk management plan datasheet Appendix 2

Dalry (target area 76)

Summary	Location map
Dalry is a small town located on the banks of the River Garnock, Caaf Water and Rye Water. The area is located within the North Ayrshire local authority area. The main source of flooding in Dalry is river flooding, however there is also a risk from surface water. There are approximately 300 people and 150 homes and businesses currently at risk from flooding. This is likely to increase to 380 people and 190 homes and businesses by the 2080s due to climate change.	©Crown copyright. All rights reserved. NAC lic no. 100023393

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river flooding by the studies supporting the present development of the Upper Garnock Flood Protection Scheme. There is a long record of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
761	Avoid flood risk	Avoid inappropriate development that increases flood risk in Dalry
762	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Dalry
763	Reduce flood risk	Reduce the risk of flooding in Dalry

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

	Flood scheme or works implementation (7601)
Action Description	The flood scheme is currently under construction.
	The flood scheme in Dalry consists of a flood defence wall between the Mill Park residential estate and Beith Road and a low flood defence embankment to the south. The estate will be protected by the railway embankment to the east. This requires the construction of embankment stabilisation measures. Limited works are also being undertaken to protect infrastructure within the DSM plant.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	The Upper Garnock Flood Protection Scheme is under construction, which will be completed in the early part of Cycle 2.
Funding	80% of eligible scheme costs qualify for Scottish Government capital grant funding. The remaining 20% of eligible costs and any other associated costs shall be met by North Ayrshire Council's budget.
Coordination	North Ayrshire Council will coordinate with SEPA, Scottish Water, local residents, landowners and other stakeholders throughout the implementation of the flood scheme. SEPA will work with the local authority on the potential to coordinate this action with an update to SFDAD and flood warning actions.
Local Detail	The Flood Protection Scheme measures in this target area shall be fully implemented by the end of 2022 / first half of 2023.

Community engagement (7602)

Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	North Ayrshire Council began engagement in the community in Dalry associated with the Upper Garnock Flood Protection Scheme which began construction in August 2020.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Community engagement will be an ongoing action throughout Cycle 2 (2022 - 2028).
Funding	This action shall be funded through North Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	Work by the responsible authorities to develop understanding and help communities reduce their risk will be coordinated through the Local Plan District Partnership.
Local Detail	North Ayrshire Council shall update the relevant community flood resilience plan to account for expected changes in flood risk over the lifespan of the Flood Protection Scheme.

Sewer flood risk assessment (7603)

Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Stevenston sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water
Indicative Delivery	2025-2027
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Stevenston Point sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

	Flood warning maintenance (7604)
Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the River Garnock flood warning scheme. The scheme should be investigated for improvement and/or recalibration.
Delivery Lead	SEPA.
Indicative Delivery	Second half of cycle.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with North Ayrshire Council on the potential coordinate flood warning improvements with flood scheme and flood studies work. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet

Kilbirnie and Glengarnock (target area 97)

Summary	Location map
Kilbirnie and Glengarnock are located near Kilbirnie Loch at the banks of the River Garnock. They are located within the North Ayrshire local authority area. The main sources of flooding in this area are river and surface water flooding. There are approximately 2,100 people and 1,200 homes and businesses currently at risk of flooding. This is likely to increase to 2,400 people and 1,300 homes and businesses by the 2080s due to climate change.	

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river flooding by the studies supporting the present development of the Upper Garnock Flood Protection Scheme. There is a long record of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes

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Objective ref	Objective type	Objective Description
971	Avoid flood risk	Avoid inappropriate development that increases flood risk in Kilbirnie and Glengarnock
972	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Kilbirnie and Glengarnock
973	Reduce flood risk	Reduce the risk of surface water and river flooding in Kilbirnie and Glengarnock

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

	Flood scheme or works implementation (9701)
Action Description	The flood scheme is currently under construction.
	The flood scheme in north of Kilbirnie involves the construction of the flood storage dam across the River Garnock at Greenridge and Langlands Farms just north of Kilbirnie. This will temporarily reduce river flow during periods of high rainfall, to reduce flood risk to properties downstream. Works at Paddockholm Industrial Estate Kilbirnie include the reinstatement of flood defence walls and the construction of a new flood defence embankment, in order to reduce flood risk to this area. Works at Powgree Burn, Glengarnock include the construction of a formal flood defence wall adjacent to the Powgree Burn and the Glendale Arms.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	The Upper Garnock Flood Protection Scheme is under construction, which will be completed in the early part of Cycle 2.
Funding	80% of eligible scheme costs qualify for Scottish Government grant funding. The remaining 20% of eligible costs and any other associated costs shall be met by North Ayrshire Council's budget.
Coordination	North Ayrshire Council will coordinate with SEPA, Scottish Water, local residents, landowners and other stakeholders throughout the implementation of the flood scheme. SEPA will work with the local authority on the potential to coordinate this action with an update to SFDAD and flood warning actions.
Local Detail	The Flood Protection Scheme measures in this target area shall be fully implemented by the end of 2022 / first half of 2023.

Community engagement (9702)

Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	The local flood risk management plans published in December 2022 will establish further detail on the actions.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Community engagement will be an ongoing action throughout Cycle 2 (2022 - 2028).
Funding	This action shall be funded through North Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	Work by the responsible authorities to develop understanding and help communities reduce their risk will be coordinated through the Local Plan District Partnership.
Local Detail	North Ayrshire Council shall update the relevant community flood resilience plan to account for expected changes in flood risk over the lifespan of the Flood Protection Scheme.

Flood study (9703)

Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	The existing models for the flood protection scheme should be reviewed and flood warning operations to assess the existence of any residual risks from river, surface water and sewer sources. The impacts of climate change on flood risk should be evaluated. If flood risk is confirmed, scoping of the next steps should be completed.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This study will be delivered during the first half of Cycle 2 (2022 - 2025).
Funding	This study will be funded through North Ayrshire Council's budget provided by the Scottish Government.
Coordination	North Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA. SEPA will work with the local authority on the potential to coordinate this action with flood warning actions.
Local Detail	Following the completion of the Upper Garnock Flood Protection Scheme, this study shall investigate residual flood risk from all sources within Kilbirnie and Glengarnock. Where flood risk is confirmed, a second phase of the study shall be commissioned to scope the next steps towards reducing flood risk.

Flood study (options appraisal) (9704)	
Action	In areas where flood risk is confirmed, a range of possible options to manage flood risk are to be identified, including natural flood management actions where suitable, and a preferred approach is to be chosen. This should include adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	A natural flood management study for the Upper Garnock has already been completed. The objective of the natural flood management study is to investigate the potential benefit of runoff control and sediment management in the catchments of the River Garnock tributaries around Kilbirnie and Glengarnock in order to contribute to the reduction of risk of river and surface water flooding to residential properties and non-residential properties in Kilbirnie, Glengarnock and Longbar. The completed study has identified opportunities for natural flood management and has assessed their effectiveness.
Delivery Lead	North Ayrshire Council
Indicative Delivery	This study was completed before the Local Flood Risk Management Plan publication date.
Funding	This completed study was funded through North Ayrshire Council's budget provided by Scottish Government.
Coordination	SEPA will work with the local authority on the potential to coordinate the findings of the study with flood warning actions.
Local Detail	The second phase of the Upper Garnock Natural Flood Management Study is complete. The findings of the study shall be shared with stakeholders to help support any prospective funding bid for the design and implementation of any of the measures contained in the study.

Sewer flood risk assessment (9705)

Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Stevenston sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water
Indicative Delivery	2025-2027
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Stevenston Point sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Flood warning maintenance (9706)

Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the River Garnock flood warning scheme. The scheme should be investigated for improvement and/or recalibration.
Delivery Lead	SEPA.
Indicative Delivery	Second half of cycle.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with North Ayrshire Council on the potential coordinate flood warning improvements with flood scheme and flood studies work. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when require
Local Detail	N/A.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/04 (Lower Irvine and Annick Water catchment)

This area is designated as a potentially vulnerable area due to flood risk to Dundonald, Irvine and Stewarton. The main sources of flooding are from the River Irvine and Annick water and from surface water. Recent floods have been caused by surface water flooding.

There are 3 target areas in this potentially vulnerable area, which have been the focus of further assessment, these are listed below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Irvine	(target area 21)
Stewarton	(target area 122)
Dundonald	(target area 21001)

Flood risk management plan datasheet

Irvine (target area 21)

Summary	Location map
Irvine covers the majority of the town of Irvine and includes the River Irvine, Annick Water and Red Burn. The area is located within the North Ayrshire local authority area. The main source of flooding in the area is river flooding, however there is also risk from coastal and surface water flooding. There are around 3,700 people and 2,100 homes and businesses at risk from flooding. This is likely to increase to 4,100 people and 2,300 homes and businesses by the 2080s due to climate change.	

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river flooding by the Lower Irvine flood study (2019) and for coastal flooding by the shoreline management plan. Understanding has also improved for surface water as a result of the integrated catchment study which also assessed the interactions between the different flood sources. There is a long record of flooding in this target area.

The Dynamic Coast project has shown that parts of the shoreline in or adjacent to this target area are subject to erosion at present or are considered likely to erode in the future. Consideration should be given to how erosion might impact flood risk. Any actions taken should aim to support building natural resilience to flooding and not lead to an increase in erosion.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources. Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
211	Avoid flood risk	Avoid an increase in flood risk by the appropriate management and maintenance of Irvine Waterside Flood Embankment Flood Protection Scheme
212	Avoid flood risk	Avoid inappropriate development that increases flood risk in Irvine
213	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Irvine
214	Reduce flood risk	Reduce the risk of flooding in Irvine

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Flood scheme or works design (2101)	
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed. The performance and condition of the existing flood defences is to be evaluated, including consideration of the likely impacts of climate change. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	North Ayrshire Council to develop detailed design of the Lower Irvine Valley Flood Scheme, based on the preferred option from the flood study and public engagement. The preferred option consists of a combination of property level direct defences in the form of flood walls and flood embankment. Following the outputs from the Lower River Irvine flood study on the present performance of the Waterside Flood Protection Scheme, the study should focus primarily on establishing the predicted standard of protection for a number of climate change scenarios. This information will underpin the development of an adaptation plan for the long term protection of the community. The responsible authority proposes this action as the best viable option for managing flood risk in this community. The delivery of this action is subject to capital funding being made available.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	The flood scheme design shall be completed during Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	North Ayrshire Council will coordinate with SEPA, Scottish Water, local residents, landowners and other stakeholders throughout the design development of the flood scheme. SEPA will work with the local authority on the potential to coordinate this action with work on coastal flood mapping.
Local Detail	The detailed design for the Lower Irvine Flood Protection Scheme is to include the predicted standard of protection of the existing Waterside Flood Protection Scheme for a number of climate change scenarios. This information will support a climate change adaptive plan for this flood protection asset. North Ayrshire Council proposes this action as the best viable option for managing flood risk in this community.

Community engagement (2102)

Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	North Ayrshire Council to carry out community engagement linked to the proposed (funding dependant) Lower River Irvine Flood Scheme. A community engagement plan will be created to cover the time period from detailed design to implementation of the flood protection solution. The delivery of this action is subject to capital funding being made available.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Community engagement will be an ongoing action throughout Cycle 2 (2022 - 2028).
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	Work by the responsible authorities to develop understanding and help communities reduce their risk will be coordinated through the Local Plan District Partnership.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified through the development of the detailed design and the implementation of the Lower River Irvine Flood Protection Scheme.

Sewer flood risk assessment (2103)

Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water
Indicative Delivery	2023-2025
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Flood defence maintenance (2104)

Action	The existing flood defences are to be maintained by the asset owner to ensure they are in good condition.
Description	North Ayrshire Council is to continue to inspect and maintain the Irvine Waterside Flood Embankment Flood Protection Scheme.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Flood defence maintenance will be an ongoing action throughout Cycle 2 (2022 - 2028).
Funding	Maintenance works as required will be funded through North Ayrshire Council's budget provided by Scottish Government.
Coordination	North Ayrshire Council will work in coordination with all relevant stakeholders identified through the planning and implementation of maintenance works.
Local Detail	North Ayrshire Council shall continue to inspect and maintain the Irvine Waterside Flood Embankment Protection Scheme.

Flood warning maintenance (2105)

Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Ayr, Annick and Irvine flood warning schemes.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will maintain the Ayr, Annick and Irvine flood warning schemes. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

	Strategic mapping improvements (2106)
	Appendix 2
Action Description	SEPA will continue to update flood maps based on new information.
	SEPA will be undertaking a review of coastal flood modelling in this target area to identify where it may be appropriate to include the impact of waves on coastal flooding. We will progress with improved flood modelling and mapping in the highest priority areas taking account of availability of data to support the modelling work.
Delivery Lead	SEPA.
Indicative Delivery	2025-2028
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authority on the potential to coordinate the flood map update with any other actions being carried out to understand or reduce coastal flooding.
Local Detail	N/A.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet Appendix 2

Stewarton (target area 122)

Summary	Location map
Stewarton is a town in East Ayrshire Council area located on the banks of Annick Water. The main sources of flooding in Stewarton are river and surface water flooding. There are approximately 160 people and 80 homes and businesses currently at risk from flooding. This is likely to increase to 230 people and 110 homes and businesses by the 2080s due to climate change.	 ©Crown copyright. All rights reserved. NAC lic no. 100023393
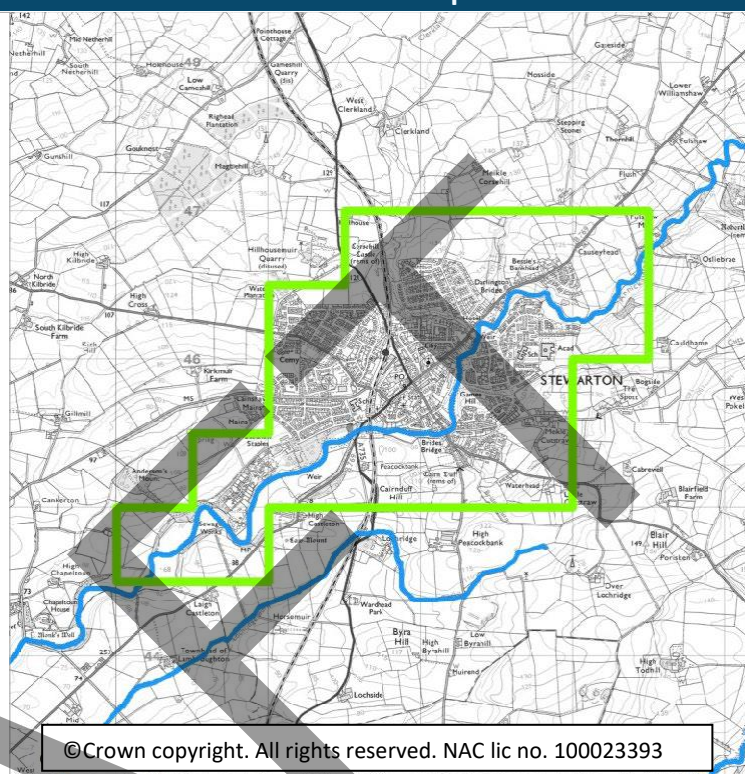
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, and surface water sources. The national level assessment is improved for river flooding by the flood warning scheme and for surface water flooding by the sewer flood risk assessment. Together, this information has highlighted the risk of flooding in this area. Stewarton has therefore been identified as a new target area for the 2021 flood risk management plans. There are periodic records of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
1221	Avoid flood risk	Avoid inappropriate development that increases flood risk in Stewarton
1222	Improve data and understanding	Improve data and understanding of river flooding in Stewarton
1223	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Stewarton
1224	Reduce flood risk	Reduce the risk of surface water flooding in Stewarton

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Data collection (12201)	
Action	Equipment that measures rainfall, river levels, erosion, ground levels or wave height may be installed and maintained to improve our understanding of flood risk. This can be done over short term or to measure longer term impacts.
Description	Data collection and monitoring will be carried out to inform the basis of future studies.
Delivery Lead	Action delivery lead is East Ayrshire Council and coordination will be determined once the actions have been finalised.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through East Ayrshire Council budgets provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council. SEPA will work with the local authority on the potential to coordinate opportunities for joint data collection activities.
Local Detail	East Ayrshire Council shall continue to liaise with SEPA and utilise SEPA gauge information available for this catchment, as required.

Flood warning maintenance (12202)

Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Ayr Annick and Irvine flood warning scheme.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will maintain the Ayr, Annick and Irvine flood warning schemes. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

Sewer flood risk assessment (12203)

Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Stewarton sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2024-2026.
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Surface water management plan (12204)	
	Appendix 2
Action	Areas at risk of heavy or prolonged rainfall causing flooding due to water ponding on man-made surfaces or overwhelming the drainage system are to be identified. These priority areas will provide a baseline for the identification of next steps in managing water ponding or over-whelmed drainage systems. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	East Ayrshire Council/Scottish Water
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034).
Funding	The surface water flood risk options appraisal will be funded through East Ayrshire Council's budget provided by Scottish Government or funded by Scottish Water's budget as appropriate.
Coordination	East Ayrshire Council, Scottish Water and SEPA.
Local Detail	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet Appendix 2

Dundonald (target area 21001)

Summary	Location map
The village of Dundonald is located in the west of Scotland. The area is located within the South Ayrshire Council area. The main source of flooding in Dundonald is surface water flooding. There are approximately 160 people and 80 homes and businesses currently at risk from flooding. This is likely to increase to 170 people and 90 homes and businesses by the 2080s due to climate change.	 ©Crown copyright. All rights reserved. NAC lic no. 100023393
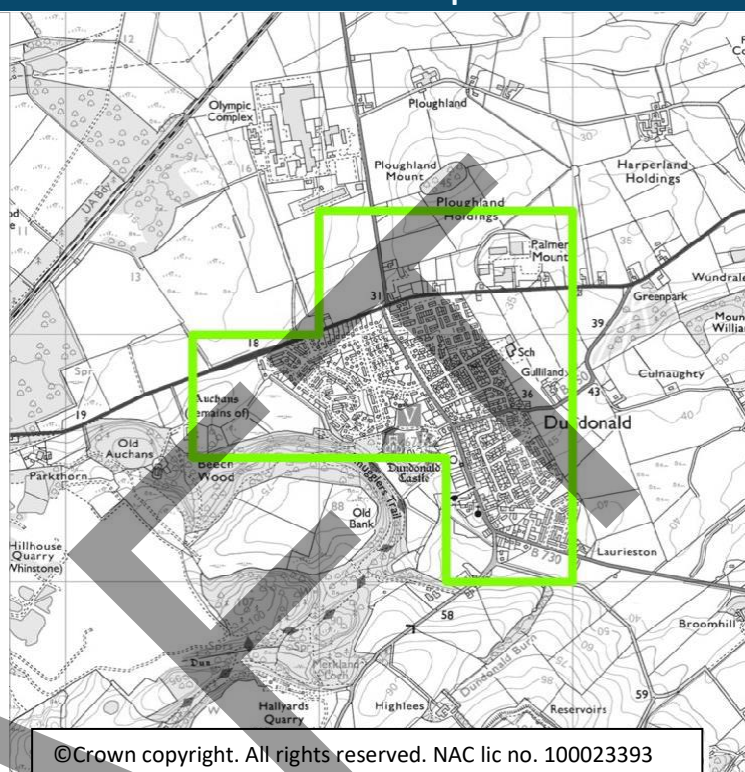
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for surface water flooding by information from the floods that occurred in summer 2019. Before this floods there were periodic records of flooding in the Dundonald area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
210011	Avoid flood risk	Avoid inappropriate development that increases flood risk in Dundonald
210012	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Dundonald
210013	Reduce flood risk	Reduce the risk of surface water flooding in Dundonald

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area. The local flood risk management plan published in 2022 provides more information on the actions, their timing and how they will be funded and coordinated.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Sewer flood risk assessment (2100101)	
Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Flood scheme or works design (2100102)	
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	South Ayrshire Council to implement the surface water management plan working with Scottish water as appropriate. Following completion of the study detailed design to be developed for surface water management in Dundonald, based on the preferred option from the appraisal process.
Delivery Lead	Action delivery lead is South Ayrshire Council in coordination with Scottish Water.
Indicative Delivery	Cycle 2 (2022 - 2028).
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	This action will be lead by South Ayrshire Council in coordination with Scottish Water.
Local Detail	South Ayrshire Council to implement the surface water management plan working with Scottish water as appropriate. Following completion of the study detailed design to be developed for surface water management in Dundonald, based on the preferred option from the appraisal process.

Community engagement (2100103)	
Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	Detailed design for the surface water management measures should be carried out in conjunction with community engagement where issues, constraints, aspirations and opportunities are identified. A community engagement plan should be created to cover the time period from detailed design to implementation of the preferred flood risk management option.
Delivery Lead	South Ayrshire Council
Indicative Delivery	Cycle 3 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	South Ayrshire Council, SEPA and Scottish Water will continue to engage with responsible authorities and all other stakeholders, including community groups and the public.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified. The community engagement plan shall be created to cover the time period from detailed design to implementation of the flood protection solution.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/05 (Irvine to Troon)

This area is designated as a potentially vulnerable area due to flood risk to Irvine and Troon. The main sources of flooding are from coastal and river. Recent coastal flooding has occurred in the area.

There are 2 target areas in this potentially vulnerable area, which have been the focus of further assessment, these are listed below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Irvine Coastal   (target area 22)
Troon   (target area 123)

Flood risk management plan datasheet

Irvine Coastal (target area 22)

Summary	Location map
Irvine coastal covers the coastal area of the town of Irvine. The area is located within the North Ayrshire local authority area. The main source of flooding in the area is river flooding, however there are also risks from coastal and surface water flooding. There are approximately 1,100 people and 640 homes and businesses at risk from flooding, which is a significant proportion of the community. This is estimated to increase to 1,200 people and 760 homes and businesses by the 2080s due to climate change.	 ©Crown copyright. All rights reserved. NAC lic no. 100023393

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river flooding by the Lower Irvine flood study (2019) and for coastal flooding by the shoreline management plan. Understanding has also improved for surface water as a result of the integrated catchment study which also assessed the interactions between the different flood sources. There is a long record of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
221	Avoid flood risk	Avoid inappropriate development that increases flood risk in Irvine
222	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Irvine

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Flood study (2201)	
Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	North Ayrshire Council to carry out a flood study to investigate the feasibility of natural flood management measures in the catchment to address flood risk and coastal erosion.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This study will be delivered during the second half of Cycle 2 (2025 - 2028).
Funding	This study will be funded through North Ayrshire Council's budget provided by Scottish Government.
Coordination	North Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA. SEPA will work with the local authority on the potential to coordinate this action with work on coastal flood mapping.
Local Detail	This study shall investigate the feasibility of Natural Flood Management (NFM) measures to address flood risk coastal erosion, building on the findings identified by the completed Ayrshire Shoreline Management Plan.

Sewer flood risk assessment (2202)	
Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025.
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Shoreline management plan (coastal adaptive plan) (2203)	
Action	The existing assessment of coastal flood and erosion risk is to be reviewed and updated as required. The plan should include assessment of climate change and develop adaptive approaches to allow for the impacts of climate change to be monitored, understood and managed.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034)
Funding	This action will be funded through North Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	North Ayrshire Council will work with other relevant responsible authorities, statutory bodies and key stakeholders identified through the scoping stage of the planned update to the shoreline management plan.
Local Detail	Details of this action will be informed by developments in flood risk management planning between 2022-2028.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet

Troon (target area 123)

Summary	Location map
Troon is located on the west coast of Scotland within the North Ayrshire and South Ayrshire Council areas. The main source of flooding in Troon is from coastal flooding, however there are also risks from river and surface water flooding. There are approximately 3,000 people and 1,800 homes and businesses at risk from flooding. This is likely to increase to 4,000 people and 2,300 properties by the 2080s due to climate change.	©Crown copyright. All rights reserved. NAC lic no. 100023393

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for surface water flooding by the sewer flood risk assessment and integrated catchment study, which also assesses the interactions between the different flood sources. Understanding is improved for coastal flooding by the shoreline management plan. There is a long record of flooding in this target area.

The Dynamic Coast project has shown that parts of the shoreline in or adjacent to this target area are subject to erosion at present or are considered likely to erode in the future. Consideration should be given to how erosion might impact flood risk. Any actions taken should aim to support building natural resilience to flooding and not lead to an increase in erosion.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.
• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
1231	Avoid flood risk	Avoid an increase in flood risk in Troon by the appropriate protection, management and maintenance of sand dunes
1232	Avoid flood risk	Avoid an increase in flood risk by the appropriate management and maintenance of Troon coastal defences
1233	Avoid flood risk	Avoid inappropriate development that increases flood risk in Troon
1234	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Troon
1235	Reduce flood risk	Reduce the risk of flooding in Troon

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Flood study (12301)	
Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	A flood study should be carried out to address coastal flood risk in Troon. The shoreline management plan and operation of the existing defences, sand dunes and flood warning should be reviewed to ascertain the requirements of the flood study. The impacts of climate change on flood risk should be evaluated. The interactivity between coastal flooding and other sources of flooding should be assessed. If flood risk is confirmed, scoping of the next steps should be completed.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council. SEPA will work with the local authority on the potential to coordinate this action with work on coastal flood mapping and flood warning actions.
Local Detail	The flood modelling being carried out for Troon Coastal Flood Study will be reviewed. Where flood risk is confirmed, scoping of the next steps will be completed.

Flood study (existing flood defences) (12302)

Action	The performance and condition of the existing flood defences are to be evaluated, including consideration of the likely impacts of climate change. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	A study of the existing Troon Coastal Defences to be carried out following the outcomes of the coastal flood study. The study should establish the predicted standard of protection for a number of climate change scenarios. This information will underpin the development of an adaptation plan for the long term protection of the community.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This study will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council and SEPA. SEPA will work with the local authority on the potential to coordinate this action with an update to SFDAD and work on coastal flood mapping.
Local Detail	Detailed survey and flood modelling will be carried out for the Troon Coastal Flood Study. The outcomes of the study will underpin the development of an adaption plan for the long term protection of the community.

Flood defence maintenance (12303)

Action	The existing flood defences are to be maintained by the asset owner to ensure they are in good condition.
Description	South Ayrshire Council is to continue to inspect and maintain the Troon coastal defences and sand dunes. The maintenance regime should be made based on the findings of the flood study.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	Maintenance works as required will be funded through South Ayrshire Council's budget provided by Scottish Government.
Coordination	South Ayrshire Council will work in coordination with all relevant stakeholders identified through the planning and implementation of maintenance works.
Local Detail	South Ayrshire Council shall continue to inspect and maintain the Troon coastal defences. The maintenance regime should be made based on the findings of the annual inspection programme and proposed coastal flood study.

Sewer flood risk assessment (12304)

Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025.
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Flood warning maintenance (12305)

Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Firth of Clyde coastal flood warning scheme.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authorities on the potential to use information from the flood schemes and studies along the Firth of Clyde to inform ongoing flood warning. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

	Strategic mapping improvements (12306)
	Appendix 2
Action Description	SEPA will continue to update flood maps based on new information.
	SEPA will be undertaking a review of coastal flood modelling in this target area to identify where it may be appropriate to include the impact of waves on coastal flooding. We will progress with improved flood modelling and mapping in the highest priority areas taking account of availability of data to support the modelling work.
Delivery Lead	SEPA.
Indicative Delivery	2025-2028.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authority on the potential to coordinate the flood map update with any other actions being carried out to understand or reduce coastal flooding.
Local Detail	N/A.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/06 (Kilmarnock and Upper Irvine catchment)

This area is designated as a potentially vulnerable area due to flood risk in Kilmarnock, Galston and Newmilns. The main sources of flooding are from the River Irvine and Kilmarnock Water, and surface water in the main towns. Recent flooding has occurred, which was due to both river and surface water.

There are 6 target areas in this potentially vulnerable area, which have been the focus of further assessment, these are listed below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Kilmarnock	(target area 20)
Crosshouse	(target area 75)
Newmilns	(target area 120)
Kilmaurs	(target area 147)
Galston	(target area 153)
Darvel	(target area 154)

Flood risk management plan datasheet

Kilmarnock (target area 20)

Summary	Location map
The town of Kilmarnock is located on the banks of the Kilmarnock Water and the River Irvine. The area is located within the East Ayrshire Council area. The main source of flooding in Kilmarnock is river flooding, however there is also a risk from surface water flooding. There are approximately 3,800 people and 2,400 homes and businesses at risk from flooding. This is estimated to increase to 4,900 people and 3,000 homes and businesses by the 2080s due to climate change.	
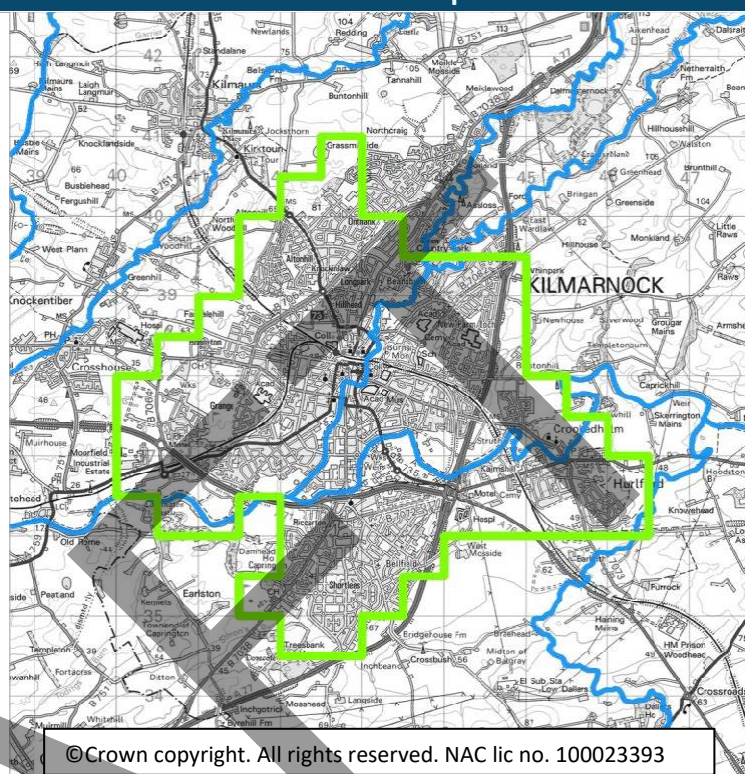
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river flooding by the Irvine Valley flood study (2019). Understanding has also improved as a result of the integrated catchment study which assessed the interactions between the different flood sources. There are frequent records of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
201	Avoid flood risk	Avoid an increase in flood risk by the appropriate management and maintenance of Kilmarnock flood protection scheme 2001
202	Avoid flood risk	Avoid inappropriate development that increases flood risk in Kilmarnock
203	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Kilmarnock
204	Reduce flood risk	Reduce the risk of flooding in Kilmarnock

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

	Flood scheme or works design (2001)
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed. The performance and condition of the existing flood defences is to be evaluated, including consideration of the likely impacts of climate change. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	East Ayrshire Council to develop detail design for the Upper Irvine Flood Protection Scheme based on the preferred option from the Upper Irvine flood Study (2018). The detail design is to include the predicted standard of protection of the Kilmarnock Flood Protection Scheme 2001 for a number of climate change scenarios. This information will support a climate change adaptive plan for this flood protection asset. The responsible authority proposes this action as the best viable option for managing flood risk in this community. The delivery of this action is subject to capital funding being made available.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	East Ayrshire Council, North Ayrshire Council and SEPA.
Local Detail	The detail design for the Upper Irvine Flood Protection Scheme is to include the predicted standard of protection of the existing Kilmarnock Flood Protection Scheme (2001) for a number of climate change scenarios.

	This information will support a climate adaptive plan for this flood protection asset. East Ayrshire Council proposes this action as the best viable option for managing flood risk in this community.

Community engagement (2002)	
Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	The detailed design of the Upper Irvine Flood Protection Scheme (funding dependant) should be carried out in conjunction with community engagement where issues, constraints, aspirations and opportunities are identified. A community engagement plan should be created to cover the time period from detailed design to implement action of the flood protection solution.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	East Ayrshire Council, SEPA and Scottish Water will continue to engage with responsible authorities and all other stakeholders, including community groups and the public.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified. The community engagement plan shall be created to cover the time period from detailed design to implementation of the flood protection solution.

Flood defence maintenance (2003)	
Action	The existing flood defences are to be maintained by the asset owner to ensure they are in good condition.
Description	East Ayrshire Council is to continue to inspect and maintain the Kilmarnock Flood Protection Scheme 2001. The maintenance regime should be informed by the outcomes of the flood study.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	Cycle 2 (2022 - 2028).
Funding	Maintenance works as required will be funded through East Ayrshire Council's budget provided by Scottish Government.
Coordination	East Ayrshire Council will work in coordination with all relevant stakeholders identified through the planning and implementation of maintenance works.
Local Detail	East Ayrshire Council shall continue to inspect and maintain the Kilmarnock Flood Protection Scheme (2001). The maintenance regime should be informed by the outcomes of the flood study.

Sewer flood risk assessment (2004)

Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Flood study (options appraisal) (2005)

Action	In areas where flood risk is confirmed, a range of possible options to manage flood risk are to be identified, including natural flood management actions where suitable, and a preferred approach is to be chosen. This should include adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Following the completion of the surface water management plan and Meadowhead integrated catchment study, surface water flood risk options appraisal should be developed for this target area.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	The surface water flood risk options appraisal will be funded through East Ayrshire Council's budget provided by Scottish Government or funded by Scottish Water's budget as appropriate.
Coordination	East Ayrshire Council, Scottish Water and SEPA.
Local Detail	The surface water management plan and the Meadowhead integrated catchment study were completed in Cycle 1 (2016 - 2022). The reduction of surface water flood risk options shall be progressed.

Flood warning maintenance (2006)	
Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Ayr, Annick and Irvine flood warning schemes.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will maintain the Ayr, Annick and Irvine flood warning schemes. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet

Crosshouse (target area 75)

Summary	Location map
Crosshouse is a village located approximately 7km east of Irvine. The area is within the East Ayrshire Council area. The main source of flooding in Crosshouse is river flooding, however there is also a risk from surface water flooding. There are approximately 160 people and 100 homes and businesses currently at risk from flooding. This is estimated to increase to 190 people and 120 homes and businesses by the 2080s due to climate change.	 ©Crown copyright. All rights reserved. NAC lic no. 100023393
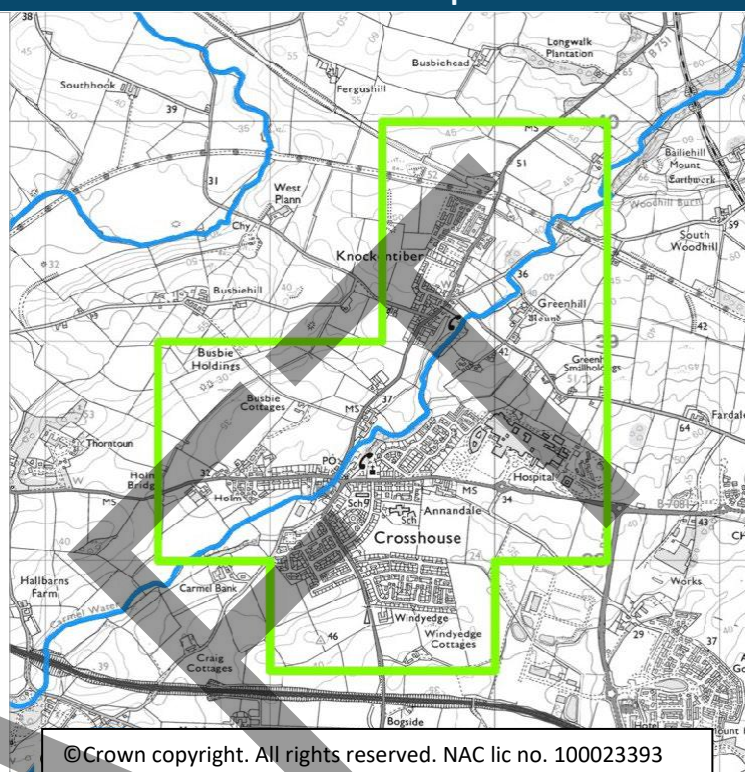
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources, and this information has highlighted the risk of flooding in this area. Crosshouse has therefore been identified as a new target area for the 2021 flood risk management plans. There are periodic records of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
751	Avoid flood risk	Avoid inappropriate development that increases flood risk in Crosshouse
752	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Crosshouse
753	Reduce flood risk	Reduce the risk of flooding in Crosshouse

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

Actions proposed to start between 2022 and 2028

	Data collection (7501)
Action	Equipment that measures rainfall, river levels, erosion, ground levels or wave height may be installed and maintained to improve our understanding of flood risk. This can be done over short term or to measure longer term impacts.
Description	The local flood risk management plans published in December 2022 will establish further detail on the actions.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through East Ayrshire Council budgets provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council. SEPA will work with the local authority on the potential to coordinate opportunities for joint data collection activities.
Local Detail	East Ayrshire Council shall continue to liaise with SEPA and utilise SEPA gauge information available for this catchment, as required.

Sewer flood risk assessment (7502)	
Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025.
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Flood study (7503)	
Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	East Ayrshire Council to carry out a flood study to address risk from river and surface water at Crosshouse. The flood modelling carried out for the River Irvine Flood Study should be reviewed to assess any further flood modelling requirements. The interactivity between surface water and river flooding should be assessed. The impacts of climate change on flood risk should be evaluated. If flood risk is confirmed, scoping of the next steps should be completed.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034).
Funding	This action will be funded through East Ayrshire Council and South Ayrshire Councils' budgets provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.
Local Detail	The flood modelling carried out for the River Irvine Flood Study should be reviewed to assess any further flood modelling requirements. The interactivity between surface water and river flooding should be assessed. The impacts of climate change on flood risk should be evaluated. If flood risk is confirmed, scoping of the next steps will be completed.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

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Flood risk management plan datasheet

Newmilns (target area 120)

Summary	Location map
Newmilns and Greenholm are small villages within East Ayrshire Council area. The main source of flooding in Newmilns is river flooding, however there is also risk from surface water flooding. There are approximately 1,500 people and 770 homes and businesses currently at risk from flooding, which is a significant proportion of the community. This is likely to increase to 1,600 people and 840 homes and businesses by the 2080s due to climate change.	
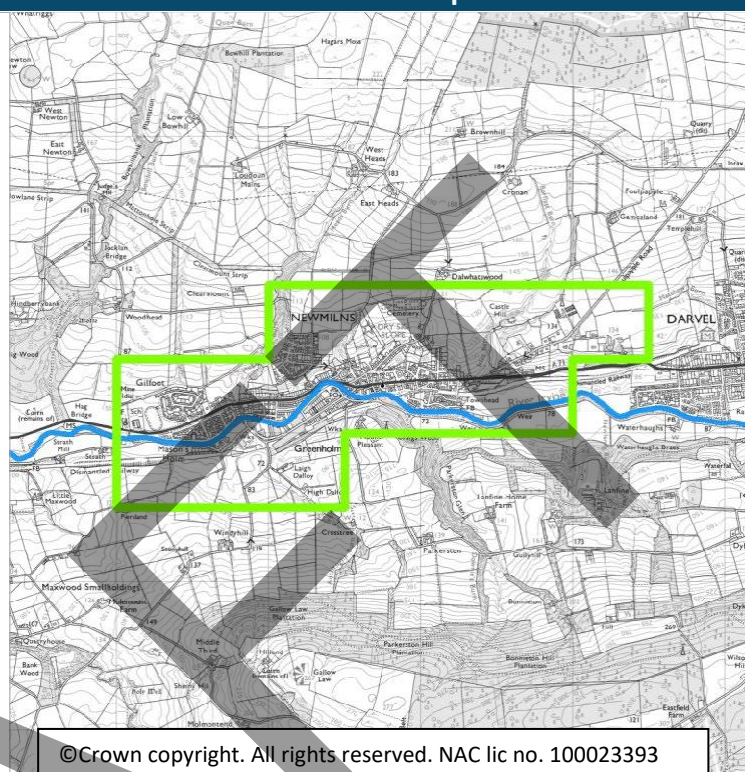
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river flooding by the Irvine Valley flood study (2019) and for surface water flooding by the sewer flood risk assessment. There are frequent records of flooding in this target area, most notably in July 2007.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
1201	Avoid flood risk	Avoid inappropriate development that increases flood risk in Newmilns
1202	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Newmilns
1203	Reduce flood risk	Reduce the risk of flooding in Newmilns

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

Actions proposed to start between 2022 and 2028

	Flood scheme or works design (12001)
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	East Ayrshire Council to develop detailed design for Upper Irvine Flood Protection Scheme based on the preferred option from the flood study. The responsible authority proposes this action as the best viable option for managing flood risk in this community. The delivery of this action is subject to capital funding being made available.
Delivery Lead	Action delivery lead is East Ayrshire Council in coordination with SEPA.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	East Ayrshire Council, North Ayrshire Council and SEPA. SEPA will work with the local authority on the potential to coordinate this action with flood warning actions.
Local Detail	Subject to SG funding being available, East Ayrshire Council to develop detailed design for Upper Irvine Flood Protection Scheme based on the preferred option from the flood study.

Community engagement (12002)	Appendix 2
Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	The detailed design of the Upper Irvine Flood Protection Scheme (funding dependant) should be carried out in conjunction with community engagement where issues, constraints, aspirations and opportunities are identified. A community engagement plan should be created to cover the time period from detailed design to implement action of the flood protection solution.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	East Ayrshire Council, SEPA and Scottish Water will continue to engage with responsible authorities and all other stakeholders, including community groups and the public.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified. The community engagement plan shall be created to cover the time period from detailed design to implementation of the flood protection solution.

Flood warning scoping (12003)	
Action	The potential to provide a new flood warning scheme is to be considered by SEPA. Flood warnings are only effective where it is possible to send a warning message with sufficient time to allow communities to take appropriate actions before flooding occurs.
Description	Scoping for a river flood warning scheme will be carried out in Newmilns.
Delivery Lead	SEPA.
Indicative Delivery	Second half of cycle 2.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with East Ayrshire Council on the potential to coordinate flood warning development with the Upper Irvine flood scheme works.
Local Detail	N/A.

Sewer flood risk assessment (12004)	
Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Surface water management plan (12005)	
Action	Areas at risk of heavy or prolonged rainfall causing flooding due to water ponding on man-made surfaces or overwhelming the drainage system are to be identified. These priority areas will provide a baseline for the identification of next steps in managing water ponding or over-whelmed drainage systems. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	East Ayrshire Council/Scottish Water
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034).
Funding	The surface water flood risk options appraisal will be funded through East Ayrshire Council's budget provided by Scottish Government or funded by Scottish Water's budget as appropriate.
Coordination	East Ayrshire Council will work with Scottish Water to identify which organisation should lead on managing surface water flood risk in each identified priority area, with information provided by SEPA where required.
Local Detail	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet

Kilmaurs (target area 147)

Summary	Location map
The area covers the village of Kilmaurs which is located outside of Kilmarnock. It is in the East Ayrshire Council area. The main sources of flooding in Kilmaurs are river and surface water flooding. There are approximately 160 people and 100 homes and businesses currently at risk from flooding. This is estimated to increase to 180 people and 110 homes and businesses by the 2080s due to climate change.	
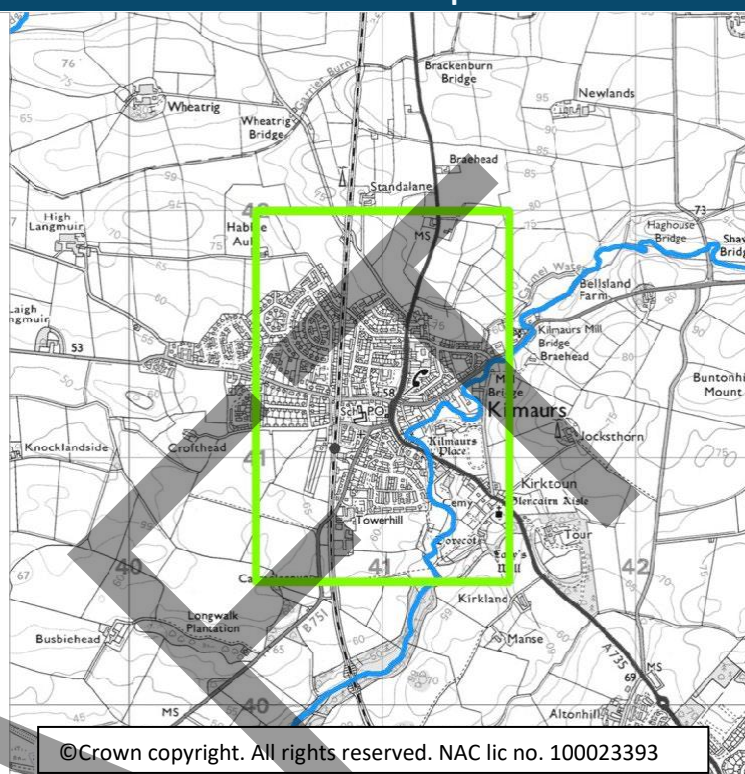
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for surface water flooding by the sewer flood risk assessment. Together, this information has highlighted the risk of flooding in this area. Kilmaurs has therefore been identified as a new target area for the 2021 flood risk management plans. There are limited records of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
1471	Avoid flood risk	Avoid inappropriate development that increases flood risk in Kilmaurs
1472	Improve data and understanding	Improve data and understanding of flooding in Kilmaurs
1473	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Kilmaurs

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

Actions proposed to start between 2022 and 2028

Data collection (14701)	
Action	Equipment that measures rainfall, river levels, erosion, ground levels or wave height may be installed and maintained to improve our understanding of flood risk. This can be done over short term or to measure longer term impacts.
Description	Data collection and monitoring will be carried out to inform the basis of future studies.
Delivery Lead	Action delivery lead is East Ayrshire Council and coordination will be determined once the actions have been finalised.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through East Ayrshire Council budgets provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council and SEPA will work together on the potential to coordinate opportunities for joint data collection activities.
Local Detail	East Ayrshire Council shall continue to liaise with SEPA and utilise SEPA gauge information available for this catchment, as required.

Sewer flood risk assessment (14702)

Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025.
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Flood study (14703)

Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034).
Funding	This action will be funded through East Ayrshire Council and South Ayrshire Councils' budgets provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.
Local Detail	The flood modelling will be carried out for the Carmel Water Flood Study informed by data gathering in Cycle 2. Where flood risk is confirmed, scoping of the next steps will be completed.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet

Galston (target area 153)

Summary	Location map
The town of Galston and the village of Burnhouse are located south of the River Irvine. The area is located within the East Ayrshire Council area. The main source of flooding in Galston is river flooding (Burn Anne), however there is also a risk from surface water flooding. There are approximately 870 people and 500 homes and businesses at risk from flooding. This is estimated to increase to 980 people and 550 homes and businesses by the 2080s due to climate change.	©Crown copyright. All rights reserved. NAC lic no. 100023393
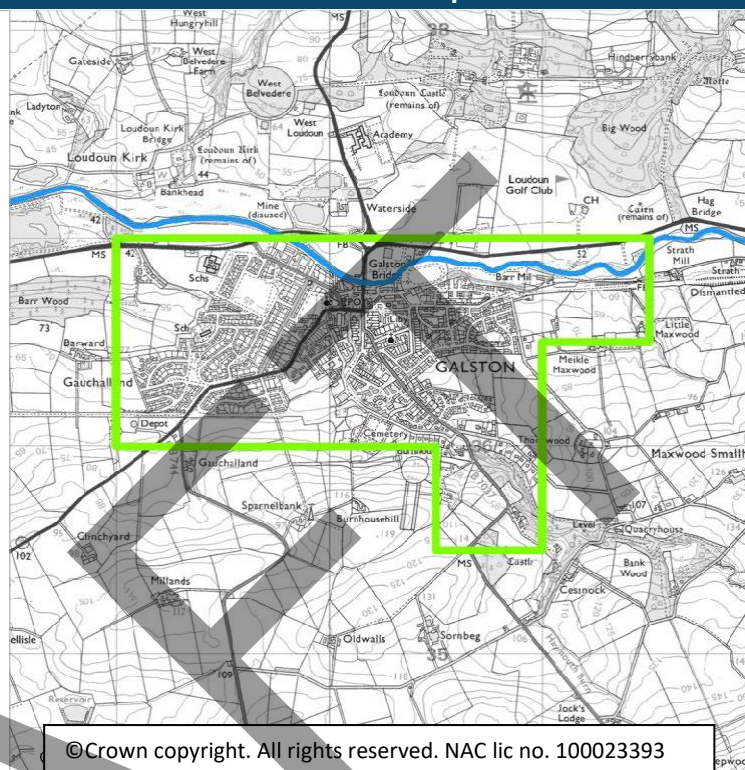
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river flooding by the Irvine Valley flood study (2019) and for surface water by the sewer flood risk assessment. There is a long record of flooding in this target area, most notably in August 2012.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
1531	Avoid flood risk	Avoid an increase in flood risk by the appropriate management and maintenance of Galston flood protection scheme 2008
1532	Avoid flood risk	Avoid inappropriate development that increases flood risk in Galston
1533	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Galston
1534	Reduce flood risk	Reduce the risk of flooding in Galston

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

Actions proposed to start between 2022 and 2028

	Flood scheme or works design (15301)
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed. The performance and condition of the existing flood defences is to be evaluated, including consideration of the likely impacts of climate change. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	East Ayrshire Council to develop detail design for the Upper Irvine Flood Protection Scheme based on the preferred option from the Upper Irvine flood Study (2018). The detail design is to include the predicted standard of protection of the Galston Flood Protection Scheme 2008 for a number of climate change scenarios. This information will support a climate change adaptive plan for this flood protection asset. The responsible authority proposes this action as the best viable option for managing flood risk in this community. The delivery of this action is subject to capital funding being made available.
Delivery Lead	Action delivery lead is East Ayrshire Council in coordination with SEPA.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	East Ayrshire Council, North Ayrshire Council and SEPA.
Local Detail	Subject to SG funding being available, East Ayrshire Council to develop detailed design for Upper Irvine Flood Protection Scheme based on the preferred option from the flood study.

Community engagement (15302)

Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	The detailed design of the Upper Irvine Flood Protection Scheme (funding dependant) should be carried out in conjunction with community engagement where issues, constraints, aspirations and opportunities are identified. A community engagement plan should be created to cover the time period from detailed design to implement action of the flood protection solution.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	East Ayrshire Council, SEPA and Scottish Water will continue to engage with responsible authorities and all other stakeholders, including community groups and the public.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified. The community engagement plan shall be created to cover the time period from detailed design to implementation of the flood protection solution.

Flood defence maintenance (15303)

Action	The existing flood defences are to be maintained by the asset owner to ensure they are in good condition.
Description	East Ayrshire Council is to continue to inspect and maintain the Galston Flood Protection Scheme 2008. The maintenance regime should be informed by the outcomes of the flood study.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through East Ayrshire Council budgets provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council will work in coordination with all relevant stakeholders identified through the planning and implementation of maintenance works.
Local Detail	The flood modelling being carried out for the River Irvine Flood Study will be reviewed. Where flood risk is confirmed, scoping of the next steps will be completed.

Sewer flood risk assessment (15304)	
Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025.
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Surface water management plan (15305)	
Action	Areas at risk of heavy or prolonged rainfall causing flooding due to water ponding on man-made surfaces or overwhelming the drainage system are to be identified. These priority areas will provide a baseline for the identification of next steps in managing water ponding or over-whelmed drainage systems. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	East Ayrshire Council/Scottish Water
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034).
Funding	The surface water flood risk options appraisal will be funded through East Ayrshire Council's budget provided by Scottish Government or funded by Scottish Water's budget as appropriate.
Coordination	East Ayrshire Council will work with Scottish Water to identify which organisation should lead on managing surface water flood risk in each identified priority area with information provided by SEPA.
Local Detail	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet

Darvel (target area 154)

Summary	Location map
Darvel is a small town on banks of the River Irvine within East Ayrshire Council area. The main source of flooding in Darvel is surface water flooding, however there is also risk of river flooding. There are approximately 360 people and 190 properties at risk from flooding. This is likely to increase to 510 people and 260 properties by the 2080s due to climate change.	
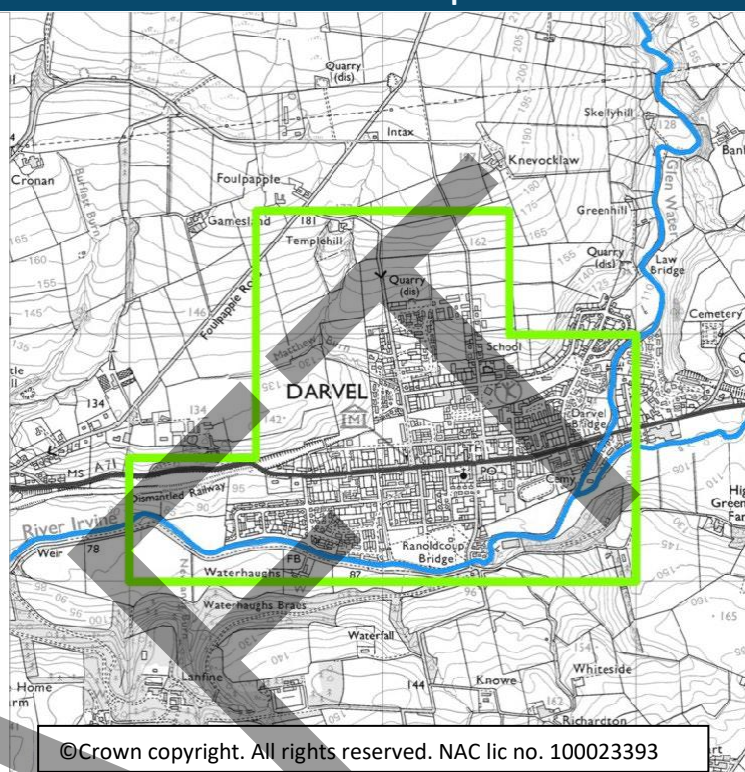
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river flooding by the Irvine Valley flood study (2019) and for surface water by the sewer flood risk assessment. Together, this information has highlighted the risk of flooding in this area. Darvel has therefore been identified as a new target area for the 2021 flood risk management plans. There are limited records of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
1541	Avoid flood risk	Avoid inappropriate development that increases flood risk in Darvel
1542	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Darvel
1543	Reduce flood risk	Reduce the risk of flooding in Darvel

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

Actions proposed to start between 2022 and 2028

Flood scheme or works design (15401)	
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	East Ayrshire Council should develop a detailed design for Upper Irvine Flood Protection Scheme based on the preferred option from the flood study. The responsible authority proposes this action as the best viable option for managing flood risk in this community. The delivery of this action is subject to capital funding being made available.
Delivery Lead	Action delivery lead is East Ayrshire Council in coordination with SEPA.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	East Ayrshire Council, North Ayrshire Council and SEPA.
Local Detail	Subject to Scottish Government funding being available, East Ayrshire Council to develop detailed design for Upper Irvine Flood Protection Scheme based on the preferred option from the flood study.

	Community engagement (15402) Appendix 2
Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	The detailed design of the Upper Irvine Flood Protection Scheme (funding dependant) should be carried out in conjunction with community engagement where issues, constraints, aspirations and opportunities are identified. A community engagement plan should be created to cover the time period from detailed design to implement action of the flood protection solution.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	East Ayrshire Council, SEPA and Scottish Water will continue to engage with responsible authorities and all other stakeholders, including community groups and the public.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified. The community engagement plan shall be created to cover the time period from detailed design to implementation of the flood protection solution.

	Sewer flood risk assessment (15403)
Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025.
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Surface water management plan (15404)	
Action	Areas at risk of heavy or prolonged rainfall causing flooding due to water ponding on man-made surfaces or overwhelming the drainage system are to be identified. These priority areas will provide a baseline for the identification of next steps in managing water ponding or over-whelmed drainage systems. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	East Ayrshire Council/Scottish Water
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034).
Funding	The surface water flood risk options appraisal will be funded through East Ayrshire Council's budget provided by Scottish Government or funded by Scottish Water's budget as appropriate.
Coordination	East Ayrshire Council will work with Scottish Water to identify which organisation should lead on managing surface water flood risk in each identified priority area with information provided by SEPA.
Local Detail	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/07 (Pow Burn catchment)

This area is designated as a potentially vulnerable area due to flood risk to Prestwick. The main source of flooding is from the Pow Burn, with also some risk from surface water flooding. There is a history of flooding in the area, with recent flooding being caused by both river and surface water flooding.

There is 1 target area in this potentially vulnerable area, which has been the focus of further assessment, this is identified below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Prestwick north   (target area 28)

Flood risk management plan datasheet

Prestwick north (target area 28)

Summary	Location map
Prestwick North covers the northern area of the town of Prestwick, which is mostly an inland area. The area is located within the South Ayrshire Council area. The main source of flooding in Prestwick North is river flooding, however there is also a risk from surface water flooding. There are approximately 1,200 people and 690 homes and businesses at risk from flooding and approximately. This is estimated to increase to 1,400 people and 780 homes and businesses by the 2080s due to climate change.	 ©Crown copyright. All rights reserved. NAC lic no. 100023393

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for surface water flooding by the Prestwick Strategic Drainage Project (Flood Heat Mapping Phase 2) (2019) and sewer flood risk assessment. There is a long record of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
281	Avoid flood risk	Avoid inappropriate development that increases flood risk in Prestwick
282	Avoid flood risk	Avoid an increase in flood risk by the appropriate management and maintenance of all existing flood protection structures
283	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Prestwick
284	Reduce flood risk	Reduce the risk of surface water and river flooding in Prestwick

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

	Flood scheme or works design (2801)
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Following completion of the options appraisal flood study for the Prestwick Strategic Drainage Project, Scottish Water will develop detailed design for surface water management in Prestwick, based on the preferred options from the appraisal process, working closely with South Ayrshire Council.
Delivery Lead	Scottish Water in collaboration with South Ayrshire Council.
Indicative Delivery	2022-2035. This action will cover multiple FRM cycles (Phase 1 of Prestwick Strategy is targetted to be implemented during period 2022 ro 2027 but this will be dependent on securing funding and obtaining any necessary agreements from third parties).
Funding	Scottish Water has approved funding to further develop design on the first phase of actions to reduce sewer and surface water flooding in Prestwick. This includes upgrading and reconfiguring parts of the sewer network and delivering blue-green infrastructure at an estimated capital cost for delivery of circa £12m. Upon completion of detailed design the delivery costs will be re-assessed and progressed through the next stage of Scottish Water's Investment Appraisal Process to determine if the project can proceed to construction.
Coordination	Surface water flood risk has shared responsibilities across multiple agencies. Therefore co-ordination with the local authority, businesses and residents is essential and action will be required from multiple agencies for the Prestwick Strategic Drainage Project to be delivered. Progress will continue to be communicated with the Prestwick flooding stakeholder group which was established in Cycle 1. This includes

Local Detail	The Prestwick Strategic Drainage Project has identified options to reduce flood risk across the town. The options consist of a variety of measures ranging from significant sewer infrastructure upgrades, to localised blue-green infrastructure and property level surface water disconnection. Due to the significant cost of the number and scale of options, it is likely to require improvements to be delivered in a phased manner over a number of FRM cycles. This approach will enable further funding to be sought for future phases of work and ensure that actions can be planned to minimise disruption to the town.

Flood scheme or works design (2802)	
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Following completion of the options appraisal flood study for the Prestwick Strategic Drainage Project, detailed design to be developed for surface water management in Prestwick. South Ayrshire Council will explore options for funding for some of the preferred options identified from the appraisal process. The delivery of this action is subject to funding being made available.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	South Ayrshire Council and Scottish Water.
Local Detail	South Ayrshire Council will explore options for funding for some of the preferred options identified from the appraisal process. The delivery of this action is subject to funding being made available.

Community engagement (2803)	
Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	Detailed design for the surface water management measures should be carried out in conjunction with community engagement where issues, constraints, aspirations and opportunities are identified. A community engagement plan should be created to cover the time period from detailed design to implementation of the preferred flood risk management option.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	South Ayrshire Council, SEPA and Scottish Water will continue to engage with responsible authorities and all other stakeholders, including community groups and the public.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified. The community engagement plan shall be created to cover the time period from detailed design to implementation of the preferred flood risk management options.

Flood study (2804)	
Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	A flood study should be carried out to improve understanding of river flood risk from the Pow Burn in Prestwick. The impacts of climate change on flood risk should be evaluated. If flood risk is confirmed, scoping of the next steps should be completed.
Delivery Lead	South Ayrshire Council
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council and Scottish Water.
Local Detail	Flood modelling will be carried out for the Pow Burn Flood Study. Where flood risk is confirmed, scoping of the next steps will be completed.

Sewer flood risk assessment (2805)	Appendix 2
Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water
Indicative Delivery	2023-2025
Funding	Funding for this action is secured within Scottish Water's business plan
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009

Flood study (existing flood defences) (2806)	
Action	The performance and condition of the existing flood defences are to be evaluated, including consideration of the likely impacts of climate change. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	A study of the existing coastal flood defences (Prestwick Sea Walls) to be carried out. The study should establish the current and predicted standard of protection for a number of climate change scenarios. This information will underpin the development of an adaptation plan for the long term protection of the community.
Delivery Lead	South Ayrshire Council
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This study will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council and SEPA. SEPA will work with the local authority on the potential to coordinate this action with an update to SFDAD, work on coastal flood mapping and flood warning actions.
Local Detail	Detailed survey and flood modelling will be carried out for the Prestwick Coastal Flood Study. The outcomes of the study will underpin the development of an adaption plan for the long term protection of the community.

Flood defence maintenance (2807)

Action	The existing flood defences are to be maintained by the asset owner to ensure they are in good condition.
Description	South Ayrshire Council is to continue to inspect and maintain the Prestwick coastal defences (Prestwick Sea Walls). The maintenance regime should be made based on the findings of the flood study
Delivery Lead	South Ayrshire Council
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	Maintenance works as required will be funded through South Ayrshire Council's budget provided by Scottish Government.
Coordination	South Ayrshire Council
Local Detail	South Ayrshire Council shall continue to inspect and maintain the Prestwick coastal defences. The maintenance regime should be made based on the findings of the annual inspection programme and proposed coastal flood study.

Flood warning maintenance (2808)

Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Firth of Clyde coastal flood warning scheme.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authorities on the potential to use information from the flood schemes and studies along the Firth of Clyde to inform ongoing flood warning. SEPA will continue to raise awareness of flood warning, and engage with communities
Local Detail	N/A.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/08 (Prestwick and Ayr)

This area is designated as a potentially vulnerable area due to flood risk to Ayr and Prestwick. The main source of flooding is surface water, however there is also risk of coastal and river flooding. Several floods have been recorded in this area with recent flooding being caused by coastal flooding.

There are 2 target areas in this potentially vulnerable area, which have been the focus of further assessment, these are listed below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Prestwick south   (target area 27)
Ayr   (target area 71)

Prestwick south (target area 27)

Summary	Location map
The Prestwick South area covers a southern area of the town of Prestwick, which is mainly coastal. The area is located within the South Ayrshire Council area. The main source of flooding in Prestwick South is surface water flooding, however there is also a risk of coastal flooding. There are around 840 people at risk from flooding and approximately 470 homes and businesses. This is likely to increase to 870 people and 490 homes and businesses by the 2080s due to climate change.	

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for surface water flooding by the Prestwick Strategic Drainage Project (Flood Heat Mapping Phase 2) (2019) and sewer flood risk assessment, and for coastal flooding by the shoreline management plan. There is a long record of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
271	Avoid flood risk	Avoid inappropriate development that increases flood risk in Prestwick
272	Avoid flood risk	Avoid an increase in flood risk by the appropriate management and maintenance of all existing flood protection structures
273	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Prestwick
274	Reduce flood risk	Reduce the risk of surface water flooding in Prestwick

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Flood scheme or works design (2701)

Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Following completion of the options appraisal flood study for the Prestwick Strategic Drainage Project, Scottish Water will develop detailed design for surface water management in Prestwick, based on the preferred options from the appraisal process, working closely with South Ayrshire Council.
Delivery Lead	Scottish Water in collaboration with South Ayrshire Council.
Indicative Delivery	2022-2035. This action will cover multiple FRM cycles (Phase 1 of Prestwick Strategy is targetted to be implemented during period 2022 ro 2027 but this will be dependent on securing funding and obtaining any necessary agreements from third parties).
Funding	Scottish Water has approved funding to further develop design on the first phase of actions to reduce sewer and surface water flooding in Prestwick. This includes upgrading and reconfiguring parts of the sewer network and delivering blue-green infrastructure at an estimated capital cost for delivery of circa £12m. Upon completion of detailed design the delivery costs will be re-assessed and progressed through the next stage of Scottish Water's Investment Appraisal Process to determine if the project can proceed to construction.
Coordination	Surface water flood risk has shared responsibilities across multiple agencies. Therefore co-ordination with the local authority, businesses and residents is essential and action will be required from multiple agencies for the Prestwick Strategic Drainage Project to be delivered. Progress will continue to be communicated with the Prestwick flooding stakeholder group which was established in Cycle 1. This includes representation from MP, MSP, Councillors, Community Councillors and PRAAF community flood group.
Local Detail	The Prestwick Strategic Drainage Project has identified options to reduce flood risk across the town. The options consist of a variety of measures ranging from significant sewer infrastructure upgrades, to localised blue-green infrastructure and property level surface water disconnection. Due to the significant cost of the number and scale of options, it is likely to require improvements to be delivered in a phased manner over a number of FRM cycles. This approach will enable further funding to be sought for future phases of work and ensure that actions can be planned to minimise disruption to the town.

Flood scheme or works design (2702)	
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Following completion of the options appraisal flood study for the Prestwick Strategic Drainage Project, detailed design to be developed for surface water management in Prestwick. South Ayrshire Council will explore options for funding for some of the preferred options identified from the appraisal process. The delivery of this action is subject to funding being made available.
Delivery Lead	South Ayrshire Council
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	South Ayrshire Council and Scottish Water.
Local Detail	South Ayrshire Council will explore options for funding for some of the preferred options identified from the appraisal process. The delivery of this action is subject to funding being made available.

Community engagement (2703)	
Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	Detailed design for the surface water management measures should be carried out in conjunction with community engagement where issues, constraints, aspirations and opportunities are identified. A community engagement plan should be created to cover the time period from detailed design to implementation of the preferred flood risk management option.
Delivery Lead	South Ayrshire Council
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	South Ayrshire Council, SEPA and Scottish Water will continue to engage with responsible authorities and all other stakeholders, including community groups and the public.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified. The community engagement plan shall be created to cover the time period from detailed design to implementation of the preferred flood risk management options.

Sewer flood risk assessment (2704)

Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025.
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Flood study (existing flood defences) (2705)

Action	The performance and condition of the existing flood defences are to be evaluated, including consideration of the likely impacts of climate change. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	A study of the existing coastal flood defences (Prestwick Sea Walls) to be carried out. The study should establish the current and predicted standard of protection for a number of climate change scenarios. This information will underpin the development of an adaptation plan for the long term protection of the community.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This study will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council and SEPA. SEPA will work with the local authority on the potential to coordinate this action with an update to SFDAD, work on coastal flood mapping and flood warning actions.
Local Detail	Detailed survey and flood modelling will be carried out for the Prestwick Coastal Flood Study. The outcomes of the study will underpin the development of an adaption plan for the long term protection of the community.

Flood defence maintenance (2706)

Action	The existing flood defences are to be maintained by the asset owner to ensure they are in good condition.
Description	South Ayrshire Council is to continue to inspect and maintain the Prestwick coastal defences (Prestwick Sea Walls). The maintenance regime should be made based on the findings of the flood study.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	Maintenance works as required will be funded through South Ayrshire Council's budget provided by Scottish Government.
Coordination	South Ayrshire Council will work in coordination with all relevant stakeholders identified through the planning and implementation of maintenance works.
Local Detail	South Ayrshire Council shall continue to inspect and maintain the Prestwick coastal defences. The maintenance regime should be made based on the findings of the annual inspection programme and proposed coastal flood study.

Flood warning maintenance (2707)

Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Firth of Clyde coastal flood warning scheme.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authorities on the potential to use information from the flood schemes and studies along the Firth of Clyde to inform ongoing flood warning. SEPA will continue to raise awareness of flood warning, and engage with communities.
Local Detail	N/A.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet

Ayr (target area 71)

Summary	Location map
Ayr covers the north-west area of Ayr on the coast at the mouth of the River Ayr. The area is located within the South Ayrshire Council area. The main sources of flooding in north-west area of Ayr are from river and surface water flooding, however there is also a risk from coastal flooding. There are approximately 3,000 people and 1,700 homes and businesses at risk from flooding. This is likely to increase to 4,600 people and 2,600 homes and businesses by the 2080s due to climate change.	 ©Crown copyright. All rights reserved. NAC lic no. 100023393
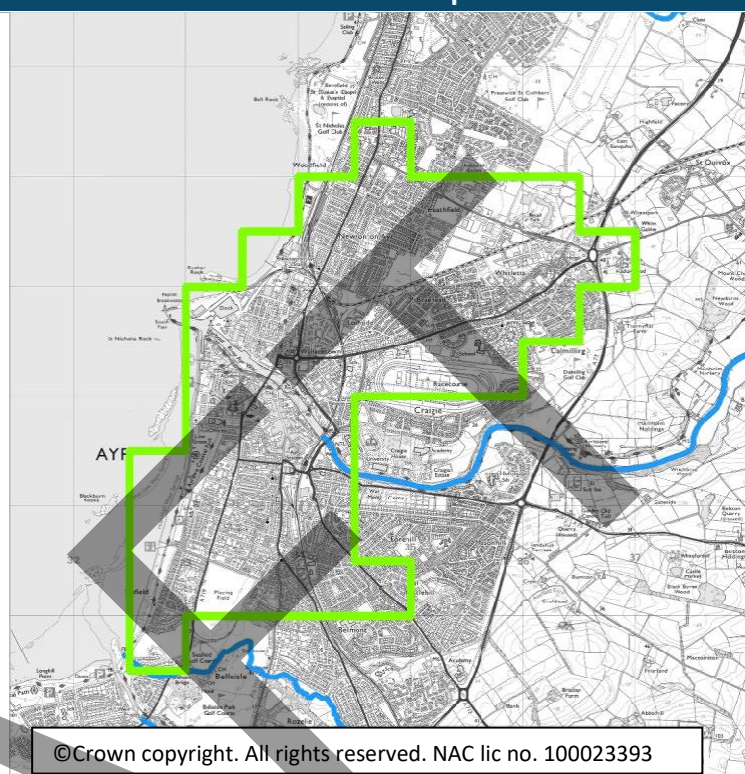
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for surface water flooding by the surface water management plan, sewer flood risk assessment and integrated catchment study, which also assesses the interactions between the different flood sources. Understanding is improved for coastal flooding by the shoreline management plan and river flooding by the flood warning scheme. There is a long record of flooding in this target area.

The Dynamic Coast project has shown that parts of the shoreline in or adjacent to this target area are subject to erosion at present or are considered likely to erode in the future. Consideration should be given to how erosion might impact flood risk. Any actions taken should aim to support building natural resilience to flooding and not lead to an increase in erosion.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies. The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
711	Avoid flood risk	Avoid an increase in flood risk by the appropriate management and maintenance of Ayr South coastal defences
712	Avoid flood risk	Avoid inappropriate development that increases flood risk in Ayr
713	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Ayr
714	Reduce flood risk	Reduce the risk of flooding in Ayr

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

	Flood scheme or works design (7101)
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	South Ayrshire Council to develop a detailed design for surface water management, based on the preferred option from the appraisal process.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	South Ayrshire Council and Scottish Water.
Local Detail	South Ayrshire Council to develop a detailed design for surface water management, based on the preferred option from the appraisal process.

Community engagement (7102)

Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	Detailed design for the surface water management measures should be carried out in conjunction with community engagement where issues, constraints, aspirations and opportunities are identified. A community engagement plan should be created to cover the time period from detailed design to implementation of the preferred flood risk management options.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	South Ayrshire Council, SEPA and Scottish Water will continue to engage with responsible authorities and all other stakeholders, including community groups and the public.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified. The community engagement plan shall be created to cover the time period from detailed design to implementation of the preferred flood risk management options.

Sewer flood risk assessment (7103)

Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Flood defence maintenance (7104)

Action	The existing flood defences are to be maintained by the asset owner to ensure they are in good condition.
Description	South Ayrshire Council is to continue to inspect and maintain the Ayr South coastal defences. The maintenance regime should be made based on the findings of the flood study.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	Maintenance works as required will be funded through South Ayrshire Council's budget provided by Scottish Government.
Coordination	South Ayrshire Council will work in coordination with all relevant stakeholders identified through the planning and implementation of maintenance works.
Local Detail	South Ayrshire Council shall continue to inspect and maintain the Ayr South coastal defences (Ayr Sea Walls) The maintenance regime should be made based on the findings of the annual inspection programme and proposed coastal flood study.

Flood warning maintenance (7105)

Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Firth of Clyde coastal flood warning scheme.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authorities on the potential to use information from the flood schemes and studies along the Firth of Clyde to inform ongoing flood warning. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

Strategic mapping improvements (7106)	
Action	SEPA will continue to update flood maps based on new information.
Description	SEPA will be undertaking a review of coastal flood modelling in this target area to identify where it may be appropriate to include the impact of waves on coastal flooding. We will progress with improved flood modelling and mapping in the highest priority areas taking account of availability of data to support the modelling work.
Delivery Lead	SEPA.
Indicative Delivery	2025-2028.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authority on the potential to coordinate the flood map update with any other actions being carried out to understand or reduce coastal flooding.
Local Detail	N/A.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Flood study (7107)	
Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	A flood study should be carried out to address flood risk in Ayr. The Shoreline Management Plan, the surface water management plan, the Meadowhead Integrated Catchment Study, and operation of the existing defences and flood warning should be reviewed to ascertain the requirements of the flood study. The impacts of climate change on flood risk should be evaluated. The interactivity between surface water, river and coastal flooding should be assessed. If flood risk is confirmed, scoping of the next steps should be completed.
Delivery Lead	South Ayrshire Council
Indicative Delivery	This action will be delivered during Cycle 2 (2028 - 2034).
Funding	This action will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council and Scottish Water.
Local Detail	Flood modelling will be carried out for the Ayr Flood Study. Where flood risk is confirmed, scoping of the next steps will be completed.

	Flood study (existing flood defences) (7108) Appendix 2
Action	The performance and condition of the existing flood defences are to be evaluated, including consideration of the likely impacts of climate change. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	A study of Ayr South existing coastal defences should be carried out following the outcomes of the flood study. The study should establish the predicted standard of protection for a number of climate change scenarios. This information will underpin the development of an adaptation plan for the long term protection of the community.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034)
Funding	This study will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council and SEPA.
Local Detail	Detailed survey and flood modelling will be carried out for the Ayr Coastal Flood Study. The outcomes of the study will underpin the development of an adaption plan for the long term protection of the community.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/09 (River Ayr catchment)

This area is designated as a potentially vulnerable area due to flood risk to Ayr. The main sources of flooding are from surface water and the River Ayr. Flooding has been recorded in the area, with recent flooding being caused by river flooding.

There is 1 target area in this potentially vulnerable area, which has been the focus of further assessment, this is identified below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Ayr east   (target area 72)

Flood risk management plan datasheet

Ayr east (target area 72)

Summary	Location map
Ayr east covers a section of the eastern area of the town of Ayr, which is located at the banks of the River Ayr. The area is located within the South Ayrshire Council area. The main source of flooding in Ayr East is surface water flooding, there is also a risk of river flooding. There are approximately 500 people and 250 homes and businesses at risk from flooding. This is likely to increase to 560 people and 290 homes and businesses by the 2080s due to climate change.	

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for surface water flooding by the sewer flood risk assessment and integrated catchment study, which also assesses the interactions between the different flood sources. Understanding is improved for river flooding by the flood warning scheme. There is a long record of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
721	Avoid flood risk	Avoid inappropriate development that increases flood risk in Ayr
722	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Ayr
723	Reduce flood risk	Reduce the risk of flooding in Ayr

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Flood scheme or works design (7201)	
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	South Ayrshire Council to develop a detailed design for surface water management, based on the preferred option from the appraisal process. In accordance with the flood risk management plan, as part of the scheme or works, the responsible authority should aim to ensure the action will not have an adverse effect on the integrity of the Airds Moss Special Area of Conservation and Muirkirk and the North Lowther Uplands Special Protection Area.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	South Ayrshire Council and Scottish Water.
Local Detail	South Ayrshire Council to develop a detailed design for surface water management, based on the preferred option from the appraisal process.
HRA Mitigation Statement	To be in accord with the FRM Plan, the responsible authority should seek to ensure as part of the scheme/works that the action will not have an adverse effect on the integrity of the Airds Moss Special Area of Conservation and Muirkirk and North Lowther Uplands Special Protection Area.

Community engagement (7202)	
Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	Detailed design for the surface water management measures should be carried out in conjunction with community engagement where issues, constraints, aspirations and opportunities are identified. A community engagement plan should be created to cover the time period from detailed design to implementation of the preferred flood risk management option.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	South Ayrshire Council, SEPA and Scottish Water will continue to engage with responsible authorities and all other stakeholders, including community groups and the public.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified. The community engagement plan shall be created to cover the time period from detailed design to implementation of the preferred flood risk management options.

Sewer flood risk assessment (7203)	
Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025.
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Flood study (7204)	
Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	A flood study should be carried out to address flood risk in Ayr. The surface water management plan, the Meadowhead Integrated Catchment Study, and flood forecasting model should be reviewed to ascertain the requirements of the flood study. The impacts of climate change on flood risk should be evaluated. The interactivity between surface water and river flooding should be assessed. If flood risk is confirmed, scoping of the next steps should be completed.
Delivery Lead	South Ayrshire Council
Indicative Delivery	This action will be delivered during Cycle 2 (2028 - 2034).
Funding	This action will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council and Scottish Water.
Local Detail	Flood modelling will be carried out for the Ayr East Flood Study. Where flood risk is confirmed, scoping of the next steps will be completed.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/10 (Ayr south)

This area is designated as a potentially vulnerable area due to flood risk to Ayr. The main sources of flooding are surface water and river flooding from the River Doon. Flooding has been recorded in the area with recent flooding being caused by surface water flooding.

There is 1 target area in this potentially vulnerable area, which has been the focus of further assessment, this is identified below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Ayr Doon   (target area 74)

Flood risk management plan datasheet

Ayr Doon (target area 74)

Summary	Location map
Ayr Doon covers an area in the south-west of the town of Ayr, which is located at the banks of the River Doon. The area is located within the South Ayrshire Council area. The source of flooding in Ayr Doon area is river and surface water flooding. There are approximately 200 people and 120 homes and businesses at risk from flooding. This is estimated to increase to 210 people and 130 homes and businesses by the 2080s due to climate change.	©Crown copyright. All rights reserved. NAC lic no. 100023393

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for surface water flooding by the sewer flood risk assessment and integrated catchment study, which also assesses the interactions between the different flood sources. There is a long record of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
741	Avoid flood risk	Avoid inappropriate development that increases flood risk in Ayr
742	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Ayr
743	Reduce flood risk	Reduce the risk of flooding in Ayr

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Flood scheme or works design (7401)	
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	South Ayrshire Council to develop a detailed design for surface water management, based on the preferred option from the appraisal process. In accordance with the flood risk management plan, as part of the scheme or works, the responsible authority should aim to ensure the action will not have an adverse effect on the integrity of the Merrick Kells Special Area of Conservation.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	South Ayrshire Council, Scottish Water and SEPA.
Local Detail	South Ayrshire Council to develop a detailed design for surface water management, based on the preferred option from the appraisal process.
HRA Mitigation Statement	To be in accord with the FRM Plan, the responsible authority should seek to ensure as part of the scheme/works that the action will not have an adverse effect on the integrity of the Merrick Kells Special Area of Conservation.

Community engagement (7402)	
Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	Detailed design for the surface water management measures should be carried out in conjunction with community engagement where issues, constraints, aspirations and opportunities are identified. A community engagement plan should be created to cover the time period from detailed design to implementation of the preferred flood risk management option.
Delivery Lead	South Ayrshire Council
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	South Ayrshire Council, SEPA and Scottish Water will continue to engage with responsible authorities and all other stakeholders, including community groups and the public.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified. The community engagement plan shall be created to cover the time period from detailed design to implementation of the preferred flood risk management options.

Flood study (options appraisal) (7403)	
Action	In areas where flood risk is confirmed, a range of possible options to manage flood risk are to be identified, including natural flood management actions where suitable, and a preferred approach is to be chosen. This should include adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Following the outcomes of the Doon Valley Flood Study, options should be developed for river flood risk mitigation management. Current and long term flood risk should be considered and how this area will adapt to changes in flood risk through an adaptation plan.
Delivery Lead	Action delivery lead is South Ayrshire Council. Once the actions have been finalised, they will be progressed in coordination with East Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through South Ayrshire Council and East Ayrshire Councils' budgets provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.
Local Detail	The flood modelling being carried out for the River Doon Flood Study will be reviewed. Where flood risk is confirmed, scoping of the next steps will be completed.

	Sewer flood risk assessment (7404)
Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/11 (Ayr east)

This area is designated as a potentially vulnerable area due to flood risk to Ayr. There is river, coastal and surface water flood risk, with the main source of flooding from the Annfield Burn and Slaphouse Burn. There have been recent reports of flooding in the area, with recent flooding being caused by river flooding.

There is 1 target area in this potentially vulnerable area, which has been the focus of further assessment, this is identified below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Ayr south east   (target area 73)

Flood risk management plan datasheet

Ayr south east (target area 73)

Summary	Location map
Ayr south east covers an area in the south east of the town of Ayr and is located on the banks of Slaphouse Burn. The area is located within the South Ayrshire Council area. The main source of flooding in the Ayr East area is river flooding, however there are also risks of coastal and surface water flooding. There are approximately 820 people and 430 homes and businesses currently at risk from flooding. This is likely to increase to 880 people and 460 homes and businesses by the 2080s due to climate change.	 ©Crown copyright. All rights reserved. NAC lic no. 100023393

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for surface water flooding by the sewer flood risk assessment and integrated catchment study, which also assesses the interactions between the different flood sources. Understanding is improved for coastal flooding by the shoreline management plan. There are periodic records of flooding in this target area.

The Dynamic Coast project has shown that parts of the shoreline in or adjacent to this target area are subject to erosion at present or are considered likely to erode in the future. Consideration should be given to how erosion might impact flood risk. Any actions taken should aim to support building natural resilience to flooding and not lead to an increase in erosion.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
731	Avoid flood risk	Avoid inappropriate development that increases flood risk in Ayr
732	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Ayr
733	Reduce flood risk	Reduce the risk of flooding in Ayr

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Flood scheme or works design (7301)	
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	South Ayrshire Council to develop a detailed design for surface water management, based on the preferred option from the appraisal process.
Delivery Lead	South Ayrshire Council
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	South Ayrshire Council and Scottish Water.
Local Detail	South Ayrshire Council to develop a detailed design for surface water management, based on the preferred option from the appraisal process.

Community engagement (7302)

Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	Detailed design for the surface water management measures should be carried out in conjunction with community engagement where issues, constraints, aspirations and opportunities are identified. A community engagement plan should be created to cover the time period from detailed design to implementation of the preferred flood risk management option.
Delivery Lead	South Ayrshire Council
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	South Ayrshire Council, SEPA and Scottish Water will continue to engage with responsible authorities and all other stakeholders, including community groups and the public.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified. The community engagement plan shall be created to cover the time period from detailed design to implementation of the preferred flood risk management options.

Flood study (7303)

Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	A flood study should be carried out to address flood risk from the Slaphouse Burn. The impacts of climate change on flood risk should be evaluated. The interactivity between surface water, river and coastal flooding should be assessed. If flood risk is confirmed, scoping of the next steps should be completed.
Delivery Lead	South Ayrshire Council
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council and Scottish Water.
Local Detail	Flood modelling will be carried out for the Slaphouse Burn Flood Study. Where flood risk is confirmed, scoping of the next steps will be completed.

Sewer flood risk assessment (7304)	
Action	The volume of water that would overwhelm the sewer system and cause flooding from man-holes or inside our homes is to be assessed, to support understanding of the performance of the urban drainage network.
Description	Scottish Water will carry out an assessment of sewer flood risk within the highest priority sewer catchments, which includes Meadowhead sewer catchment in this target area. This will help to improve knowledge and understanding of potential surface water flood risk. Funding for this action is secured through Scottish Water's strategic planning commitments.
Delivery Lead	Scottish Water.
Indicative Delivery	2023-2025.
Funding	Funding for this action is secured within Scottish Water's business plan.
Coordination	Ouputs of this modelling assessment will be shared with local authorities and SEPA.
Local Detail	Scottish Water will undertake a modelling assessment in the Meadowhead sewer catchment to improve knowledge and understanding of flood risk in this area as required under Section 16 of the Flood Risk Management (Scotland) Act 2009.

Flood warning maintenance (7305)	
Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Firth of Clyde coastal flood warning scheme.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will maintain the Firth of Clyde coastal flood warning scheme. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

Strategic mapping improvements (7306)	
Action Description	SEPA will continue to update flood maps based on new information.
	SEPA will be undertaking a review of coastal flood modelling in this target area to identify where it may be appropriate to include the impact of waves on coastal flooding. We will progress with improved flood modelling and mapping in the highest priority areas taking account of availability of data to support the modelling work.
Delivery Lead	SEPA.
Indicative Delivery	2025-2028.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authority on the potential to coordinate the flood map update with any other actions being carried out to understand or reduce coastal flooding.
Local Detail	N/A.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/12 (Dalrymple to Dalmellington)

This area is designated as a potentially vulnerable area due to flood risk to Dalrymple, Dalmellington and Patna. The main source of flooding is from the River Doon and the Muck Water, with some risk from surface water flooding. Recent flooding has been recorded in the area.

There are 3 target areas in this potentially vulnerable area, which have been the focus of further assessment, these are listed below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Dalrymple   (target area 77)
Dalmellington   (target area 96)
Patna   (target area 164)

Flood risk management plan datasheet

Dalrymple (target area 77)

Summary	Location map
The village of Dalrymple lies in the Doon Valley, on the north bank of the River Doon. The area is located within the East Ayrshire Council area. The main source of flooding in Dalrymple is river flooding. There are approximately 410 people and 200 homes and businesses at risk from flooding. This is estimated to increase to 460 people and 230 homes and businesses by the 2080s due to climate change.	

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. There is a long record of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
771	Avoid flood risk	Avoid inappropriate development that increases flood risk in Dalrymple
772	Avoid flood risk	Avoid an increase in flood risk by the appropriate management and maintenance of Primpton Burn flood protection asset
773	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Dalrymple
774	Reduce flood risk	Reduce the risk of flooding in Dalrymple

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

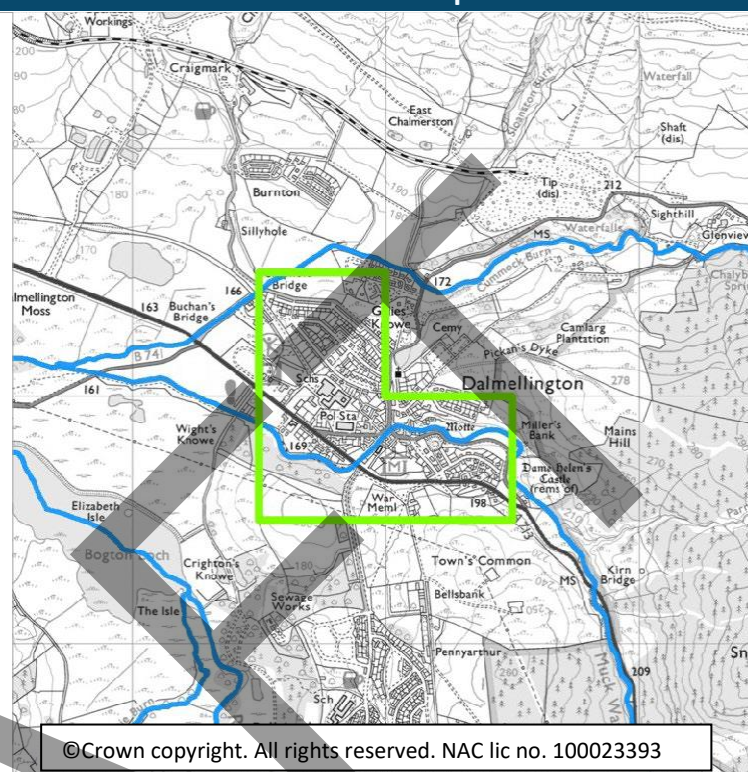| Flood study (options appraisal) (7701)	
Action	In areas where flood risk is confirmed, a range of possible options to manage flood risk are to be identified, including natural flood management actions where suitable, and a preferred approach is to be chosen. This should include adaptive planning to allow for the impacts of climate change to be monitored, understood and managed. The performance and condition of the existing flood defences is to be evaluated, including consideration of the likely impacts of climate change. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Following the completion of Doon Valley Flood Study, possible options to manage flood risk should be developed. This should include a review of the predicted standard of protection of the Primpton Burn flood protection asset for a number of climate change scenarios. This information will support a climate change adaptive plan for this flood protection asset.
Delivery Lead	Action delivery lead is East Ayrshire Council. Once the actions have been finalised, they will be progressed in coordination with South Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through East Ayrshire Council and South Ayrshire Councils' budgets provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.
Local Detail	The flood modelling being carried out for the River Doon Flood Study will be reviewed. Where flood risk is confirmed, scoping of the next steps will be completed.

Flood defence maintenance (7702)	
Action	The existing flood defences are to be maintained by the asset owner to ensure they are in good condition.
Description	East Ayrshire Council is to continue to inspect and maintain the Primpton Burn flood protection asset. The maintenance regime should be informed by the outcomes of the flood study.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through East Ayrshire Council budgets provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council will work in coordination with all relevant stakeholders identified through the planning and implementation of maintenance works.
Local Detail	The flood modelling being carried out for the River Doon Flood Study will be reviewed. Where flood risk is confirmed, scoping of the next steps will be completed.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet

Dalmellington (target area 96)

Summary	Location map
The market town of Dalmellington is located on the banks of Muck Water. The area is located within the East Ayrshire Council area. The main source of flooding in Dalmellington is river flooding, however there is also a risk from surface water flooding. There are approximately 130 people and 100 homes and businesses currently at risk from flooding. This is likely to increase to 180 people and 140 homes and businesses by the 2080s due to climate change.	

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources and this information has highlighted the risk of flooding in this area. There is a long record of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
961	Avoid flood risk	Avoid inappropriate development that increases flood risk in Dalmellington
962	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Dalmellington
963	Reduce flood risk	Reduce the risk of flooding in Dalmellington

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Flood study (options appraisal) (9601)	
Action	In areas where flood risk is confirmed, a range of possible options to manage flood risk are to be identified, including natural flood management actions where suitable, and a preferred approach is to be chosen. This should include adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Following the completion of Doon Valley Flood Study, possible options to manage flood risk should be developed. If risk is confirmed, the feasibility of a range of flood risk management options should be carried out.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through East Ayrshire Council budgets provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.
Local Detail	The flood modelling being carried out for the River Doon Flood Study will be reviewed. Where flood risk is confirmed, scoping of the next steps will be completed.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet Appendix 2

Patna (target area 164)

Summary	Location map

Patna is a village in East Ayrshire Council area located on the banks of the River Doon. The main source of flooding in Patna is river flooding, however there is also risk of surface water flooding. There are approximately 10 people and 7 homes and businesses currently at risk from flooding. This is likely to increase to 60 people and 30 homes and businesses by the 2080s due to climate change.
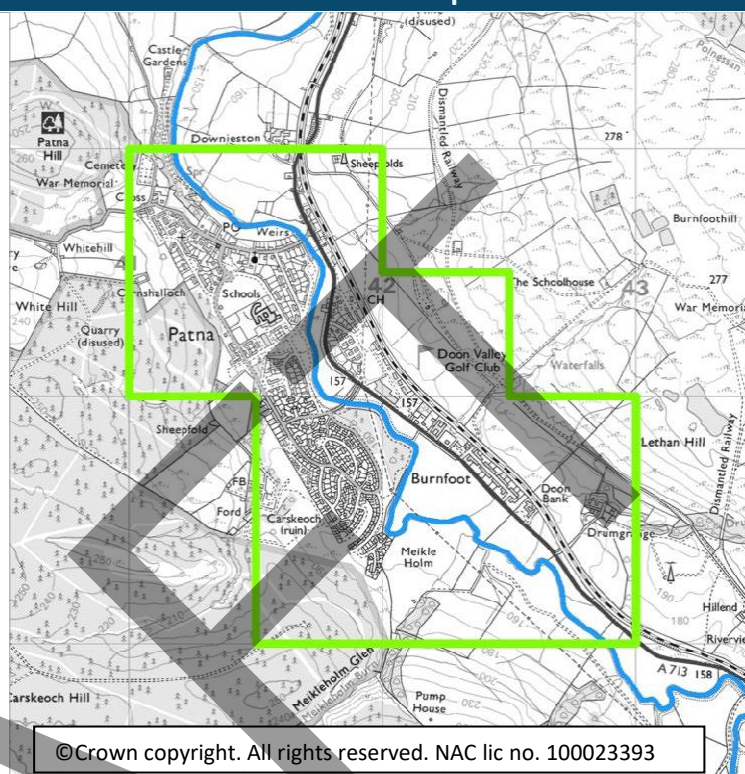
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources and this information has highlighted the risk of flooding in this area. Patna has therefore been identified as a new target area for the 2021 flood risk management plans. There are limited records of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
1641	Avoid flood risk	Avoid inappropriate development that increases flood risk in Patna
1642	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Patna
1643	Reduce flood risk	Reduce the risk of flooding in Patna

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

Actions proposed to start between 2022 and 2028

Flood study (options appraisal) (16401)	
Action	In areas where flood risk is confirmed, a range of possible options to manage flood risk are to be identified, including natural flood management actions where suitable, and a preferred approach is to be chosen. This should include adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Following the completion of Doon Valley Flood Study, possible options to manage flood risk should be developed. If risk is confirmed, the feasibility of a range of flood risk management options should be carried out.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through East Ayrshire Council budgets provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.
Local Detail	The flood modelling being carried out for the River Doon Flood Study will be reviewed. Where flood risk is confirmed, scoping of the next steps will be completed.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/13 (Drongan)

This area is designated as a potentially vulnerable area due to the potential flood risk to Drongan. The main source of risk is from the Water of Coyle, with some risk from surface water flooding. There has been no recorded flooding in this area.

There is 1 target area in this potentially vulnerable area, which has been the focus of further assessment, this is identified below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Drongan   (target area 18)

Flood risk management plan datasheet

Drongan (target area 18)

Summary	Location map
The village of Drongan is located approximately 10km east of Ayr. The area is located within the East Ayrshire Council area. The main source of flooding in Drongan is river flooding, however there is also a small risk from surface water flooding. There are approximately 150 people and 70 homes and businesses at risk from flooding. This is estimated to increase to 210 people and 100 homes and businesses by the 2080s due to climate change.	
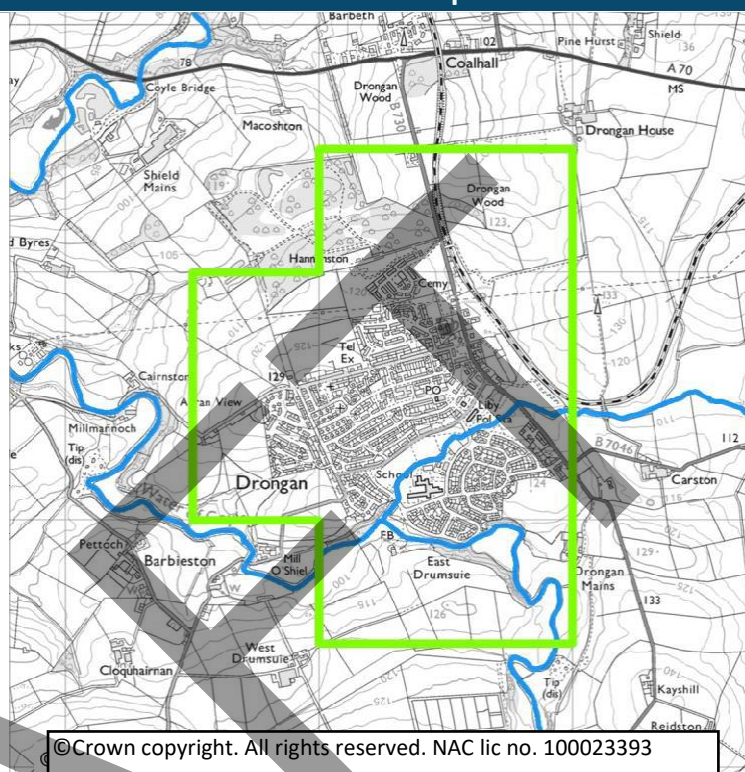
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources, and this information has highlighted the risk of flooding in this area. Drongan has therefore been identified as a new target area for the 2021 flood risk management plans. There are no records of flooding in the Drongan area but this does not confirm that there is no flood risk.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
181	Avoid flood risk	Avoid inappropriate development that increases flood risk in Drongan
182	Improve data and understanding	Improve data and understanding of climate change related to flooding in Drongan

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area. The local flood risk management plan published in 2022 provides more information on the actions, their timing and how they will be funded and coordinated.

Actions proposed to start between 2022 and 2028

Data collection (1801)	
Action	Equipment that measures rainfall, river levels, erosion, ground levels or wave height may be installed and maintained to improve our understanding of flood risk. This can be done over short term or to measure longer term impacts.
Description	Data collection and monitoring will continue using the river monitors on the Taiglum Burn to improve the confidence in flood sources, mechanisms and risk. A review will be required to assess the need for rain and/or river gauges. Post flood surveys will be required to collect data on flooding mechanisms, risk and damage caused.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through East Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council. SEPA will work with the local authority on the potential to coordinate opportunities for joint data collection activities.
Local Detail	A review will be required to assess the need for rain and/or river gauges. Post flood surveys will be required to collect data on flooding mechanisms, risk and damage caused.

	Flood study (1802)
Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	Following the completion of River Ayr Flood Study, if future flood risk is confirmed in this target area, scoping of the next steps should be completed.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through East Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.
Local Detail	The flood modelling being carried out for the River Ayr Valley Flood Study will be reviewed. Where flood risk is confirmed, scoping of the next steps will be completed.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document

02/12/14 (Straiton)

This area is designated as a potentially vulnerable area due to flood risk to Straiton. The main source of risk is from the Water of Girvan, with some risk from surface water. There is a history of flooding in the area, with recent flooding being caused by flooding from the Water of Girvan.

There is 1 target area in this potentially vulnerable area, which has been the focus of further assessment, this is identified below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Straiton   (target area 162)

Straiton (target area 162)

Summary	Location map
Straiton is located along the banks of the Water of Girvan. The area is located within the South Ayrshire Council area. The main source of flooding in Straiton is from river flooding. There are approximately 60 people and 30 homes and businesses currently at risk of flooding. These are expected to remain the same in the 2080s with regards to climate change.	 ©Crown copyright. All rights reserved. NAC lic no. 100023393
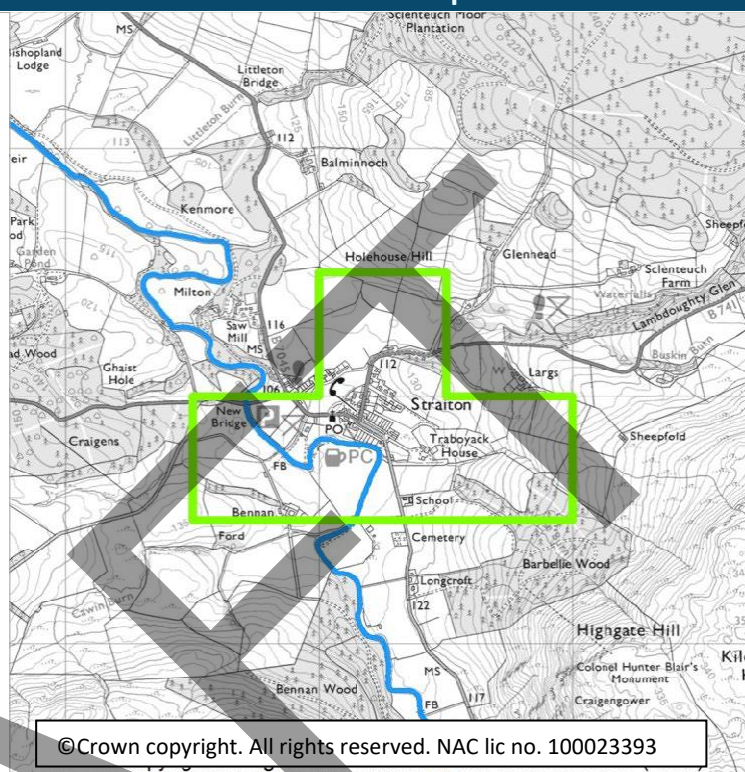
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources, and this information has highlighted the risk of flooding in this area. Straiton has therefore been identified as a new target area for the 2021 flood risk management plans. There are periodic records of flooding in the Straiton area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
1621	Avoid flood risk	Avoid inappropriate development that increases flood risk in Straiton
1622	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Straiton
1623	Improve data and understanding	Improve data and understanding of flooding in Straiton

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

	Data collection (16201)
Action	Equipment that measures rainfall, river levels, erosion, ground levels or wave height may be installed and maintained to improve our understanding of flood risk. This can be done over short term or to measure longer term impacts.
Description	This may include data collection and monitoring to improve the confidence in flood sources, mechanisms and risk. A review may be required to assess the need for rain and/or river gauges. Post flood surveys may be required to collect data on flooding mechanisms, risk and damage caused.
Delivery Lead	Action delivery lead is South Ayrshire Council and coordination will be determined once the actions have been finalised.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This study will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council and SEPA will work together on the potential to coordinate opportunities for joint data collection activities.
Local Detail	Gauges shall be installed in the Kirk Burn & the Water of Girvan to monitor flow and depth information to inform a future study to commence in Cycle 3.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Flood study (16202)	
Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	A flood study should be carried out to improve understanding of river flood risk in Straiton. The impacts of climate change on flood risk should be evaluated. If flood risk is confirmed, scoping of the next steps should be completed.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034).
Funding	This action will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.
Local Detail	Flood modelling will be carried out for the Dyrock Burn and Water of Girvan Flood Study, informed by data gathering in Cycle 2. Where flood risk is confirmed, scoping of the next steps will be completed.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/15 (Cumnock)

This area is designated as a potentially vulnerable area due to flood risk to Auchinleck and Cumnock. The main sources of flooding are from surface water and river flooding from the Lugar Water. There are regular reports of flooding from the Gaisnock Water in Cumnock. There is a history of flooding in the area, with recent flooding being caused by surface water.

There are 2 target area in this potentially vulnerable area, which has been the focus of further assessment, this is identified below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Cumnock   (target area 19)
Auchinleck   (target area 68)

Cumnock (target area 19)

Summary	Location map

The town of Cumnock and the villages of Netherthird, Craigens and Logan are located adjacent to the Lugar and Glaisnock Water. These areas are located within the East Ayrshire Council area. The main source of flooding in Cumnock is surface water flooding, however there is also a risk from river flooding. There are approximately 550 people and 400 homes and businesses at risk from flooding. This is estimated to increase to 720 people and 500 homes and businesses by the 2080s due to climate change.
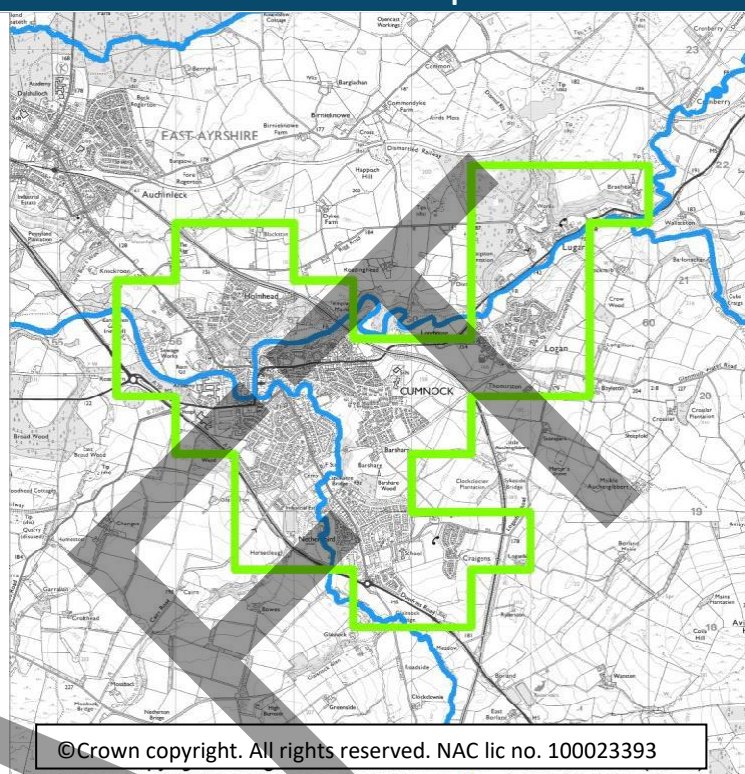
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water. The national level assessment is improved for surface water flooding by the sewer flood risk assessment and improved for river flooding by the ongoing River Ayr Flood Study. Together, this information has highlighted the risk of flooding in this area. Cumnock has therefore been identified as a new target area for the 2021 flood risk management plans. There is a long record of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

166

Objective ref	Objective type	Objective Description
191	Avoid flood risk	Avoid inappropriate development that increases flood risk in this target area
192	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in this target area
193	Reduce flood risk	Reduce the risk of flooding in this target area

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area. The local flood risk management plan published in 2022 provides more information on the actions, their timing and how they will be funded and coordinated.

Actions proposed to start between 2022 and 2028

Flood study (options appraisal) (1901)	
Action	In areas where flood risk is confirmed, a range of possible options to manage flood risk are to be identified, including natural flood management actions where suitable, and a preferred approach is to be chosen. This should include adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Following the completion of River Ayr Flood Study, possible options to manage flood risk should be developed. If risk is confirmed, the feasibility of a range of flood risk management options should be carried out.
Delivery Lead	East Ayrshire Council
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through East Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.
Local Detail	The flood modelling being carried out for the River Ayr Flood Study will be reviewed. Where flood risk is confirmed, scoping of the next steps will be completed.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Property flood resilience scheme (1902)	
Action	The proposed scheme to provide resilience measures against flooding for individual buildings is to be taken forward to help prevent water entering the property and to minimise flood damage.
Description	The River Ayr Flood Study should be completed as planned. Following the completion of the flood modelling, East Ayrshire Council should review the property resilience program.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034).
Funding	This action will be funded through East Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council in coordination with identified stakeholders.
Local Detail	Following the outcomes of the flood study for the River Ayr, East Ayrshire Council shall review the benefit of the property resilience program.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet

Auchinleck (target area 68)

Summary	Location map
The village of Auchinleck is located within the East Ayrshire Council area. The main source of flooding in Auchinleck is surface water flooding. There are approximately 50 people and 40 homes and businesses at risk from flooding. This is likely to increase to 100 people and 60 homes and businesses by the 2080s due to climate change.	 ©Crown copyright. All rights reserved. NAC lic no. 100023393
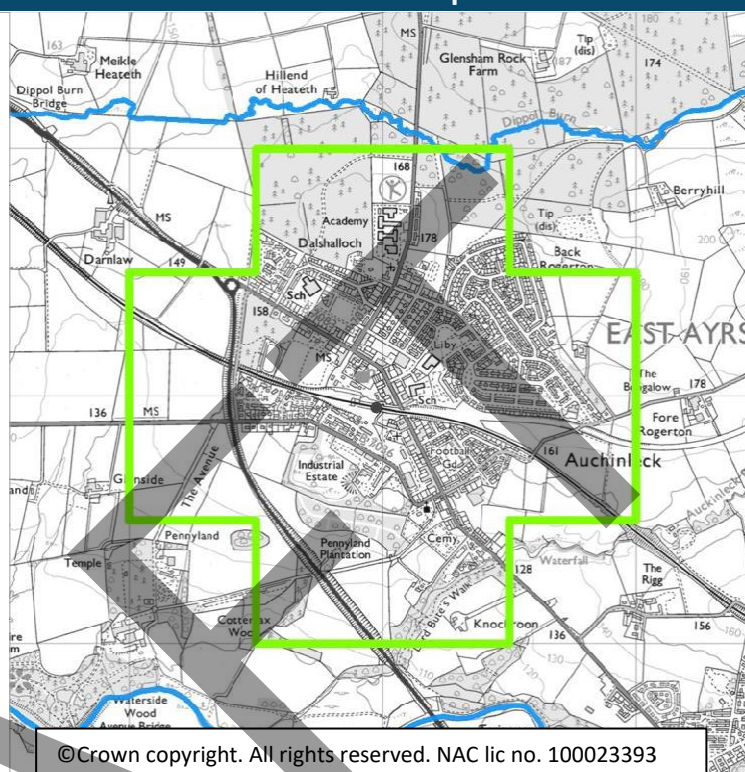
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and this information has highlighted the risk of flooding in this area.
Auchinleck has therefore been identified as a new target area for the 2021 flood risk management plans. There are no records of flooding in this target area but this does not confirm that there is no flood risk.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
681	Avoid flood risk	Avoid inappropriate development that increases flood risk in Auchinleck
682	Improve data and understanding	Improve data and understanding of flooding in Auchinleck
683	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Auchinleck

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area. The local flood risk management plan published in 2022 provides more information on the actions, their timing and how they will be funded and coordinated.

Actions proposed to start between 2022 and 2028

Flood risk management review (6801)	
Action	During each 6 year planning cycle, we update our understanding of flooding to include all new data and information that has become available. This includes information on any flooding that has happened and the latest predictions on the impacts of climate change. The updated understanding is used to set any appropriate objectives and actions for areas at risk of flooding.
Description	No local actions specific to this target area have been identified yet. There are national actions planned that will cover this area, including an update to SEPA's surface water flood maps and an update to the national flood risk assessment. These, along with other actions that are carried out across the whole local plan district covering this area, will help to manage flood risk in the long term. The need for actions for this area will be reviewed again in 2026.
Delivery Lead	SEPA.
Indicative Delivery	2022-2028.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the other responsible authorities to review flood risk management for this area, through the Local Plan District Partnerships. A public consultation on priority areas will be held in 2024 by SEPA, which will be open for three months. A public consultation on future flood management actions will be held in December 2026 and will be open for at least three months.
Local Detail	No local actions specific to this target area have been identified yet. However, there are national actions to be taken forward which will help identify future needs in this area. SEPA are updating surface water mapping to enhance the understanding of current and future surface water flood risks. Scotland's most vulnerable areas will be reviewed to take account of any new information, which will be published in 2024. Long term flood management actions will be reviewed in 2026. SEPA will continue to collect information on any flooding that occurs in the area, to inform the review process.

Actions proposed after June 2028

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Surface water management plan (6802)	Appendix 2
Action	Areas at risk of heavy or prolonged rainfall causing flooding due to water ponding on man-made surfaces or overwhelming the drainage system are to be identified. These priority areas will provide a baseline for the identification of next steps in managing water ponding or over-whelmed drainage systems. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	East Ayrshire Council / Scottish Water
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034).
Funding	The surface water flood risk options appraisal will be funded through East Ayrshire Council's budget provided by Scottish Government or funded by Scottish Water's budget as appropriate.
Coordination	East Ayrshire Council, Scottish Water and SEPA.
Local Detail	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/16 (Catrine)

This area is designated as a potentially vulnerable area due to flood risk to Catrine and Sorn. The main source of flooding is from the River Ayr, with some risk from surface water. There is a history of river flooding in the area.

There are 2 target area in this potentially vulnerable area, which has been the focus of further assessment, this is identified below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Sorn   (target area 16)
Catrine   (target area 17)

Flood risk management plan datasheet

Sorn (target area 16)

Summary	Location map
The small village of Sorn is located on the banks of the River Ayr. The area is located within the East Ayrshire Council area. The main source of flooding in Sorn is river flooding, however there is also a risk from surface water flooding. There are approximately 180 people at risk from flooding and approximately 110 homes and businesses, which is a significant proportion of the community. These figures are expected to remain the same by the 2080s, irrespective of climate change.	
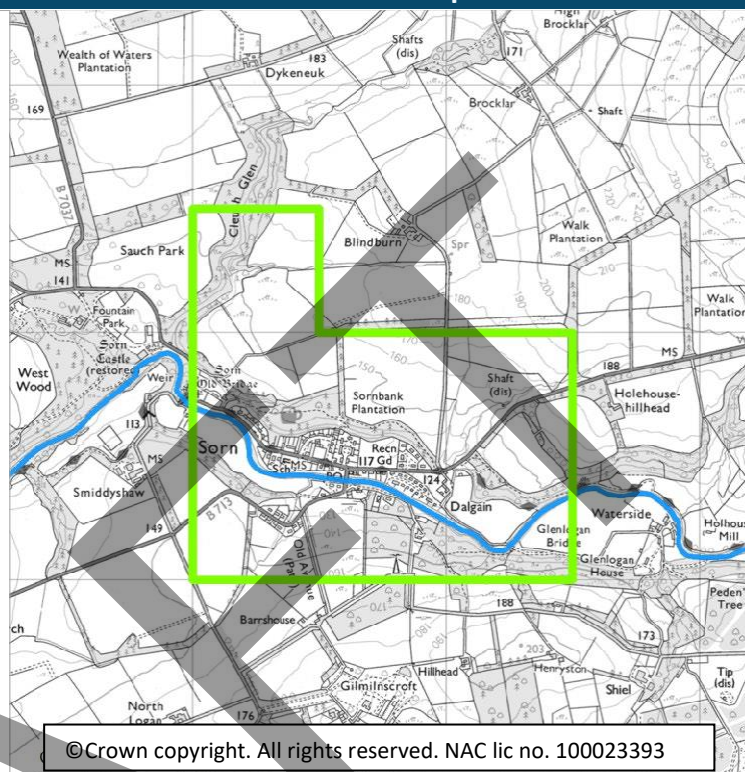
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river flooding by the new flood warning scheme. There are no records of flooding in the Sorn area but this does not confirm that there is no flood risk.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
161	Avoid flood risk	Avoid inappropriate development that increases flood risk in Sorn
162	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Sorn
163	Reduce flood risk	Reduce the risk of flooding in Sorn

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

Actions proposed to start between 2022 and 2028

Flood study (options appraisal) (1601)	
Action	In areas where flood risk is confirmed, a range of possible options to manage flood risk are to be identified, including natural flood management actions where suitable, and a preferred approach is to be chosen. This should include adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	Following the completion of River Ayr Flood Study, possible options to manage flood risk should be developed. If risk is confirmed, the feasibility of a range of flood risk management options should be carried out.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through East Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.
Local Detail	If risk is confirmed, the feasibility of a range of flood risk management options should be carried out.

Flood warning maintenance (1602)	
Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Ayr, Annick and Irvine flood warning schemes.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will maintain the Ayr, Annick and Irvine flood warning schemes. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

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SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet

Appendix 2

Catrine (target area 17)

Summary	Location map

The village of Catrine is located on the banks of the River Ayr, within the East Ayrshire Council area. The main source of flooding in Catrine is river flooding, however there is also a risk from surface water flooding. There are approximately 530 people and 320 homes and businesses at risk from flooding. This is estimated to increase to 550 people and 330 homes and businesses by the 2080s due to climate change.
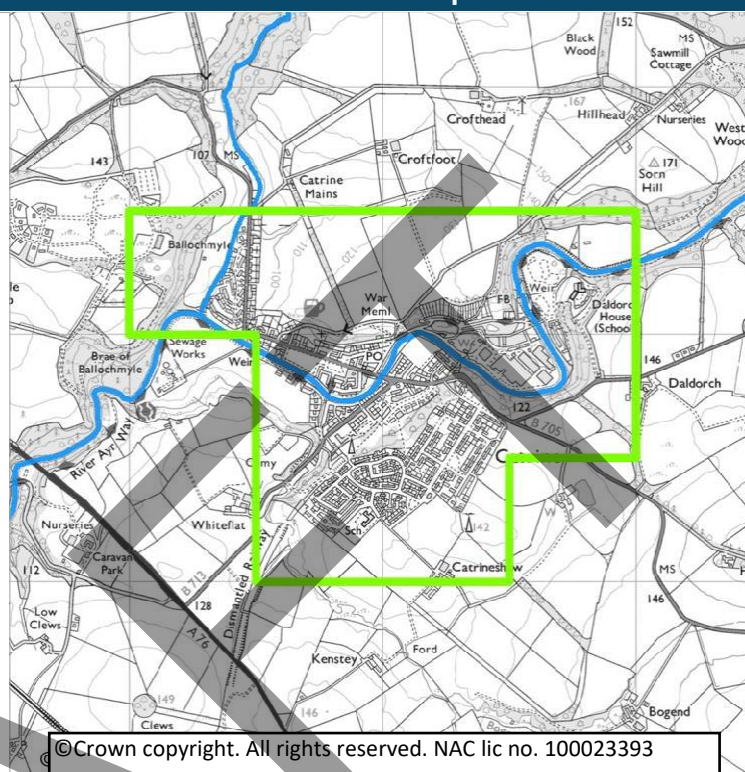
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river flooding by the new flood warning scheme and surface water flooding by the sewer flood risk assessment. There are limited records of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
171	Avoid flood risk	Avoid inappropriate development that increases flood risk in Catrine
172	Improve data and understanding	Improve data and understanding of flooding in Catrine
173	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Catrine

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area. The local flood risk management plan published in 2022 provides more information on the actions, their timing and how they will be funded and coordinated.

Actions proposed to start between 2022 and 2028

Data collection (1701)	
Action	Equipment that measures rainfall, river levels, erosion, ground levels or wave height may be installed and maintained to improve our understanding of flood risk. This can be done over short term or to measure longer term impacts.
Description	Data collection and monitoring will continue using the river monitors on the River Ayr to improve the confidence in flood sources, mechanisms and risk. A review will be required to assess the need for rain and/or river gauges. Post flood surveys will be required to collect data on flooding mechanisms, risk and damage caused.
Delivery Lead	East Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through East Ayrshire Council and South Ayrshire Councils' budgets provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council and SEPA will work together on the potential to coordinate opportunities for joint data collection activities.
Local Detail	East Ayrshire Council shall continue to liaise with SEPA and utilise SEPA gauge information available for this catchment, as required.

Flood study (1702)

Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	The flood modelling being carried out for the River Ayr Flood Study should be reviewed along with the SEPA model for the flood warning scheme and the Scottish Water sewer flood risk assessment. If flood risk is confirmed, scoping of the next steps should be completed.
Delivery Lead	Action delivery lead is East Ayrshire Council. Once the actions have been finalised, they will be progressed in coordination with South Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This action will be funded through East Ayrshire Council budgets provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council and South Ayrshire Council.
Local Detail	The flood modelling being carried out for the River Ayr Flood Study will be reviewed. Where flood risk is confirmed, scoping of the next steps will be completed.

Flood warning maintenance (1703)

Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Ayr, Annick and Irvine flood warning schemes.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will maintain the Ayr, Annick and Irvine flood warning schemes. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

	Property flood resilience scheme (1704) Appendix 2
Action	The proposed scheme to provide resilience measures against flooding for individual buildings is to be taken forward to help prevent water entering the property and to minimise flood damage.
Description	Based on the outcomes of the flood study for Catrine, East Ayrshire Council is to review the benefit of the property resilience program.
Delivery Lead	East Ayrshire Council
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034).
Funding	This action will be funded through East Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	East Ayrshire Council with other identified stakeholders.
Local Detail	The outcomes of the flood study for the River Ayr, East Ayrshire Council shall review the benefit of the property resilience program.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/17 (Girvan)

This area is designated as a potentially vulnerable area due to flood risk to Girvan. There is flooding from river, coastal and surface water. Recent river and surface water flooding has occurred in this area.

There is 1 target area in this potentially vulnerable area, which has been the focus of further assessment, this is identified below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Girvan   (target area 78)

Flood risk management plan datasheet

Girvan (target area 78)

Summary	Location map
Girvan is a coastal town located at the mouth of the Water of Girvan. The area is located within the South Ayrshire Council area. The main source of flooding in Girvan is river flooding, however there is also risk of coastal and surface water flooding. There are approximately 460 people and 270 homes and businesses at risk from flooding. This is likely to increase to 580 people and 340 homes and businesses by the 2080s due to climate change.	
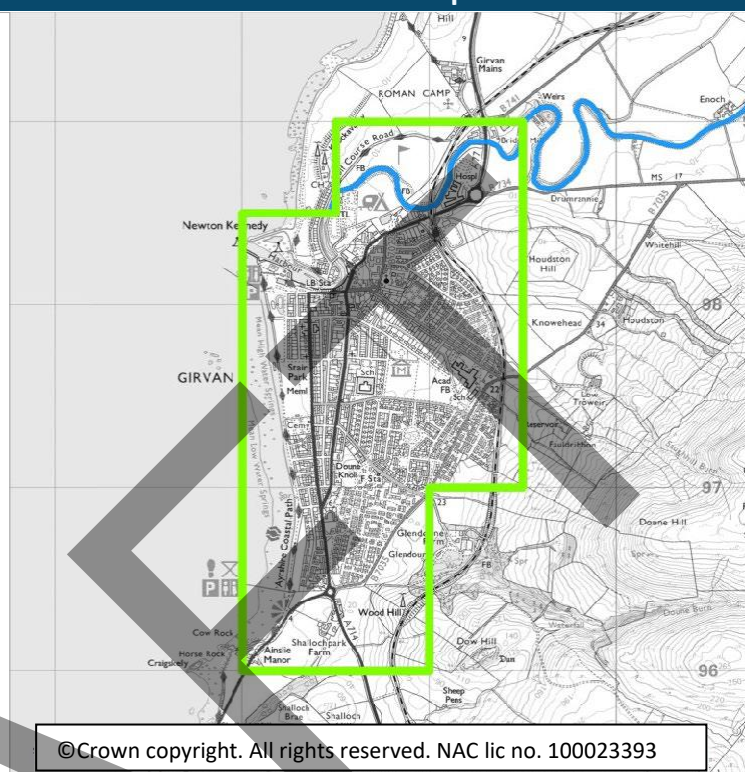
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for surface water flooding by the sewer flood risk assessment and for both river and surface water flooding by the Girvan flood study. Understanding is improved for coastal flooding by the shoreline management plan. There is a long record of flooding in this target area.

The Dynamic Coast project has shown that parts of the shoreline in or adjacent to this target area are subject to erosion at present or are considered likely to erode in the future. Consideration should be given to how erosion might impact flood risk. Any actions taken should aim to support building natural resilience to flooding and not lead to an increase in erosion.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
781	Avoid flood risk	Avoid an increase in flood risk by the appropriate management and maintenance of Girvan coastal defences
782	Avoid flood risk	Avoid inappropriate development that increases flood risk in Girvan
783	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Girvan
784	Reduce flood risk	Reduce the risk of flooding in Girvan

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Flood scheme or works design (7801)	
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	South Ayrshire Council to develop detailed design of the Girvan Flood Protection Scheme, based on the preferred option from the flood study and public engagement. The responsible authority proposes this action as the best viable option for managing flood risk in this community. The delivery of this action is subject to capital funding being made available.
Delivery Lead	Action delivery lead is South Ayrshire Council in coordination with SEPA.
Indicative Delivery	Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	South Ayrshire Council and SEPA will work together on the potential to coordinate this action with work on coastal flood mapping and flood warning actions.
Local Detail	Subject to Scottish Government funding being available, South Ayrshire Council to develop detailed design for Girvan Flood Protection Scheme based on the preferred option from the flood study.

Flood defence maintenance (7802)

Action	The existing flood defences are to be maintained by the asset owner to ensure they are in good condition.
Description	South Ayrshire Council is to continue to inspect and maintain the Girvan coastal defences. The maintenance regime should be made based on the findings of the flood study.
Delivery Lead	South Ayrshire Council
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	Maintenance works as required will be funded through South Ayrshire Council's budget provided by Scottish Government.
Coordination	South Ayrshire Council will work in coordination with all relevant stakeholders identified through the planning and implementation of maintenance works.
Local Detail	South Ayrshire Council shall continue to inspect and maintain the Girvan coastal defences. The maintenance regime should be made based on the findings of the annual inspection programme and proposed coastal flood study.

Flood warning maintenance (7803)

Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Firth of Clyde coastal flood warning scheme.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authorities on the potential to use information from the flood schemes and studies along the Firth of Clyde to inform ongoing flood warning. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

Strategic mapping improvements (7804)	
Action	SEPA will continue to update flood maps based on new information.
Description	SEPA will be undertaking a review of coastal flood modelling in this target area to identify where it may be appropriate to include the impact of waves on coastal flooding. We will progress with improved flood modelling and mapping in the highest priority areas taking account of availability of data to support the modelling work.
Delivery Lead	SEPA.
Indicative Delivery	2025-2028.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authority on the potential to coordinate the flood map update with any other actions being carried out to understand or reduce coastal flooding.
Local Detail	N/A.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Flood study (7805)	
Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk. The performance and condition of the existing flood defences is to be evaluated, including consideration of the likely impacts of climate change. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	A flood study should be carried out to improve understanding of coastal flood risk in Girvan. The Shoreline Management Plan and operation of the existing defences should be reviewed to ascertain the requirements of the flood study. The impacts of climate change on flood risk should be evaluated. The interactivity between coastal flooding and other sources of flooding should be assessed. If flood risk is confirmed, scoping of the next steps should be completed.
Delivery Lead	South Ayrshire Council
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034).
Funding	This action will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.
Local Detail	Flood modelling will be carried out for Girvan Coastal Flood Study. Where flood risk is confirmed, scoping of the next steps will be completed.

Flood study (existing flood defences) (7806) Appendix 2	
Action	The performance and condition of the existing flood defences are to be evaluated, including consideration of the likely impacts of climate change. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	A study of the existing coastal flood defences to be carried out following the outcomes of the coastal flood study. The study should establish the predicted standard of protection for a number of climate change scenarios. This information will underpin the development of an adaptation plan for the long term protection of the community.
Delivery Lead	South Ayrshire Council
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034)
Funding	This study will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council and SEPA.
Local Detail	Detailed survey and flood modelling will be carried out for the Girvan Coastal Flood Study. The outcomes of the study will underpin the development of an adaption plan for the long term protection of the community.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document

02/12/18 (Barrhill)

This area is designated as a potentially vulnerable area due to flood risk to Barrhill. The main source of flooding is from the Cross Water, and some surface water. There are no historical records of flooding in the area.

There is 1 target area in this potentially vulnerable area, which has been the focus of further assessment, this is identified below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Barrhill   (target area 95)

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Flood risk management plan datasheet

Barrhill (target area 95)

Summary	Location map
Barrhill is a small village located west of Galloway Forest Park. The area is located within the South Ayrshire Council area. The main sources of flooding in Barrhill are from river and surface water flooding. There are approximately 70 people and 40 homes and businesses currently at risk from flooding, which is a significant proportion of the community. This is likely to increase to 80 people and 50 homes and businesses by the 2080s due to climate change.	 ©Crown copyright. All rights reserved. NAC lic no. 100023393
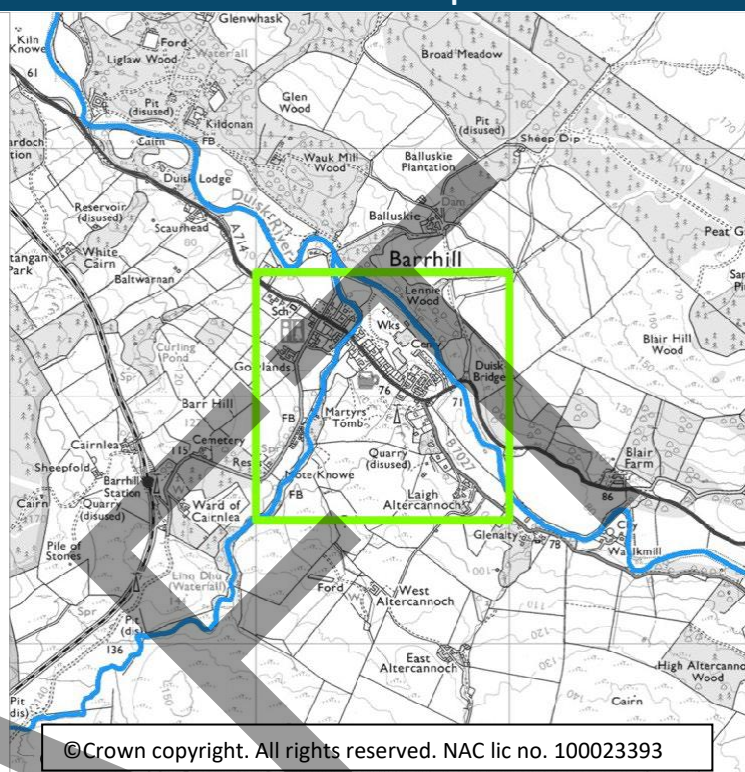
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources, and this information has highlighted the risk of flooding in this area. Barrhill has therefore been identified as a new target area for the 2021 flood risk management plans. There are no records of flooding in the Barrhill area but this does not confirm that there is no flood risk.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
951	Avoid flood risk	Avoid inappropriate development that increases flood risk in Barrhill
952	Improve data and understanding	Improve data and understanding of surface water and river flooding in Barrhill

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

	Data collection (9501)
Action	Equipment that measures rainfall, river levels, erosion, ground levels or wave height may be installed and maintained to improve our understanding of flood risk. This can be done over short term or to measure longer term impacts.
Description	This may include data collection and monitoring to improve the confidence in flood sources, mechanisms and risk. A review may be required to assess the need for rain and/or river gauges. Post flood surveys may be required to collect data on flooding mechanisms, risk and damage caused. Data collected can be used to inform future studies.
Delivery Lead	South Ayrshire Council
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This study will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council and SEPA will work together on the potential to coordinate opportunities for joint data collection activities.
Local Detail	Gauges shall be installed in the Cross Water & the River Duisk to monitor flow and depth information to inform a future study to commence in Cycle 3.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

Flood study (9502)

Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	A flood study should be carried out to improve understanding of river and surface water flood risk in Barrhill. The interactivity between surface water and river flooding should be assessed. The impacts of climate change on flood risk should be evaluated. If flood risk is confirmed, scoping of the next steps should be completed.
Delivery Lead	South Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034).
Funding	This action will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.
Local Detail	Flood modelling will be carried out for the Cross Water and River Duisk Flood Study informed by data gathering in Cycle 2. Where flood risk is confirmed, scoping of the next steps will be completed.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

02/12/19 (Isle of Arran)

This area is designated as a potentially vulnerable area due to flood risk to Brodick, Lamlash and Whiting Bay. There is flooding from coastal, river and surface waters. Some areas of the coastline have been identified as susceptible to coastal erosion. There is the potential for an increased flood risk due to climate change in some locations. There is a history of flooding in the area, with recent flooding being caused by coastal flooding.

There are 3 target area in this potentially vulnerable area, which has been the focus of further assessment, this is identified below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Brodick   (target area 23)
Lamlash   (target area 24)
Whiting Bay   (target area 25)

Flood risk management plan datasheet

Brodick (target area 23)

Summary	Location map

Brodick is located on the Isle of Arran, on the banks of Strathwhillan Burn and Glen Cloy Burn and at the mouth of Glenrosa Water. The area is located within the North Ayrshire local authority area. The main source of flooding in the area is coastal flooding, however there are also risks from river and surface water flooding. There are approximately 50 people and 60 homes and businesses at risk from flooding.

This is estimated to increase to 220 people and 160 homes and businesses by the 2080s due to climate change.
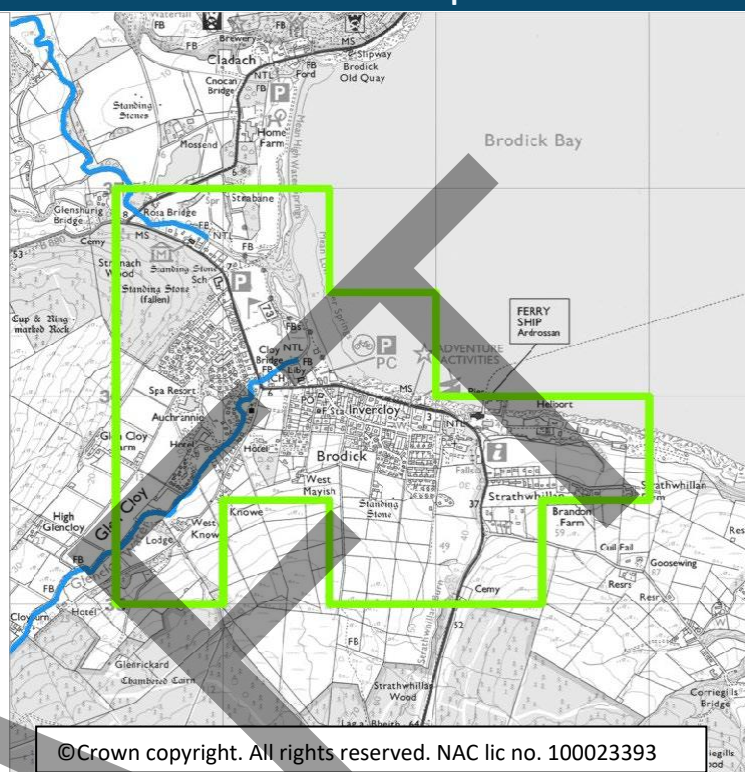
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river and coastal flooding by the Brodick flood study (2019) and shoreline management plan (coastal flooding only). There are periodic records of flooding in this target area.

The Dynamic Coast project has shown that parts of the shoreline in or adjacent to this target area are subject to erosion at present or are considered likely to erode in the future. Consideration should be given to how erosion might impact flood risk. Any actions taken should aim to support building natural resilience to flooding and not lead to an increase in erosion.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
231	Avoid flood risk	Avoid inappropriate development that increases flood risk in Brodick
232	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Brodick
233	Prepare for flooding	Develop an adaptive approach for coastal erosion to future flooding resulting from climate change
234	Reduce flood risk	Reduce the risk of flooding in Brodick

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Flood scheme or works design (2301)	
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	North Ayrshire Council to develop detailed design of the Brodick Flood Protection Scheme, based on the recommended option from the flood study and carry out public engagement. The recommended option consists of a combination of property flood resilience measures and direct defences in the form of a flood embankment (subject to landowner agreement). The responsible authority proposes this action as the best viable option for managing flood risk in this community. The delivery of this action is subject to capital funding being made available.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	The flood scheme design shall be completed during Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	North Ayrshire Council will coordinate with SEPA, Scottish Water, local residents, landowners and other stakeholders throughout the design development of the flood scheme. SEPA will work with the local authority on the potential to coordinate this action with work on coastal flood mapping.
Local Detail	The detail design for the Brodick Flood Protection Scheme is to include landowner and property owner engagement on the location of the direct defences and the proposed property flood resilience measures

	recommended by the completed flood study. North Ayrshire Council proposes this action as the best viable option for managing flood risk in this community.

Community engagement (2302)	
Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	North Ayrshire Council to carry out community engagement linked to the proposed (funding dependant) Brodick Flood Protection Scheme. A community engagement plan will be created to cover the time period from detailed design to implementation of the flood protection solution. The delivery of this action is subject to capital funding being made available.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Community engagement will be ongoing, linked to the design of the Brodick Flood Protection Scheme.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	Work by the responsible authorities to develop understanding and help communities reduce their risk will be coordinated through the Local Plan District Partnership.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified through the development of the detailed design and the implementation of the Brodick Flood Protection Scheme.

Flood study (2303)	
Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	North Ayrshire Council to carry out a flood study to investigate the feasibility of natural flood management measures in the catchment to address flood risk. This study will include a review of existing models and flood risk information.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This study will be delivered during the second half of Cycle 2 (2025 - 2028).
Funding	This study will be funded through North Ayrshire Council's budget provided by the Scottish Government.
Coordination	North Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA. There are opportunities to work with local landowners/ estate managers from the upper catchments to jointly develop Natural Flood Management mitigation measures.
Local Detail	Following the already completed Brodick flood study and the proposed detailed design of the Brodick Flood Protection Scheme, this study shall investigate the feasibility of Natural Flood Management (NFM) measures to address residual flood risk in Brodick.

Strategic mapping improvements (2304)	
Action	SEPA will continue to update flood maps based on new information.
Description	SEPA will be undertaking a review of coastal flood modelling in this target area to identify where it may be appropriate to include the impact of waves on coastal flooding. We will progress with improved flood modelling and mapping in the highest priority areas taking account of availability of data to support the modelling work.
Delivery Lead	SEPA.
Indicative Delivery	2025-2028
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authority on the potential to coordinate the flood map update with any other actions being carried out to understand or reduce coastal flooding.
Local Detail	N/A.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

	Shoreline management plan (coastal adaptive plan) (2305) Appendix 2
Action	The existing assessment of coastal flood and erosion risk is to be reviewed and updated as required. The plan should include assessment of climate change and develop adaptive approaches to allow for the impacts of climate change to be monitored, understood and managed.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034)
Funding	This action will be funded through North Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	North Ayrshire Council will work with other relevant responsible authorities, statutory bodies and key stakeholders identified through the scoping stage of the planned update to the shoreline management plan.
Local Detail	Details of this action will be informed by developments in flood risk management planning during Cycle 2 (2022-2028).

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet

Lamlash (target area 24)

Summary	Location map
The coastal village of Lamlash is located on the Isle of Arran, at the mouth of Benlister Burn at Lamlash Bay. The area is located within the North Ayrshire local authority area. The main source of flooding in the area is coastal flooding, however there are also risks of river and surface water flooding. There are around 170 people and 100 homes and businesses at risk from flooding. This is likely to increase to 290 people and 160 homes and businesses by the 2080s due to climate change.	
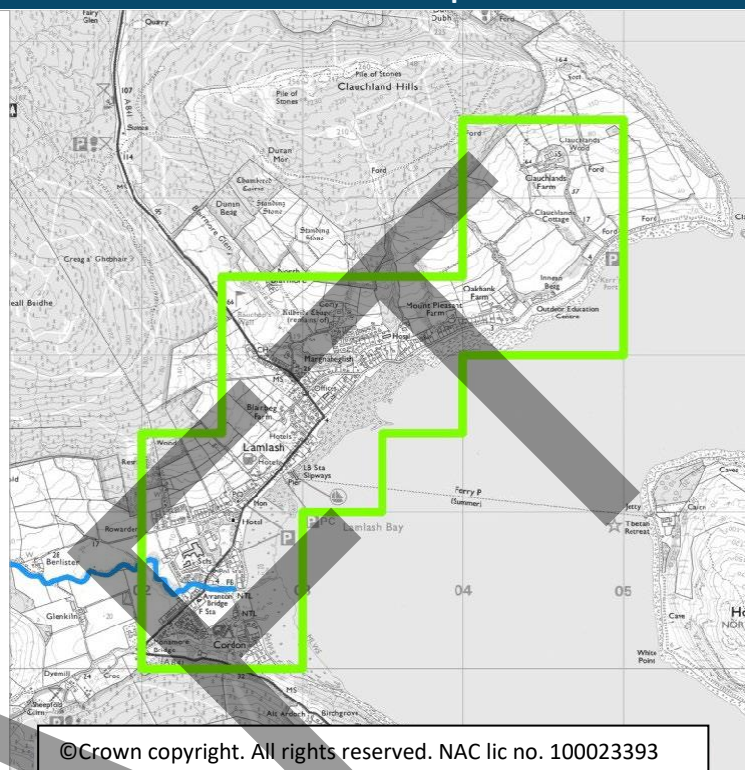
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river and coastal flooding by the Lamlash flood study (2019) and shoreline management plan (coastal flooding only). There is a long record of flooding in this target area.

The Dynamic Coast project has shown that parts of the shoreline in or adjacent to this target area are subject to erosion at present or are considered likely to erode in the future. Consideration should be given to how erosion might impact flood risk. Any actions taken should aim to support building natural resilience to flooding and not lead to an increase in erosion.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
241	Avoid flood risk	Avoid inappropriate development that increases flood risk in Lamlash
242	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Lamlash
243	Prepare for flooding	Develop an adaptive approach for coastal erosion to future flooding resulting from climate change
244	Reduce flood risk	Reduce the risk of flooding in Lamlash

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

	Flood scheme or works design (2401) Appendix 2
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	North Ayrshire Council to develop detailed design of the Brodick Flood Protection Scheme, based on the recommended option from the flood study and public engagement. The recommended option combines embankments, flood walls and demountable barriers in order to provide protection up to the 200 year flood events. The responsible authority proposes this action as the best viable option for managing flood risk in this community. The delivery of this action is subject to capital funding being made available.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	The flood scheme design shall be completed during Cycle 2 (2022 - 2028). The delivery of this action is subject to Scottish Government capital grant funding being made available.
Funding	The funding arrangements for Cycle 2 'flood scheme or works design' actions are still to be confirmed by the Scottish Government and COSLA joint funding group. Until the funding arrangements for these actions and the community engagement actions related to flood scheme or works design are confirmed, the draft Local FRM Plan for the Ayrshire Local Plan District cannot be fully finalised.
Coordination	North Ayrshire Council will coordinate with SEPA, Scottish Water, local residents, landowners and other stakeholders throughout the design development of the flood scheme. SEPA will work with the local authority on the potential to coordinate this action with work on coastal flood mapping and flood warning actions.
Local Detail	The detail design for proposed embankments in Lamlash will need to take account of the recently completed residential development off Glencraig Place. North Ayrshire Council proposes this action as the best viable option for managing flood risk in this community.

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Community engagement (2402)

Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	North Ayrshire Council to carry out community engagement linked to the proposed (funding dependent) Brodick Flood Protection Scheme . A community engagement plan will be created to cover the time period from detailed design to implementation of the flood protection solution. The delivery of this action is subject to capital funding being made available.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Community engagement will be an ongoing, linked to the design of the Brodick Flood Protection Scheme.
Funding	North Ayrshire Council.
Coordination	Work by the responsible authorities to develop understanding and help communities reduce their risk will be coordinated through the Local Plan District Partnership.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified. The community engagement plan shall be created to cover the time period from detailed design to implementation of the flood protection solution.

Flood study (2403)

Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	North Ayrshire Council to carry out a flood study to investigate the feasibility of natural flood management measures in the catchment to address flood risk. This study will include a review of existing models and flood risk information.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This study will be delivered during the second half of Cycle 2 (2025 - 2028).
Funding	This study will be funded through North Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	North Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA. There are opportunities to work with local landowners/ estate managers from the upper catchments to jointly develop Natural Flood Management mitigation measures.
Local Detail	This study shall be informed by the completed flood studies and the flood risk implications of the funding dependant detailed design of the Brodick Flood Protection Scheme, which includes measures in Lamlash.

Flood defence maintenance (2404)

Action	The existing flood defences are to be maintained by the asset owner to ensure they are in good condition.
Description	North Ayrshire Council is to continue to inspect and maintain the sea defences. The maintenance regime should be made based on the findings of the flood study.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Flood defence maintenance will be an ongoing action throughout Cycle 2 (2022 - 2028).
Funding	Maintenance works as required will be funded through North Ayrshire Council's budget provided by Scottish Government.
Coordination	North Ayrshire Council will work in coordination with all relevant stakeholders identified through the planning and implementation of maintenance works.
Local Detail	North Ayrshire Council shall continue to inspect and maintain Council owned coastal assets in Lamlash and shall cooperate with other asset owners when they propose or implement maintenance works in the interest of flood risk management.

Flood warning maintenance (2405)

Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Firth of Clyde coastal flood warning scheme.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authorities on the potential to use information from the flood schemes and studies along the Firth of Clyde to inform ongoing flood warning. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

Strategic mapping improvements (2406)	
Action	SEPA will continue to update flood maps based on new information.
Description	SEPA will be undertaking a review of coastal flood modelling in this target area to identify where it may be appropriate to include the impact of waves on coastal flooding. We will progress with improved flood modelling and mapping in the highest priority areas taking account of availability of data to support the modelling work.
Delivery Lead	SEPA.
Indicative Delivery	2025-2028
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authority on the potential to coordinate the flood map update with any other actions being carried out to understand or reduce coastal flooding.
Local Detail	N/A.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

| Shoreline management plan (coastal adaptive plan) (2407)	
Action	The existing assessment of coastal flood and erosion risk is to be reviewed and updated as required. The plan should include assessment of climate change and develop adaptive approaches to allow for the impacts of climate change to be monitored, understood and managed.
Description	Further details of this action will be informed by developments in flood risk management planning between 2022-2028.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034)
Funding	This action will be funded through North Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	North Ayrshire Council will work with other relevant responsible authorities, statutory bodies and key stakeholders identified through the scoping stage of the planned update to the shoreline management plan.
Local Detail	Details of this action will be informed by developments in flood risk management planning between 2022-2028.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Flood risk management plan datasheet

Whiting Bay (target area 25)

Summary	Location map
The village of Whiting Bay is located on the Isle of Arran, at the mouth of Glenashdale Burn. The area is located within the North Ayrshire local authority area. The main source of flooding in Whiting Bay is coastal flooding, however there are also risks from river and surface flooding. There are approximately 130 people and 70 homes and businesses at risk from flooding. This is estimated to increase to 140 people and 80 homes and businesses by the 2080s due to climate change.	©Crown copyright. All rights reserved. NAC lic no. 100023393
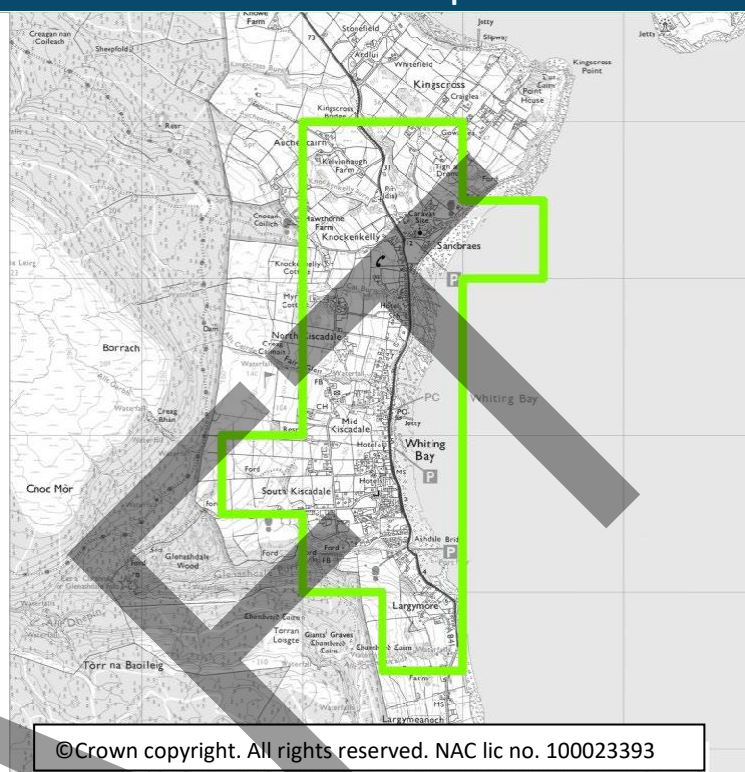
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for coastal flooding by the shoreline management plan. There are limited records of flooding in this target area.

The Dynamic Coast project has shown that parts of the shoreline in or adjacent to this target area are subject to erosion at present or are considered likely to erode in the future. Consideration should be given to how erosion might impact flood risk. Any actions taken should aim to support building natural resilience to flooding and not lead to an increase in erosion.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

Objective ref	Objective type	Objective Description
251	Avoid flood risk	Avoid inappropriate development that increases flood risk in Whiting Bay
252	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Whiting Bay
253	Prepare for flooding	Develop an adaptive approach for coastal erosion to future flooding resulting from climate change
254	Reduce flood risk	Reduce the risk of flooding in Whiting Bay
255	Avoid flood risk	Avoid an increase in flood risk by the appropriate management and maintenance of all existing flood protection structures

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Flood study (2501)	
Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.
Description	A flood study should be carried out by North Ayrshire Council to improve understanding of river flood risk, and any interactions with coastal flooding. The shoreline management plan, the operation of flood warning and maintenance of flood defences should be reviewed to ascertain if they can form the basis of any further required flood modelling or be incorporated into a new flood model if required. The impacts of climate change on flood risk should be evaluated. If flood risk is confirmed, scoping of the next steps should be completed.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This study will be delivered during the first half of Cycle 2 (2022 - 2025).
Funding	This study will be funded through North Ayrshire Council's budget provided by Scottish Government.
Coordination	North Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA. SEPA will work with the local authority on the potential to coordinate this action with work on coastal flood mapping and flood warning actions.
Local Detail	This study shall investigate river flood risk in Whiting Bay, informed by the completed Shoreline Management Plan and the performance of existing flood risk management assets. Where flood risk is confirmed, a second phase of the study shall be commissioned to scope the next steps towards reducing flood risk.

Flood defence maintenance (2502)	
Action	The existing flood defences are to be maintained by the asset owner to ensure they are in good condition.
Description	North Ayrshire Council is to continue to inspect and maintain flood protection structures.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Flood defence maintenance will be an ongoing action throughout Cycle 2 (2022 - 2028).
Funding	Maintenance works as required will be funded through North Ayrshire Council's budget provided by Scottish Government.
Coordination	North Ayrshire Council will work in coordination with all relevant stakeholders identified through the planning and implementation of maintenance works.
Local Detail	North Ayrshire Council shall continue to inspect and maintain Council owned coastal assets in Whiting Bay and shall cooperate with other asset owners when they propose or implement maintenance works in the interest of flood risk management.

Flood warning maintenance (2503)	
Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Firth of Clyde coastal flood warning scheme.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authorities on the potential to use information from the flood schemes and studies along the Firth of Clyde to inform ongoing flood warning. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

Strategic mapping improvements (2504)	
Action Description	SEPA will continue to update flood maps based on new information.
	SEPA will be undertaking a review of coastal flood modelling in this target area to identify where it may be appropriate to include the impact of waves on coastal flooding. We will progress with improved flood modelling and mapping in the highest priority areas taking account of availability of data to support the modelling work.
Delivery Lead	SEPA.
Indicative Delivery	2025-2028
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authority on the potential to coordinate the flood map update with any other actions being carried out to understand or reduce coastal flooding.
Local Detail	N/A.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

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02/12/20 (Great Cumbrae Island)

This area is designated as a potentially vulnerable area due to flood risk to Millport. The main source of flooding is coastal. There is a history of flooding in the area, with recent flooding being caused by coastal flooding.
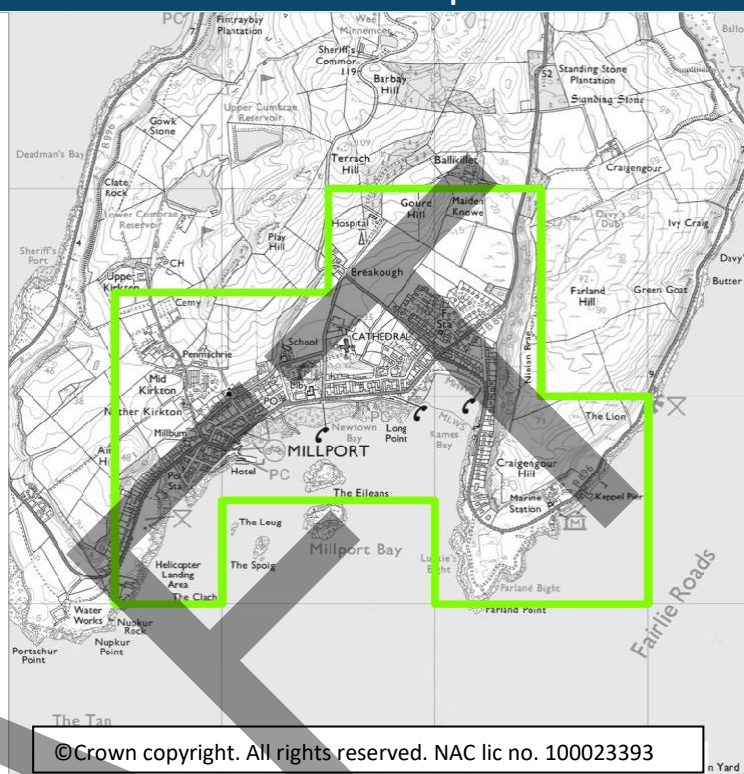
There is 1 target area in this potentially vulnerable area, which has been the focus of further assessment, this is identified below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Millport   (target area 119)

Flood risk management plan datasheet

Millport (target area 119)

Summary	Location map
Millport is located on Great Cumbrae Island and faces mainly to the south and onto Millport Bay. The area is located within the North Ayrshire local authority area. The main source of flooding in Millport is coastal flooding, however there is also a risk from river flooding. There are approximately 638 homes and businesses at risk from coastal flooding and 124 from river flooding. This is estimated to increase to 657 homes and businesses for coastal flooding by the 2080s due to climate change.	

What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources. The national level assessment is improved for river flooding by the Mill Burn Flood Risk Assessment and for coastal flooding by the Millport Coastal Flood Risk Assessment. There is a long record of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
1191	Avoid flood risk	Avoid an increase in flood risk by the appropriate management and maintenance of all existing flood protection structures
1192	Avoid flood risk	Avoid inappropriate development that increases flood risk in Millport
1193	Prepare for flooding	Prepare for current flood risk and future flooding as a result of climate change in Millport
1194	Reduce flood risk	Reduce the risk of coastal flooding in Millport
1195	Reduce flood risk	Reduce the risk of river flooding from the Mill Burn in Millport

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

Flood scheme or works design (11901)	
Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	A non-statutory community consultation was undertaken between 13 July 2020 and 10 August 2020 for Mill Burn Flood Protection Scheme. On the 10 November 2020, North Ayrshire Council cabinet approval was sought for the preferred option and for submission of a formal scheme notification to the Scottish Government. Future climate change is considered in the detailed design, though the scheme is designed to mitigate flooding to a standard of protection of a 1 in 200 year flood (0.5% annual exceedance probability) and the agreed preferred option is construction 494 metre long 900mm diameter overflow diversion culvert between Golf Road/Kirkton Crescent junction and West Bay via Nether Kirkton Farm following the perimeter of the land. This would provide protection for up to 124 properties on the island in a 1 in 200 years flood event. The Outline design, Environmental Screening and the Scheme Notification are now complete and the detailed design is to be completed.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	The detailed design of the Mill Burn Flood Protection Scheme will be completed during the first half of Cycle 2. Construction is programmed to begin in 2023/24 .
Funding	80% of eligible costs shall qualify for Scottish Government grant funding. The remaining 20% of eligible costs and any other associated costs shall be met by North Ayrshire Council's budget.

Coordination	North Ayrshire Council will coordinate with SEPA, Scottish Water, local residents, landowners and other stakeholders throughout the design development of the flood scheme. SEPA will work with the local authority on the potential to coordinate this action with work on coastal flood mapping.
Local Detail	North Ayrshire Council confirmed the Mill Burn Flood Protection Scheme on the 15th June 2021, agreed the indicative project timescale and approved the commencement of the final design of the scheme. The Mill Burn Flood Protection Scheme became operative on 16th August 2021.

Flood scheme or works implementation (11902)	
Action	The flood scheme/works is to be built following agreement of the design, costs and timescales.
Description	North Ayrshire Council to progress with procurement and construction of the Mill Burn Flood Protection Scheme. As built drawings should be made available to SEPA, for consideration in the Scottish Flood Defence Asset Database, flood map improvements and flood warning scheme updates.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	This action shall be delivered during Cycle 2 (2022-2028). Construction is programmed to begin in 2023/24.
Funding	80% of eligible scheme costs shall qualify for Scottish Government grant funding. The remaining 20% of eligible costs and any other associated costs shall be met by North Ayrshire Council's budget.
Coordination	North Ayrshire Council will coordinate with SEPA, Scottish Water, local residents, landowners and other stakeholders throughout the implementation of the flood scheme. SEPA will work with the local authority on the potential to coordinate this action with an update to SFDAD.
Local Detail	North Ayrshire Council confirmed the Millburn Flood Protection Scheme on the 15th June 2021, agreed the indicative project timescale and approved the commencement of the final design of the scheme.The Mill Burn Flood Protection Scheme became operative on 16th August 2021.

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Community engagement (11903)

Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	Community statutory consultation prior to the Mill Burn Flood Protection Scheme notification has been completed (2020).
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Community engagement will be ongoing, linked to the design and implementation of the Mill Burn Flood Protection Scheme.
Funding	This action will be funded through North Ayrshire Council's budget provided by the Scottish Government, subject to any future funding review.
Coordination	North Ayrshire Council will investigate opportunities for joint community engagement with other responsible authorities through the Local Plan District Partnership.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified through the development of the detailed design and the implementation of the Mill Burn Flood Protection Scheme. The community engagement plan shall be created to cover the time period from detailed design to implementation of the flood protection solution.

Flood scheme or works design (11904)

Action	The selected preferred approach for managing flood risk is to be designed following the completion of the flood study, including consideration of the long-term impacts of climate change. These can include small scale works or works to improve catchment management. This should guide adaptive planning to allow for the impacts of climate change to be monitored, understood and managed.
Description	On the 10th November 2020 the Cabinet reached the final decision and confirmed the Millport Coastal Flood Protection Scheme without modification, agreed the indicative project timescale and approved the commencement of the final design of the scheme. Future climate change is considered in the detailed design, though the scheme is designed to mitigate flooding to a standard of protection of a 1 in 200 year flood (0.5% annual exceedance probability). The protection scheme became operational on 13th January 2021 and the detailed design development started. North Ayrshire Council is developing the Millport Coastal Flood Protection Scheme with close community involvement.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	The flood scheme design was completed prior to the publication of this Local Flood Risk management Plan.
Funding	80% of eligible costs shall qualify for Scottish Government grant funding. The remaining 20% of eligible costs and any other associated costs shall be met by North Ayrshire Council's budget.
Coordination	North Ayrshire Council, the Scottish Government, SEPA and Marine Scotland. SEPA will work with the local authority on the potential to coordinate this action with work on coastal flood mapping and flood warning actions.
Local Detail	The Outline Design, Environmental Screening, Scheme Notification and detailed design was completed prior to the publication of this Local Flood Risk Management Plan.

Flood scheme or works implementation (11905)

Action	The flood scheme/works is to be built following agreement of the design, costs and timescales.
Description	North Ayrshire Council to progress with procurement and construction of the Millport Coastal Flood Protection Scheme. As built drawings should be made available to SEPA, for consideration in the Scottish Flood Defence Asset Database, flood map improvements and flood warning scheme updates.
Delivery Lead	North Ayrshire Council, Scottish Government and Marine Scotland.
Indicative Delivery	The delivery of the Millport Coastal Flood Protection Scheme shall be completed in Cycle 2 (2022 - 2028). Construction is programmed to begin in 2022/23.
Funding	80% of eligible scheme costs shall qualify for Scottish Government grant funding. The remaining 20% of eligible costs and any other associated costs shall be met by North Ayrshire Council's budget.
Coordination	North Ayrshire Council, the Scottish Government, SEPA and Marine Scotland. SEPA will work with the local authority on the potential to coordinate this action with an update to SFDAD and work on coastal flood mapping.
Local Detail	The Millport Coastal Flood Protection Scheme became operational on 13 January 2021. The detailed design is complete and construction is due to begin in 2022/2023.

Community engagement (11906)

Action	Community engagement is to continue to be carried out in the area by the responsible authorities to raise awareness of flood risk.
Description	The community engagement for Millport Coastal Flood Protection Scheme has been ongoing since 2016.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Community engagement will be ongoing throughout Cycle 2 (2022 - 2028) until the Millport Flood Protection Scheme has been implemented.
Funding	This action will be funded through North Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	North Ayrshire Council will investigate opportunities for joint community engagement with other responsible authorities through the Local Plan District Partnership.
Local Detail	Community engagement will be carried out where issues, constraints, aspirations and opportunities are identified through the development of the detailed design and the implementation of the Millport Coastal Flood Protection Scheme. The community engagement plan shall be created to cover the time period from detailed design to implementation of the flood protection solution.

Flood defence maintenance (11907)

Action	The existing flood defences are to be maintained by the asset owner to ensure they are in good condition.
Description	North Ayrshire Council is to continue to inspect and maintain flood protection structures.
Delivery Lead	North Ayrshire Council.
Indicative Delivery	Flood defence maintenance will be an ongoing action throughout Cycle 2 (2022 - 2028).
Funding	Maintenance works as required will be funded through North Ayrshire Council's budget provided by Scottish Government.
Coordination	North Ayrshire Council will work in coordination with all relevant stakeholders identified through the planning and implementation of maintenance works.
Local Detail	North Ayrshire Council shall continue to inspect and maintain Council owned flood protection assets in Millport and shall cooperate with other asset owners when they propose or implement maintenance works in the interest of flood risk management.

Flood warning maintenance (11908)

Action	The Floodline flood warning service is to be kept operational through maintenance to the existing system and updates being undertaken as required.
Description	SEPA should maintain the Firth of Clyde coastal flood warning scheme.
Delivery Lead	SEPA.
Indicative Delivery	Ongoing.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authorities on the potential to use information from the flood schemes and studies along the Firth of Clyde to inform ongoing flood warning. SEPA will continue to raise awareness of flood warning, and engage with communities about the service when required.
Local Detail	N/A.

Strategic mapping improvements (11909)

Action	SEPA will continue to update flood maps based on new information.
Description	SEPA will be undertaking a review of coastal flood modelling in this target area to identify where it may be appropriate to include the impact of waves on coastal flooding. We will progress with improved flood modelling and mapping in the highest priority areas taking account of availability of data to support the modelling work.
Delivery Lead	SEPA.
Indicative Delivery	2025-2028.
Funding	SEPA's role in this action is funded by Scottish Government through SEPA's grant in aid settlement.
Coordination	SEPA will work with the local authority on the potential to coordinate the flood map update with any other actions being carried out to understand or reduce coastal flooding.
Local Detail	N/A.

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document

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02/12/21 (Kirkmichael)

This area is designated as a potentially vulnerable area due to flood risk to Kirkmichael. The main source of flooding is from the Dyroch Burn. There are limited recorded floods in this area.

There is 1 target area in this potentially vulnerable area, which has been the focus of further assessment, this is identified below. Further information on the objectives and actions to manage flood risk within this area is provided below.

List of target areas

Kirkmichael   (target area 14)

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Flood risk management plan datasheet

Kirkmichael (target area 14)

Summary	Location map
The village of Kirkmichael is located on the banks of Dyrock Burn. The area is located within the South Ayrshire Council area. The main source of flooding in Kirkmichael is river flooding, however there is also a small risk of surface water flooding. There are around 140 people and 90 homes and businesses at risk of flooding. This is likely to increase to 150 people by the 2080s due to climate change and the number of homes and businesses will remain the same.	 ©Crown copyright. All rights reserved. NAC lic no. 100023393
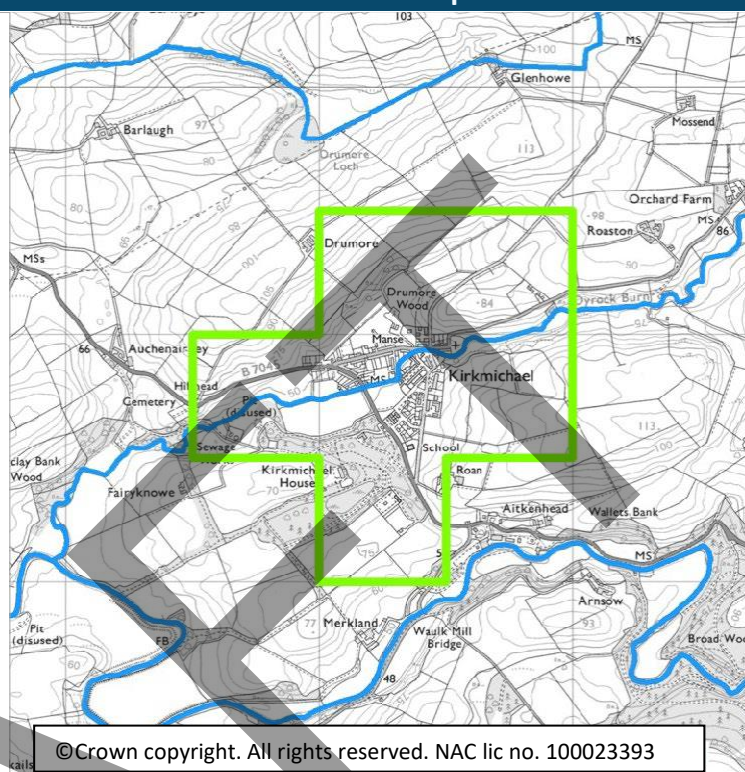
What is the current understanding of flood risk?

This section provides a summary of information, which has helped to develop an understanding of flood risk in the area. Since 2011 SEPA has developed and updated national level assessments of flooding from rivers, surface water and coastal sources, and this information has highlighted the risk of flooding in this area. There are limited records of flooding in this target area.

What are the objectives for the area?

In each target area, SEPA and the responsible authorities have set objectives for the management of flood risk. In some locations, the objectives provide a short-term direction that will be reviewed and updated when more information is available. In others they provide a long-term direction for the management of flooding within a community. The objectives along with the current understanding of flood risk help to identify the actions that are required in the short and long term. It may take several years or multiple 6 year cycles to achieve the identified objectives, but they set a common goal for multiple agencies.

The following package of objectives have been established for this area. The objectives must be considered alongside national principles to manage flood risk. These include:

• Take a long term, risk-based approach to flood risk management decisions and one that considers the impacts of and adaptability to climate change.

• Deliver coordinated and integrated flood risk management by engaging with communities and working in partnership, sharing data, expertise, services, and resources.

• Consider whole catchments and coastlines and work with natural processes and the environment to deliver multiple outcomes.

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Objective ref	Objective type	Objective Description
141	Avoid flood risk	Avoid inappropriate development that increases flood risk in Kirkmichael
142	Improve data and understanding	Improve data and understanding of flooding in Kirkmichael

What actions are proposed for this area?

As outlined in Section 1 of this plan, at the date of publication the actions below represent the best understanding of what is needed to work towards the objectives for the area. They have been developed with the other responsible authorities and take account of progress achieved to date, the understanding of flood risk and the objectives set for the area.

NatureScot has identified that they have 'place priorities' for this Target Area. During the implementation of the following actions, the delivery lead should consider engaging with NatureScot to investigate opportunities to deliver on shared priorities.

Actions proposed to start between 2022 and 2028

	Data collection (1401)
Action	Equipment that measures rainfall, river levels, erosion, ground levels or wave height may be installed and maintained to improve our understanding of flood risk. This can be done over short term or to measure longer term impacts.
Description	This may include data collection and monitoring to improve the confidence in flood sources, mechanisms and risk. A review may be required to assess the need for rain and/or river gauges. Post flood surveys may be required to collect data on flooding mechanisms, risk and damage caused. Data collected can be used to inform future studies.
Delivery Lead	Action delivery lead is South Ayrshire Council and coordination will be determined once the actions have been finalised.
Indicative Delivery	This action will be delivered during Cycle 2 (2022 - 2028).
Funding	This study will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.
Coordination	South Ayrshire Council and SEPA will work together on the potential to coordinate opportunities for joint data collection activities.
Local Detail	Gauges shall be installed in the Dyrock Burn & The Water of Girvan to monitor flow and depth information to inform a future study to commence in Cycle 3.

Actions proposed after June 2028

The following actions are proposed to take place after June 2028. These will be reviewed in 2026, considering added information at that time, to ensure they are still the most appropriate actions for the community.

	Flood study (1402)	Appendix 2
Action	An understanding of flood risk and associated issues in the area is to be developed, which may include surveys and modelling and should consider the impacts of climate change on flood risk.	
Description	A flood study should be carried out to improve understanding of river and surface water flood risk in Kirkmichael. The interactivity between surface water and river flooding should be assessed. The impacts of climate change on flood risk should be evaluated. If flood risk is confirmed, scoping of the next steps should be completed.	
Delivery Lead	Action delivery lead is South Ayrshire Council and coordination will be determined once the actions have been finalised.	
Indicative Delivery	This action will be delivered during Cycle 3 (2028 - 2034).	
Funding	This study will be funded through South Ayrshire Council's budget provided by Scottish Government, subject to any future funding review.	
Coordination	South Ayrshire Council will deliver this flood study with information provided by other relevant responsible authorities, which may include Scottish Water and SEPA.	
Local Detail	Flood modelling will be carried out for the Dyrock Burn and Water of Girvan Flood Study, informed by data gathering in Cycle 2. Where flood risk is confirmed, scoping of the next steps will be completed.	

SEPA and responsible authorities carry out actions in all areas which help to manage current and future flooding. These actions help to ensure that key aspects of flood risk management are taken forward in all locations. They ensure that for example new housing developments occur in the right places, and that critical flood risk information is developed and updated for all areas. A description of these actions is included in the Local Plan District section at the start of this document.

Annex 1: Costs of Actions

The following information in on costs has been reproduced from the SEPA FRM Plan for the Ayrshire Local Plan District:

Action	Indicative capital cost (£)	Notes
Adaptation plan	30,000	Costs can vary greatly depending on the scale and complexity of flooding
Data collection	20,000	
Flood scheme or works design	300,000	Costs can vary greatly depending on the scale and complexity of flooding, along with the ground conditions
Flood study	50,000	Costs can vary greatly depending on the scale and complexity of flooding
Flood study (existing flood defences)	80,000	
Flood study (options appraisal)	40,000	
Shoreline Management Plan (Coastal Adaptive Plan)	100,000	
Surface water management plan	30,000	
Flood scheme or works implementation	N/A	Schemes are very individual and it is not possible to provide an indicative cost.
The costs involved in the following actions are predominately from staff resource:		
Community engagement	N/A	Resources required are very specific for the individual action. It is currently not possible to estimate a resource cost.
Community flood alert	N/A	
Community resilience group	N/A	
Emergency plan	N/A	
Flood defence maintenance	N/A	Cost of maintenance is specific to the defence and is impacted by among other things age and type of the defences. It is not possible to provide indicative costs.
Flood risk management review	N/A	Resources required are very specific for the individual action. It is currently not possible to estimate a resource cost.
Flood warning maintenance	N/A	
Flood warning scoping	N/A	
Land Use Planning	N/A	
Maintain flood protection scheme	N/A	
New flood warning area	N/A	
Property flood resilience scheme	N/A	
Sewer flood risk assessment	N/A	
Site protection plan	N/A	
Strategic mapping improvements	N/A	

Annex 2: Flood Risk Management Plans Consultation Summary

The following information in Annex 2 is largely reproduced from the SEPA FRM Plan for Ayrshire:

Asking for and listening to input from stakeholders and the public is a key part of flood risk management in Scotland. SEPA and the local authorities undertook a joint consultation, which ran in 2 phases between December 2020 and October 2021. Phase 1, opened in December 2020 and included a summary of flooding in each Local Plan District, a description of the potentially vulnerable areas and the identified local target areas. Phase 2 opened for responses on 30th July 2021 and closed on 31st October 2021. Phase 2 identified the objectives for each target area and the actions needed to achieve these objectives. It also included prioritisation of the actions by 6 year cycle. Local authorities provided more detail in the draft local flood risk management plans, which included an expanded description of the actions, and who would lead and coordinate delivery.

The consultation was open to everyone with an interest in flood risk management.

The communications campaign to publicise the consultation aimed to encourage anyone with an interest in flooding to have their say on how flood risk is managed across Scotland.

Communication activities included:

- A public notice in the Edinburgh Gazette and The Herald
- A national press release
- Social media posts on Facebook, Twitter, LinkedIn, Instagram
- A national targeted, paid social media campaign on Facebook, Twitter, and Instagram.

An animation and graphics were created to promote the consultation. These were shared with all responsible authorities in advance of the consultation and were regularly publicised via social media. The consultation was picked up by many local media outlets including local newspapers.

SEPA staff also supported several national events aimed at raising awareness of the consultation.

Demonstration of the consultation platform was provided to ensure that stakeholders were able to navigate the Citizen Space platform and answer the consultation questions.

Local authority flooding teams were provided with briefing packs with access to draft article templates and social media messages which they could use to promote the consultation within their own organisation and local area. Many local authorities used their network of community councils to promote the consultation.

In total SEPA received 677 responses. These included 654 online responses via the consultation platform Citizen Space and 23 e-mail responses received via SEPA's consultation mailbox. Compared to the first consultation on the flood risk management strategies in 2014, there has been a welcome three-fold increase in the number of responses. The majority of the responses (520) were from members of the public. This reflects increased public awareness of flooding and flood risk management, and the increasing risk due to climate change.

SEPA and the local authorities are grateful to individuals and organisations for considering the proposals and providing feedback. Responses varied from detailed comments on the actions proposed in individual target areas, to general comments on flooding and flood risk management. The sections below provide a brief outline of the responses received and changes made as a result.

Many of the aspects raised relate to the underlying requirements of the Flood Risk Management (Scotland) 2009 Act, to activities which are the responsibility of other organisations, or to the content of the local flood risk management plans. Working within safe data sharing practices, SEPA will ensure the feedback received is passed to other responsible authorities to consider and act on.

This summary is a factual statement of the responses provided. All responses received have been read and considered, resulting in a number of changes to the both the SEPA FRM Plan and the Local FRM Plan for the Ayrshire Local Plan District. Further detail on the analysis of responses will be published by SEPA in Spring 2022.

Identifying communities and infrastructure at risk

In the consultation SEPA asked whether all the main communities and infrastructure at significant risk of flooding were identified. 45% of respondents agreed that the main communities and infrastructure were identified and 29% stated they were not sure. 21% of respondents felt that some communities were missing from the plans.

Some respondents who had recently flooded were concerned that their communities were not identified as target areas. Some respondents suggested additional areas for SEPA to consider where flooding has occurred in the past. Concerns were also expressed about the method used to identify the main communities at risk.

Proposed objectives

34% of respondents supported the proposals for objectives to manage flood risk in target areas and 30% were not sure. 25% did not agree and 10% did not answer this question.

The main concerns of those who did not agree with the proposed objectives were that timescales were long-term and would not result in immediate action, objectives did not cover wider issues such as sewerage flooding, objectives were not detailed enough, and that objectives did not limit new development. There were concerns that there was no evidence being provided to show that the objectives were being met by the authorities, and that objectives were not leading to actions on the ground.

Proposed actions to manage flood risk

43% of respondents were not sure whether the actions would work towards achieving the objectives. 25% of respondents did not agree with the proposed actions to manage flood risk. 20% agreed with the proposed actions and 12% did not answer this question.

Those who did not agree expressed concerns that flood studies were not resulting in actions on the ground, that actions were not detailed enough, some stressed the need for other actions such as drain clearance being done now and some emphasised the need for a catchment-based approach and natural flood management.

Others asked for more watercourse clearing and river management and more transparency from the local authority in publicising the maintenance plan for flood defences. Concerns were also expressed that new development is not being controlled and is contributing to increased surface water flooding and that there were no actions to address sewerage flooding. Concerns were also raised about funding for actions.

NatureScot provided feedback on specific target areas and the impacts on biodiversity and designated sites.

Timescales for implementing actions

In terms of the proposed timescales, 36% of respondents did not agree and 32% were not sure of the identified timescales. 17% agreed and 15% did not respond to this question.

Those who disagreed were concerned that actions were taking too long and that more urgent action is needed in light of climate change. Respondents also commented that timescales were too vague and should be more detailed.

What can individuals, communities and organisations do to help manage flood risk?

SEPA also asked whether individuals, communities or organisations were able to help with flood risk management in Scotland. There was a range of responses to this question, with 39% of respondents agreeing that there is something they could do to help manage flood risk and 26% of respondents not sure that there are things they could do.

Those who were not sure asked for more guidance from the authorities. However, many felt that there was something that communities or individuals can do. Suggestions included less paving of gardens to help attenuate rainwater, authorities developing information to help the public make more informed decisions, community organised clearance of watercourses where it is safe to do so, reporting blockages and flooding to the authorities, planting trees and greening of cities.

Acting on consultation feedback

Several changes were made to the final flood risk management plans as a result of the input received during the consultation. A summary of those changes is provided in the table below, and full details will be provided in the consultation digest to be published by SEPA in Spring 2022. Changes made to the Local FRM Plan are summarised in Section 1 of this plan.

Summary of changes made to the plans following the consultation
1. Further actions were added to manage flood risk in several target areas.
2. Additional Local Plan District actions were added.
3. Some actions were removed from the flood risk management plans at the request of local authorities responsible for their delivery due to completion in the time between consultation and publication.
4. Further information was included on how climate change was assessed in the preparation of the plans.
5. Further information was included on how potentially vulnerable areas were identified, and when they will be reviewed again.
6. Information was included on the progress made in implementing actions and working towards objectives in the 2015 strategies.
7. A target area boundary was amended based on new information provided.
8. A description of the importance of community actions, recognising the work that communities do to manage flooding was included, along with further information on where support is available to help people reduce their own flood risk.
9. A description of the catchment-based approach SEPA has taken, and the role it plays in delivering flood risk management actions was provided.
10. The link between flood risk management plans and land use planning was clarified.
11. Habitats Regulations Appraisal statements were added to each relevant action.
12. Some other changes were made to the way information is presented to try to make it clearer e.g., on the timing of actions being carried out.
13. Further information was provided on the uncertainty associated with funding of flood risk management actions.

Annex 3: Acknowledgements

North Ayrshire Council acknowledges the cooperation and input provided in preparing the Local FRM Plan for the Ayrshire Local Plan District, including the following:

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The Centre for Ecology and Hydrology Some of the plan development is based upon digital spatial data licensed from the Centre for Ecology and Hydrology © NERC (CEH) and third party licensors.

SEPA North Ayrshire Council acknowledges the provision of figures, action tables and document formatting from the SEPA FRM Plan provided by SEPA, which has formed the basis of this Local FRM Plan.

Scottish Water North Ayrshire Council acknowledges the inclusion of surface water flooding data generated by Scottish Water in preparation of flood risk information.

The Flood Hazard Research Centre Multi-coloured Manual and Multi-coloured Handbook 2016.

All contributors to the **2018 NFRA**, more information on which can be found at https://www.sepa.org.uk/data-visualisation/nfra2018/

APPENDIX 3:   INDICATIVE COSTS

Action	Indicative capital cost (£)	Notes
Adaptation plan	30,000	Costs can vary greatly depending on the scale and complexity of flooding
Data collection	20,000	
Flood scheme or works design	300,000	Costs can vary greatly depending on the scale and complexity of flooding, along with the ground conditions
Flood study	50,000	Costs can vary greatly depending on the scale and complexity of flooding
Flood study (existing flood defences)	80,000	
Flood study (options appraisal)	40,000	
Shoreline Management Plan (Coastal Adaptive Plan)	100,000	
Surface water management plan	30,000	
Flood scheme or works implementation	N/A	Schemes are very individual and it is not possible to provide an indicative cost.
The costs involved in the following actions are predominately from staff resource:		
Community engagement	N/A	Resources required are very specific for the individual action. It is currently not possible to estimate a resource cost.
Community flood alert	N/A	
Community resilience group	N/A	
Emergency plan	N/A	
Flood defence maintenance	N/A	Cost of maintenance is specific to the defence and is impacted by among other things age and type of the defences. It is not possible to provide indicative costs.
Flood risk management review	N/A	Resources required are very specific for the individual action. It is currently not possible to estimate a resource cost.
Flood warning maintenance	N/A	
Flood warning scoping	N/A	
Land Use Planning	N/A	
Maintain flood protection scheme	N/A	
New flood warning area	N/A	
Property flood resilience scheme	N/A	
Sewer flood risk assessment	N/A	
Site protection plan	N/A	
Strategic mapping improvements	N/A	

Table 3: Indicative costs

APPENDIX 4: OVERVIEW OF ALL AYRSHIRE LOCAL FLOOD RISK MANAGEMENT PLAN ACTIONS

KEY

⬛ (blue)	NAC
⬛ (orange)	EAC
⬛ (yellow)	SAC
⬛ (green)	SEPA
⬛ (light blue)	Scottish Water
2	Cycle 2 Action
3	Cycle 3 Action

PVA	OTA REF	OTA NAME	Community Engagement	Data Collection	Flood Defence Maintenance	Flood Risk Management Review	Flood Scheme or Works Implementation	Flood Scheme or Works Design	Flood Study	Flood Study (Existing Flood Defences)	Flood Study (Options Appraisal)	Flood Warning Maintenance	Flood Warning Scoping	Property Flood Resilience Scheme	Sewer Flood Risk Assesssment	Shoreline Management Plan	Strategic Mapping Improvements	Surface Water Management Plan
Largs	148	Largs North	2	3	2						2	2				3	2	
Largs to Kilwinning	80	Kilwinning and Dalgarven										2			2			2
	121	Saltcoats and Stevenston			2				2			2			2			
	124	West Kilbride	3						3						2	3		
	149	Largs South										2				3	2	
	155	Fairlie	2					2									2	
Upper Garnock Catchment	76	Dalry	2				2					2			2			
	97	Kilbirnie and Glengarnock	2				2		2		2	2			2			
Lower Irvine and Annick Water Catchment	21	Irvine	2		2				2			2			2		2	
	122	Stewarton		2								2			2			3
	21001	Dundonald	3						3						2			
Irvine to Troon	22	Irvine Coastal							2						2	3		
	123	Troon			2				2	2		2			2		2	
Kilmarnock and Upper Irvine Catchment	20	Kilmarnock	2		2			2			2	2			2			
	75	Crosshouse		2					3						2			
	120	Newmilns	2					2						2	2			3
	147	Kilmaurs		2					3						2			
	153	Galston	2		2			2							2			3
	154	Darvel	2					2							2			3
Pow Burn Catchment	28	Prestwick North	2		2				2	2	2	2			2			
Prestwick and Ayr	27	Prestwick South	2		2				2		2	2			2			
	71	Ayr	2		2				2	3	3	2			2		2	
River Ayr Catchment	72	Ayr East	2						2	3					2			
Ayr South	74	Ayr Doon	2						2		2				2			
Ayr East	73	Ayr South East	2						2	2		2			2		2	
Dalrymple to Dalmellington	77	Dalrymple			2						2							
	96	Dalmellington									2							
	164	Patna									2							
Drongan	18	Drongan		2					2									
Straiton	162	Straiton		2					3									
Cumnock	19	Cumnock									2			3				
	68	Auchinleck				2												3
Catrine	16	Som									2	2						
	17	Catrine		2					2			2		3				
Girvan	78	Girvan			2			2	2	2		2					2	
Barrhill	95	Barrhill		2					3									
Isle of Arran	23	Brodick	2						2	2						3	2	
	24	Lamlash	2		2				2	2		2				3	2	
	25	Whiting Bay			2					2		2					2	
Great Cumbrae Island	119	Millport	2		2		2		2			2					2	
Kirkmichael	14	Kirkmichael		2					3									

Table 4: Overview of ALFRMP actions

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APPENDIX 5: NORTH AYRSHIRE FLOOD STUDIES

*Carry out a shared NFM Study to save costs

Potentially Vulnerable Area (PVA)	Objective Target Area (OTA)	Flood Study Detail	Delivery Cycle	Indicative Cost	Indicative Programme	
					Cycle 2 (2022-2028)	Cycle 3 (2028-2034)
02/12/01 (Largs)	148 (Largs north)	Largs Coastal Flood Study	2	£80,000	2022-2025	
02/12/02 (Largs to Kilwinning)	80 (Kilwinning & Dalgarven)	SASK Surface Water Management Plan	2	£30,000	2025-2028	
	121 (Saltcoats and Stevenstion)	Saltcoats and Stevenston Surface Water Flood Study	2	£50,000	2022-2025	
	124 (West Kilbride)	West Kilbride Flood Study	3	TBC		2028+
02/12/03 (Upper Garnock catchment)	97 (Kilbirnie & Glengarnock)	Kilbirnie & Glengarnock Flood Study	2	£50,000	2022-2025	
		Kilbirnie & Glengarnock Flood Study (Options Appraisal)	2	£40,000	Study Complete	
02/12/05 (Irvine to Troon)	22 (Irvine Coastal)	Irvine Coastal NFM feasibility Study	2	£50,000	2025-2028	
02/12/19 (Isle of Arran)	23 (Brodick)	Brodick NFM Feasibility Study*	2	£50,000	2025-2028	
	24 (Lamlash)	Lamlash NFM Feasibility Study*	2			
	25 (Whiting Bay)	Whiting Bay Flood Study	2	£50,000	2022-2025	
Various	148 (Largs north) / 124 (West Kilbride) / 149 (Largs South / 22 (Irvine Coastal) / 23 (Brodick) / 24 (Lamlash)	Shoreline Management Plan	3	TBC		2028+

Indicative Cycle 2 Costs: **£360,000**   **Cycle 3 Costs: TBC**

Table 5: Detail of North Ayrshire Council Studies

APPENDIX 6: PROGRESS SUMMARY OF FIRST AYRSHIRE LFRMP ACTIONS

Potentially Vulnerable Areas by actions	Flood protections shemes /works	Natural flood management works	New flood warning	Flood protection study	Natural flood management study	Surface water plan / study	Strategic mapping and modeling Scottish Water	Strategic mapping and modeling SEPA	Maintain flood protection scheme	Maintain flood warning	Flood forecasting	Property level protection scheme	Community flood action groups	Self help	Awareness raising	Maintenance	Emergency plans / response	Planning policies
12/01 Noddsdale Water				✓			✓		N/A	N/A	✓		✓	✓	✓	✓	✓	✓
12/02 Great Cumbrae Island	AMBER			✓				AMBER	✓	✓	✓			✓	✓	✓	✓	✓
12/03 Largs to Stevenston	AMBER			✓		✓		AMBER	✓	✓	✓		✓	✓	✓	✓	✓	✓
12/04 Upper Garnock Catchment	✓		✓		✓		✓		N/A	N/A	✓			✓	✓	✓	✓	✓
12/05 Kilwinning			✓	✓		✓	✓		N/A	N/A	✓			✓	✓	✓	✓	✓
12/06 River Irvine and Annick Water			✓	✓		✓	✓	AMBER ✓	✓	✓	✓		✓	✓	✓	✓	✓	✓
12/07 Irvine to Troon		✓		✓		✓	✓	AMBER	✓	✓	✓			✓	✓	✓	✓	✓
12/08 Isle of Arran				✓					✓	✓	✓			✓	✓	✓	✓	✓
12/09 Prestwick to Ayr		✓		✓		✓		AMBER	✓	✓	✓			✓	✓	✓	✓	✓
12/10 Pow Burn Catchment			✓			✓			N/A	N/A	✓			✓	✓	✓	✓	✓
12/11 River Ayr			✓			✓			N/A	N/A	✓			✓	✓	✓	✓	✓
12/12 Ayr east								AMBER	N/A	N/A	✓			✓	✓	✓	✓	✓
12/13 Ayr south						✓			N/A	N/A	✓			✓	✓	✓	✓	✓
12/14 Cumnock and Catrine				AMBER		✓		AMBER	N/A	N/A	✓	✓		✓	✓	✓	✓	✓
12/15 Dalrymple and Patna				✓				AMBER	✓	N/A	✓			✓	✓	✓	✓	✓
12/16 Straiton									N/A	N/A	✓			✓	✓	✓	✓	✓
12/17 Dailly									N/A	N/A	✓			✓	✓	✓	✓	✓
12/18 Girvan				✓			✓	AMBER	✓	✓	✓			✓	✓	✓	✓	✓
12/19c Dalmellington				✓					N/A	N/A	✓			✓	✓	✓	✓	✓

Table 6: Progress summary of Cycle 1 Actions. GREEN denotes an action delivered on programme and within budget; AMBER denotes an action that was delivered behind programme and / or over budget but that achieved or will achieve what was anticipated by the Local FRM Plan; RED denotes an action that was delivered behind programme and / or over budget and where the outputs are unlikely to achieve what was anticipated by the Local FRM Plan. The ticked boxes confirm that the action is now complete or is envisaged to be complete by the publication of the final progress report.

NORTH AYRSHIRE COUNCIL

29 November 2022

Cabinet

Title:	**Flexible Advanced Manufacturing Space, i3 Irvine: Phase 1, Full Business Case**
Purpose:	To seek endorsement of the Full Business Case (FBC) for Phase 1 of the Flexible Advanced Manufacturing Space Project at i3, Irvine.
Recommendation:	That Cabinet agrees to: (a) endorse the Full Business Case (FBC) for Phase 1 of the Flexible Advanced Manufacturing Space project at i3; (b) note the awaited outcome of a bid to the UK Government's Levelling Up Fund (LUF) 2; and (c) approve the submission of the FBC to the Ayrshire Economic Joint Committee (AEJC).

1. Executive Summary

1.1 The i3 Flexible Advanced Manufacturing Space (flexible space) project is one of two projects located at i3, in Irvine that will benefit from overall investment of £21M through the Ayrshire Growth Deal (AGD). i3 is one of North Ayrshire's key strategic sites and has benefited from Enterprise Area status since 2012. Its purpose was to attract life science companies and related industries with business rates relief and accelerated capital allowances targeted at specific areas.

1.2 AGD investment in the flexible space project comprises of £11M from the Scottish Government and £4M from North Ayrshire Council, to help create commercial space at i3 in a variety of formats and over a series of phases. The project is part of a wider programme of new employment space across Ayrshire funded by £69.5M from the AGD, supporting economic infrastructure and engineering and manufacturing sectors, with East and South Ayrshire Councils' developing similar projects. The overall aim is to meet an identified demand for modern business space where there has been a longstanding issue of market failure, to help grow local businesses and to attract inward investment. A further £6M is being invested in the i3 Digital Processing Manufacturing Centre (DPMC) project. The flexible space project will complement the DPMC project, with the potential to attract businesses wishing to locate close to the new DPMC facility.

1.3 Cabinet on 23 March 2021 agreed to support the delivery of Phase 1 of the flexible space programme, approve an allocation of £200,000 towards the development of the first phase in advance of approval of the Outline Business Case (OBC) and to note progress with the project. In addition, of relevance to this report, Cabinet on 2 November 2021 considered and agreed the development and submission of a bid with South Ayrshire Council totalling up to £40m to the UK Government Levelling Up Fund (LUF) 2, for Commercial and Low Carbon Infrastructure, including i3 as a potential project area.

1.4 Key changes since the Cabinet report of March 2021 are the approval of the OBC in June 2021, the likely decrease in the overall scale of flexible space that is estimated to be delivered across the programme with the funding that is available, the completion of site investigations, planning approval and tender returns for Phase 1 and the inclusion of Phase 1 in the LUF 2 funding bid referred to in paragraph 1.3 above.

1.5 The Full Business Case (see Appendix 1) is now available for consideration of approval following the completion of key aspects of the project set out in the paper. Costs related to Phase 1 are affordable, with tender costs received that were close to the pre-tender cost estimate and are within available capital budgets. Under the agreed governance covering the AGD, the approval of the FBC has been delegated to the Ayrshire Joint Economic Committee (AEJC) following feedback from the Scottish Government, which supported the proposals, and endorsement by Cabinet. It is anticipated that the FBC will be presented to the AEJC on 8 December 2022.

2. Background

2.1 The i3 Flexible Space project is focussed on investing in new business space in a variety of formats, including small terraced units for business start-ups or research and development, larger modular units in a range of sizes that are capable of sub-division and office units. The project will help address the following issues:

- High demand for industrial and office space;
- Low vacancy rates for industrial space of 4.5% for Irvine, 4.5% for North Ayrshire and 3.4% for West of Scotland);
- Insufficient rental values to help finance new-build speculative development;
- Very limited funding sources available for the public sector to intervene;
- Constraints on indigenous companies seeking to grow and expand within North Ayrshire;
- Constraints on attracting inward investment to North Ayrshire through lack of modern premises;
- The need to grow the local economy through adapting to modern industrial processes linked to Life Science, Advanced Manufacturing and other sectors;
- Ageing stock of existing industrial premises that is facing obsolescence; and
- Growing pressure through changes in legislation and customer demand, to create better configured, more energy efficient building stock and eliminate hazardous building materials.

2.2 Phase 1 of the project involves the construction of an 18,180 square foot (1,690 m2) light industrial unit on a 4 acre site. The unit will be capable of subdivision and with an adjoining yard and parking spaces, at Riverside Way in i3. The site and surrounding land is being purchased from Scottish Enterprise and is immediately adjacent to the

DPMC pilot project, within a central area of i3. The preparation of a masterplan has helped to guide the form and location of AGD investment focussed along the main routes of Riverside Way and Long Drive and at the large Strategic Investment Campus. The masterplan, will be accompanied by a strategic framework, setting out development aspirations for i3 (including digital infrastructure and renewables), that will be considered at a future Planning Committee.

2.3 This Full Business Case focusses on Phase 1 of the project which requires overall capital funding of £4.563M from a combination of £3.753M of AGD funds and £0.810M of Vacant and Derelict Land Funds. The funding supports the design and build contract, consultants and specialist advisor fees for the delivery phase, land purchase and staff costs. To help address anticipated cost inflation issues, Phase 1 was included in a LUF 2 bid to UK Government in August 2022 seeking funding to help modernise and expand North Ayrshire's commercial space for business. The outcome of the bid is awaited at the time of this report. Should the application be successful, this would fund the majority of the Phase 1 project and maintain the AGD funds for future phases of the i3 flexible space programme, with the potential to increase the total floorspace delivered.

2.4 The project and wider programme will also have revenue implications which are set out in section 4.1. In summary, there will be costs until the unit is occupied and related to ongoing wider site maintenance. These costs will be met from existing resources in the short term and recovered through additional rental income, received once the unit and future developments are occupied.

2.5 It has been necessary to reduce floorspace estimates for the overall programme due to the development of cost information as part of the development of the business case and due to the increase in costs of construction materials. Estimates within the approved Outline Business Case (OBC) suggested that approximately 9,000 metres squared (97,000 sq ft) could be funded over several phases and in a variety of formats. The attached FBC has now updated that the estimated floorspace that could be created with the available funding could be within the region of 6,000 sqm or c 65,000 sq ft and this has been flagged to the Scottish Government.

2.6 The project also involves the purchase of land from Scottish Enterprise which is being progressed through negotiations at the moment. This includes the project site and the wider area to enable AGD developments. An indicative purchase price has been agreed and the Council is currently awaiting feedback from Scottish Enterprise that they are content with that figure.

2.7 The unit will also begin to be marketed to interested businesses following the award of the contract with plans for new signage.

2.8 There are key risks related to the project and detailed within the FBC, this includes insufficient funds to deliver the scale of the original programme, delays to the award of the contract for Phase 1 caused by delays to the approval of the FBC or the purchase of land from Scottish Enterprise. Key risk mitigations are the inclusion of the project in the LUF 2 funding bid to seek additional funding sources and the provision of a license to undertake works if the land is still owned by Scottish Enterprise at the time of the contract award. Legal have advised that the purchase price should be agreed with Scottish Enterprise prior to any license being in place.

2.9 The FBC is ready for consideration of approval with a number of key legal and financial requirements now in place which are set out in 4.1 and 4.3. Phase 1 of the project has reached a critical stage as FBC approval is required to ensure that the design and build tender is awarded before the 120-day tender period expires on December 9th 2022 and to enable completion of the works by mid 2023, in order that the building is available for occupation.

2.10 The Full Business Case provides a strong and competent case for approval, following the completion of key aspects of the project as set out in the paper. The Scottish Government has provided comments on the FBC from both governments, indicated support for the proposal. Subject to Cabinet endorsement, the next steps are to seek final approval of the business case from the Ayrshire Economic Joint Committee and await the outcome of the LUF 2 funding bid, so that the design and build tender can be awarded. Following the award of the contract, the contractor will finalise the design, apply for building warrant and commence with the contract works.

3. Proposals

3.1 It is proposed that Cabinet agrees to:

(a) endorse the Full Business Case (FBC) for Phase 1 of the Flexible Advanced Manufacturing Space project at i3
(b) note the awaited outcome of a bid to the UK Government's Levelling Up Fund (LUF) 2; and
(c) approve the submission of the FBC to the Ayrshire Economic Joint Committee (AEJC).

4. Implications/Socio-economic Duty

Financial

4.1 The main financial implications of the project for the Council are as follows:

i) Capital - capital investment of £4.563M for Phase 1 towards a design and build contract and related costs (land purchase, staff costs, consultants fees). This is funded by AGD funding (£3.753M) and Vacant and Derelict Land Funding (£0.810M) both of which are included within the approved NAC Capital Programme. A preferred contractor has been selected for the contract following a competent tender process and the tender is within the available budget. Feedback from the Scottish Government will be a final acknowledgement that Phase 1 can proceed and that the Council can then draw down the Scottish Government grant.

ii) Revenue - it is anticipated that there will also be revenue costs until the Phase 1 unit is occupied, such as maintenance, repairs, security, rates & utility bills, marketing and promotion, legal fees, building insurance, statutory compliance certificates and EPC costs. In addition, there will also be costs related to wider site maintenance for this Phase and future developments at i3. AGD Regeneration officers will work with colleagues in Finance to arrange for costs to be met from existing resources in the short term, to then be reimbursed once a tenant is in place and rental income starts to be received.

Human Resources

4.2   None. The project is being managed by the Council's Property Management and Investment (PMI) Team with input from AGD Regeneration officers as required.

Legal

4.3   The main legal implications for Phase 1 of the project are:

i)   Award of the tender is required within the 120-day period.

ii) the management of grants, should the project be successful in obtaining Levelling Up Funding. NAC will require to ensure that the conditions of grant set out by UK Government are complied with. As a condition of grant, UK Government require that NAC contribute to 10% of the project costs; and

iii) The purchase of land from Scottish Enterprise to deliver the project, including final agreement on the purchase price and the potential requirement for the provision of a licence in the interim, should the land purchase not be complete by the required date for the award of contract.

Equality/Socio-economic

4.4   The project will provide much needed new, modern and more energy efficient business space to help local businesses grow and expand and to attract inward investment to an area of above average unemployment and low business investment. It will complement the current development of the Digital Processing Manufacturing Centre (DPMC) pilot project at the adjoining site which will be operated by the University of Strathclyde.

Climate Change and Carbon

4.5   An initial assessment of carbon has been undertaken for the overall project but further work is required for Phase 1 as part of finalising the design. The selected contractor will be required to ensure that building design will facilitate and retain the ability to achieve recognised standards for CO_2 emission rates (i.e. a minimum of Gold Level Aspect 1 by exceeding (TER) CO_2 emission rates).

Key Priorities

4.6   The project will support the priority outcome contained in the Council Plan 2019-2024, for North Ayrshire to have an inclusive, growing, and enterprising economy.

Community Wealth Building

4.7   The wider Ayrshire Growth Deal programme of skills and inclusive growth, supports projects at i3. The project aligns with North Ayrshire Council's key strategies regarding Recovery and Renewal and Community Wealth Building, providing much needed space for businesses, whilst ensuring they contribute towards the Council's low carbon targets.

5.   Consultation

5.1 The Council's PMI, Legal, Business Development, Planning, Sustainability, Estates and Finance Teams have been involved in the development of the project. The development of the OBC involved a local survey of businesses to establish the demand for business space and an updated report for the Irvine area by property agents has confirmed ongoing demand. The i3 masterplan has been subject to consultation with partners including those involved in the DPMC, property agents and internal colleagues and was the subject of a presentation to the Irvine Locality Planning Partnership in June 2021.

Russell McCutcheon
Executive Director, Place

For further information please contact **Neale Mcilvanney, Senior Manager, Growth & Investment** on **nealemcilvanney@north-ayrshire.gov.uk**.

Background Papers
0

Ayrshire Growth Deal

i3, ADVANCED MANUFACTURING SPACE
Full Business Case, Phase 1

Version No.3

Issue Date: 07 November 2022
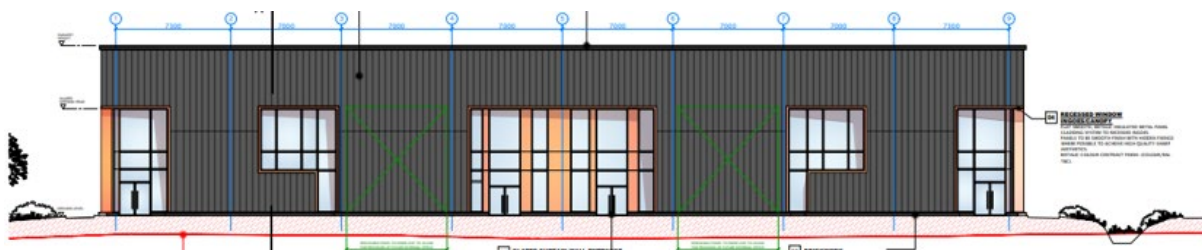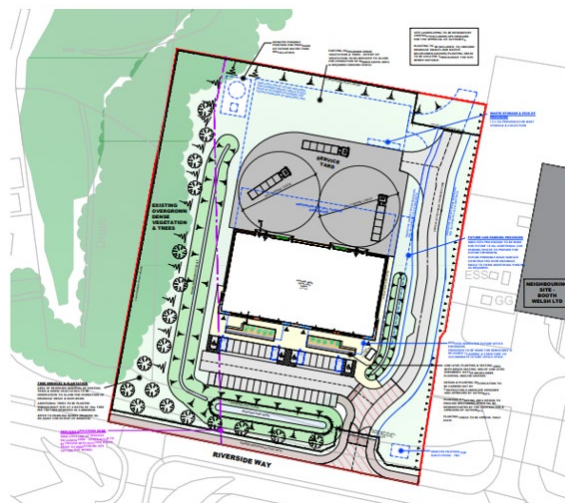
VERSION HISTORY

Version	Date Issued	Brief Summary of Change	Owner's Name
1	14.10.2022	First draft version – issued to PMO	Marnie Ritchie
2	19.10.2022	Response to PMO queries: Updated BCR values Addition of funding notes (1.5.2 & 5.2)	Marnie Ritchie
3	07.11.2022	Formatting only	Marnie Ritchie

Table of Contents

PART A: Project Description

What is the project about?
This project aims to build new flexible advanced manufacturing space at i3 Irvine Enterprise Area, which is a strategic site for North Ayrshire Council and has been designated as a Life Science Enterprise Area since 2012. The project will complement the proposed Digital Processing Manufacturing Centre (DPMC) which is also being supported by the Ayrshire Growth Deal (AGD) and is being delivered in partnership with NMIS (National Manufacturing Institute Scotland), University of Strathclyde, CPI (Centre for Process Innovation) and with support from Ayrshire College.

The project is being delivered in a number of phases. Phase 1 will provide an advanced industrial unit of 18,180 ft2 (1,690 m2) GIFA to a shell specification suitable for Classes 4, 5 and 6, capable of subdivision to a maximum of 4 self-contained units with a rear service yard and parking spaces, on a total site area of 16,355 m2 or 4 acres. Subsequent phases of the FBC will be submitted to cover future phases of the project.

This Full Business Case (FBC) for Phase 1, follows on from an Outline Business Case (OBC) for the overall project which was approved in June 2021. NAC is seeking the timely endorsement of the FBC by the Scottish Government and its subsequent approval by the Ayrshire Economic Joint Committee (AEJC) to enable the construction works contract to be awarded by December 2022 and the works to be completed by mid-2024. Timelines are critical to ensure that the tender award takes place before the 120-day period expires for tenderers holding their costs. Future updates to this FBC will be submitted for subsequent phases of the project.

Tenders have been received for the Phase 1 contract works and the details are contained within the Commercial Case in Section 4. It should be noted that these details are limited following advice from the Council's Corporate Procurement Unit, who advised that the sharing of commercial information should be limited prior to the award of the tender.

Why is it being undertaken?
Phase 1 of the project will contribute towards meeting current demand for new industrial space within North Ayrshire and Ayrshire, where there is a longstanding issue of market failure that discourages the private sector from building new space. It will help grow local businesses and attract inward investment to an area of above average unemployment and low business investment. It will also help to address a growing issue of ageing, obsolete industrial space. The new space also provides the opportunity for interest from businesses linked to the DPMC project to take up space, helping create a cluster of industry and innovation at i3.

How does it fit within the wider Deal?
This project contributes to the wider AGD Economic Infrastructure Programme, addressing economic underperformance by helping position Ayrshire as the go-to region for smart manufacturing and digital skills and by improving access to employment opportunities.

What is being proposed?
The approved OBC proposed that the project would involve the phased delivery of approximately 9,000 m2 (97,000 sq ft) of floorspace in a variety of building types to suit varying needs, ranging from larger 20,000 sq ft to 40,000 sq ft units capable of subdivision, to small, terraced business incubation units and class 4 offices. A masterplan has been developed to show the potential location and scale of development. The majority of the buildings are proposed to be located within a central area of i3, creating a cluster area with the proposed DPMC. A small number of units are also proposed at the large Strategic Investment Campus site at i3, to stimulate interest in this area. The masterplan will be accompanied by a strategic framework

that is currently being prepared to set out wider aspirations and investment proposals for i3, in addition to this project and the DPMC project.

It should be noted that a review of costs as part of the development of Phase 1 has identified that the anticipated cost of delivering each phase is likely to be higher than the indicative estimates contained in the approved OBC. This has been highlighted to the PMO and Government as it is considered that the level of floorspace that can be delivered will be lower than that approved in the OBC at 9,000 sq m. Current projections estimate that the amount of floorspace that may be delivered could be reduced to 6,000 sq m and this has been accounted for in the economic modelling. In order to offset these increased costs, allocations from the Vacant and Derelict Land Fund have supported the development of and are supporting the delivery of Phase 1. In addition, an application for Levelling Up Funding has been submitted for the Phase 1 unit, for which the outcome is currently awaited. This funding application assessment process is running parallel with the FBC process. Should the application process be successful Phase 1 would be delivered using Levelling Up Fund monies and the Council would request that the AGD allocations are held to support future phases at i3.

How will it be delivered?
The overall project is being delivered in phases, allowing for a review of the market at key stages. Each phase will be designed by a professionally qualified team, led by architects and tendered in packages over a number of phases through either a traditional procurement route or a design and build route. Phase 1 is the subject of this FBC and has been developed with support from the Council's architects and quantity surveyors and has been tendered as a design and build contract.

What outcomes will it deliver and by when?
The outcomes anticipated over the next 8 to 10 years include the delivery of much needed modern business space, new jobs and construction jobs, support to SMEs, additional GVA, access to related employability and skills programmes for local people including those from disadvantaged or protected characteristic groups and removal of sites from the vacant and derelict land register. A Benefits Realisation Plan has been prepared for the overall project in conjunction with the Ayrshire Growth Deal PMO and Phase 1 will contribute to these outcomes.

Who will use it and why?
The project will be marketed widely to local companies, including SME's looking to grow and expand and to inward investment companies from Ayrshire, Scotland, the UK and beyond. A marketing campaign is currently being prepared for Phase 1.

What are the headline figures around what is being proposed? - headline financials
An allocation of £15M from the Ayrshire Growth Deal has been agreed for the i3 Flexible Space project, comprised of £11M from Scottish Government and £4M from North Ayrshire Council. Overall £21M is being invested at i3 by the Ayrshire Growth Deal, with a further allocation of £6M contributing to the DPMC project. It is anticipated the funds will be invested over a period of 8 to 10 years with the first unit available in 2024.

Phase 1 will invest up to £4.56M of committed capital funding towards the first unit, supported by Vacant and Derelict Land Funds and the potential for Levelling Up Funding as an alternative source to increase the funds available to deliver the programme.

PART B: The Five Cases

1.   EXECUTIVE SUMMARY

1.1   Introduction

This Full Business Case (FBC) seeks approval for investment in Phase 1 of the i3 Flexible Advanced Manufacturing Space project of up to a maximum of £4.56M of capital, including a contract with a supplier, to undertake the construction of an 18,180 sq ft (1,690 sq m) industrial unit as a first phase of the project. The delivery of the next phases of the project will be set out in subsequent updates to the FBC.

This FBC follows on from the approval of the project's Outline Business Case (OBC) in June 2021, to invest funding of £15m in the delivery of approximately 97,000 sq ft (approx. 9,000 sq m) of flexible advanced manufacturing space at i3, Irvine's Enterprise Area (see Figure 1). The project includes the delivery of business space in various configurations, aiming to meet demand in a series of phases, responding to market requirements and with a focus on high value sectors. This includes chemical and life science manufacturing, more general local demand and opportunities for space emerging from the development of a Digital Processing Manufacturing Centre (DPMC) at i3, supported by £6m of AGD investment, with industry and academic partners, including the National Manufacturing Institute Scotland (NMIS), University of Strathclyde, Centre for Process Innovation (CPI) and with support from Ayrshire College and Scottish Enterprise There is now a commitment to a pilot phase of the DPMC project at Booth Welsh, which immediately adjoins the Phase 1 flexible space site. Refurbishment works are now underway following the signing of a lease agreement by the University. Underpinning this overall AGD investment at i3, is the strength of demand and market failure in the local property market and the need for economic growth.

Figure 1: Project location

It should be noted that the estimated floorspace that can be delivered for the available AGD budget is now likely to be lower than that estimated in the approved OBC. This is explained further in paragraph 1.1.3 below.

1.1.1 Project aims & objectives

The main investment objectives of the overall project are:

- To create flexible business space capable of meeting manufacturing requirements for chemical and life sciences, but also for a wide range of other high value sectors;
- To create a centre of digital innovation which offers digital tools, support and innovation scaled to a national market supporting a restructure of the regional economy to deliver advanced manufacturing;
- To create serviced industrial land and capable of immediate development;
- To create opportunities for employment and inclusive growth with particular emphasis on making connections to local communities, schools and colleges in preparation for employment, particularly in areas of deprivation and targeting people drawn from disadvantaged or Protected Characteristic groups including women and young people;
- To attract mobile and private sector investment both from abroad and from indigenous companies; and
- To create a sustainable, high quality business location and R&D cluster, capable of meeting and keeping pace with the changing demands of high value manufacturing sectors and complementing national initiatives including NMIS

The project also aligns with Inclusive Growth & Community Wealth Building objectives (See Appendix F).

1.1.2 Project scope

The scope of the overall project is to contribute to the AGD's Economic Infrastructure Programme using £15m of AGD investment, to create modern flexible advanced manufacturing space that addresses the current issues businesses and inward investors are facing, with lack of modern business space provision in Ayrshire, impacting on business growth and expansion.

The project is focused on delivering this space at i3, east of Irvine town centre. The area was developed as part of Irvine New Town from the early 1970s. Given that the town was originally planned with a much higher population than realised, and due to differing industrial structures at the time, the i3 area is of significant scale and covers around 132 ha. While i3 offers the Strategic Investment Campus site (see Figure 1) with potential to accommodate an inward investment of scale, many parts of i3 remain undeveloped and are in private ownerships. The flexible space development will help to address this by focusing AGD development within a central area around Riverside Way. The inclusion of flexible space and the proposed DPMC centre within this area will help to provide a sense of consolidation, focus and provide services and networking opportunities for businesses (see Figure 2)

The advanced manufacturing space proposed will complement the DPMC project and provide modern space in a number of phases. While separate business cases, the two projects are linked, as the DPMC will help to raise the profile of i3 and encourage business investment and growth with a focus on Industry 4.0. The proposed investments are part of a new strategy for i3 that allows:

- The central Riverside Way area to be developed as a core commercial space and service area for i3, that includes the majority of the proposed flexible space and proposed DPMC within a statement building that also offers associated central services and which may require some investment from the flexible space programme; and
- The scale of installed infrastructure and public sector land ownership offered by the large Strategic Investment Campus site identified in Figure 1, above, to be the proposed location for part of the flexible space to encourage initial occupiers and to be offered for major company relocation or inward investment.

The proposed Phase 1 unit includes the following specifications:

- a shell only specification to allow for flexibility, with service pop-ups suitable for Classes 4, 5 and 6
- capable of subdivision to a maximum of 4 self-contained units
- 18,180ft2 (1,690m2) GIFA, internal height 8 metres clear, site area 16,355m2
- rear service yard from a private access road, facilitating heavy goods vehicles and articulated lorry manoeuvring.
- storage areas for waste collection and provision of infrastructure to facilitate future installation of sprinkler system tank, areas for SUDs and substation
- 38 car parking spaces, 4 accessible parking bays, 4 7.2KV charging points, covered cycle & scooter storage
- expansion possible by 50% maximum to north of the site & potential to create office section to south of building
- gated access, intruder alarm and internal & external security lighting
- provision for air-source heat pumps and ventilation systems to allow for ease of future installations.
- design to allow for solar panel provision

The unit will be constructed immediately adjacent to the proposed DPMC Phase 1 pilot facility which has recently received FBC approval and will be open in early 2023. Both these project phases will begin to create the cluster of activity at i3.

1.1.3   Project phases

The OBC anticipated that the following range of units in Table 1 would be delivered in a number of phases through the £15m investment. This was informed through market assessment and includes the Phase 1 unit highlighted in red, which has been developed to delivery stage and is the subject of this FBC.

Table 1: Flexible Advanced Manufacturing Space profile at OBC stage

Description	Size - sq m	Size – sq ft
Phase 1		
Terraced unit, capable of subdivision	232	2,500
Terraced Units, capable of subdivision	465	5,000
Modular building (capable of subdivision and or expansion)	1,858	20,000
Serviced plot	tbc	tbc
Phase 2		
Two office pavilions (2 x 425 sq.m.)	850	9,150
Modular building (capable of subdivision and or expansion)	3,716	40,000
Phase 3		
Modular building (capable of subdivision and or expansion)	1,858	20,000
Total estimated floorspace	**8,979 sq m**	**96,650 sq ft**

These configurations are shown in the i3 draft Masterplan. Please see the excerpts below in Figure 2 which shows the proposed buildings in blue as part of the i3 AGD investment and the potential development in other areas of i3 in red, should funding become available. The image also shows the proximity of the two i3 AGD projects at i3.

Figure 2: excerpt from i3 draft masterplan
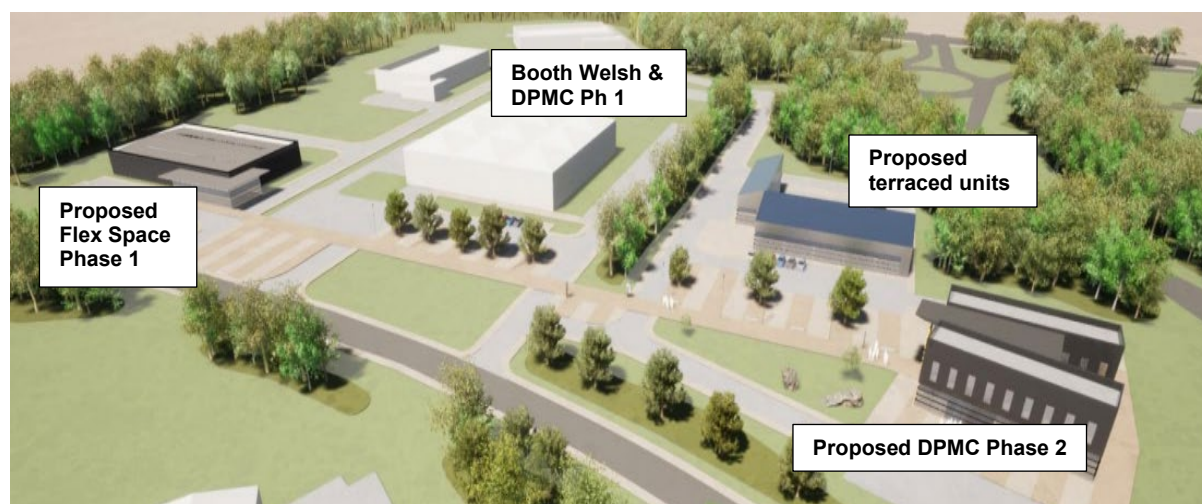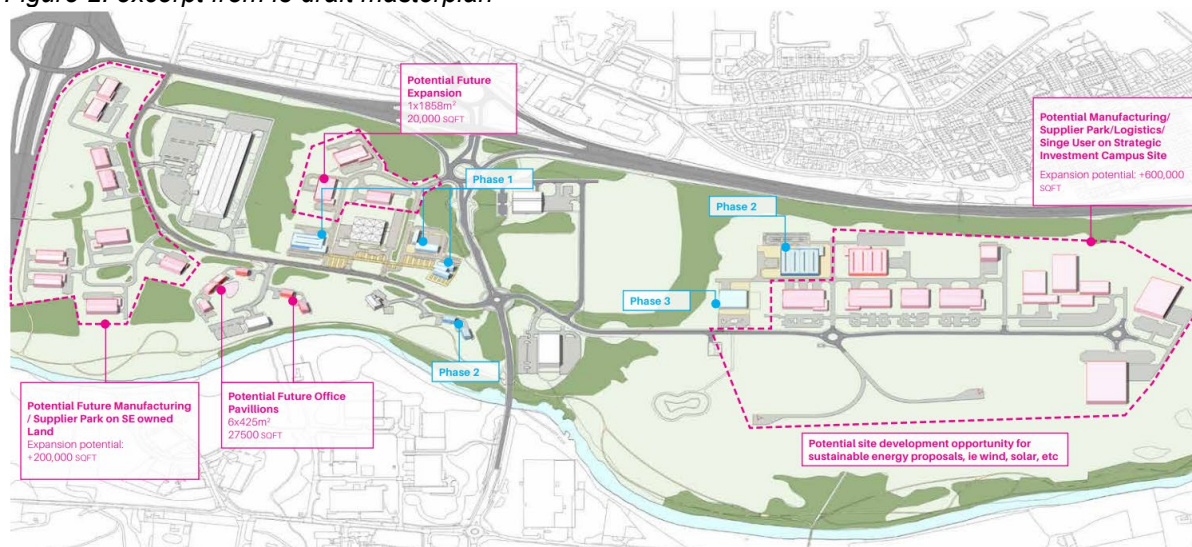
It should be noted that due to cost increases, the scale of floorspace is now likely to be reduced. For the purposes of this FBC it has been assumed that the estimated floorspace that could be delivered would be in the region of 6,000 m2 for which the profile could be as shown in the table below

Table 2: Flexible Advanced Manufacturing Space profile – reduced

Description	Size - sq m	Size – sq ft
Phase 1		
Terraced unit, capable of subdivision	232	2,500
Terraced Units, capable of subdivision	465	5,000
Modular building (capable of subdivision and or expansion)	1,690	18,180
Modular building (capable of subdivision and or expansion)	1,858	20,000
Modular building (capable of subdivision and or expansion)	1,858	20,000
Total estimated floorspace	**6,103 sq m**	**65,680 sq ft**

1.1.4   Structure and content

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This Full Business Case (FBC) sets out details related to Phase 1 of the project. The format used is the Five Case Model and follows the AGD Project Management Office (PMO) template. Subsequent updates to this FBC will be submitted for future phases of the project.

1.2   Strategic case

1.2.1   The strategic context

The following table summarises the strategic drivers for this investment with the associated national, regional and local strategy, plan or policy listed below:

Table 3: Strategic Drivers for Investment in Advanced Manufacturing Space at i3

UK Policy Agenda	Scottish Government Policy	Ayrshire Regional Policy
UK Industrial Strategy, 2018	Scotland's National Strategy for Economic Transformation, 2022	NAC Local Development Plan 2
UK 2021 Life Sciences Vision	Refreshed Economic Action Plan for Scotland 2019-20	NAC Council Plan 2019-24
	Scotland's Economic Strategy, 2015	North Ayrshire Environmental Sustainability & Climate Change Strategy 2021 - 23
	A Manufacturing Future for Scotland, 2016	North Ayrshire Council Community Wealth Building Strategy 2020-2025
	Making Scotland's Future: a draft recovery plan for manufacturing & subsequent programme	NAC Economic Recovery and Renewal Approach 2020
	Scotland's 2018 – 2032 Climate Change Plan, Updated 2020	Irvine Locality Planning Partnership Plan
	Life and Chemical Sciences Manufacturing Strategy for Scotland	Ayrshire Growth Deal Agreement
	Skills and Investment Plan for Scotland's Life and Chemical Sciences	South and East Ayrshire Economic Development Strategies
	Life Sciences Strategy for Scotland 2025 Vision	Regional Economic Strategy for Ayrshire (in preparation)
	Chemical Sciences Scotland Strategic Plan 2025	
	Green Data Centres and Digital Connectivity Vision and Action Plan, 2021	
	Shortlist for Data Centre Site Selection in Scotland 2021	
	Digital Strategy for Scotland, 2017	
	Shaping Scotland's Economy: Inward Investment Plan 2020	
	Covid Scotland's Strategic Framework Oct 2020	

This £15m project is part of an overall investment of £21m that is being sought for i3 through the Ayrshire Growth Deal, with committed funding secured from UK Government (£5m), Scottish Government (£11m) and North Ayrshire Council (£5m). £6m is focussed on the creation of the DPMC project with partners which will assist in driving demand for space at i3 and raising the profile of i3. It will provide a unique facility and hub for businesses within process manufacturing sectors (including Pharmaceutical Products, Oil & Gas, Chemicals and Chemical Products, Agrichemicals (under life sciences), Food & Drink, Fast moving consumer goods (FMCG) and Water (collection, treatment, supply) that are seeking to improve their productivity and modernise their processes through digital automation. It will also have the potential to provide events and meeting space, R&D space, bio-manufacturing facilities and sector support. The UK

Government's £5m contribution and a £1m contribution from North Ayrshire Council are supporting the DPMC project.

A separate Business Case includes investment towards a subsea fibre optic cable and associated infrastructure that may have opportunities for Irvine as a potential landing point. The AGD digital proposal will ensure that Ayrshire has the digital infrastructure, skills and ambition which is critical to future growth and participation in the economy. This investment will put in place a key piece of the connectivity infrastructure to help attract global businesses, enable the potential creation of a datacentre cluster of national significance and make Ayrshire a world-class digitally connected region that is attractive to investors across many elements of the digital economy. The Heat Map at Appendix A illustrates the strengths of relationships between the AGD projects and the i3 project. The AGD Project Links Table at Appendix B, provides further detail on particular AGD projects where there are strong links.

I3 is also the focus of a number of projects being led by other Council teams. This includes recent improvements to active travel connections to i3 (see Photo 1) and proposed improvements, should Levelling Up funding be secured (see Figures 3 & 4).

Figure 3: new active travel path connections from i3, Riverside Way to Irvine

Figure 4: proposed improved active travel routes in proximity to Phase 1 Flex Space unit i3 (shown in green)
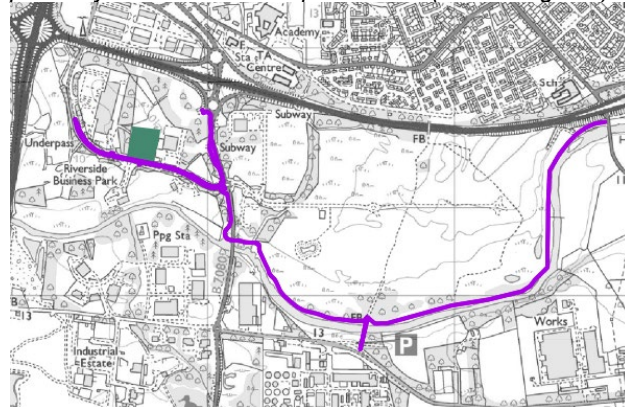
The Council is also investigating the feasibility of a solar farm proposal on the southern section of the Strategic Investment Campus site (shown in Figure 1).

1.2.2   The case for change

AGD funding is required in order to meet demand for modern industrial accommodation in the face of acute market failure. This is preventing private sector investment in speculative industrial development across Ayrshire and most non-prime locations in Scotland. Recent research commissioned by NAC has identified the following issues that demonstrate the requirement for investment:

- High demand for industrial and office space;
- The need to grow the local economy through adapting to modern industrial processes linked to Life Science, Advanced Manufacturing and other sectors;
- Low vacancy rates for industrial space of 4.5% for Irvine, 4.5% for North Ayrshire and 3.4% for West of Scotland. (These figures were previously 4%, 6% and 4% respectively at OBC stage);
- Insufficient rental values to support financially viable, new-build speculative

development;

- Very limited funding sources available for the public sector to intervene;
- Constraints on indigenous companies seeking to grow and expand within North Ayrshire;
- Constraints on attracting inward investment through lack of modern premises;
- Ageing stock (avg. 36 years) of existing industrial premises that is facing obsolescence; and
- Growing pressure through changes in legislation and customer demand, to create better configured, more energy efficient building stock and eliminate hazardous building materials.

The overall i3 proposal has included engagement with the following partners and local stakeholders through discussions and through commissioned research.

- AGD PMO Team
- Key Advisors (Scottish Enterprise)
- Local businesses
- Irvine Locality Planning Partnership
- Local industry leaders
- Academia – NMIS, University of Strathclyde, CPI and Ayrshire College
- Other Council teams

1.3 Economic case

1.3.1 OBC long list and short list

In terms of the best option for delivery of the overall programme for this project to meet demand, a wide range of potential options were considered in terms of location, interventions and scale of interventions, funding sources and timescales, shown in the table below. A preferred option is identified for each category and three options were then considered in greater detail within the Economic Case:

- Do Nothing – the Counterfactual Option;
- The Preferred Option: Flexible Space, Phased; and
- The Ambitious Option: Flexible Space, Accelerated.

The **Critical Success Factors** used when evaluating the long list of options below included:

- How does the option satisfy the AGD Vision & key themes?
- How does the option provide a holistic fit and synergy with other national, regional and local strategies?
- How does the option optimise value for money?
- Is the option viable and can it be delivered?
- Will the option meet an identified market demand, remove a constraint and how will it affect existing supply?
- Can the option be funded by both the up-front capital and future revenue?

The long list for the OBC stage and the overall programme, is shown in the table below:

Table 4: Assessment of Options at i3 – Long List

OPTIONS

	1.1 i3 Enterprise Area (EA)	1.2 Other North Ayrshire Site	1.3 Other Ayrshire Sites
1. LOCATION	i3 is one of two locations in Scotland marketed by SDI for manufacturing linked to life sciences & related sectors. It has key locational benefits for investors, with existing established businesses. **Preferred Option**	A limited number of other North Ayrshire sites have capacity to accommodate new development but are unable to offer the locational advantages of i3, installed infrastructure capacity and existing business base. Discounted Option	Irvine has key sector and cluster strengths in life sciences, and is therefore an attractive proposition for investors in comparison to other Ayrshire sites. Discounted Option
	2.1 Site Preparation Only	2.2 Flexible Space on all Sites	**2.3 Flexible Space**
1. INTERVENTION	Create prepared site platforms at i3, ready for immediate development. This would offer a low-cost option but would fail to meet the needs of life sciences and related manu-facturing businesses for premises. Discounted Option	Flexible space across the whole i3 area, including the large Strategic Investment Campus could mean the space would be too dispersed, reducing its impact and chance to create a central cluster of activity. Potential Future Option	Delivering flexible space on a phased basis linked to the DOMC proposal, and that addresses market need for business space with the opportunity to review the specification after Phase 1. **Preferred Option**
	3.1 Small-Scale / Cautious	**3.2 Mid-Scale Market Ready**	3.3 Large-Scale / Ambitious
3. SCALE	Developing 1 or 2 shell buildings to test market interest but discounted due to value for money factors i.e. there is clear demand for the units proposed but developing in smaller phases will ultimately increase costs. Discounted Option	Similar to Option 2.3, a market-ready proposition that balances forecast demand, level of risk, cost efficiencies and future flexibility. **Preferred Option**	Similar to Option 2.2, cost savings could be made if large-scale flexible space was delivered. This could significantly increase costs and risks, overstep the known level of demand and is likely to be in advance of need. Discounted Option
	4.1 Seek AGD Funding	4.2 Seek Other Public Funds	4.3 Seek Private Partner
4. FUNDING SOURCES	AGD funding through the public sector allows business space to be provided in the face of market failure as development is not viable for the private sector. Consider-ation to be given to a rolling development programme utilising development income. **Preferred Option**	There are no alternative public sector funding sources identified to deliver this scale of intervention. We will continue to scan the market to identify other funding sources and respond accordingly. Potential Future Option	Attracting private investment to develop new business space was considered but has been discounted due to its lack of viability in Ayrshire. This option will be reviewed as a future option. Discounted Option
	5.1 Immediate	**5.2 Phased Approach**	5.3 Postpone
5. TIMESCALES	Similar to 2.2 and 3.3, there is potential to develop the whole of the i3 site immediately. This would deliver cost savings to the public sector but would also increase risk and remove the option to adapt the size/ layout of proposed space on demand. Discounted Option	Delivering the AGD investment through a phased approach minimises risk – this creates flexible manufacturing space, alongside the DPMC project, to meet immediate demand and allows further phases of flexible space, based on take-up of Phase 1. **Preferred Option**	The project could be planned, designed, costed, approved and all relevant permissions secured but construction postponed til occupier interest is secured. This option fails to meet the current market need for good quality business units that are ready for occupation Discounted Option

The short-list for the OBC stage is shown in the table below:

Table 5: Assessment of Options for i3 - Short List

Option 1 Do Nothing	Option 2 (Preferred) Flexible Space, Phased	Option 3 (Ambitious) Flexible Space, Accelerated
Delivers no additional floorspace Attracts 0 occupiers Delivers 0 gross jobs	Delivers 8,830 sqm floorspace (NIA) Attracts 8 to 16 occupiers Delivers 162 net jobs	Delivers 8,830 sqm floorspace (NIA) Attracts 8 to 16 occupiers Delivers 162 net jobs
Investment Level AGD NAC & SG £0 Other Funding £0	Investment Level AGD NAC £4M AGD SG £11M	Investment Level AGD NAC £4M AGD SG £11M
Delivery Timescale N/A	Delivery Timescale (21/22) to (27/28)	Delivery Timescale (21/22) to (24/25)

The conclusion of the Economic Appraisal for the OBC was that a phased delivery of the floorspace was the preferred approach. Phase 1 has been progressed as a first unit to accelerate the programme as much as possible and has been developed during the challenges of COVID.

Whilst Option 2 of a phased delivery was the preferred option, Section 3 provides an analysis of options specifically for delivering Phase 1, which is the subject of this FBC and Appendix D provides detail on the economic modelling. In summary, the options considered for Phase 1 were:

- Option 1: Do nothing
- Option 2: Preferred Option, Deliver 18,180 sq ft Phase 1 unit with occupancy achieved half way through 24/25
- Preferred Option: Sensitivity Check – Negative Impact – assumes unit subdivided into 4 with 100% occupancy achieved in 2027/28
- Preferred Option: Sensitivity Check – Positive Impact – assumes unit fully occupied at the start of 24/25
- Option 3: Deliver Phase 2 instead – comprised of two sets of terraced units and one modular unit

1.3.2   The procurement

The procurement for the Phase 1 of the project involves North Ayrshire Council procuring a contract for the build of the industrial unit and surrounding grounds. The Council sought tenders through Public Contracts Scotland (PCS) Portal for contractors to undertake the works Riverside Way, i3 in Irvine. The Council had an available budget £4.56M.

A total of two suppliers submitted tenders and were assessed at the pre-qualification stage by the NAC's Corporate Procurement Team, in terms of initial pass / fail criteria and by the service team following which the two suppliers proceeded to the quality evaluation stage. At the evaluation stage the assessment was made based on 80% cost and 20% quality. Suppliers were assessed against a number of criterion for quality. The two suppliers then proceeded to the commercial envelope stage where they were scored overall and a competent bid was identified from the highest scoring contractor.

1.3.3   Key findings and the preferred option

The findings from the procurement for Phase 1 of the project relate to the quality and cost assessment of bids related to capital expenditure for the refurbishment works. The quality and commercial assessments identified a preferred bidder for the works and in accordance with the tender process this supplier should be the preferred bidder based on their combined scores.

1.4   Commercial case

1.4.1 Agreed products and services

Goods and services are being sought as part of one fixed price contract for Phase 1 of the Advanced Manufacturing Space project. This relates to the construction of an industrial unit and its associated grounds. Tenderers were invited to submit tenders on a fixed price basis and were then evaluated by North Ayrshire Council. It should be noted that the tender remains open for a period of 120 days from the tender return date (12 August 2022). The tender will expire on 09 December 2022.

For the overall project commissioned services are likely to include the following:

- Quantity surveying
- Architecture
- Geotechnical
- Cost consultants
- M&E
- Site investigation work
- Land based engineering works
- Office / Industrial building construction company

1.4.2 Agreed risk allocation and charging mechanism

Risks that could affect the successful implementation of the project have been identified and are set out in detail in the risk register attached as Appendix E. This includes details of risk owners, risk evaluation and mitigation measures. A key risk at the moment is the uncertain length of time to endorse and approve the FBC prior to the award of the contract within the required timescale and to ensure that the land purchase process is concluded.

The payment mechanism agreed with the service provider with respect to the planned construction works will involve submission of invoices by the contractor at agreed stages of the works, which will be certified for payment by NAC. Depending on the outcome of the current LUF bid, NAC may then submit a grant claim to the UK Government in retrospect for the works.

1.4.3 Key contractual arrangements

The Form of Contract for the project is the SBCC Design and Build Contract for use in Scotland (DB/Scot), 2016 edition incorporating Amendment 1 February 2018. The key contractual clauses are as follows:

- Clause 4.18.1 Retention Percentage – 3%
- Clause 6.4.1   Contractors Insurance – injury to persons or property - £10,000,000
- Clause 6.5.1   Insurance – Liability of Employer - £10,000,000
- Clause 6.7   Insurance of the works – Option A applies (By Contractor)
- Clause 6.15   Contractors Designed Portion Professional Indemnity Insurance - £10M

There are no personnel implications and TUPE does not apply.

It would be inappropriate to incorporate contract clauses for occupiers of the completed units. However, there is an opportunity to work with tenants to maximise impacts and benefits for local people and local businesses through supply chains and local procurement mechanisms.

1.4.4 Agreed implementation timescales

The key milestones and delivery dates for the overall Phase 1 project are shown in detail in the table below.

Table 6: Flexible Space Project Milestone Activity, Phase 1

FLEXIBLE SPACE, PHASE 1: Milestone Activity	Est. Date	Quarter (financial year)	Status

Procure professional team to progress detailed design, Phase 1 (20,000 sq ft unit)	Completed		
Consultation with Planning and stakeholders on draft masterplan	Completed		
Completion of flexible space outline designs through masterplan process	Completed		
Approval of Outline Business Case	Completed		
Ground investigations complete	Completed		
Submission of detailed planning application	Completed		
Planning permission granted	Completed		
Tender advertised	Completed		
Outcome of Levelling Up Fund bid (estimated date)	31 Oct 22	Q3 22/23	Ongoing
Endorsement of FBC by NAC Cabinet	29 Nov 22	Q3 22/23	Not started
Transfer of land from SE	02 Dec 22	Q3 22/23	Ongoing
Endorsement of FBC by Scottish Government	Tbc	Q3 22/23	Not started
FBC Approved by Joint Committee	Tbc	Q3 22/23	Not started
Contract award and construction begins, Phase 1 (20,000 sq ft unit)	08 Dec 22	Q3 22/23	Not started
Construction works complete, Phase 1 (20,000 sq ft unit)	mid 24	Q3 23/24	Not started
Building available for occupation	mid 24	Q1 24/25	Not started
Reporting Outputs/Outcomes/CWB	31 Oct 24	Q3 24/25	Not started
Delivery of subsequent Phases (incl revision & approval of any OBCs/FBCs)	Tbc	Tbc	Not started

1.4.5 Accountancy treatment

It is envisaged that the assets underpinning the delivery of the service will be on the balance sheet of the organisation should the development remain in the ownership of NAC.

1.5 Financial case

The financial implication of this procurement is a commitment by North Ayrshire Council, to a contract with a maximum value within the budget available for the delivery of the Phase 1 over the course of 2023, into 2024. The capital funds comprise of the following, within the table below. A current Levelling Up Funding bid, if successful, will mean that the majority of AGD funds are not required for Phase 1 and the Financial Profile will require to be revised to show the additional leverage.

Table 7: Flexible Advanced Manufacturing Space, Phase 1 - Source of Capital Funds

Source	Amount
North Ayrshire Council AGD contribution (remaining balance)	£3,753,000
Vacant & Derelict Land Funds (remaining balance)	£810,000
Total	**£4,563,000**

1.5.1 Financial expenditure

The majority of the financial expenditure for this procurement will take place across financial year 2023/24 (excluding retention) and the contract is expected to be complete by mid-2024.

1.5.2 Overall affordability and balance sheet treatment

The proposed works have been the subject of a best value procurement exercise. The award of the tender will require to be signed off by the Ayrshire Economic Joint Committee, following endorsement from NAC's own Cabinet. The Council has ensured there are sufficient funds in place to cover the project and the tender cost is below the budget available.

The table below is a current summary of the project's financial appraisal. Proposed investment is in phases. NAC will be responsible for ongoing maintenance of the buildings and management, through an appointed agent. Anticipated rental income for Phase 1 is £127,500 per annum.

The project involves purchase of land from Scottish Enterprise. As this involves another public agency it is not anticipated to be of significant risk. The process will involve approval from each organisation. The cost of purchase is being covered separately by the Vacant and Derelict Land Fund.

Table 8: Flexible Space Financial Profile – Capital – updated

Year	0 19/20	1 20/21	2 21/22	3 22/23	4 23/24	5 24/25	6 25/26	7 26/27	8 27/28	9 28/29	10 29/30	Total
£ millions	£	£	£	£	£	£	£	£	£	£	£	£
Scot Govt	23	56	0	0	100	400	2,419	7,591	411	0	0	**11,000**
NAC	11	28	122	208	3,053	578	0	0	0	0	0	**4,000**
AGD Total	**34**	**84**	**122**	**208**	**3,053**	**978**	**2,419**	**7,591**	**411**	**0**	**0**	**15,000**
VDLF	0	0	0	200	614	0	0	0	0	0	0	814
Flex Space Total	**34**	**84**	**122**	**408**	**3,694**	**978**	**2,419**	**7,591**	**411**	**0**	**0**	**15,814**
Phase 1 Profile	11	28	122	208	3,053	578						4,000
Current Funding Applications for noting:												
LUF 2*	0	0	0	tbc	tbc	0	0	0	0	0	0	tbc

Assumption that LUF award will be timebound and be required to be used prior to other sources of funding. If LUF bid successful NAC funding will move to end of programme utilising LUF first SG funding second and NAC funding last to deliver the programme.

It is anticipated that the completed project will generate income from the following:
- Ongoing rental income through the lease of completed units; and
- One-off capital receipts from the sale of buildings and/or development plots.

The option of re-investing the rental income back into the i3 Enterprise Area will be considered, to ensure longer term benefits for the area and the potential to reinvest in additional floorspace, as a way of addressing market failure.

A draft Risk Register is included at Appendix E. The main financial risks are expected to be:
- Design and technical studies result in additional costs beyond the contingencies and optimism bias allowed for;
- Slippage / delay in the programme that incurs additional costs;
- Unforeseen project complexities that require additional funding;
- Insufficient availability of non-financial resources for the delivery of the project;
- Risks that the key milestones are not achieved; and
- Risk that the project does not proceed as an AGD project.

1.6   Management case

1.6.1   Project management arrangements
Phase 1 of the Flex Space Programme, which is the subject of this FBC, will be managed by the Council's PMI (Property Management and Investment) team and will follow the PRINCE2 methodology as much as possible. Project Management responsibilities sit with PMI who have led on the development of the design on behalf of the Growth and Investment Team who have acted as client. PMI will continue this role as part of the delivery stage and will report to the Council's internal Project Board for the contract. Overall responsibility will rest with Director of

Growth and Investment reporting to the Chief Executive. All personnel will be experienced and professionally qualified in their respective roles.

NAC has established internal governance arrangements for the management of its AGD project(s) organised through a Project Board, which comprises of officers from Growth and Investment, PMI, Legal and Finance. The NAC Project Board has overall authority and responsibility for Project Delivery including the Business Case prior to submission to the NAC Executive Leadership Group for approval and prior to submission to the Programme Management Office (PMO).

The Board has a Project Management responsibility but no decision-making powers. The Project Board provides a mechanism for accountable project management delivered by regular progress reporting and updates and coordination of any aspects of the project associated with infrastructure, employability, business and innovation strands.

1.6.2 Benefits Realisation and Risk Management

The AGD PMO recently produced a Benefits Realisation Plan for the AGD projects. The purpose of the Plan is to demonstrate, to local, regional and national stakeholders, how the AGD will capture the outputs, outcomes, impacts and community benefits resulting from Deal investments including the Flexible Advanced Manufacturing Floorspace project at i3. It sets out approaches to project monitoring and reporting, including definitions guidance and deal programme and project evaluation

The NAC Project Board will be responsible for managing the risks and benefits realisation for Phase 1 of the project and the remainder of the Flex Space Programme, through reporting to the PMO and Government using the Pentana system. Day to day management will be the responsibility of the Project Lead and the Council's PMI Team as Project Manager.

1.6.3 Post project evaluation arrangements

Project monitoring and evaluation will be managed through AGD governance arrangements to monitor the projects outputs and outcomes. The project will be subject to regular review meetings to discuss progress, programme, financial and technical matters.

1.7   Recommendation

It is recommended that the Full Business Case for Phase 1 of the Flexible Advanced Manufacturing Space project at i3 in Irvine is approved. Should the Council be successful in its current Levelling Up Funding bid, the Council would propose to invest its project funds in later phases of the project programme. Further phases of the project will be subject to the submission of updated versions of the Full Business Case.

I hereby recommend the approval of the scheme as set out in this Full Business Case to proceed to the delivery of the scheme.

Signed

Date: xx November 2022
Senior Responsible Owner
Project Team

2. THE STRATEGIC CASE

2.0 Introduction

This Full Business Case is for the approval of investment in Phase 1 of the Advanced Manufacturing Space project at i3 in Irvine. It is focussed on appointing a contractor to construct an 18,180ft2 (1,690m2) GIFA industrial unit with yard space.

Structure and content of the document
This FBC has been prepared using the agreed standards and formats for business cases. The approved format is the Five Case Model, which comprises the following key components:

- **strategic case** section. This sets out the case for change, together with the supporting investment objectives for the project.
- **economic case** section. This demonstrates that the organisation has selected the most economically advantageous offer which best meets the existing and future needs of the service and is likely to optimise value for money (VFM)
- **commercial case** section. This sets out the content of the proposed deal
- **financial case** section which confirms funding arrangements, affordability and the effect on the balance sheet of the organisation
- **management case** section which details the plans for the successful delivery of the scheme to cost, time and quality.

The purpose of the strategic case is to explain and revisit how the scope of the proposed project or scheme fits within the existing business strategies of the organisation and provides a compelling case for change, in terms of existing and future operational needs. In this respect, there is a growing case for the project to provide new energy efficient industrial building stock in North Ayrshire to support the local economy. In addition, the project has the potential to support the i3 DPMC Phase 2 project with the potential to provide some of the advanced manufacturing space within the DPMC facility.

The project at i3 is part of a wider strategy to modernise the Council's commercial estate which has been the subject of a recent bid to the Levelling Up Fund and has been the focus of targeted investment using some of North Ayrshire's Vacant and Derelict Land Fund allocation.

To note, the Strategic Case remains the same, as set out previously within the approved Outline Business Case of June 2021. However, it should be noted that key scope changes have been made in relation to the scale of floorspace that is estimated to be delivered. At SOC and included in the Heads of Terms, this was estimated as 150,000 square feet, at OBC stage 97,000 square feet was estimated. Based on current estimated costs for the delivery of Phase 1, which is the subject of this FBC, this overall figure is likely to reduce again. This matter has already been flagged to Government and is addressed in this FBC.

Since the OBC was approved, the Council has developed the Phase 1 scheme to tender stage with planning permission granted and has updated the financial profile. A masterplan has been developed that shows where the overall programme of space could be located at i3 and a Benefits Realisation Plan has also been prepared.

Ayrshire Growth Deal
The Ayrshire Growth Deal Agreement (November 2020) commits the Scottish Government and UK Government to work collaboratively with the Ayrshire Councils and regional partners to deliver the Ayrshire Growth Deal that will help transform the Ayrshire economy. The AGD Agreement advises the following regarding i3 projects including the Flexible Space programme:

Both Governments and North Ayrshire Council, will support new developments at the i3 Irvine Enterprise Area Advanced Manufacturing Space in Irvine, which will create a National Digital Processing Industry Hub and advanced manufacturing flexible space. This will serve digital processing industries, building on current Life Science Clustering at the site, and facilitate R&D activity, start up, spin out, and growth of Life Science businesses and other advanced manufacturing opportunities. This will see investment of up to £11 million from the Scottish Government, £5 million from the UK Government, and £5 million from North Ayrshire Council. The National Digital Processing Industry Hub will be developed at i3 with links to the National Manufacturing Institute for Scotland in partnership with Strathclyde University and industry. The project also includes construction of flexible business space capable of meeting the requirements of Chemical and Life Sciences manufacturing, Digital Automation and other advanced manufacturing opportunities. The combined offer at i3, centred round the National Digital Processing Industry Hub, will attract a range of supply chain and digital technology SMEs and start-ups and offer strategic capacity to secure major digital process sector investment at i3.

Part A: the strategic context

2.1 Organisational overview

North Ayrshire Council is delivering Phase 1 of the project and subsequent phases and is seeking other funding support to help deliver as much advanced manufacturing floorspace as possible, including Levelling Up Funding. The Council is leading on the following areas of work:

- Masterplanning for i3, including planning, masterplanning and conceptual development of future i3 flexible space and DPMC;
- Targeting Vacant and Derelict Land funding allocations to help support the project;
- Funding bids to improve the Council's commercial space for businesses, including Phase 1 of the i3 Flexible Space programme;
- Land assembly in conjunction with Scottish Enterprise to create a cluster of development within a central area of i3;
- Project management of the design and development of the Phase 1 of the project by NAC's own architects and surveyors
- Active travel proposals to improve connections between i3 and Irvine;
- Solar and wind feasibility at the large Strategic Investment Campus site.
- Securing community benefits outcomes from the Growth Deal projects, aligning with the Council's Community Wealth Building Strategy.

This will work will complement the DPMC i3 project which is in partnership with University of Strathclyde, NMIS and CPI. NAC is acting as an enabler and facilitator for the project, using the Ayrshire Growth Deal investment as a catalyst.

2.2 Business strategies

The purpose of the project aligns across a breadth of local, regional, national and UK policies. Summaries of relevant plans, policies and strategies have been outlined in the tables below. In particular, since the approval of the OBC there has been a growing focus on Recovery and Renewal as a result of the COVID pandemic, Community Wealth Building, Levelling Up and the importance of projects contributing to the reduction of carbon emissions.

2.2.1 Strategic policy context

The broad policy framework is summarised with additional supporting information on specific policies. The following table provides an overview of relevant policies and strategies.

Table 9: National Policy and Strategies

National Policy and Strategies		
Policy	**Objectives**	**Relevance for i3 Project**
UK Industrial Strategy 2018	• Building on strengths and extending excellence into the future • Closing the gap between UK's most productive companies, industries, places and people • Making UK one of the most competitive places in the world to start or grow a business • Recognises the importance of cross-sector collaboration & opportunities of Grand Challenges.	• Using innovation to drive productivity and earnings • A broader focus encouraging collaboration between sectors (e.g. life sciences, pharma, processing industries) helping address Grand Challenges.
UK 2021 Life Sciences Vision	• Building on scientific successes and methods of working related COVID-19 to help tackle future disease challenges focussed on silent pandemics such as cancer, obesity, dementia, ageing. Its aim is for the UK to be recognised as an international hub for Life Sciences, attracting investment and skilled jobs.	• The project will support the formation of manufacturing clusters and the levelling up agenda through establishing the project within an area of need.
Scotland's National Strategy for Economic Transformation, 2022	• Identifies five programmes to drive improvements in Scotland's economy – stimulating entrepreneurship, opening new markets, increasing productivity, developing skills required for the next decade and ensuring fairer and more equal economic opportunities	• The project will support improvements in the local economy by providing modern business space to attract inward investment and help local companies grow and expand.
Shaping Scotland's Economy: Inward Investment Plan 2020	• The Plan focuses efforts on nine areas of opportunity where Scotland has global strengths. • The Plan acknowledges that the Covid-19 crisis has placed digital at the forefront of the response and subsequent recovery steps across the private, public and third sectors • Key role to grow Scotland's manufacturing sector, strengthen supply chain linkages and increase productivity using advanced manufacturing technologies such as automation, AI and digital manufacturing techniques	• Giving priority to investors who can build local supply chains, provide new skills and invest in research. • Nine priorities and three themes underpin Inward Investment. 3 themes all applicable to i3 are: Digital / High Value Manufacturing / Net Zero.
Refreshed Economic Action Plan 2019/20	• Creating a climate neutral and inclusive economy based on Scotland's Economic Strategy.	• Supports investment through AGD to enable unlocking of economic assets, including i3.
Scotland's Economic Strategy 2015	• Increasing growth & tackling inequality through investment, innovation, inclusive growth and regeneration • Need for locally focused and community-based approaches, specifically recognising the persistent economic challenges in North Ayrshire	• Developing capability in key growth sector of life sciences • Helping foster a culture of innovation and R&D • Supporting inclusive growth and opportunities through regional cohesion
A Manufacturing Future for Scotland, 2016	• Innovative manufacturing and utilisation of leading edge technologies, driving competitive advantage • Co-ordinating national innovation resources and assets to be appropriate for manufacturing base • Creating an environment where businesses of all sizes, in all manufacturing sectors can innovate and adopt new novel technologies	• Linking up with NMIS and other centres of excellence • Enabling collaboration between businesses, RTOs & academia by providing a focal point and promoting an open innovation ethos

National Policy and Strategies		
Policy	**Objectives**	**Relevance for i3 Project**
Making Scotland's Future – A Recovery Plan for Manufacturing & related Programme, 21	• Co-ordinating national innovation resources and assets to be appropriate for the manufacturing base • Creating an environment where businesses of all sizes and in all manufacturing sectors can innovate and adopt new novel technologies • Encouraging and supporting our manufacturing businesses to put investment in the best available technologies at the core of their business going forward. • Work with Innovate UK to align interventions and promote opportunities around digital for manufacturing, driving manufacturing readiness and stimulating innovation to uncover new sources of revenue from manufacturing.	• Linking up with NMIS and other centres of excellence • Enabling collaboration between businesses, RTOs and academia by providing a focal point and promoting an open innovation ethos • Co-ordinating national innovation resources and assets to be appropriate for the manufacturing base. In particular, interaction with both new and existing centres of excellence will provide an environment where innovation and demonstration opportunities can be developed.
Scotland's 2018 to 2032 Climate Change Plan, Updated 2020	• Sets out Scotland's Ambitions to reduce carbon emissions and achieve net zero emissions by 2045, set by the Climate Change Act 2019	• The project will contribute through the provision of modern and energy efficient commercial space built on vacant and derelict land at i3.
Life and Chemical Sciences Manufacturing Strategy for Scotland	• Establishing a strong platform for manufacturing growth through strong communication between the Life and Chemical Sciences sectors • Improving the translation of research into application • Strengthening UK's case (including supply chains) for manufacturing businesses	• Enabling commercialisation of research by providing a focal point between academia and industry • Building up service offering at i3 to attract businesses
Skills & Investment Plan for Scotland's Life and Chemical Sciences	• Four priority areas: addressing specific skill shortages, ensuring national coverage of skills and training provision, increasing exposure to, and understanding of, industry, enhancing practical experience	• Developing Scotland's life and chemical sciences capability • Encouraging engagement between HE/FE and industry •
Life Sciences Strategy for Scotland 2025, Vision	• Making Scotland the location of choice for Life Sciences businesses, researchers, healthcare professionals and investors while increasing Life Sciences contribution to Scotland's economic growth • Four key priority areas: business environment, innovation & commercialisation, internationalisation, and sustainable production	• Developing Scotland's life sciences capability • Linking with the Life Sciences Innovation Centres.
Chemical Sciences Scotland Strategic Plan 2025	• Establishing Scotland as a world class centre of high value manufacturing as well as delivering a skill investment plan to provide easy access to training and education to support the growth of the chemical sciences sector	• The project will provide opportunities for the sector to locate to i3, in close proximity to the DPMC project.
Scotland's Digital Strategy 2017	• Recognising that digital is at the heart of economic growth in Scotland.	• Support for focus on digital automation at i3 as part of wider AGD project
Green Data Centres and Digital Connectivity Vision and Action Plan, 2021	• attract new investors that require high-speed data transit to locate in Scotland and take advantage of enhanced terrestrial and international fibre connectivity • build on its capacity to generate energy from renewable sources	• Potential for i3 to accommodate such development and build on opportunities arising from the subsea cable AGD project

National Policy and Strategies		
Policy	**Objectives**	**Relevance for i3 Project**
	• ensure that the full economic and social potential of technologies, such as 5G, Internet of Things (IoT) and Artificial Intelligence (AI), are realised across all parts of Scotland • improve Scottish competiveness and internet resilience providing direct links to other countries and markets	
Shortlist for Data Centre Site Selection in Scotland, 2021	• Joint study by Scottish Futures Trust/Host in Scotland, Crown Estate Scotland and Scottish Enterprise, emerging from Green Data Centres and Digital Connectivity Vision and Action Plan. Providing an overview of potential data centre locations in Scotland.	• Identifies i3, Irvine as one of 10 sites in Scotland where such development could be accommodated
Covid Scotland's Strategic Framework Oct 2020	• The Scot Govt's approach and principles remain those we set out in our Framework for Decision-Making, based on clinical evidence, expert advice, and a balanced assessment of the risks.	• Recent reports from both the Advisory Group on Economic Renewal and the Education and Skills Strategic Board have been clear that economic recovery needs to be grounded in well-being and a green recovery, with skills and jobs in the digital economy or similar, and with a clear need to focus on the future of young people.

Of specific relevance is the overall project's relationship to the UK Industrial Strategy 2018 and Scotland's Economic Strategy 2015, which are mapped out below.

UK INDUSTRIAL STRATEGY, 2018								
Relationship to i3 Advanced Manufacturing Space Project								
Five Foundations of Productivity					Grand Challenges			
Ideas	People	Infrastructure	Business Environment	Places	AI & Data Economy	Clean Growth	Future of Mobility	Ageing Society
The world's innovative economy.	Good jobs and greater earning powers for all..	A major upgrade to the UK's infrastructure.	The best places to start and grow a business.	Prosperous communities across the UK (inc local Industrial Strategies).	Put UK at forefront of AI & data revolution	Maximise advantages for UK industry from the global shift to clean growth.	Become world leader in way people, goods and services move.	Harness power of innovation to help meet needs of ageing society.

SCOTLAND'S ECONOMIC STRATEGY, 2015			
Relationship to i3 Advanced Manufacturing Space Project			
Increasing Competitiveness & Tackling Inequality			
Investing	Innovation	Internationalisation	Inclusive Growth
Providing new physical assets that create opportunities for investment and business expansion and growth.	Fostering innovation opportunities through the provision of new space that can complement the DPMC project at i3.	Attracting investment and collaboration opportunities.	Identifying fair work opportunities & commitment to community benefits through contracts linked to the delivery of the project.

2.3   Other organisational strategies

2.3.1   AGD Programme

The AGD programme links to Governments' objectives of increased growth and prosperity. Post the development of NAC's Strategic Outline Case, NAC has been working closely with the other Ayrshire Councils regarding the complementarity of projects and has coordinated activity though the Ayrshire Growth Deal Leadership Group and Project Management Office (PMO). Themes initially identified as having the greatest potential to support inclusive growth through the Inclusive Growth Diagnostic for Ayrshire, remain critical to the fortunes of the Ayrshire economy. Evidence emerging since the initiation of lockdown suggests that many of the themes and sectors are critical to supporting rescue and recovery as well as being best positioned to support the renewal phase in the longer term. Appendix F provides an initial analysis of inclusive growth objectives for the project which will be developed as the project progresses. The key themes identified in the Strategy as being critical to economic recovery and renewal phases are:

Advanced Manufacturing	Aerospace/space	Clean Growth
Community Wealth Building	Food & Drink	Life Sciences
Visitor Economy	Business	Connectivity
Digital	Innovation	Skills

The development of detailed actions and subsequent delivery of themes is framed through a Community Wealth Building approach that seeks to harness assets, resources, community strength and relationships within Ayrshire to deliver improved outcomes for our communities.

2.3.2   Regional Policy Context

The Advanced Manufacturing Floorspace project has the potential to support two of North Ayrshire's economic development objectives: creating employment opportunities and positioning the area as a leading location for business within the Glasgow city region.

Key local strategies are, North Ayrshire Council Plan & Local Development Plan and strategies to address Community Wealth Building, Recovery and Renewal and Net Zero Carbon targets. These set out a long-term vision for growth and provide a policy framework for determining planning applications and policy context for Ayrshire Growth Deal projects. The following table outlines the key objectives of these documents and the potential opportunities for the Flexible Space Programme arising from them. In addition, Appendix A sets out how the project specifically aligns with Inclusive Growth and Community Wealth Building objectives.

The project has the potential to deliver against the policy objectives of key strategies set out at both the Scottish and regional levels. The proposition is also in line with the Scottish Government's inclusive growth agenda, targeting regional imbalances in economic activity. The key messages from these strategies are outlined below. In addition, NAC is currently preparing the Regional Economic Strategy for the area which will be of relevance to this project.

Table 10: Regional & Local Policy & Strategies

Regional and Local Policy and Strategies		
Policy	**Objectives**	**Relevance for i3 Project**
Ayrshire Growth Deal Heads of Terms and Agreement	• Focus on aerospace, space and life sciences, as well as building on Ayrshire's existing strengths in food and drink, tourism, manufacturing and engineering • Driving inclusive economic growth through creation of new high quality jobs and opportunities • Up to £11m from the UK Government for a subsea fibre optic cable to have its landing point in Irvine • Digital infrastructure – up to £3m investment from the Scottish Government to attract global businesses,	• Linking in with the digital infrastructure agenda • Possible links with the sustainability agenda • In partnership with Strathclyde University and industry, a Digital Hub facility will be developed at i3 to incorporate relevant

Regional and Local Policy and Strategies		
Policy	**Objectives**	**Relevance for i3 Project**
	enable the potential creation of a datacentre cluster of national significance and make Ayrshire a world-class digitally connected region that is attractive to investors across many elements of the digital economy	testing/ R&D equipment and specialist staff
NAC Local Development Plan 2	• Safeguards key business & industrial sites • Identifies ways to support areas for specific new residential development to cross fund new or improved employment space	• i3 is identified as a strategic business location, including opportunities for a large single user or major multiple investments, as well as a high amenity business park
NAC Council Plan 2019 - 2024	• Has priorities linked to Aspiring Communities and Inspiring Places including inclusive growth and an enterprising local economy and effective infrastructure and digital connectivity.	• The i3 project would strongly support these priority outcomes.
North Ayrshire Environmental Sustainability & Climate Change Strategy, 2021	• Setting out targets and priorities to achieve net zero carbon	• I3 has the potential to support the strategy by ensuring this project seeks to provide developments that generates minimum carbon. In addition, a feasibility study is currently being undertaken by the Council to consider a solar and wind farm development at i3.

North Ayrshire Community Wealth Building Strategy 2020-2025	Working in partnership with communities and businesses to create a fair local economy, reducing poverty and inequality. 5 Pillars seek to strengthen existing local resources based on:
	  Procurement Employment
	  Land and Assets Financial power
	  Plural Ownership
		Working within localities to facilitate place-based Community Wealth Building activities on procurement, employment, assets and ownership. Promote Fair Work practices and position Ayrshire as a Fair Work region.

NAC Economic Recovery and Renewal Approach 2020	The Covid-19 pandemic has had a major impact on our local economy and the Council has acted decisively to support our local businesses and communities who have been negatively affected by the economic impact. The approach recognises that as we emerge from the Covid-19 health and economic crisis, we cannot return to business as usual, and that is particularly the case with our economy where we must build back better, fairer and greener. We will use our economic levers across the Council and our new economic model of Community Wealth Building to develop a Green New Deal for North Ayrshire.	The approach to economic recovery and renewal will support an inclusive and green economic recovery. Green Jobs Fund to support just transition and green adaptation Investing in our commercial estate including improving the sustainability of assets
LOIP – Irvine Locality Plan	The Irvine Locality Planning Partnership has identified their key priorities as: • Mental Health • Employability • Increased residents' sense of control and influence	• The i3 project will support the Partnerships priority of employability.
South and East Ayrshire Economic Development Strategies	Various documents	Project will deliver impacts and benefits across Ayrshire, contributing to the aims and objectives of economic development strategies for both South and East Ayrshire Councils.
Regional Economic Strategy for Ayrshire, (in preparation)	The new Regional Economic Strategy for Ayrshire is currently being developed and will identify a number of strategic growth opportunities.	I3 will be identified as a site with significant growth opportunity for the Strategy

The i3 Advanced Manufacturing Space project fits with these strategies through:

- supporting the growth of key sectors to build competitive advantage & economic contribution;
- enabling sector growth by addressing a critical market failure in the provision of high quality modern business sites and premises to attract and retain business activity;
- creating jobs and economic value (GVA), filtering through the rest of the economy via sector supply-chain activity;
- enhancing Scotland's reputation as a key location for life sciences, and attracting manufacturing activity based on embedded skills and expertise of Ayrshire's workforce;
- making best use of existing embedded infrastructure assets and investments at i3;
- positioning i3 as a key strategic location within the Glasgow City Region, providing opportunities for major investment;
- realising new investment and jobs in North Ayrshire arising from Enterprise Area status;
- providing high quality development space and opportunities, set within a highly competitive infrastructure and quality environment;
- supporting the two overarching goals for economic development in North Ayrshire – becoming a leading location for doing business – and creating employment opportunities (and multiplier benefits) that will help to reduce worklessness and inequality;
- delivering economic impacts and outcomes spread across Ayrshire (and beyond) and contributing to business and job growth targets, through direct and indirect/induced supply chain linkages; and
- delivering a completed development that meets the LDP site designation for business and industrial use

In summary, as demonstrated, there is a good strategic rationale for the i3 project. It contributes to the aims, objectives and aspirations of the AGD, and of key Government strategies linked to industry and achieving a low carbon, inclusive economy.

Part B: the case for change

2.4   Investment objectives

Investment objectives for the i3 Advanced Manufacturing Space project were set out within the OBC as follows:

1. To create flexible business space capable of meeting manufacturing requirements for chemical and life sciences, but also for a wide range of other high value sectors.
   AGD investment will overcome market failure barriers and deliver 97,000 square feet of high quality business by 2030
2. To complement planned AGD investment in a Digital Hub and related services at i3 and the proposed new National Manufacturing Institute Scotland (NMIS) development.
   AGD investment will provide a new focus for modern industry at i3 and for Ayrshire. In particular, the proposed Digital Hub has the potential to operate as a satellite of NMIS, focussing on specialised sectors.

3. To create serviced industrial land capable of immediate development.
   AGD investment will make best value use of a key asset by enabling prime industrial land to be developed by 2030.

825

4. To attract mobile investment both from abroad and from indigenous companies.
   AGD investment will meet identified market opportunities for mobile investment and could accommodate between 8 to 16 companies at i3 by 2030.

5. To create opportunities for employment and inclusive growth with particular emphasis on making connections to local communities, schools and colleges in preparation for employment
   AGD investment will create floorspace that will accommodate 162 net jobs by 2031. Through the wider AGD project activity, businesses will be engaged in activities that seek to maximise opportunities for local people and local people will be engaged to ensure they have the skills, qualifications and aspirations to take advantage of these opportunities.

6. To create a sustainable, high quality business location capable of meeting and keeping pace with the changing demands of high value manufacturing sectors.
   AGD Investment will remove a market constraint and create modern and flexible business accommodation that will be attractive to occupiers long into the future.

Since the approval of the OBC it has been identified that the project is unlikely to deliver as much floorspace an in this respect it is likely that the scope of the objectives in terms of the quantity of floorspace produced and job creation, is likely to be lower (see 1.1.3).

2.4.1 Strategic need

A number of studies have been commissioned to inform the development of the i3 AGD projects. These studies highlight the key strengths of the local economy in terms of manufacturing activity (particularly around life sciences and engineering), industrial heritage, the role of international businesses, key infrastructure assets and proximity to Glasgow. However, it is well recognised that the area is underperforming economically and has some serious challenges around depopulation, productivity, economic growth rates, skills levels and lack of fit for purpose modern business space.

The priority for the i3 project is to build on the area's key strengths and help to address these longer-term challenges. Through the Growth Deal, partners are looking to support 'transformational' and 'catalytic' projects that can change perceptions and turn around the long-term economic performance of the area.

The advanced manufacturing space proposed will complement the DPMC and provide modern space in a number of phases. While separate business cases, the two are linked, as the DPMC will help to raise the profile of i3 and to encourage business investment and growth with a focus on Industry 4.0. The proposed investments are part of a new strategy for i3 that allows:

- The central Riverside Way area to be developed as a core commercial space and service area for i3, including, subject to masterplanning, the majority of the proposed flexible space and proposed DPMC within a statement building also offering associated central services; and
- The scale of installed infrastructure and public sector land ownership offered by the large Strategic Investment Campus site identified in Figure 1, above, to be offered for major company relocation or inward investment, which may require some investment from the flexible space programme.

A further Digital Outline Business Case includes investment towards a subsea fibre optic cable and associated infrastructure, that may have opportunities for Irvine as a potential landing point. The AGD digital proposal will ensure that Ayrshire has the digital infrastructure, skills and ambition which is critical to future growth and participation in the economy. This investment

will put in place a key piece of the connectivity infrastructure to help attract global businesses, enable the potential creation of a datacentre cluster of national significance and make Ayrshire a world-class digitally connected region that is attractive to investors across many elements of the digital economy. The Heat Map at Appendix A illustrates the strengths of relationships between the AGD projects and the i3 project.

2.5   Existing arrangements

Presently there are no existing arrangements in place to support the supply of new industrial property in North Ayrshire and Ayrshire, in order to meet the demand from local companies and potential inward investment companies. This is due to prolonged market failure within the area making it unviable for the private sector to deliver such development.

Our strategic objective is to create jobs and bring economic activity to Ayrshire. In order to do this, we need to improve the offer that we can make to investors by providing well-serviced development sites and business space that is ready for occupation.

2.6   Business needs

AGD funding is required in order to meet demand for modern industrial accommodation in the face of acute market failure. This is preventing private sector investment in speculative industrial development across Ayrshire and most non-prime locations in Scotland. Studies commissioned by NAC have identified the following issues that demonstrate the requirement for investment and the creation of new modern business space as a priority for the Council. This was set out within the project's Outline Business Case and is summarised below.

- High demand for industrial and office space;
- Low vacancy rates for industrial space of 4.5% for Irvine, 4.5% for North Ayrshire and 3.4% for West of Scotland. (These figures were previously 4%, 6% and 4% respectively at OBC stage);
- Insufficient rental values to support financially viable, new-build speculative development;
- Very limited funding sources available for the public sector to intervene;
- Constraints on indigenous companies seeking to grow and expand within North Ayrshire;
- Constraints on attracting inward investment through lack of modern premises;
- Ageing building stock (average 36 years) of existing industrial premises that is facing obsolescence;
- Constraints due to companies being less accessible to disabled or mobility impaired job seekers / trainees; and
- Growing pressure through changes in legislation and customer demand, to create better configured, more energy efficient building stock and eliminate hazardous building materials.

A more recent study by Ryden in January 2022 has confirmed this as an ongoing issue for the area:

Figure 5: Gateway Building i3, delivered by the public sector, 2018

2.6.1 Property market assessment

Property market consultants assessed and reviewed the potential to invest in new industrial and office property at i3 through the AGD funds for the OBC. This included assessment of supply and demand in North Ayrshire. An updated survey was done in January 2022 which re-confirmed this as an ongoing significant issue for the local industrial property market with vacancy levels being even lower for North Ayrshire and West of Scotland and a slight half percent increase for Irvine. The tables below show the differences between current supply of office and industrial and what is significant demand, in particular, for industrial space. However, whilst there is significant demand, the report highlights that rental values are insufficient to support financially viable, new build speculative industrial and office development.

2.7 Potential business scope and key service requirements

The project will seek to address the business needs set out in section 2.6 by providing a range of types of industrial and office space to meet market demand. The proposed units will be as flexible as possible in their design. Phase 1 has been designed with the potential to be subdivided to a maximum of four units. It has already been highlighted that the project scope will be impacted upon by increased costs, affecting the amount of floorspace that can be delivered. Based on Phase 1 costs it is likely that the amount of floorspace could reduce from 9,000 sq metres (97,000 sq ft) to around 6,000 sq m. However alternative sources of funding, including LUF, are currently being explored.

The project is seeking to attract a wide variety of occupiers, including local SMEs and inward investors including opportunities through the location of the Digital Processing Manufacturing Centre (DPMC) in close proximity at i3.

A masterplan has been developed to show the potential location and scale of development. The majority of the buildings are proposed to be located within a central area of i3, creating a cluster area with the proposed DPMC. A small number of units are also proposed at the large Strategic Investment Campus site at i3, to stimulate interest in this area.

2.8 Main benefits criteria

This section describes the main outcomes and benefits associated with the implementation of the potential scope in relation to business needs. These are set out in the table below. In addition, a Benefits Realisation Plan has recently been prepared for the project and a Benefits Realisation Logic Chain is included in Appendix C.

Table 11: Investment Objectives and Stakeholder Benefits

Objectives	Benefits for Stakeholder Groups
1. **To create flexible business space capable of meeting manufacturing requirements** *for chemical and life sciences, but also for a wide range of other high value sectors.*	• New business units will be occupied by Ayrshire/ Scottish/ UK/ overseas businesses • Created/safeguarded jobs will generate economic value – jobs, GVA, turnover for Ayrshire and Scotland • Supply chain outcomes will be created for other Ayrshire and Scottish businesses • Design and construction contracts will generate turnover for Ayrshire and Scottish contractors • Construction jobs and training outcomes will be created ,primarily for Ayrshire people and particularly drawn from disadvantaged or Protected Characteristic groups.
2. **Create a centre of digital innovation** *which offers digital tools, support and innovation scaled to a national market supporting a restructure of the regional economy to deliver advanced manufacturing.*	• University and College presence at i3 offering training and business development opportunities. • Cluster of R&D and spin off opportunities • Providing employment, skills development, community wealth building and supply chain growth opportunities • Providing the private sector with opportunities for upskilling, business transformation and increased productivity
3. **To create serviced industrial land and capable of immediate development.**	• Development plot will be available for indigenous Ayrshire/ Scottish, UK-owned and foreign investors • Design and construction contracts will generate turnover and jobs for Ayrshire and Scotland
4. **To create opportunities for employment and inclusive growth** *with particular emphasis on making connections to local communities, schools and colleges in preparation for employment, particularly in areas of deprivation.*	• New employment outcomes – direct and indirect through supply chains • Work experience and training places for school and college students • Job market entrants and low skilled workers increasing soft and basic skills through provision of local jobs. • Residents of deprived areas gaining access to opportunities • University presence enabling additional educational and training opportunities • Delivery of enhanced public transport connection that opens up employment opportunities
5. **To attract mobile and private sector investment** *both from abroad and from indigenous companies.*	• New employment and training outcomes • Demonstrate attractiveness of Scotland as excellent location for life sciences manufacturing • Increased investment confidence
6. **To create a sustainable, high quality business location** *and R&D cluster, capable of meeting and keeping pace with the changing demands of high value manufacturing sectors and complementing national initiatives including NMIS*	• Enhancement and maintenance of attractiveness of Ayrshire as a location, meeting modern business needs and promoting Industry 4.0 services. • Large, visible and modern development that clearly shows Ayrshire is Open for Business • Recognised as part of a national strategy for improving digital technology

2.9   Main risks

The main business and service risks associated with the potential scope for this project are shown in the table below together with their counter measures. A number of these risks are highlighted in the most recent Ayrshire Growth Deal Implementation Plan 2022 and these have been highlighted in the Risk Ref column as (IP). The risk register is included in Appendix E and listed in Table 12 below. In summary, the main risks related to this project are considered to be:

- Failure to obtain approval for the project's Full Business Case.
- All sources of funding for the project are insufficient to deliver the original project outcomes
- Delays to the project timescales caused by issues such as approvals, land acquisition, protected species, statutory consents, procurement, market volatility
- The project fails to attract enough of its target audience to generate sufficient income.

The likely increase in costs from the indicative costs included in the approved OBC have been reported to the PMO and Scottish Government on the basis that that project is unlikely to deliver the amount of business space set out in the OBC. It was agreed that Phase 1 of the project should progress to tender stage to test the construction market. In addition, the Council has included Phase 1 of the project in a bid to the Levelling Up Fund to help mitigate this issue. The tender returns have come in within the budget available which will enable Phase 1 to progress and the outcome of the LUF bid is awaited, which if successful, will provide leverage to help deliver the overall programme. The land purchase is currently progressing with Scottish Enterprise and an additional risk has been added recently in relation to utilities requirements.

Table 12: Flexible Advanced Manufacturing Space – Project Risks

I3 FLEXIBLE ADVANCED MANUFACTURING SPACE – GENERAL RISK REGISTER			
Ref	**Type**	**Risk Description**	**Counter Measure**
I3FL-R01 (IP)	**Outputs & Outcomes**	Anticipated outputs and outcomes are not delivered.	Ensure BC addresses sensitivity of outcomes Clear Evaluation & Monitoring Framework Benefits Realisation Plan has been prepared
I3FL-R02	**Outputs & Outcomes**	The overall impact of i3 AGD programme is limited, as the Business Case for the i3 DPMC facility fails.	The DPMC proposal has a strong supporting evidence base. FBC for DPMC Phase 1 has been approved DPMC Phase 2 FBC requires approval.
I3FL-R03	**Outputs & Outcomes**	The project fails to achieve more inclusive growth and/or reduce poverty by increasing the income of people in deprived areas or protected characteristic groups	Benefits Realisation Plan prepared to identify targets.
I3FL-R04	**Timescales / Programme**	Delays to overall project programme and key milestones	Prepare a detailed project programme with considered time allowances and review regularly.
I3FL-R05 (IP)	**Timescales / Procurement**	Delays caused by Procurement	Seek early agreement on procurement routes Include anticipated tender packages within the Council's Procurement Wave Plan
I3FL-R06	**Timescales / Environment**	Delays caused by environmental considerations	Protected Species/Habitat risk has been assessed at an early stage. Review of site studies required at key stages. Ensure seasonal work/study requirements are accounted for in programme.
I3FL-R07	**Timescales / Environment**	Delays caused by site investigation work and findings	Instruct SI work at early stage of project
I3FL-R08	**Timescales / Regulatory**	Delays caused by objections	Advance programme of local & stakeholder engagement.
I3FL-R09 (IP)	**Timescales / Regulatory**	Delays caused by statutory consent processes	Zoned & allocated site Pre-App discussion with North Ayrshire Council Planning Assess Protected agree programme for consents

I3 FLEXIBLE ADVANCED MANUFACTURING SPACE – GENERAL RISK REGISTER			
Ref	**Type**	**Risk Description**	**Counter Measure**
			Advance Species/Habitat risk at early stage Prepare programme of stakeholder engagement
I3FL-R10	**Timescales / Regulatory**	Delays caused by land acquisition / lease agreement processes.	Early engagement with land/building owners. Ensure programme allows for third party approvals.
I3FL-R11	**Timescale / Business**	Potential delays in Full Business Case approval.	BC developed in accordance with Green Book Stakeholder Risk Assessment Early Market Input/ Partner & Commercial Input Review CAPEX and OPEX costs Review Governance Arrangements Adjustments to spec at each phase to meet changing demands.
I3FL-R12	**Timescale / Contractor**	Delays when the contractor is on site.	Identify appropriate construction contract to remove/ reduce risk of cost over-run.
I3FL-R13	**Timescale / Business / Professional**	Delays caused by resource management and project management issues.	Internal AGD team has been identified. Review project resource requirements regularly. Ensure external teams have robust procedures in place for replacing resource if required.
I3FL-R14	**Regulatory**	Planning/building warrants are not granted.	LDP supports development of site for this use. Ensure local members briefed/updated on project. Hold pre-app discussion with NAC Planning Assess Protected Species/Habitat risk Formally agree programme for consents Advance programme of stakeholder engagement
I3FL-R15	**Regulatory**	Compliance with State Aid / Subsidy regulations.	Engage with State Aid Unit at appropriate stage. Partners to identify specific Subsidy Risks within the project
I3FL-R16	**Financial**	Design and technical studies result in additional costs beyond the contingencies and optimism bias allowed for.	Develop and validate project briefs and specifications for each phase Benchmark costs. Ensure early infrastructure cost tested and informed by SI work. Provide Optimism Bias allowances compliant with Green Book Provide for contingency & inflation.
I3FL-R17	**Financial**	Slippage / delay in the programme incurs additional costs.	Instruct appointed project team to address this within Risk Register. Selected procurement route will seek to ensure contract type has less risk for client.
I3FL-R18 (IP)	**Financial**	There are unforeseen project complexities that require additional funding.	Provide for contingency Provide Green Book compliant Optimism Bias allowances. Similar project has been delivered previously.
I3FL-R19 (IP)	**Financial**	Rental income lower than forecast	Market review and comparator analysis to identify appropriate rent but ultimately down to actual market demand on completion

I3 FLEXIBLE ADVANCED MANUFACTURING SPACE – GENERAL RISK REGISTER			
Ref	**Type**	**Risk Description**	**Counter Measure**
I3FL-R20	**Financial**	Lack of budget to support interested tenants to fit out shell of building	Identify at an early stage and with Business Growth Team, how this can be supported.
I3FL-R21	**Financial**	Lack of budget to support maintenance of buildings until tenants take occupancy, if buildings are classified and non -operational.	Identify at an early stage with Finance and Estates, how this can be supported.
I3FL-R22	**Professional**	Lack of project management experience.	Ensure experience project management team, both in-house and any external support. Budget allows for appointment of required expertise.
I3FL-R23	**Professional**	Poor change management procedures.	Clear and agreed procedures set in place for internal change management and for external processes with design team and contractor.
I3FL-R24	**Professional**	Specification – design issues on-site	Adopt best practice design and ensure flexibility for subsequent division/ alteration of premises.
I3FL-R25	**Timescales / Contractual**	Delays caused by contractor on site.	Identify appropriate construction contract to remove/ reduce risk of cost over-run
I3FL-R26	**Contractual / Political**	Failure to deliver community benefits – training, employment	Incorporate appropriate community benefits into contract terms and resource appropriately
I3FL-R27	**Contractual**	Issues with co-ordination on-site - contracts, visitors	Ensure main contractor has appropriate procedures for site management
I3FL-R28 (IP)	**Reputational / Political**	The project's Full Business Case fails.	Heads of terms signed with UK and Scottish Governments, OBC approved. Development of FBC in accordance with Green Book and with strong supporting evidence. Draft masterplan provides overall vision.
I3FL-R29 (IP)	**Reputational**	Demand for the project diminishes and there is no interest from occupiers.	Flexible design to maximise potential interest from occupiers. Recent research has established demand. Prepare project marketing particulars.
I3FL-R30	**Reputational**	Market expectations are not met.	Scale/ quality/ design based on identified market needs Recent research has established demand. Continue to review demand and business needs with Partners including SE and SDI. Involve relevant business engagement partners.
I3FL-R31	**Reputational**	Businesses interested in units decide not to progress	Ensure ongoing engagement with businesses to prepare suitable Heads of Terms.
I3FL-R32 (IP)	**External**	The COVID pandemic has a detrimental impact on the project, including delay to project's development and delivery and a reduction in demand for the project.	Anticipating some delay arising from COVID 19 recovery. Early analysis identifies that the need for the project is unlikely to be diminished (in fact the need may be greater). Continued economic analysis and development of recovery plans should be implemented and robust project scoping should continue to ensure the project meets needs.
I3FL-R33	**External**	BREXIT has a detrimental impact on the project, including the overall	Cost monitoring as part of projects.

I3 FLEXIBLE ADVANCED MANUFACTURING SPACE – GENERAL RISK REGISTER			
Ref	Type	Risk Description	Counter Measure
		cost of the project and potential delays eg cost of and timescale for delivery of specific materials.	Make adjustments to programme and cost areas within budget, based on experience of other relevant projects.
I3FL -R34	External	Cost inflation has a detrimental impact on the project in terms of capability to deliver the overall proposed programme of floorspace	Value engineer proposals where possible. Seek additional sources of funding to boost budget. Alter industrial / office space specifications and formats where possible.
I3FL-R35	Timescales / Financial	Utilities cause delays eg surface water drainage connections, sub-station requirement	Utility companies to be approached and applications to be submitted at an early stage.

2.10   Constraints

There are no significant internal constraints to the delivery of the i3 Advance Manufacturing Space project. North Ayrshire Council will bring together an experienced delivery team supported by internal or external design, project management and contract skills as required. The completed units will be owned and managed by NAC in line with existing estates management and will be marketed via a number of appropriate sources.

COVID is having an impact on the supply and lead in times for materials which has resulted in the programme for the works being estimated to take longer than prior to COVID.

2.11   Dependencies

Phase 1 of the project is subject to the following dependencies that will be carefully monitored and managed throughout this phase of the project:

- FBC endorsement by Government
- FBC Approval by Ayrshire Economic Joint Committee
- Land purchase from Scottish Enterprise
- Award of contract by NAC following Joint Committee approval
- Demand from businesses for the space and commitment to a lease
- Input from local schools and colleges for work placements and training outcomes;
- Market interest from potential occupiers for the completed unit;
- Availability of skilled workforce to take up job opportunities; and
- Support from SE and SDI in marketing the completed proposition to potential investors and offering appropriate business support.

In addition, the success of the main project is dependent on a number of factors including:

- Input from local schools and college (s) for work placements and training outcomes; and
- Longer term - seeking the support from a public transport provider for a new bus route to ensure the location and the job opportunities can be accessible to and affordable for local people, including people with disabilities.

3.   THE ECONOMIC CASE

3.1   Introduction

In accordance with the Capital Investment Manual and requirements of HM Treasury's Green Book (A Guide to Investment Appraisal in the Public Sector), this section of the FBC documents the procurement process and provides evidence to show that we have selected the most economically advantageous offer, which best meets our service needs and optimises value for money. It should be noted that this process relates specifically to Phase 1 of the Programme, which is for one 18,180ft2 (1,690m2) GIFA industrial unit. **The level of information provided regarding the procurement process has been informed by discussions with NAC's Corporate Procurement Unit and is in accordance with the Council's Standing Order.** The Council's Corporate Procurement Unit has advised that details of the bidders, their final costs and the evaluation scores, must be kept confidential prior to the award of the tender, as this would be a breach of the Council's Standing Orders. Details of the contract award will be published on Public Contracts Scotland and North Ayrshire Council's contract register when the successful bidder is awarded.

3.2   Critical success factors

The critical success factors (CSFs) shown within the OBC were as follows in the table below:

Table 13: Critical Success Factors

Critical Success Factors	Measures to Address Critical Success Factors
BUSINESS NEEDS: How does the option satisfy the AGD Vision & key themes?	• Supporting economic growth for Ayrshire and Scotland by attracting next generation manufacturing businesses.
STRATEGIC FIT: How does the option provide a holistic fit and synergy with other national, regional and local strategies?	• Supporting growth of the life sciences sector • Delivering net additional economic outcomes
BENEFITS OPTIMISATION: How does the option optimise value for money?	• Cost per job for public sector
POTENTIAL ACHIEVABILITY: Is the option viable and can it be delivered?	• Site capacity to accommodate floorspace
MARKET CAPACITY: Will the option meet an identified market demand, remove a constraint and how will it affect existing supply?	• Level of market demand to take the completed units / development plots
POTENTIAL AFFORDABILITY: Can the option be funded both the up-front capital and future revenue?	• Availability of AGD or other public / private funding

3.3   The long-listed options, Flexible Space Programme

The long list evaluated within the OBC was as follows and related to the overall programme:

Table 14: Assessment of Options at i3 – Long List

OPTIONS		
1.1 i3 Enterprise Area (EA)	1.2 Other North Ayrshire Site	1.3 Other Ayrshire Sites
1. LOCATION i3 is one of two locations in Scotland marketed by SDI for manufacturing linked to life sciences & related sectors. It has key locational benefits for investors, with existing established businesses. **Preferred Option**	A limited number of other North Ayrshire sites have capacity to accommodate new development but are unable to offer the locational advantages of i3, installed infrastructure capacity and existing business base. Discounted Option	Irvine has key sector and cluster strengths in life sciences and is therefore an attractive proposition for investors in comparison to other Ayrshire sites. Discounted Option
2.1 Site Preparation Only	2.2 Flexible Space on all Sites	**2.3 Flexible Space**
3 INTERVENTION Create prepared site platforms at i3, ready for immediate development. This would offer a low-cost option but would fail to meet the needs of life sciences and related manu-facturing businesses for premises. Discounted Option	Flexible space across the whole i3 area, including the large Strategic Investment Campus could mean the space would be too dispersed, reducing its impact and chance to create a central cluster of activity. Potential Future Option	Delivering flexible space on a phased basis linked to the DOMC proposal, and that addresses market need for business space with the opportunity to review the specification after Phase 1. **Preferred Option**
3.1 Small-Scale / Cautious	**3.2 Mid-Scale Market Ready**	3.3 Large-Scale / Ambitious
3. SCALE Developing 1 or 2 shell buildings to test market interest but discounted due to value for money factors i.e. there is clear demand for the units proposed but developing in smaller phases will ultimately increase costs. Discounted Option	Similar to Option 2.3, a market-ready proposition that balances forecast demand, level of risk, cost efficiencies and future flexibility. **Preferred Option**	Similar to Option 2.2, cost savings could be made if large-scale flexible space was delivered. This could significantly increase costs and risks, overstep the known level of demand and is likely to be in advance of need. Discounted Option
4.1 Seek AGD Funding	4.2 Seek Other Public Funds	4.3 Seek Private Partner
4. FUNDING SOURCES AGD funding through the public sector allows business space to be provided in the face of market failure as development is not viable for the private sector. Consider-ation to be given to a rolling development programme utilising development income. **Preferred Option**	There are no alternative public sector funding sources identified to deliver this scale of intervention. We will continue to scan the market to identify other funding sources and respond accordingly. Potential Future Option	Attracting private investment to develop new business space was considered but has been discounted due to its lack of viability in Ayrshire. This option will be reviewed as a future option. Discounted Option
5.1 Immediate	**5.2 Phased Approach**	5.3 Postpone
5. TIMESCALES Similar to 2.2 and 3.3, there is potential to develop the whole of the i3 site immediately. This would deliver cost savings to the public sector but would also increase risk and remove the option to adapt the size/ layout of proposed space on demand. Discounted Option	Delivering the AGD investment through a phased approach minimises risk – this creates flexible manufacturing space, alongside the DPMC project, to meet immediate demand and allows further phases of flexible space, based on take-up of Phase 1. **Preferred Option**	The project could be planned, designed, costed, approved and all relevant permissions secured but construction postponed til occupier interest is secured. This option fails to meet the current market need for good quality business units that are ready for occupation Discounted Option

Preferred way forward

The preferred way forward at SOC and OBC stages was AGD funding (4.1) to deliver flexible space (2.3) at i3 Enterprise Area (1.1) through a mid-scale intervention (3.2) within a phased timescale (5.2), as follows:

Table 15: Preferred Way Forward – OBC

4.1 Seek AGD Funding	2.3 Flexible Space	1.1 i3 Enterprise Area	3.2 Mid-Scale Market Ready	5.2 Phased Approach
AGD funding through the public sector allows business premises to be provided in the face of market failure as development is not viable for the private sector. Consideration will be given to a rolling development programme utilising development income.	Delivering flexible space on a phased basis that complements the DPMC proposal, and that addresses market need for business space with the opportunity to review the specification after Phase 1.	i3 is one of two locations in Scotland marketed by SDI for manufacturing linked to life sciences & related sectors. It has key locational benefits for investors, with existing established businesses.	Similar to Option 2.3, a market-ready proposition that balances forecast demand, level of risk, cost efficiencies and future flexibility.	Delivering the AGD investment through a phased approach minimises risk – this creates flexible manufacturing space and the Digital Hub to meet immediate demand and allows further phases of flexible space, based on take-up of Phase 1.

3.4 Short-listed options, Flexible Space Programme

The short-listed options shown within the OBC were as follows and are summarised in the tables below for the overall i3 Flexible Space Programme.

- Option 1 – do nothing
- Option 2 – the preferred option – flexible space, phased
- Option 3 – ambitious option – flexible space, accelerated

Table 16: Assessment of Options for i3 - Short List

Option 1 Do Nothing	Option 2 (Preferred) Flexible Space, Phased	Option 3 (Ambitious) Flexible Space, Accelerated
Delivers no additional floorspace Attracts 0 occupiers Delivers 0 gross jobs	Delivers 8,830 sqm floorspace (NIA) Attracts 8 to 16 occupiers Delivers 162 net jobs	Delivers 8,830 sqm floorspace (NIA) Attracts 8 to 16 occupiers Delivers 162 net jobs
Investment Level AGD NAC & SG £0 Other Funding £0	Investment Level AGD NAC £4M AGD SG £11M	Investment Level AGD NAC £4M AGD SG £11M
Delivery Timescale N/A	Delivery Timescale (21/22) to (27/28)	Delivery Timescale (21/22) to (24/25)

In addition, the following table provided a review of each of the short-listed options, considering how each performed against the Critical Success Factors for the i3 project.

Table 17: Review of Critical Success Factors for Shortlisted Options for Overall Flexible Space Programme

	1. Do Nothing	2. Preferred	3. Accelerated
BUSINESS NEEDS: How does the option satisfy the AGD Vision & key themes?	• Delivers no additional floorspace	• Delivers 8,830 sq metres (NIA) of advanced manufacturing floorspace that will support economic growth	• Delivers 8,830 sq metres of advanced manufacturing floorspace in one phase.
STRATEGIC FIT: How does the option provide a holistic fit and synergy with other national, regional and local strategies?	• Attracts no business occupiers • Delivers no jobs	• Attracts approx. 8 to 16 occupiers • Delivers 162 net jobs (Direct & Indirect) • Strong synergy with national Advanced Manufacturing and Chemical and Life Science Strategies.	• Attracts 8 to 16 occupiers • Delivers 162 net jobs (Direct & Indirect) • Strong synergy with national Advanced Manufacturing and Chemical and Life Science Strategies.
BENEFITS OPTIMISATION: How does the option optimise value for money?	• There is no value for money as the project is not delivered.	• The option delivers floorspace on a phased basis allowing time for review and ensuring the accommodation meets market requirements.	• The option delivers all floorspace within one phase but at risk and with possible financial liabilities.
POTENTIAL ACHIEVABILITY: Is the option viable and can it be delivered?	• N/A	• This development option can be accommodated at i3.	• This development option can be accommodated at i3.
MARKET CAPACITY: Will the option meet an identified market demand, remove a constraint and how will it affect existing supply?	• Market demand not met.	• This development option has been profiled against detailed market knowledge.	• This development option is likely to be in advance of market need.
POTENTIAL AFFORDABILITY: Can the option be funded both the up-front capital and future revenue?	• N/A	• £15m AGD funding is required. Future revenue costs will be met from revenue returns (rent and plot sales).	• £15m AGD funding is required. Future revenue costs will be met from revenue returns (rent and plot sales).

Preferred Option

The preferred and agreed option at OBC stage was a phased approach to flexible space as shown in the table above. In considering moving forward to deliver the first phase, it was agreed that the Council would progress an initial unit at i3 that was originally part of the first Phase, with assistance from internal resources and making use of the Council's AGD £4M allocation if required. In scoping out options for delivery of Phase 1, the following options have been considered in the table below.

Whilst Option 2 of a phased delivery was the preferred option for the overall programme of flexible space, Table 18 provides a summary of options specifically for delivering Phase 1, which is the subject of this FBC.

Table 18: Phase 1 Flexible Space Options

Business as usual	Do Nothing
Preferred Option	Deliver 18,180 sq ft (1,690 m2) unit with occupancy achieved half-way through 24/25
Deliver Phase 2 instead	Deliver two sets of terraced units and one modular unit (2,504 sq m)
Preferred Option Sensitivity Check – Negative Impact	Unit subdivided into 4 with 100% occupancy achieved in 2027/28
Sensitivity Check – Positive Impact	Assumes unit fully occupied at the start of 24/25

3.5   The procurement process

3.5.1   The Long List Criteria
The project was procured through the Public Contracts Scotland portal as an open tender for a one-off contract to construct an advanced factory unit with a budget value of £3,787,000.00. The tender was published from 21 June to 12 August 2022 and two bids were received and subsequently evaluated. The bids that were initially assessed on a pass / fail questions following which the two bids progressed to the quality assessment stage and then to the commercial stage. As mentioned in paragraph 3.1 the Council's Corporate Procurement Unit has advised that details of the bidders, their final costs and the evaluation scores, must be kept confidential prior to the award of the tender, as this would be a breach of the Council's Standing Orders. Details of the contract award will be published on Public Contracts Scotland and North Ayrshire Council's contract register when the tender is awarded to the successful bidder.

3.5.2   Long list
The two bids received were assessed on their response to pass/fail questions and as a result of this assessment, both bids were then assessed in terms of the quality evaluation.

3.5.3   Short list criteria
The quality evaluation stage accounted for 20% of the score. Following the completion of the quality evaluation, the two bidders proceeded to the commercial evaluation stage which accounted for 80% of the score. The commercial evaluation involved a review of the bids including an arithmetic check, rate analysis and a review of tender qualifications, with any clarifications sought from bidders where necessary.

3.5.4   Short list

Following the commercial evaluation two bidders were assessed and scored and ranked according to the quality and cost assessments. All bids were within the budget with, a preferred bidder selected that is within the available budget.

3.6   Economic appraisal

3.6.1   Introduction

This section provides an overview of the costs and benefits associated with the main Advanced Manufacturing Flexible Space project generally, including the focus of this FBC, the delivery of construction contract for an advanced factory unit of 18,180 sq ft (1690 sq m) and on a total site if 4 acres.

3.6.2   Estimating benefits

Methodology

The Outline Business Case (OBC) set out the benefits associated with each option for the main Flexible Space project and the AGD PMO undertook economic modelling for the overall project. The key findings from this analysis were presented in the OBC. As part of this Full Business Case, economic modelling has been undertaken for Phase 1 only, the outcome of which is contained in Appendix D. In addition, a Benefits Realisation Plan has been developed to add to this work, which is detailed in the paragraphs below.

Description, sources and assumptions

The benefits identified fell into the following **main** categories. In each case, the sources and assumptions underlying their use is explained.

- **Quantitative – cash releasing benefits**: financial benefits that the project will help generate. These include direct benefits such as rental income and indirect benefits - such as business rate receipts;
- **Quantitative – non-cash releasing benefits:** societal benefits which can be monetised and expressed in Gross Value Added (GVA) terms.
- **Qualitative – non-cash releasing benefits:** these are assessed separately in paragraph 3.7.2

Table 19: Main Benefits

Type	Direct to Organisation(s)	Indirect to Organisation(s)	To society
Quantitative (or quantifiable)	• Rental income	• Business rates receipts • Provision of additional new space for businesses	• Reduction in area of vacant and derelict land
Cash releasing	• Reduction in grounds maintenance costs once tenant moves in		• Accelerated/enabled construction activity • Carbon efficiency savings for tenant.
Non-cash releasing			• Productivity gains t0 existing businesses
Qualitative (or non-quantifiable)			• Improvement in appearance of part of business park.

The estimated benefits arising from Phase 1 of the project, in relation to this procurement exercise, relate mostly to the potential for benefits through rental income, the provision of new

space for businesses, the appointment of contractors and enabled construction activity with the potential to support training places, maintain jobs and support SMEs through the contract.

The economic modelling for Phase 1 in Appendix D for the Preferred Option, would in summary deliver the following:
- 27 construction jobs
- 36 direct and indirect jobs
- £22,670,631 GVA
- £91,718 GVA per head
- positive economic impact with an estimated Benefit Cost Ratio of £1.30: £1

A Benefits Realisation Plan has been developed for the Ayrshire Growth Deal projects and has identified the outcomes, outputs and impacts that could be measured for the overall Flexible Space project. These are listed below, and it's anticipated that Phase 1 will provide those benefits at a smaller scale.

Table 20: i3 Flexible Advanced Manufacturing Space - Outputs, Outcomes and Impacts, Benefits Realisation Plan

Ref	Indicator	
	Outputs	
AGD/O/1	Direct/Indirect jobs	
AGD/O/2	Construction jobs	
AGD/O/3	Safeguarded jobs	
AGD/O/4	Community Benefits	
AGD/O/5	Jobs retained	
AGD/O/6	Jobs secured	
AGD/O/7	New or upgraded roads/junctions/cycle pathways	
AGD/O/8	Journey time savings/modal shifts	
AGD/O/9	Development space unlocked	
AGD/O/10	Reduced vacant & derelict land	
AGD/O/11	Digital Infrastructure	
AGD/O/12	New Residential Energy Supply	
AGD/O/13	Visitors	
AGD/O/14	Start-Ups	
AGD/O/15	Private sector investment	
AGD/O/16	Leverage: (including LA, HE/FE, Private Sector and any other leverage	
AGD/O/17	Income Levels	
AGD/CB/O/1	Training places / Weeks	✓
AGD/CB/O/2	Training places / accredited qualification main-contractor	✓
AGD/CB/O/3	Training places / accredited qualification sub-contractor	✓
AGD/CB/O/4	Schools Outreach	✓
AGD/CB/O/5	CWB Support Places	✓
AGD/CB/O/6	Fair Work Accreditation	
AGD/CB/O/7	SME's supported	
AGD/CB/O/8	Regional Supplier Spend	✓
AGD/CB/O/9	Work Experience	✓
AGD/CB/O/10	Total jobs created by NSAfC projects (Apprentices)	
AGD/CB/O/11	Total jobs created by NSAfC projects (Graduates)	
AGD/CB/O/12	Total jobs created by NSAfC projects (New Entrants)	
AGD/CB/O/13	Construction Careers Information, Advice & Guidance (CCIAG) Events	
AGD/CB/O/14	Number of learners receiving an Industry certification – main contractor	✓
AGD/CB/O/15	Number of learners receiving an Industry certification – sub-contractor	✓
AGD/CB/O/16	Number of Training Plans for sub-contractors	
AGD/CB/O/17	Site visits by Colleges	✓

AGD/CB/O/18	Supply Chain Briefings to sub-contractors	✓
AGD/CB/O/19	Business Skills Supports for sub-contractors	
AGD/CB/O/20	Support for the Third Sector	
AGD/CB/O/21	Softer community benefits delivered to Ayrshire as part of the project	✓
Outcomes		
AGD/OT/1	Job Levels (new and maintained)	
AGD/OT/2	Development Space uptake	
AGD/OT/3	Digital usage patterns	
AGD/OT/4	Reduced (net) Fuel Poverty	
AGD/OT/5	Increase in visitor spend	
AGD/OT/6	Start-up performance/survival	
AGD/OT/7	Additional investment (including FDI)	✓
AGD/OT/8	Improved business productivity	
AGD/CB/OT/1	CWB participant well-being uplifts	
AGD/CB/OT/2	Fair Work implementation	
Impacts		
AGD/I/1	Net additional jobs created/ maintained	✓
AGD/I/2	Net additional returns on investment	✓
AGD/I/3	Net changes in Fuel Poverty	
AGD/I/4	Net additional user productivity	
AGD/I/5	Follow on investment	✓
AGD/I/6	Reduced levels of deprivation within the region	
AGD/I/7	Increased income levels	
AGD/CB/I/1	Wider uptake of Well Being/Fair work	
AGD/CB/I/2	Net uplifts in regional supplier spend	
AGD/CB/1/3	Case Studies – qualitative community impacts	✓

In addition, the preferred bidder has committed to a number of Community Benefits.

3.6.3   Estimating costs
In terms of Phase 1 of the Flexible Space Programme, a pre-tender estimate was undertaken by the project that was within the available budget of for the delivery of Phase 1.

3.6.4   Cost appraisal conclusions
The supplier selected as a result of the cost assessment of the bidders has a tender value which is below the overall available budget.

3.7   Qualitative benefits appraisal

The qualitative benefits associated with the Flexible Space Programme generally, were set out within the Outline Business Case.

3.7.1   Methodology
The appraisal of the qualitative benefits was undertaken via the following process for the OBC:
- Identifying the benefits criteria relating to each of the investment objectives
- Weighting the relative importance (in percentage terms) of each benefit criterion in relation to each investment objective
- Scoring each of the short-listed options against the benefit criteria on a scale of 0-9
- Deriving a weighted benefit score for each option

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3.7.2 Qualitative benefits criteria

The benefits criteria were weighted as follows for each investment objective, as part of the OBC. Specific qualitative benefits have been added for Phase 1 of the Flexible Space but maintaining the original percentages. Phase 1 will contribute to achieving these benefits.

Table 21: Qualitative Benefits Criteria

Objectives	Qualitative Benefits, Flex Space Programme	Flex Space Phase 1	Weight
1. To create flexible business space capable of meeting manufacturing requirements *for chemical and life sciences, but also for a wide range of other high value sectors.*	• New business units will be occupied by Ayrshire/ Scottish/ UK/ overseas businesses • Created/safeguarded jobs will generate economic value – jobs, GVA, turnover for Ayrshire and Scotland • Supply chain outcomes will be created for other Ayrshire and Scottish businesses • Design and construction contracts will generate turnover for Ayrshire and Scottish contractors • Construction jobs and training outcomes will be created, primarily for Ayrshire people and particularly drawn from disadvantaged or Protected Characteristic groups.	X X X X	20%
2. Create a centre of digital innovation *which offers digital tools, support and innovation scaled to a national market supporting a restructure of the regional economy to deliver advanced manufacturing.*	• University and College presence at i3 offering training and business development opportunities. • Cluster of R&D and spin off opportunities • Providing employment, skills development, community wealth building and supply chain growth opportunities • Providing the private sector with opportunities for upskilling, business transformation and increased productivity	 X X	20%
3. To create serviced industrial land and capable of immediate development.	• Development plot will be available for indigenous Ayrshire/ Scottish, UK-owned and foreign investors • Design and construction contracts will generate turnover and jobs for Ayrshire and Scotland	X X	10%
4. To create opportunities for employment and inclusive growth *with particular emphasis on making connections to local communities, schools and colleges in preparation for employment, particularly in areas of deprivation.*	• New employment outcomes – direct and indirect through supply chains • Work experience and training places for school and college students • Job market entrants and low skilled workers increasing soft and basic skills through provision of local jobs. • Residents of deprived areas gaining access to opportunities • University presence enabling additional educational and training opportunities • Delivery of enhanced public transport connection that opens up employment opportunities	 X X X	20%
5. To attract mobile and private sector investment *both from abroad and from indigenous companies.*	• New employment and training outcomes • Demonstrate attractiveness of Scotland as excellent location for life sciences manufacturing • Increased investment confidence	X X X	15%
6. To create a sustainable, high quality business location *and R&D cluster, capable of meeting and keeping pace with the changing demands of high value manufacturing sectors and complementing national initiatives including NMIS*	• Enhancement and maintenance of attractiveness of Ayrshire as a location, meeting modern business needs and promoting Industry 4.0 services. • Large, visible and modern development that clearly shows Ayrshire is Open for Business • Recognised as part of a national strategy for improving digital technology	X	15%

3.7.3 Qualitative benefits scoring

The tender assessment for the refurbishment contract included a quality assessment of the bids based on a 20% quality / 80% cost ratio. NAC received competent submissions in relation to this aspect and were able to score bidders against a set of agreed criterion.

3.7.4 Analysis of key results

NAC's Corporate Procurement Unit were able to provide a completed tender score sheet for the two bidders, providing scores related to the quality and cost aspects, identifying a preferred bidder.

3.7.5 Carbon Emissions Impact Cost

Initial carbon analysis has been done for the overall project and is shown in Appendix I. The project has been categorised as Control (3, then zero) and Influence (B). Information related to the carbon emissions impact costs of Phase 1 of the project is not available at the moment as the design is not completely finalised. It is proposed that costings can be prepared following the completion of the final design work by the contractor.

3.8 Risk appraisal – unquantifiables

The tender for Phase 1 poses a number of risks which are contained in the main risk register for the project. In summary, the main risks related to this project are considered to be:

- Failure to obtain approval for the project's Business Case.
- All sources of capital and revenue funding for the project are insufficient to deliver and operate the project.
- Delays to the project timescales caused by issues such as land acquisition, protected species, statutory consents, procurement or construction.
- Delays to the tender award period due to the requirement for various FBC approvals which takes the timescale beyond the 120 day period, after which the preferred supplier may increase their costs
- The project fails to attract enough of its target audience to generate sufficient income.

Key project mitigations have been to progress of one phase of the project at the moment, testing the market at tender stage and to seek additional sources of funding to address the increases in costs since the estimates were prepared for the OBC.

No specific risks have been identified should the recommended preferred bidder be selected.

3.9 The preferred option – selected supplier

As a result of the procurement process to select a supplier to undertake the construction of an industrial unit and surrounding yard at Riverside Way in i3, Irvine, a preferred supplier has been selected to be appointed, who submitted a competent bid and will be appointed following the FBC approval process.

3.10 Sensitivity analysis

General Sensitivity analysis has been undertaken as part of the economic modelling for Phase 1 and is set out in Appendix D. This included the subdivision of the unit into 4 units and staggered occupancy of the four units, which increased/decreased the benefit cost ratio. However generally, the Preferred Option for Phase 1, provided a positive result.

3.11 The preferred option

The preferred option for the overall Flexible Space Programme was to deliver the project on a phased basis. For this FBC, the preferred option is to select the recommended supplier in accordance with the tender assessment for the construction of the first industrial unit at i3. This option offers value for money and is within the available budget for the project. Should a current Levelling Up funding bid be successful, Phase 1 of the project will be delivered the majority of those funds.

4.   THE COMMERCIAL CASE

4.1   Introduction

The overall Advanced Manufacturing Flexible Space Programme is seeking delivery of floorspace and related works, over a series of phases. This was identified as the preferred option in the approved Outline Business Case. This FBC is for the first phase of the programme which is for one 18,180ft2 (1,690m2) GIFA industrial unit. This section of the FBC sets out the negotiated arrangements for the provision of an industrial unit and related yard space, under a contract with the selected bidder. The drawings below show the proposed layout and elevations of the unit which have received planning permission.

Figure 6: Phase 1 Unit drawings

4.2   Required services

The products and services under contract are as follows:

- the design and construction of a new 18,180sq ft industrial unit. The unit will be constructed predominantly as a shell, with the fit-out to be completed by the proposed tenant upon completion.

The proposed Phase 1 unit includes the following specifications and will be situated on an adjacent site to the DOMC Phase 1 pilot project which has just received Full Business Case approval:

- a shell only specification to allow for flexibility, with service pop-ups suitable for Classes 4, 5 and 6
- capable of subdivision to a maximum of 4 self-contained units
- 18,180ft2 (1,690m2) GIFA, internal height 8 metres clear, site area 16,355m2
- rear service yard from a private access road, facilitating heavy goods vehicles and articulated lorry manoeuvring.
- storage areas for waste collection and provision of infrastructure to facilitate future installation of sprinkler system tank, areas for SUDs and substation
- 38 car parking spaces, 4 accessible parking bays, 4 7.2KV charging points, covered cycle & scooter storage
- expansion possible by 50% maximum to north of the site & potential to create office section to south of building
- gated access, intruder alarm and internal & external security lighting
- provision for air-source heat pumps and ventilation systems to allow for ease of future installations.
- design to allow for future solar panel provision

The Council's Property Management and Investment (PMI) Team have led on developing the design of the unit. This has involved mainly architecture and quantity surveying services and they also procured the following external services:

- Geotechnical
- Cost consultants
- M&E
- Site investigation work
- Land based engineering works
- Ecologists

4.3   Potential for risk transfer

Risks that could affect the successful implementation of the project have been identified and are set out in detail in the Risk Register attached as Appendix E. This includes details of risk owners, risk evaluation and mitigation measures. In terms of this FBC, the general principle of 'risk passed to the party best able to manage them' subject to value for money, has been applied. For this project it is anticipated that the associated risks may be apportioned between the Council, design team, contractor and occupier. This is shown in the table below, where we have agreed that we will apportion service risks in the design build and operational phases as follows:

Table 22: Risk Transfer Analysis

Risk Category	Potential Allocation			Comments
	Public	**Private**	**Shared**	
1. **Design Risk**			✓	Depends on contract type and conditions.
2. **Construction & Development Risk**			✓	Depends on contract type and conditions.
3. **Transition & Implementation Risk**			✓	Both parties will establish and agree change management procedures if not dictated by contract type.
4. **Availability & Performance Risk**		✓		Performance of design team and contractor will be monitored by NAC.
5. **Operating Risk**	✓			NAC will manage the completed units.
6. **Variability of Revenue Risks**	✓			Rental income profiled at market rate but NAC will retain risk of variance.
7. **Termination Risks**	✓			NAC will hold risk if contractor or tenant terminate their agreements.
8. **Technology & Obsolescence Risks**			✓	NAC and occupier carry risks relating to obsolescence of property and equipment.
9. **Control Risks**	✓			NAC holds overall control for the delivery and ongoing management of the project.
10. **Residual Value Risks**	✓			The completed floorspace will hold a residual value for which NAC is responsible for maintaining the value.
11. **Financing Risks**	✓			Limited – major costs relate to up-front capital construction and potentially empty rates obligation. Tenants will be responsible for property maintenance.
12. **Legislative Risks**	✓			N/A. Likely only to apply to initial planning and building warrant – risks will be off-set by securing permissions in advance of construction.
13. **Other Project Risks**			✓	Covid-19 and Brexit impacts on tenders/costs and programme.

4.4   Agreed charging mechanism

The payment mechanism agreed with the service provider with respect to the construction of the industrial unit will involve submission of invoices by the contractor at agreed stages of the works, which will be certified by the consultant's team to NAC for payment. In addition, this phase will generate ongoing rental income from the lease of the completed unit with rent charged at appropriate rates in line with market conditions. A valuation prepared in June of this year for the project suggested market rents as follows depending on whether the unit was subdivided.

Table 23: Estimated market rent values for Phase 1 Unit

Proposal	Market Rent	Market Value
Single Unit	£127,500 per annum (£7.00 per sq ft)	£1,735,000
Two Units	£143,000 per annum (£8.00 per sq ft)	£1,975,000
Terrace of Four Units	£149,200 per annum (£8.50 per sq ft)	£2,095,000

Source:
It's anticipated that NAC will not consider selling buildings initially, to ensure NAC benefits from income generated. NAC will also be responsible for any Non-Domestic Rates charges accruing against any vacant units.

Should the current Levelling Up funding bid be successful, its anticipated that the Council would pay the invoices and claim the funds from the UK Government.

4.5   Agreed contract length

Building contracts are envisaged to endure for a period of construction only. Occupier contracts are envisaged to be leases to occupiers on terms that are appropriate to secure the investment i.e. at the maximum term that the occupier will accept. This is expected to enhance financial and economic returns to the public sector and provide a return on capital investment.

4.6   Key contractual clauses

The Form of Contract for the project is the SBCC Design and Build Contract for use in Scotland (DB/Scot), 2016 edition incorporating Amendment 1 February 2018. The key contractual clauses are as follows:
- Clause 4.18.1 Retention Percentage – 3%
- Clause 6.4.1   Contractors Insurance – injury to persons or property - £10,000,000
- Clause 6.5.1   Insurance – Liability of Employer - £10,000,000
- Clause 6.7   Insurance of the works – Option A applies (By Contractor)
- Clause 6.15   Contractors Designed Portion Professional Indemnity Insurance - £10M

In addition, the preferred supplier has stated that they will deliver a number of community benefits.

It would be inappropriate to incorporate contract clauses for occupiers of the completed units. However, there is an opportunity to work with tenants to maximise impacts and benefits for local people and local businesses through supply chains and local procurement mechanisms.

4.7   Personnel implications (including TUPE)

It is anticipated that the TUPE – Transfer of Undertakings (Protection of Employment) Regulations 1981, will not apply to any aspect of this project.

4.8   Procurement route and implementation timescales

The procurement of this Phase was through a tender advertised on Public Contracts Scotland. The implementation milestones for the scheme are to be discussed with the selected service provider. The dates shown below are critical in terms of how quickly the FBC can be endorsed and approved, in order to award the contract before the 120 day period expires, to enable the works to commence. Indicative Project Milestones are shown at 6.3.3, including information regarding the current Levelling Up Fund Round 2 (LUF2) funding application which is being considered in parallel to this approval process.

Table 24: Key timescales for progress of Phase 1 Unit

Stage	Date
Tender returns	12 August 2022
Tender evaluation	August / September 2022
Gateway Project Board	13 October 2022
Full Business Case submitted to AGD PMO	17 October 2022
Estimated date for outcome of LUF 2 application	31 October 2022
NAC Cabinet endorsement of FBC	29 November 2022

Land purchase completed	02 December 2022
FBC endorsement by Scottish Government	Tbc
Ayrshire Economic Joint Committee approval	Tbc
Contract award (latest date)	08 December 2022
Contract start	December 2022 (tbc)
Contract end	mid 2024 (tbc)

4.9   FRS 5 accountancy treatment

It is envisaged that the assets underpinning the delivery of the service will be on the balance sheet of the organisation should the development remain in the ownership of NAC.

5.0 THE FINANCIAL CASE

5.1 Introduction

The purpose of this section is to set out firm financial implications of this contracted solution. It should be noted that there have been changes to the financial implications, following on from the approval of the Outline Business Case in June 2021. The estimated cost of the first phase has increased from £2.79M albeit this was an estimated cost, to a pre-tender cost projection of £4.45M. Tender returns have come in around this cost estimate, which represents an increase of 1.6 times the previous estimate, which is likely to have an impact on the overall programme.

To mitigate the risk of increased costs and the volatility of the construction market, Phase 1 only is being progressed at the moment. In addition, the project has been the subject of value engineering and has been included within a bid to the Levelling Up Fund as part of a package to improve North Ayrshire's commercial space (see para 5.3).

5.2 Impact on the organisation's income and expenditure account

The anticipated payment stream for the project over its intended life span is set out in the following table which shows the overall Flexible Space Programme.

The approved Outline Business Case contained indicative costs for each phase of the project, including the unit which is Phase 1 of the project and the subject of this FBC. The costs have increased considerably since the OBC preparation.

The payment stream in relation to Phase 1 is also shown in the Table below. The tender for the works has come back within the budget available enabling the works to progress.

It should be noted that increased project costs have been mitigated for Phase 1 through the support of Scottish Government Vacant and Derelict Land funding to support the AGD investment generally at i3 and to support this particular phase.

Table 8: Flexible Space Financial Profile – Capital – updated

Year	0 19/20	1 20/21	2 21/22	3 22/23	4 23/24	5 24/25	6 25/26	7 26/27	8 27/28	9 28/29	10 29/30	Total
£ millions	£	£	£	£	£	£	£	£	£	£	£	£
Scot Govt	23	56	0	0	100	400	2,419	7,591	411	0	0	**11,000**
NAC	11	28	122	208	3,053	578	0	0	0	0	0	**4,000**
AGD Total	**34**	**84**	**122**	**208**	**3,053**	**978**	**2,419**	**7,591**	**411**	**0**	**0**	**15,000**
VDLF	0	0	0	200	614	0	0	0	0	0	0	814
Flex Space Total	**34**	**84**	**122**	**408**	**3,694**	**978**	**2,419**	**7,591**	**411**	**0**	**0**	**15,814**
Phase 1 Profile	11	28	122	208	3,053	578						4,000
Current Funding Applications for note:												
LUF 2	0	0	0	tbc	tbc	0	0	0	0	0	0	tbc

Note 1: Funding assumption

A current Levelling Up Funding bid, if successful, will mean that the majority of AGD funds are not required for Phase 1 and the Financial Profile will require to be revised. If successful, the assumption is that LUF funds will be required to be used first which will move NAC funding to the end of programme. The revised financial profile will show the additional leverage.

Note 2: Revenue Costs

Capital costs only are shown in the table above. It's anticipated that revenue costs will include the following costs listed below until the unit is occupied. However, these costs will eventually be offset by the additional rental income to the Council.

- Maintenance, repair and management
- Rates & utility bills
- Marketing and promotion
- Legal fees
- Building insurance
- Statutory compliance certificates and any associated works
- EPC cost
- Any cost in relation to disturb on site

5.3   Levelling Up funding application

In addition, an application for Levelling Up Funding is currently being considered by the UK Government and the outcome is expected in late October 2022. The project is part of a number of proposed buildings being put forward to modernise the area's commercial space for businesses. Should funding be awarded, this would fund the delivery of the Phase 1 unit, providing crucial leverage for the flexible space programme and leaving the AGD funds intended for Phase 1 to help address budget challenges for the overall i3 AGD Programme. The outcome of the application is currently awaited and if successful, the LUF funds would replace the majority (90%) of the AGD funding for Phase 1.

5.4   Impact on the balance sheet

The tender costs of the preferred bidder are affordable to deliver Phase 1 and are within the capital expenditure available within the budget.

5.5   Overall affordability

The capital cost of the overall project is £15m from the AGD. Early spend has been supported by the Vacant and Derelict Land Fund, prior to any draw down of AGD spend. It should be noted that the capital costs have not factored in any additional cost for private sector tenants to fit out a completed unit for their specific purposes, including for example the provision of office space or toilets within industrial buildings. However as small allocation is being held within the project budget as a contribution towards fit-out costs.

Phase 1 of the Programme has the support of £4.563M in capital. This comprises of £3.753M from the AGD and £0.810M from Vacant and Derelict Land Fund. Should a current application for Levelling Up Funding be successful, this will cover 90% of the project costs to deliver the unit, with the AGD funds reinvested in subsequent phases of the project.

A tender has been received for Phase 1 which is competent, affordable and within the available budget. The process for procuring the other phases of the Flex Space Programme is set out within the Management Case.

NAC will be responsible for ongoing maintenance, marketing and management of the buildings and any surrounding curtilage, until they are let, and will cover any related costs. This will be offset by income generated from the completed project from the following:

- Ongoing rental income through the lease of completed units; and
- One-off capital receipts from the sale of buildings and/or development plots.

The approved OBC had estimated rental income to be in the region of £400,000 by 2032. A recent valuation by Colliers has estimated the proposed rental income for the proposed Phase 1 unit to be in the region of £127,500 per annum.

ASSURANCE STATEMENT

This is to confirm that the financial profile for the project outlined in Section 5.2 above reflects the position of North Ayrshire Council as at the date stated below.

Name of Council's S95 Officer in block capitals: MARK BOYD

Signed:

Date: xx November 2022

6.0   THE MANAGEMENT CASE

6.1   Introduction

This section of the FBC addresses how the scheme will be delivered successfully.

6.2   Programme management arrangements

The three Ayrshire Councils (East, North and South) have agreed to implement a new governance structure to oversee the delivery of the Ayrshire Growth Deal and to promote the main drivers for the Regional Economic Partnership, namely:

- to promote and deliver regional economic and inclusive growth on an Ayrshire-wide basis, in line with the Scottish Government's aim of having a Regional Economic Partnership for every region of Scotland;
- to provide the robust shared governance which will enable the Scottish and UK Governments and other funding sources to dispense monies on an Ayrshire basis;
- To encourage the meaningful involvement of private sector partners as well as the public sector;
- The structure should be as simple as possible, but be capable of adaptation as required; and
- To recognise that the funding element is being delivered through Councils, and consequently democratic accountability will be required for key investment decision.

The governance for the AGD programme includes the following:

- The Economic Joint Committee – comprising Elected Members, representatives from SE, SDS, business and education.
- The Ayrshire Regional Economic Partnership Board – comprising Elected Members,
- representatives from public sector partners including SE, SDS, HIE, VisitScotland, HE, FE, the third sector and the business community.
- These committees have oversight of the AGD both at a programme level and in terms of approval of detailed business cases for individual projects as well as continued monitoring and evaluation of the AGD programme post Deal document sign off.
- The projects also have internal Gateway Review Boards to monitor and review progress and reach agreement on key aspects of the project.

It is anticipated that over time the 3 Councils will develop more regional responses to the needs of our businesses and communities to complement the AGD investment.

The i3 Flexible Space programme including Phase 1, is an integral part of the Ayrshire Growth Deal Programme of Economic Infrastructure. The Programme will be managed by North Ayrshire Council in conjunction with the AGD PMO and related Governance structure.

6.3   Project management arrangements

Phase 1 of the Flex Space Programme, which is the subject of this FBC, will be managed by the Council's PMI team and will follow the PRINCE2 methodology as much as possible.

6.3.1 Project reporting structure

NAC has established internal governance arrangements for the management of its AGD project(s) organised through a Project Board. The NAC Project Board has overall authority and responsibility for project delivery including the Business Case, prior to submission to the NAC Executive Leadership Group for approval and prior to submission to the Programme Management Office (PMO).

The Board has a project management responsibility but no decision-making powers. The Project Board provides a mechanism for accountable project management delivered by regular progress reporting and updates and coordination of all design teams and initiatives associated with infrastructure, employability, business and innovation strands.

The Project Board will co-ordinate the overall delivery of the Phase 1 Flexible Space project. Project Management responsibilities for Phase 1 sit with the Council's Property Management and Investment (PMI) Team who have led on the development of the design on behalf of the Growth and Investment Team who have acted as client. PMI will continue this role as part of the delivery stage. Overall responsibility will rest with Director of Growth and Investment reporting to the Chief Executive. All personnel will be experienced and professionally qualified in their respective roles. The project will be managed in accordance with NAC project management procedures. The Senior Responsible Officer for the project in NAC is the Senior Manager, Growth and Investment, with support from a Growth and Investment Manager. A full multi-disciplinary team will advance the project to completion.

Figure 7: Organisational chart, showing governance of the project
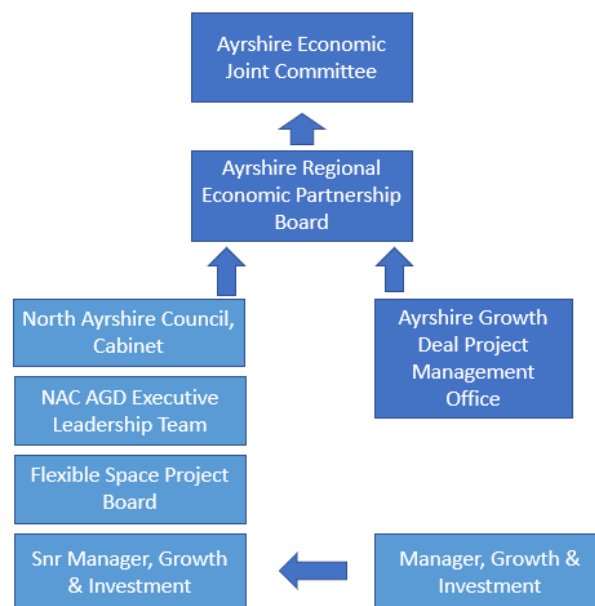
6.3.2 Project Roles and Responsibilities

Phase 1 of the Flex Space Programme is being managed by the Council's PMI team. For the purposes of the Ayrshire Growth Deal processes, the SRO is Karen Yeomans, Director, Growth & Investment, North Ayrshire Council and Project Lead is Marnie Ritchie, Regeneration Manager, North Ayrshire Council. The overall Project Team includes the Council's Growth and Investment, PMI and Finance teams. The appointed contractor's role will be for the completion of the design and build of the Phase 1 unit. The table below sets out roles and responsibilities for Phase 1 of the project which is the focus of this FBC:

Table 25: Roles & Responsibilities

Senior Responsible Officer	Karen Yeoman's, Director Growth & Investment, NAC
Chief Financial Officer	Mark Boyd, Head of Finance, NAC
Project Manager	Alan Martin, Team Leader, PMI, NAC
Senior Manager	Neale McIlvanney, Snr Manager, Growth & Investment, NAC
Project Lead (client)	Marnie Ritchie, Manager, Growth & Investment
Specialist advisors	See para 6.4
Project Contractor	Preferred supplier

6.3.3   Project Plan

The Project Plan is set out in the table below with a status update for each milestone. Additional milestones have been added for Phase 1, in particular, to reflect the current approval processes for the FBC and Gateway milestones. A number of issues have delayed the completion of some milestones, including COVID and increased construction costs. A project plan has also been provided by the preferred bidder, which demonstrates how they can meet the required timelines.

Table 6: Flexible Space Project Milestone Activity, Phase 1

FLEXIBLE SPACE, PHASE 1: Milestone Activity	Est. Date	Quarter (financial year)	Status
Procure professional team to progress detailed design, Phase 1 (20,000 sq ft unit)		Completed	
Consultation with Planning and stakeholders on draft masterplan		Completed	
Completion of flexible space outline designs through masterplan process		Completed	
Approval of Outline Business Case		Completed	
Ground investigations complete		Completed	
Submission of detailed planning application		Completed	
Planning permission granted		Completed	
Tender advertised		Completed	
Outcome of Levelling Up Fund bid (estimated date)	31 Oct 22	Q3 22/23	Ongoing
Endorsement of FBC by NAC Cabinet	29 Nov 22	Q3 22/23	Not started
Transfer of land from SE	02 Dec 22	Q3 22/23	Ongoing
Endorsement of FBC by Scottish Government	Tbc	Q3 22/23	Not started
FBC Approved by Joint Committee	Tbc	Q3 22/23	Not started
Contract award and construction begins, Phase 1 (20,000 sq ft unit)	08 Dec 22	Q3 22/23	Not started
Construction works complete, Phase 1 (20,000 sq ft unit)	mid 24	Q4 22/23	Not started
Building available for occupation	mid 24	Q1 24/25	Not started
Reporting Outputs/Outcomes/CWB	31 Oct 24	Q3 24/25	Not started
Delivery of subsequent Phases (incl revision & approval of any OBCs/FBCs)	Tbc	Tbc	Not started

6.4   Use of Special Advisers

Special advisers are being used for Phase 1 of the project as follows:

Table 26: Special Advisers

Specialist Area	Adviser	Detail
Financial	N/A	
Technical	Fairhurst	Geotechnical support, masterplan phase
	Austin Smith Lord	Architects, masterplan stage
	Doig & Smith	Cost consultants, masterplan stage
	Applied Ecologists	Ecologists, ongoing input
	NAC Property Management & Investment (PMI) Team	Architect, Quantity Surveyor, Project Management Services
	Colliers	Land & proposed building valuation
	Clancy	Structural Engineering & Civils Consultants
	Hulley & Kirkwood	Mechanical & Electrical Engineering Consultants
Procurement & Legal	N/A	
Business Assurance	Ryden	Property consultants, OBC stage
Other	N/A	

6.5 Arrangements for change management

The change control process will be managed by NAC. Arrangements for change management are set out within the Ayrshire Growth Deal Governance Document (v14) and are summarised in the flow chart in Appendix J.

6.6 Arrangements for benefits realisation

A Benefits Realisation Logic Chain is shown in Appendix C. In addition, a Benefits Realisation Plan for the Ayrshire Growth has been prepared and has identified the outcomes, outputs and impacts that could be measured for this project as set out below. This will also ensure alignment of information across the AGD documentation of the Implementation Plan and Benefits Realisation Plan.

Table 20: i3 Flexible Advanced Manufacturing Space - Outputs, Outcomes and Impacts, Benefits Realisation Plan

Ref	Indicator	
	Outputs	
AGD/O/1	Direct/Indirect jobs	
AGD/O/2	Construction jobs	
AGD/O/3	Safeguarded jobs	
AGD/O/4	Community Benefits	
AGD/O/5	Jobs retained	
AGD/O/6	Jobs secured	
AGD/O/7	New or upgraded roads/junctions/cycle pathways	
AGD/O/8	Journey time savings/modal shifts	
AGD/O/9	Development space unlocked	
AGD/O/10	Reduced vacant & derelict land	
AGD/O/11	Digital Infrastructure	
AGD/O/12	New Residential Energy Supply	
AGD/O/13	Visitors	
AGD/O/14	Start-Ups	
AGD/O/15	Private sector investment	
AGD/O/16	Leverage: (including LA, HE/FE, Private Sector and any other leverage	

AGD/O/17	Income Levels	
AGD/CB/O/1	Training places / Weeks	✓
AGD/CB/O/2	Training places / accredited qualification main-contractor	✓
AGD/CB/O/3	Training places / accredited qualification sub-contractor	✓
AGD/CB/O/4	Schools Outreach	✓
AGD/CB/O/5	CWB Support Places	✓
AGD/CB/O/6	Fair Work Accreditation	
AGD/CB/O/7	SME's supported	
AGD/CB/O/8	Regional Supplier Spend	✓
AGD/CB/O/9	Work Experience	✓
AGD/CB/O/10	Total jobs created by NSAfC projects (Apprentices)	
AGD/CB/O/11	Total jobs created by NSAfC projects (Graduates)	
AGD/CB/O/12	Total jobs created by NSAfC projects (New Entrants)	
AGD/CB/O/13	Construction Careers Information, Advice & Guidance (CCIAG) Events	
AGD/CB/O/14	Number of learners receiving an Industry certification – main contractor	✓
AGD/CB/O/15	Number of learners receiving an Industry certification – sub-contractor	✓
AGD/CB/O/16	Number of Training Plans for sub-contractors	
AGD/CB/O/17	Site visits by Colleges	✓
AGD/CB/O/18	Supply Chain Briefings to sub-contractors	✓
AGD/CB/O/19	Business Skills Supports for sub-contractors	
AGD/CB/O/20	Support for the Third Sector	
AGD/CB/O/21	Softer community benefits delivered to Ayrshire as part of the project	✓
	Outcomes	
AGD/OT/1	Job Levels (new and maintained)	
AGD/OT/2	Development Space uptake	
AGD/OT/3	Digital usage patterns	
AGD/OT/4	Reduced (net) Fuel Poverty	
AGD/OT/5	Increase in visitor spend	
AGD/OT/6	Start-up performance/survival	
AGD/OT/7	Additional investment (including FDI)	✓
AGD/OT/8	Improved business productivity	
AGD/CB/OT/1	CWB participant well-being uplifts	
AGD/CB/OT/2	Fair Work implementation	
	Impacts	
AGD/I/1	Net additional jobs created/ maintained	✓
AGD/I/2	Net additional returns on investment	✓
AGD/I/3	Net changes in Fuel Poverty	
AGD/I/4	Net additional user productivity	
AGD/I/5	Follow on investment	✓
AGD/I/6	Reduced levels of deprivation within the region	
AGD/I/7	Increased income levels	
AGD/CB/I/1	Wider uptake of Well Being/Fair work	
AGD/CB/I/2	Net uplifts in regional supplier spend	
AGD/CB/1/3	Case Studies – qualitative community impacts	✓

6.7   Carbon management

For all AGD projects, procedures will be developed across that apply best practice carbon management techniques, notably PAS 2080: Carbon Management in Infrastructure, to ensure that potential carbon emissions resulting from the project will be minimised from the outset. For planned buildings, the RICS Whole Life Carbon Assessment for the Built Environment approach will also be applied. These compatible approaches represent the highest standard in whole life

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buildings and infrastructure carbon management and will ensure that the potential carbon emissions impact of the project is demonstrably minimised.

Embodied carbon (i.e., carbon particularly associated with construction materials and processes) will be minimised utilising the above carbon management approaches, including the use of innovative materials, construction techniques and supply chain procurement mechanisms to reduce carbon emissions, minimise waste and contribute towards a circular economy, Design and construction of the project will target net zero operational emissions, including no use of fossil fuels, at lease in accordance with the Scottish Government's climate change plan.

The project team will continue to work with the Scottish Government's Sustainable Development Manager for the City Region and Growth Deals to achieve the above objectives and agree a proportionate monitoring framework to ensure their achievement.

Initial carbon analysis has been done for the overall project and is shown in Appendix I. The project has been categorised as Control (3, then zero) and Influence (B). Information related to the carbon emissions impact costs of Phase 1 of the project is not available at the moment as the design is not completely finalised. The design team for Phase 1 commissioned an Energy Options Appraisal Review in Sept 2021 which involved:
- Undertaking a desktop appraisal of project proposals in the context of the wider Masterplan for the I3 site;
- Considering current site infrastructure in relation to M&E proposals;
- Considering how Low Carbon Technology could be incorporated to meet energy and sustainability goals.
- Providing an estimate of potential budget costs and any associated Government Grants.

The conclusions of this work were that as the Phase 1 building is being kept flexible and to a shell specification for the interior, in order to attract a wide range of potential tenants, this will limit the ability to achieve a sustainability label and ratings set out in Section 7 of SBSA *Building standards technical handbook 2020: non-domestic.* However, central to the proposals will be the requirement to facilitate and retain the ability to achieve a Bronze Active Label as a minimum, upon completion of the fit-out design by the future tenant.

The selected contractor shall ensure that building design will facilitate and retain the ability to achieve a minimum of Gold Level Aspect 1 by exceeding (TER) CO2 emission rates.

6.8   Arrangements for risk management

The strategy, framework and plan for dealing with the management of risk will be through the contract with monitoring by the Project Manager within the Council's PMI Team.

A copy of the project Risk Register is attached at Appendix E This sets out who is responsible for the management of risks and the required counter measures.

6.9   Arrangements for contract management

The Phase 1 Flex Space project will be managed by the Council's PMI team and construction phase will be delivered by the preferred bidder. Management will include regular progress meetings and reports by the contractor. The Council's PMI team will project manage and oversee the works on behalf of North Ayrshire Council and will be responsible for resolving any issues that arise with the contractor.

6.10   Arrangements for post project evaluation

Project monitoring and evaluation will be managed through AGD governance arrangements, as established.   The project will be subject to regular review meetings to discuss progress, programme, financial and technical matters.

It will be necessary to monitor the impact of the AGD, including at individual project level. The flexible space project will be monitored through the various Green Book Business Case Stages by North Ayrshire Council's Growth and Investment Team. The Project Lead will report progress at key stages through a series of Gateway Boards prior to updates to the Council's Executive Leadership Team. Project spend will be monitored on a monthly basis with the Council's Finance Team. A monitoring and evaluation framework will be developed to monitor the project's outputs and outcomes and ensure that those are included, where possible, within the procurement process.

6.11   OCG Gateway review arrangements

The Office of Government Commerce (OGC) Gateway Process is designed to provide independent guidance to Senior Responsible Owners (SROs), programme and project teams and to the departments who commission their work, on how best to ensure that their programmes and projects are successful. This process examines programmes and projects at key decision points in their lifecycle. It looks ahead to provide assurance that they can progress successfully to the next stage. These key stages or 'Gates' are:

- Gate 0 – Strategic Assessment
- Gate 1 – Business Justification
- Gate 2 – Delivery Strategy
- Gate 3 – Investment decision
- Gate 4 – Ready for Service
- Gate 5 – Benefits Realisation and Operational Review

In terms of Phase 1 and this specific FBC, the internal project board discussed the aspects of the tender at a meeting on 13th Oct 2022 and are satisfied with the outcome of the process outlined to them at the meeting.

6.12   Contingency plans

In the event that this project fails, governance arrangements are in place to allow the Council to agree an appropriate way forward with the PMO and Governments to ensure that there is limited impact on the Ayrshire Growth Deal.

Signed:

Date: xx November 2022
Senior Responsible Owner
Project Team

PART C: APPENDICES

Appendices

Table 1: List of appendices

Ref.	Appendices	Referenced
A	Heat Map and Inclusive Growth Drivers	1.2.1, 2.4.1
B	Flexible Space Links to AGD Projects	1.2.1
C	Benefits Realisation Logic Chain	2.8, 6.6
D	Economic Modelling & Technical Detail	3.6.2, 3.10
E	Risk Register	1.4.2, 1.5.2, 2.9, 4.3, 6.8
F	Inclusive Growth & Community Wealth Building	1.1.1
G	Community Benefit Statement	For information
H	Equality Impact Assessment	For information
I	Carbon Management	3.7.5, 6.7 (need to include in Exc Summary too or Strategic Section)
J	Ayrshire Growth Deal Change Management Process	6.5

APPENDIX A: INCLUSIVE GROWTH HEAT MAP

Ayrshire Growth Deal Project Name	Intermediate & Advanced Skills	Local Jobs	Health	Basic Digital Skills	Soft & Basic Skills (work-readiness)	Business Support (non-financial)	Childcare	Sustainable Working Population	Structure of Economy (Sectors/Industries)	Advanced Digital Skills/Innovation	Access to Finance	Business Premises	Digital Connectivity	Transport (people to jobs)	Housing	Transport (goods to market)	Inward Investment
Spaceport Infrastructure	✓	✓			✓			✓	✓	✓		✓					✓
Aerospace & Space Innovation Centre (ASIC) inc Visitor/STEM Engagement Hub	✓	✓		✓	✓	✓		✓	✓	✓		✓					✓
Prestwick Enabling Infrastructure - Roads		✓			✓				✓			✓		✓		✓	✓
Prestwick Commercial Workspace & Infrastructure	✓	✓			✓				✓			✓		✓		✓	✓
i3 Flexible Space	✓	✓					✓		✓			✓				✓	✓
i3 DPMC	✓	✓							✓	✓		✓				✓	✓
Industrial Marine Science and Environmental Centre (IMSE)	✓	✓	✓		✓				✓	✓		✓					✓
The Great Harbour, Irvine Harbourside-Ardeer		✓	✓					✓	✓			✓		✓	✓		✓
Marine Tourism		✓	✓			✓		✓	✓								✓
Hunterston Strategic Development Area	✓	✓						✓	✓	✓			✓	✓		✓	✓
HALO Kilmarnock	✓	✓	✓			✓		✓		✓		✓	✓	✓			
Ayrshire Engineering Park (Moorfield)	✓	✓			✓	✓			✓			✓					✓
Ayrshire Manufacturing Investment Corridor (AMIC)	✓	✓			✓	✓			✓	✓		✓					✓
National Energy Research Demonstrator (NERD)	✓	✓				✓			✓	✓		✓					✓
Digital Subsea Cable		✓	✓			✓		✓	✓	✓	✓	✓	✓	✓		✓	✓
Digital Infrastructure		✓	✓			✓		✓	✓	✓	✓	✓	✓	✓		✓	✓
Working for a Healthy Economy	✓	✓	✓		✓			✓	✓								
Ayrshire Skills Investment Fund	✓	✓	✓	✓	✓			✓	✓	✓							✓
Community Wealth Building	✓	✓	✓		✓	✓		✓	✓		✓						
Regional Transport Appraisal			✓					✓	✓					✓		✓	✓

APPENDIX B: AGD PROJECT LINKS

Project Link	What is the Link?	Key Actions to Maximise Link	Expected benefits of the link	Targets
Digital Processing Manufacturing Centre, i3	The DPMC at i3 will provide a unique facility for processing manufacturing sector companies to improve their productivity and modernise their processes through digital automation. This will be linked to the i3 Flexible space that will be provided mainly around the proposed location of the DPMC to create a cluster and accommodate business opportunities arising from the DPMC project eg business incubation units.	• Dialogue required across AGD projects to established differentiation between projects, complementarity opportunities and wider understanding of partner roles in each project (eg NMIS, University of Strathclyde, Ayrshire College)	• Creation of cluster area at i3 with DPMC and business space that complements each other and accommodates spin off opportunities from the DPMC facility being located at Irvine. • Opportunities for referral from DPMC to more specialised F&D facility at AMIC	TBC as project develops
Project Link	**What is the Link?**	**Key Actions to Maximise Link**	**Expected benefits of the link**	**Targets**
Digital Infrastructure	This project is seeking £3m to ensure Ayrshire has the digital infrastructure in place which is critical to the region's future growth. By improving connectivity, local businesses and investors will not be restricted from using robotics or digital programmes which require excellent connectivity connections.	• Ensure attendance of Officer representing Flex Space/DPMC at relevant working group meetings.	• Information sharing and opportunities for joint working. • Ensuring i3 connectivity requirements, including that of DPMC partner NMIS, have high visibility as part of the Digital Infrastructure project.	TBC as project develops
Project Link	**What is the Link?**	**Key Actions to Maximise Link**	**Expected benefits of the link**	**Targets**
Fibre Optic Subsea Cable	The project seeking £11m of funding required towards the cable and associated infrastructure to ensure Ayrshire has the fastest possible connection to the global digital network. There are opportunities for a fibre optic cable to land at Irvine and this would have the potential to make Ayrshire a globally connected region capable of delivering services to a level equivalent to anywhere in the world.	• Ensure attendance of Officer representing Flex Space/DPMC at relevant working group meetings	• Information sharing and opportunities for joint working. • Ensuring i3 connectivity requirements, including that of DPMC partner NMIS, have high visibility as part of the Subsea Cable project. • Identification of related investment opportunities for i3 e.g. data centres.	TBC as project develops

	This will help attract and be of benefit to new businesses occupying flexible space at i3 and for the DPMC project.			
Project Link	**What is the Link?**	**Key Actions to Maximise the Link**	**Expected Benefits of the Link**	**Targets**
Ayrshire Skills Investment Fund	The Ayrshire Skills Investment Fund seeks £3.5m for the establishment of a responsive skills fund to drive Inclusive Growth. The fund can help support people on the programme to develop skills. The Ayrshire Skills Investment Fund will add flexibility and responsiveness to the skills system to address related i3/DPMC industry needs and can also ensure that disadvantaged sectors of the community have access to career opportunities through the i3/DPMC AGD projects	• Ensure attendance of Officer representing Flex Space/DPMC at relevant working group meetings • Joint discussions with local Colleges to ensure a collaborative approach • Sharing of information regarding skills gaps identified through business engagement	• Direct link to skills training that is not currently available • Support to prepare those out of labour market to new jobs • Achievement of key outcome to raise skills levels within the local area	TBC as project develops
Project Link	**What is the Link?**	**Key Actions to Maximise the Link**	**Expected Benefits of the Link**	**Targets**
AMIC	With Links to NMIS the AMIC centre will provide pilot plant facilities to allow F&D manufactures to test and development new production and manufacturing practices. While the DPMC at i3 will provide a unique facility for processing manufacturing sector companies to improve their productivity and modernise their processes through digital automation. AMIC and DPMC will complement the manufacturing industry in general across Ayrshire and the south west of Scotland while focusing on different areas of industry. The Development of Advanced manufacturing space as part of AMIC, will attract inward investment to the Ayrshire Region.	• Set up referral routes from the project • Working group oversees both projects and responsible for integration. • Sharing of information and joint discussions with NMIS to ensure a collaborative approach and avoid duplication. • Sharing of learnings and studies which would benefit or transfer across sub sectors to benefit the wider manufacturing sector in Ayrshire.	• Sharing of information and resource. • Collaboration on projects which can be developed with mass benefit to the wider manufacturing sector in Ayrshire. • Provision of flexible space in both North and East Ayrshire which will drive inward investment to the area providing greater choice to investors and collaborative working across the councils.	TBC as project develops

Ayrshire Growth Deal Project Name	Spaceport Infrastructure	Enabling Infrastructure - Roads	Commercial Workspace & Infrastructure	Aerospace and Space Innovation Centre (ASIC) inc Visitor/STEM	i3 Advanced Manufacturing Space & Digital Processing Manufacturing	HALO Kilmarnock	Ayrshire Engineering Park (Moorfield)	Ayrshire Manufacturing Investment Corridor (AMIC)	National Energy Research Demonstrator (NERD)	Hunterston Strategic Development Area	Marine Tourism	Industrial Marine Science and Environmental Centre (IMSE)	The Great Harbour, Irvine Harbourside - Ardeer	Digital Subsea Cable	Digital Infrastructure	Working for a Healthy Economy	Ayrshire Skills Investment Fund	Community Wealth Building
Spaceport Infrastructure		3	3	3	1	1	1	1	0	0	0	0	0	2	3	2	2	2
Prestwick Enabling Infrastructure - Roads	3		3	3	0	0	0	0	0	0	1	0	0	1	1	1	1	2
Prestwick Commercial Workspace & Infrastructure	3	3		3	2	1	1	1	1	1	0	0	0	2	3	2	2	2
Aerospace & Space Innovation Centre (ASIC) inc Visitor/STEM Engagement Hub	3	3	3		1	1	1	1	1	1	0	0	0	2	3	3	3	2
i3 Advanced Manufacturing Space & Digital Processing Manufacturing Centre	1	0	2	1		1	2	2	1	2	0	0	0	2	3	2	2	2
HALO Kilmarnock	1	0	1	1	1		1	1	1	0	0	0	0	2	2	2	2	2
Ayrshire Engineering Park, Moorfield	1	0	1	1	2	1		2	1	0	0	0	0	2	3	2	2	2
Ayrshire Manufacturing Investment Corridor (AMIC)	1	0	1	1	2	1	2		1	1	0	0	0	2	2	2	2	2
National Energy Research Demonstrator (NERD)	0	0	1	1	1	1	1	1		1	0	1	0	2	3	2	2	2
Hunterston Strategic Development Area	0	0	1	1	2	0	0	1	1		1	2	1	2	3	2	2	2
Marine Tourism	0	1	0	0	0	0	0	0	0	1		2	2	2	2	2	2	2
Industrial Marine Science and Environmental Centre (IMSE)	0	0	0	0	0	0	0	0	1	2	2		1	2	3	2	2	2
The Great Harbour, Irvine Harbourside - Ardeer	0	0	0	0	0	0	0	0	0	1	2	1		2	2	2	2	2
Digital Subsea Cable	2	1	2	2	2	2	2	2	2	2	2	2	2		3	2	2	2
Digital Infrastructure	3	1	3	3	3	2	3	2	3	3	2	3	2	3		2	2	2
Working for a Healthy Economy	2	1	2	3	2	2	2	2	2	2	2	2	2	2	2		3	3
Ayrshire Skills Investment Fund	2	1	2	3	2	2	2	2	2	2	2	2	2	2	2	3		3
Community Wealth Building	2	2	2	2	2	2	2	2	2	2	2	2	2	2	2	3	3	

Relationship	Number of Points
Primary Relationship (Absolutely Contingent)	3
Secondary Relationship (Strong obvious link)	2
Tertiary Relationship (Weak link)	1
No Relationship	0

APPENDIX C: BENEFITS REALISATION LOGIC CHAIN

Project Inputs (resources)	Project Activities (what you do)	Project Outputs (what is produced)	Project Outcomes (change expected as result of outputs/activities)	Programme Objective
AGD £15million Scot Govt £11m NAC £5m	• Planning applications submitted • Site remediation work • New link/access roads developed • Construction of SUDS/sewerage systems • Improved junctions to enhance access to sites • New junctions to open up access to sites • Construction of flexible business space in phases.	• Total Area reclaimed, (re)developed or assembled (20 Ha) as a result of the project • Total Area of Opportunity Sites (20 Ha) • New Industrial & Business Space (9000sq m) • Individuals supported into work • Private businesses supported • Jobs safeguarded • Wide range of employment opportunities • Improved pedestrian linkages • Vacant and Derelict Land brought back into use/removed from SVDL Register (20 ha) • Flexible business space for start-up or needs • Well-connected flexible business space within close proximity to central belt region supply chains and workforce	• Altered perception and market sentiment in regard to Ayrshire's advance manufacturing and digital offer • Improved market sentiment • 20 Ha land unlocked for development • Increased levels of investment, including FDI • Uplift in commercial rental/sales values (£) • Increased supply of commercial space • Strengthening key business clusters • Increased employment and development of skills in local workforce • Increased GVA • Reduced levels of deprivation in local areas • Enhanced accessibility - employment/ business locations • Widening of labour market • Improved business productivity • Strengthening key business clusters • Businesses attracted to the locality and increase in inward investment • Reduction in level of vacant and derelict land • 18-35 People from Employability & Skills Programme Accessing Jobs • Sustainable work location with services and amenities to support employees (e.g. child care/creche facility/café/retail)	• Increase employment opportunities • Increase in GVA across region • Lever in private sector investment • Spread the benefits of economic growth across region, ensuring deprived areas benefit from this growth. • Job market entrants and low skilled workers increasing soft and basic skills through provision of local jobs • Attract skilled workers to the region and support local people entering skilled employment opportunities

APPENDIX D: ECONOMIC MODELLING, i3 FLEXIBLE SPACE PHASE 1

The Economic case at a Scotland level (as required by Scottish Ministers) is presented in the table below. The Present value of benefits and costs are shown for each option and a Net Present Value and Benefit Cost Ratio (BCR) are calculated. The BCR shows variation between the options chosen to be assessed.

The details are as follows:

The Preferred Option to deliver a 1,690 sq m unit with occupancy commencing half way through financial year 24/25 provides a Benefits Cost Ratio (BCR) of £3.31:£1. Which potentially generates 36 direct and indirect jobs (FTEs), 27 construction jobs (FTEs) and an estimated total GVA (25 year NPV) of approximately £22,670,631 and £91,718 GVA per head. Sensitivity testing of the Preferred Option was undertaken with two scenarios. Sensitivity Check – Negative Option varied the unit format, with it subdivided into four units and occupancy staggered over a number of years. This decreased the BCR slightly to £2.95:£1. Sensitivity Check – Positive Option varied the occupancy timescale for the unit to be occupied earlier than the Preferred Option, at the start of 24/25. This increased the BCR slightly to £3.60:£1. In all three cases the Preferred Option provided a positive result.

For each Option modelled spatial adjustment analysis is undertaken. This uses standard HMT Green Book techniques (See HMT Green Book, Annex A3) to adjust the results to account for the local income distribution compared with the country as a whole. This is in line with the Scottish Government view of the importance of Inclusive Growth (after the spatial distributive sensitivity analysis is undertaken).

In addition, using a methodology developed by Scottish Government Economists, further analysis has been undertaken to examine the likely impacts at a UK level (as required by UK government). UK guidance is specific about the limited extent to which any employment impacts should be treated as additional at the UK level and so the approach looks at the proportion of the Scottish level BCR which remains after applying UK treatment of jobs.

This approach combines two components – an adjustment for the relative productivity of the jobs created, taking into account the economic profile of the area and a more formal representation of the spatial impact. Combining these two factors together gives a "UKG Adjustment Factor" which is compared with the "Scottish BCR Factor" the fraction of the Scottish level impact that is required to result in a BCR of 1, termed β.

The Preferred Option and its sensitivity test was further reviewed through the above described spatial adjustment factors. The outcome was that the Scottish BCR for the Preferred Option stands at £1.30:£1, with a sensitivity testing producing a range of £1.28:£1 to £1.34:£1. The sensitivity tests generally provided slight variations, if any, to some outcomes related to construction jobs, GVA (25 year NPV) and BCR figures but by limited difference.

An Alternative Option 3, involving the delivery of Phase 2 of the project comprised of terraced units and one modular unit was also modelled. This would deliver more floorspace (2,504 m2) over a longer period of time and would be generally more ambitious. This had higher GVA and jobs outcomes, given the larger scale of the project.

With the above in mind, it is clear that the best proposal in the round is the Preferred Option. However this provides limited benefits and there are questions over all of the Options modelled in terms of the added beneficial value they will deliver.

Option appraisal conclusion:
The key findings are as follows:

Option 1 – do nothing/do minimum/status quo
This option ranks fourth. It provides no development or build out.

Option 2 –Preferred Option.
Ranked first in terms of in Overall UKG adjustment factors.
- Delivers 36 net jobs (Direct and Indirect) FTEs
- Delivers 27 construction jobs FTEs
- This option delivers £22,670,631 GVA discounted over the next 25 years
- The GVA per head for the project is £91,718
- It provides a positive economic impact with an estimated Benefit Cost Ratio of £3.31:£1
- After spatial adjustment, the estimated Benefit Cost ratio decreases to £1.30:£1

Preferred Option - Sensitivity Check – Negative (unit subdivided & staggered occupancy)
- Delivers 36 net jobs (Direct and Indirect) (FTEs)
- Delivers 28 construction jobs (FTEs)
- This option delivers £21,370,231 GVA discounted over the next 25 years
- The GVA per head for the project is £91,718
- It provides a positive economic impact with an estimated Benefit-Cost ratio of £2.95:£1
- After spatial adjustment, the estimated Benefit Cost ratio increases to £1.34:£1

Preferred Option – Sensitivity Check – Positive (unit occupied earlier)
- Delivers 36 net jobs (Direct and Indirect) (FTEs)
- Delivers 27 construction jobs (FTEs)
- This option delivers £24,689,504 discounted over the next 25 years
- The GVA per head for the project is £91,718
- It provides a positive economic impact with an estimated Benefit-Cost ratio of £3.60:£1
- After spatial adjustment, the estimated Benefit Cost ratio increases to £1.28:£1

Alternative Option (3) – Deliver Phase 2
This option ranks second in terms of Overall UKG adjustment Factors.
- Delivers 53 net jobs (Direct and Indirect) (FTEs)
- Delivers 35 construction jobs (FTEs)
- This option delivers £32,451,002 discounted over the next 25 years
- The GVA per head for the project is £91,718
- It provides a positive economic impact with an estimated Benefit-Cost ratio of £3.66:£1
- After spatial adjustment, the estimated Benefit Cost ratio increases to £1.27:£1

TECHNICAL DETAIL

Stage 1:
Local and Scottish impacts can be calculated as under 2003 Green Book and associated guidance (equivalent to local and regional impacts in current HMT Guidance). The Scotland level impacts are what is considered important for Scottish Ministers.

Stage 2:
To align the standard results with the Inclusive Growth approach within the Scottish Government's Economic Strategy it is recommended that a spatial distributive sensitivity analysis is undertaken.

The way to do this is as follows:

$$Distributional\ Weight\ d = \left[\frac{Median\ earnings^{Scotland}}{Median\ earnings^{Area\ of\ impact}}\right]^{1.3}$$

Where 1.3 is the value for the marginal distribution of income in the Green Book. This weight should be applied to the benefits of the scheme that accrue to the local area. It may be necessary to perform a more complicated calculation if there is a wider distribution of impacts:

$$Distributional\ Weight\ d = \sum_{i=1}^{n}\left[\frac{Median\ earniongs^{Scotland}}{Median\ earnings^{Area\ of\ impact\ i}}\right]^{1.3}.\alpha_i.\ \text{where αi is the proportion of impact in area of impact i.}$$

This should be reported, by being applied to the Net Present Value of Benefits of the project as a sensitivity.

Stage 3:
UK level impacts are important for UK Ministers and will need to reflect updated Green Book guidance, specifically the assumption of 100% displacement of labour demand effects. However, the suggested approach is to take into account the likely differential impacts in low and high unemployment areas.

The approach, that minimises the additional effort and calculations required, calculates the extent of UK level impacts by taking the Scotland level impacts and calculating what proportion of them remain after applying UKG guidance. To make this comparison simple, the fraction of the Scottish level impact that is required to result in a BCR of 1[1], termed β, is calculated. B is simply the inverse of the BCR at the Scotland level. If the BCR at the Scotland level is 2, then the fraction of the Scotland level BCR that is required is ½.

$$\beta = \frac{1}{BCR} = \frac{NPC}{NPB}$$

This is compared with a "UKG adjustment factor" that is calculated by looking at the productivity, spatial distribution and potentially, labour supply impacts of the intervention.

Note that the Scotland level impacts will already contain some degree of displacement.

Stage 4:
The next step is to determine if the area of impact is a low or high unemployment area. A reasonable way to do this is to compare the employment rate with the Scotland average.

A high employment area will take labour from the UK as a whole whereas a low employment area will take employment from the local area.

Productivity

Thus the productivity adjustment factor, ρ, is given by:

High employment area	Low employment area
$\rho = \frac{(g_x)}{(g_{UK})}$	$\rho = \frac{(g_x)}{(g_l)}$

_____
[1] A BCR of 1 is used rather than accounting for the Marginal Social cost of public funds as it is argued that under the assumptions now explicit in the Green Book the MSCPF would be close to 1.

Where g = GVA/head and x is the project under consideration, and UK and I represent the UK and the local area respectively. Note that GVA/head is used in order to be able to calculate sector comparisons.

Spatial distribution

This follows the same approach as for Scotland but makes the comparison with UK median income per head;

$$Distributional\ Weight\ d = \sum_{i=1}^{n}\left[\frac{Median\ earnings^{UK}}{Median\ earnings^{Area\ of\ impact\ i}}\right]^{1.3}.\alpha_i.\ \text{where αi is the proportion of impact in area of impact i.}$$

Stage 5
Combining the analysis and presenting the results

The overall adjustment factor, γ, is given by:

$$\gamma = (\rho).(d)$$

This should be compared with the inverse BCR or β parameter discussed above and the value for money condition is if:

$$VFM\ if\ \gamma \geq 1+\beta\ or\ \gamma - 1 \geq \beta$$

	Short Listed Options - Phase 1					Whole Programme	Whole Programme (More Ambitious)
	Option 1 Do nothing	Option 2 Preferred	Preferred (sensitivity check - negative impact)	Preferred (sensitivity check - positive impact)	Option 3 (Phase 2)		
STAGE 1 - Scotland Impacts - Standard Analysis as calculated before (traditional)							
Business space created (NIA)	0	1690 sq m	1690 sq m	1690 sq m	2504 sq m	6000 sq m	6000 sq m
Capital Expenditure		£4,814,000	£5,093,000	£4,814,000	£6,342,500	£15,000,000	£15,000,000
Net Present Cost	n/a	£4,345,707	£4,588,840	£4,345,707	£5,618,718	£12,661,213	£13,194,526
Optimism bias		5%	5%	5%	5%	5%	5%
Direct Jobs	0	23	23	23	34	83	83
Indirect Jobs	0	13	13	13	20	50	50
Total Jobs	0	36	36	36	53	133	133
Construction jobs	0	27	28	27	35	83	83
Construction GVA	£0	£1,021,364	£1,078,502	£1,021,364	£1,320,720	£2,975,759	£3,101,091
Direct GVA (Present Value of Benefits) 25 year NPV	£0	£14,368,370	£13,544,192	£15,647,907	£20,567,050	£48,697,595	£50,606,820
Indirect GVA 25 year NPV	£0	£8,302,261	£7,826,039	£9,041,597	£11,883,952	£29,126,312	£30,333,651
Total GVA 25 year NPV	£0	£22,670,631	£21,370,231	£24,689,504	£32,451,002	£77,823,907	£80,940,471
Present Value of Costs to Government	n/a	£4,345,707	£4,588,840	£4,345,707	£5,618,718	£12,661,213	£13,194,526
NPV		£10,022,663	£8,955,352	£11,302,199	£14,948,332	£36,036,382	£37,412,294
BCR		3.31	2.95	3.60	3.66	3.85	3.84
Rank based on BCR		**1**	**n/a**	**n/a**	**2**		
STAGE 2- Scotland Impacts - Spatially Adjusted Analysis to align 'traditional' results with Inclusive Growth approach within Scottish Government's Economic Strategy							
Spatial Adjustment factor	n/a	1.11	1.11	1.11	1.11	1.11	1.11
NPV		£11,306,622	£10,165,663	£12,700,498	£16,786,207	£40,388,006	£41,934,526
BCR		3.60	3.22	3.92	3.99	4.19	4.18
STAGE 3- UK Impacts - calculate extent of UK level impacts by taking Scotland level impacts and calculating proportion of them which remain after applying UKG guidance							
Spatial Adjustment factor (d)	n/a	1.09	1.09	1.09	1.09	1.09	1.09
STAGE 4- UK Impacts - A high employment area can be thought of as drawing labour from UK whereas low employment area will draw from the local area							
Steady State Direct Employment - Jobs	0	23	23	23	34	83	83
Steady State GVA	£0	£22,192,840	£21,144,255	£23,765,717	£3,107,286	£7,285,130	£7,285,130
GVA per head for project	£0	£91,718	£91,718	£91,718	£91,718	£88,277	£88,277
Productivity Adjustment factor (r)		1.88	1.88	1.88	1.88	1.81	1.81
Overall UKG Adjustment Factor (UKAF) (g)	n/a	2.30	2.30	2.30	2.30	1.22	1.22
Scottish BCR Factor (b)		1.30	1.34	1.28	1.27	1.26	1.26
Rank based on Overall UKG Adjustment Factor		**1**	**n/a**	**n/a**	**2**		

APPENDIX E: RISK REGISTER

AYRSHIRE GROWTH DEAL RISK REGISTER:			i3 ADVANCED MANUFACTURING SPACE Full Business Case, Phase 1, 03 October 2022 (IP) denotes risks within Implementation Plan						
Risk Code	Risk Type	Risk Description	Likeli-hood	Impact	Risk Score	Internal Controls / Counter Measure	Owner	Status	
I3FL-R01 (IP)	Outputs & Outcomes	Anticipated outputs and outcomes are not delivered.	3	5	15	Ensure BC addresses sensitivity of outcomes Clear Evaluation & Monitoring Framework Benefits Realisation Plan has been prepared	NAC / Contractor	High Risk	
I3FL-R02	Outputs & Outcomes	The overall impact of i3 AGD programme is limited, as the Business Case for the i3 DPMC facility fails.	2	5	10	The DPMC proposal has a strong supporting evidence base. FBC for DPMC Phase 1 has been approved DPMC Phase 2 FBC requires approval.	NAC	Warning	
I3FL-R03	Outputs & Outcomes	The project fails to achieve more inclusive growth and/or reduce poverty by increasing the income of people in deprived areas or protected characteristic groups	3	5	15	Benefits Realisation Plan prepared to identify targets.	NAC	High Risk	
I3FL-R04	Timescales / Programme	Delays to overall project programme and key milestones	3	5	15	Prepare a detailed project programme with considered time allowances and review regularly.	Delivery Team	High Risk	
I3FL-R05 (IP)	Timescales / Procurement	Delays caused by Procurement	4	3	12	Seek early agreement on procurement routes Include anticipated tender packages within the Council's Procurement Wave Plan	NAC	High Risk	
I3FL-R06	Timescales / Environment	Delays caused by environmental considerations	3	5	15	Protected Species/Habitat risk has been assessed at an early stage. Review of site studies required at key stages. Ensure seasonal work/study requirements are accounted for in programme.	NAC	High Risk	

AYRSHIRE GROWTH DEAL RISK REGISTER:						i3 ADVANCED MANUFACTURING SPACE Full Business Case, Phase 1, 03 October 2022 **(IP)** denotes risks within Implementation Plan		
Risk Code	**Risk Type**	**Risk Description**	**Likeli-hood**	**Impact**	**Risk Score**	**Internal Controls / Counter Measure**	**Owner**	**Status**
I3FL-R07	**Timescales / Environment**	Delays caused by site investigation work and findings	3	5	15	Instruct SI work at early stage of project	NAC	High Risk
I3FL-R08	**Timescales / Regulatory**	Delays caused by objections	2	4	8	Advance programme of local & stakeholder engagement.	NAC	Warning
I3FL-R09 **(IP)**	**Timescales / Regulatory**	Delays caused by statutory consent processes	2	4	8	Zoned & allocated site Pre-App discussion with North Ayrshire Council Planning Assess Protected agree programme for consents Advance Species/Habitat risk at early stage Prepare programme of stakeholder engagement	NAC	Warning
I3FL-R10	**Timescales / Regulatory**	Delays caused by land acquisition / lease agreement processes.	2	4	8	Early engagement with land/building owners. Ensure programme allows for third party approvals.	NAC / SE	High Risk
I3FL-R11	**Timescale / Business**	Potential delays in Full Business Case approval.	3	4	12	BC developed in accordance with Green Book Stakeholder Risk Assessment Early Market Input/ Partner & Commercial Input Review CAPEX and OPEX costs Review Governance Arrangements Adjustments to spec at each phase to meet changing demands.	NAC / SG	High Risk
I3FL-R12	**Timescale / Contractor**	Delays when the contractor is on site.	4	5	20	Identify appropriate construction contract to remove/ reduce risk of cost over-run.	Contractor	Warning
I3FL-R13	**Timescale / Business / Professional**	Delays caused by resource management and project management issues.	3	5	15	Internal AGD team has been identified. Review project resource requirements regularly. Ensure external teams have robust	NAC / Consultants / Contractor	Warning

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AYRSHIRE GROWTH DEAL RISK REGISTER:			i3 ADVANCED MANUFACTURING SPACE **Full Business Case, Phase 1, 03 October 2022** **(IP)** denotes risks within Implementation Plan					
Risk Code	**Risk Type**	**Risk Description**	**Likeli-hood**	**Impact**	**Risk Score**	**Internal Controls / Counter Measure**	**Owner**	**Status**
						procedures in place for replacing resource if required.		
I3FL-R14	**Regulatory**	Planning/building warrants are not granted.	2	5	10	LDP supports development of site for this use. Ensure local members briefed/updated on project. Hold pre-app discussion with NAC Planning Assess Protected Species/Habitat risk Formally agree programme for consents Advance programme of stakeholder engagement	NAC	High Risk
I3FL-R15	**Regulatory**	Compliance with State Aid / Subsidy regulations.	2	5	10	Engage with State Aid Unit at appropriate stage. Partners to identify specific Subsidy Risks within the project		High Risk
I3FL-R16	**Financial**	Design and technical studies result in additional costs beyond the contingencies and optimism bias allowed for.	3	5	15	Develop and validate project briefs and specifications for each phase Benchmark costs. Ensure early infrastructure cost tested and informed by SI work. Provide Optimism Bias allowances compliant with Green Book Provide for contingency & inflation.	NAC / Design Team	Warning
I3FL-R17	**Financial**	Slippage / delay in the programme incurs additional costs.	4	5	20	Instruct appointed project team to address this within Risk Register. Selected procurement route will seek to ensure contract type has less risk for client.	NAC / Contractor	Warning

AYRSHIRE GROWTH DEAL RISK REGISTER:			i3 ADVANCED MANUFACTURING SPACE Full Business Case, Phase 1, 03 October 2022 (IP) denotes risks within Implementation Plan					
Risk Code	Risk Type	Risk Description	Likeli-hood	Impact	Risk Score	Internal Controls / Counter Measure	Owner	Status
I3FL-R18 (IP)	Financial	There are unforeseen project complexities that require additional funding.	2	5	10	Provide for contingency Provide Green Book compliant Optimism Bias allowances. Similar project has been delivered previously.	NAC	Warning
I3FL-R19 (IP)	Financial	Rental income lower than forecast	2	4	8	Market review and comparator analysis to identify appropriate rent but ultimately down to actual market demand on completion	NAC	Warning
I3FL-R20	Financial	Lack of budget to support interested tenants to fit out shell of building	3	4	12	Identify at an early stage and with Business Growth Team, how this can be supported.	NAC	Warning
I3FL-R21	Financial	Lack of budget to support maintenance of buildings until tenants take occupancy, if buildings are classified and non -operational.	3	2	6	Identify at an early stage with Finance and Estates, how this can be supported.	NAC	High Risk
I3FL-R22	Professional	Lack of project management experience.	2	4	8	Ensure experience project management team, both in-house and any external support. Budget allows for appointment of required expertise.	NAC	Warning
I3FL-R23	Professional	Poor change management procedures.	3	4	12	Clear and agreed procedures set in place for internal change management and for external processes with design team and contractor.	NAC / Contractor	Warning
I3FL-R24	Professional	Specification – design issues on-site	2	5	10	Adopt best practice design and ensure flexibility for subsequent division/ alteration of premises.	NAC / Consultants / Contractor	Warning
I3FL-R25	Timescales / Contractual	Delays caused by contractor on site.	4	5	20	Identify appropriate construction contract to remove/ reduce risk of cost over-run	Contractor	Warning

AYRSHIRE GROWTH DEAL RISK REGISTER:			**i3 ADVANCED MANUFACTURING SPACE** **Full Business Case, Phase 1, 03 October 2022** **(IP)** denotes risks within Implementation Plan						
Risk Code	**Risk Type**	**Risk Description**	**Likeli-hood**	**Impact**	**Risk Score**	**Internal Controls / Counter Measure**	**Owner**	**Status**	
I3FL-R26	**Contractual / Political**	Failure to deliver community benefits – training, employment	3	4	12	Incorporate appropriate community benefits into contract terms and resource appropriately	NAC / Contractor	Warning	
I3FL-R27	**Contractual**	Issues with co-ordination on-site - contracts, visitors	2	4	8	Ensure main contractor has appropriate procedures for site management	Contractor	High Risk	
I3FL-R28 (IP)	**Reputational / Political**	The project's Full Business Case fails.	2	5	10	Heads of terms signed with UK and Scottish Governments, OBC approved. Development of FBC in accordance with Green Book and with strong supporting evidence. Draft masterplan provides overall vision.	NAC	High Risk	
I3FL-R29 (IP)	**Reputational**	Demand for the project diminishes and there is no interest from occupiers.	2	5	10	Flexible design to maximise potential interest from occupiers. Recent research has established demand. Prepare project marketing particulars.	NAC	High Risk	
I3FL-R30	**Reputational**	Market expectations are not met.	2	5	10	Scale/ quality/ design based on identified market needs Recent research has established demand. Continue to review demand and business needs with Partners including SE and SDI. Involve relevant business engagement partners.	NAC	High Risk	
I3FL-R31	**Reputational**	Businesses interested in units decide not to progress	3	5	15	Ensure ongoing engagement with businesses to prepare suitable Heads of Terms.	NAC	High Risk	
I3FL-R32 (IP)	**External**	The COVID pandemic has a detrimental impact on the project, including delay to project's	4	4	16	Anticipating some delay arising from COVID 19 recovery. Early analysis identifies that the	NAC	High Risk	

AYRSHIRE GROWTH DEAL RISK REGISTER:		i3 ADVANCED MANUFACTURING SPACE **Full Business Case, Phase 1, 03 October 2022** **(IP)** denotes risks within Implementation Plan						
Risk Code	**Risk Type**	**Risk Description**	**Likeli-hood**	**Impact**	**Risk Score**	**Internal Controls / Counter Measure**	**Owner**	**Status**
		development and delivery and a reduction in demand for the project.				need for the project is unlikely to be diminished (in fact the need may be greater). Continued economic analysis and development of recovery plans should be implemented and robust project scoping should continue to ensure the project meets needs.		
I3FL-R33	External	BREXIT has a detrimental impact on the project, including the overall cost of the project and potential delays eg cost of and timescale for delivery of specific materials.	4	4	16	Cost monitoring as part of projects. Make adjustments to programme and cost areas within budget, based on experience of other relevant projects.	NAC	High Risk
I3FL -R34	External	Cost inflation has a detrimental impact on the project in terms of capability to deliver the overall proposed programme of floorspace	4	5	20	Value engineer proposals where possible. Seek additional sources of funding to boost budget. Alter industrial / office space specifications and formats where possible.	NAC	High Risk
I3FL – R35	Timescales / Financial	Utilities cause delays eg surface water drainage connections, sub station requirement.				Utility companies to be approached and applications to be submitted at an early stage.		Warning

APPENDIX F: INCLUSIVE GROWTH & COMMUNITY WEALTH BUILDING

I3 Flexible Advanced Manufacturing Space: Inclusive Growth and Community Wealth Building

Inclusive Growth Ambition/Objective	How?	IG Barrier	IG Action Plan	CWB pillar	CWB theme	Equalities/ Excluded Group
Increase in GVA across region	Deliver modern, flexible business space to provide space to market (97,000 sq ft)	Intermediate & Advanced Skills, Structure of economy, Advanced digital skills, Business premises Inward investment	Maximising benefits for Ayrshire's business base. Maximising benefits for people – Fair Work. Maximising benefits for places/communities.	Fair employment Land and assets	Promote our investment opportunities to regional and national institutions to gain investment in our communities	
Expenditure in R&D per head	Deliver modern business space which attracts investment from firms spending in R&D	Structure of economy Advanced digital skills Business premises	Maximising benefits for Ayrshire's business base. Maximising benefits for people – Fair Work. Maximising benefits for places/communities.	Fair employment Land and assets	Promote our investment opportunities to regional and national institutions to gain investment in our communities	
Employment Opportunities	Create employment opportunities for groups that most need them eg disadvantaged groups and protected characteristic groups including women and young people. Detail requirements through Community Benefits in procurement packages. Work with partner organisations to facilitate recruitment of excluded groups.	Intermediate & Advanced Skills, Structure of economy,	Maximising benefits for people – Fair Work. Maximising benefits for places/communities.	Fair employment Procurement	Promote our investment opportunities to regional and national institutions to gain investment in our communities	
Improving skills	Creating pre-employment learning pathways for identified priority groups eg females, living in Ayrshire. Support skills needs of businesses taking space within i3.	Intermediate & Advanced Skills, Structure of economy, Advanced digital skills,	Maximising benefits for people – Fair Work. Maximising benefits for places/communities.	Fair employment	supporting in work progression, and training and skills pipeline	

APPENDIX G: COMMUNITY BENEFIT STATEMENT

AGD Business Cases – Regional Community Benefits Statement

Community Benefits

Community Benefits have been a key component of public procurement policy and practice in Scotland for more than ten years.

To embed best practice and drive public bodies to consider Community Benefits clauses in procurement, The Procurement Reform (Scotland) Act 2014 established a national legislative framework for sustainable public procurement that supports Scotland's economic growth through improved procurement practice.

The Reform Act requires public bodies, including Ayrshire Growth Deal (AGD) Partners, to consider how their procurement activity can improve the economic, social and environmental wellbeing of their communities.

Community Benefits are one of a range of social and environmental requirements that can be included in public contracts, contributing to national outcomes on sustainability including, but not limited to, employment, learning, skills, supply chain development and community engagement.

Contractors, suppliers and Service Providers appointed through AGD projects must demonstrate their organisations' commitment to providing Community Benefits within Ayrshire, over and above their obligations to deliver on the core purpose of a contract.

In accordance with guidance of the Reform Act and always in a relevant and proportionate manner, applicable appointments, through AGD projects, which require procurement activity, will be subject to Community Benefits requirements.

Community Benefits Themes

Through their separate procurement activities and where possible, AGD Partners are committed to assisting both young and unemployed people by encouraging access to quality sustainable employment and providing skills and training opportunities. Organisations appointed to AGD projects must therefore be able to demonstrate their commitment to integrate trainees and long-term unemployed persons into the labour market, without distinction to sex, marital status, race, ethnic origin or political or religious beliefs.

AGD projects will also bring together an extensive range of experienced Professionals who, with minimal sacrifice of time, could provide useful learning and knowledge exchange opportunities for various groups of people in our Ayrshire communities and over a wide range of subject areas and

expertise. Organisations appointed to AGD projects must therefore be able to demonstrate their commitment in providing learning opportunities across the wider Ayrshire community.

Community Benefits pledges from AGD projects should also have a focus on supporting and developing Ayrshire's existing business base and building on this with the aim of increasing the number of new business start-ups and growing sustainable businesses. The long-term sustainable development of Ayrshire's SME business base is vital and AGD Partners recognise the need to support the development of the SME sector through the use of a procurement approach which maximises SME exposure to procurement opportunities.

As such and through the procurement phases of any AGD project, contracting organisations will be asked to consider the following objectives when committing to the delivery of Community Benefits:

- Improving Education and Skills. For example, creation of apprenticeships or delivering knowledge exchange and presentations in schools or community groups.
- Improving Local Employability. For example, creation of new jobs, recruitment of the long-term unemployed, disadvantaged or young people.
- Work Experience Placements/Programmes. For example, providing work experience placements to those in education.
- Delivering Training and Development in the Community. For example, mentoring - private sector suppliers can offer support, normally as part of their CSR activity, where they can offer training and guidance to local organisations and individuals.
- Community Consultation - giving the local community an opportunity to express an opinion and possibly influence the design and delivery of a project or service in an area.
- Enhancing & Improving Local Community and Environmental Projects. For example, providing volunteers or donations to local initiatives.
- Sponsorship and Charity Work
- Supply Chain, Supported Business, Third Sector and Voluntary Initiatives. For example, offering Small and Medium Enterprises and Voluntary Sector organisations opportunities to provide goods, works and/or services as part of a contract.

Tracking & Reporting Community Benefits

Organisations who are successful in being awarded a contract through an AGD project will have their Community Benefits pledges evaluated on an ongoing basis, throughout the duration of their contract and through each of the AGD Partners' contract management procedures, using a shared Community Benefits tracking system.

Along with providing an excellent, flexible and accessible record of business information for those organisations appointed to Growth Deal projects, the AGD Partners' shared, online Community Benefits Tracker will ensure a consistent approach is applied to the monitoring of Community Benefits pledged through AGD procurement.

APPENDIX H: EQUALITY IMPACT ASSESSMENT

Ayrshire Growth Deal
Equality Impact Assessment including Fairer Scotland Duty

Equality Impact Assessment is a legal requirement under the Public Sector Duty to promote equality of the Equality Act 2010. Separate guidance has been developed on the Equality Impact Assessment's which will guide you through the process and is available to view here: https://www.equalityhumanrights.com/en/publication-download/assessing-impact-and-public-sector-equality-duty-guide-public-authorities/

The Fairer Scotland Duty ('the Duty'), Part 1 of the Equality Act 2010, came into force in Scotland from 1 April 2018. It places a legal responsibility on Councils to actively consider ('pay due regard to') how we can reduce inequalities of outcome caused by socio-economic disadvantage, when making strategic decisions. Interim Guidance for Public Bodies in respect of the Duty was published by the Scottish Government in March 2018.

Please note that the term 'project' is used throughout and applies to policies, strategies, provisions, criteria, functions, practices, budget savings and activities, including the delivery of services.

If your require assistance please contact:

East Ayrshire Council	Alyia Zaheed	alyia.zaheed@east-ayrshire.gov.uk
North Ayrshire Council	Andrew Hale	andrewhale@north-ayrshire.gov.uk
South Ayrshire Council	Geraldine McGivern	geraldine.McGivern@south-ayrshire.gov.uk

Section One: Project Details*

Name of Project	I3 Flexible Advanced Manufacturing Space
Lead Officer (Name/Position)	Marnie Ritchie, Manager, Growth and Investment
Support Team (Names/Positions) including Critical Friend	Growth and Investment Team, North Ayrshire Council
What are the main **aims** of the project?	To deliver approximately 9,000m2 of advanced manufacturing space at i3 over a number of phases, to meet market demand in an area of market failure and to complement AGD investment in the Digital Processing Manufacturing Centre at i3, in partnership with NMIS- creating an overall cluster of research, innovation, accommodation and services for industry and business.
What are the intended **outcomes** of the project	The intended outcomes of the project are the delivery of much needed modern business space, new jobs and construction jobs, supported SMEs, additional GVA, access to related employability and skills programmes for local people and removal of sites from the vacant and derelict land register.

Section Two: What are the Likely Impacts of the Project?

Will the project impact upon all three Ayrshire councils areas or a specific council area and/or particular groups within the population (please specify the equality groups)	The project has the potential to impact on all three Ayrshire Council areas but mostly North Ayrshire. It has the potential to positively impact on particular groups in terms of opportunities for employment and training for disadvantaged people or people within Protected Characteristic groups.

Consider the 'Three Key Needs' of the Equality Duty

Which aspects of the project eliminate unlawful discrimination, harassment and victimisation?

The project is about creating new business space, therefore due to the nature of the project, it is not considered that this key need is relevant to the project.

Which aspects of the project advance equality of opportunity between people who share a relevant protected characteristic and those who do not?

- The design of the project space will be modern and fully accessible, complying with EA 2010 standards and enabling potential employees or trainees that are mobility impaired or disabled to access the buildings and the surrounding space.
- The procurement process for the buildings will require construction companies to provide opportunities for trainees and job seekers from disadvantaged or Protected Characteristic groups.
- Businesses that occupy the space will be encouraged by the Council and its partners to create employment/skills development/ learning opportunities for people in disadvantaged or Protected Characteristic groups.
- It is intended that the project will seek to improve active travel links to the site, to make the location more accessible to people without access to a car and who may be reliant on affordable and accessible public transport services.

Which aspect of the project foster good relations between people who share a protected characteristic and those who do not? (Does it tackle prejudice and promote a better understanding of equality issues?**)**

The design of the buildings and job/skills/training opportunities for protected characteristic groups will help tackle prejudice and promote a better understanding of equality issues, through the integration of these requirements as standard practice.

Have any cross-cutting impacts been identified from other Council Services or Partner Agencies? (Multiple discrimination or accumulated effects of multiple proposals on a protected characteristic group**)**

No cross-cutting impacts have been identified at this stage.

Island Proofing

Island Proofing is about considering the particular needs and circumstances of island communities when public sector organisations exercise their functions and make decisions. This process includes a range of issues such as access to services, digital connectivity, employment and access to education; transport and access to goods and services.

> The project is focussed on a specific location at i3 Irvine Enterprise Area. It is not considered that the particular needs and circumstances of island communities would be detrimentally affected by this particular project.

Considering the following Protected Characteristics and themes, what likely impacts or issues does the project have for the group or community?

Please outline evidence in relation to impacts identified. List any likely positive and/or negative impacts. If negative impacts are identified, can these be mitigated or lessened?

If you require further information in relation to evidence, the Equality Evidence Finder **brings together the latest statistics and research for Scotland across different themes for age, disability, ethnicity, gender, religion, sexual orientation, socio-economic status and transgender status.**

The Equality Evidence Finder is updated monthly with a summary of the key official statistics, social research and National Performance Framework equality analysis. Links to further datasets, statistics and research are provided to help find the full range of available equality evidence for Scotland.

Protected Characteristics	Evidence	Positive/Negative Impacts	Mitigating Factors
Age: Issues relating to different age groups eg older people or children and young people	Young people are particularly excluded from manufacturing growth areas.		
Disability: Issues relating to disabled people	Limited access to employment opportunities due to limited scope to work in ageing industrial buildings and limited access to transport to i3.		

Protected Characteristics	Evidence	Positive/Negative Impacts	Mitigating Factors
Gender Reassignment – Trans/Transgender: Issues relating to people who have proposed, started or completed a process to change his or her sex	No issues identified.		
Marriage and Civil Partnership: Issues relating to people who are married or are in a civil partnership	No issues identified.		
Pregnancy and Maternity: Issues relating to woman who are pregnant and/or on maternity leave	No issues identified.		
Race: Issues relating to people from different racial groups,(BME) ethnic minorities, including Gypsy/Travellers	No issues identified.		
Religion or Belief: Issues relating to a person's religion or belief (including non-belief)	No issues identified.		
Sex: Gender identity: Issues specific to women and men/or girls and boys	Women are particularly excluded from manufacturing growth areas.		
Sexual Orientation: Issues relating to a person's sexual orientation i.e. LGBT+, lesbian, gay, bi-sexual, heterosexual/straight	No issues identified.		
Children's Rights Issues and impacts affecting children's rights* *for more information please email – andrewhale@north-ayrshire.gov.uk	No issues identified.		
Health Issues and impacts affecting people's health	No issues identified.		
Human Rights: Issues and impacts affecting people's human rights such as being treated with dignity and respect, the right to education, the right to respect for private and family life, and the right to free elections.	No issues identified.		

Fairer Scotland Duty – Scio Economic Disadvantage			
	Evidence	**Positive/Negative Impacts**	**Mitigating Factors**
Low Income/Income Poverty: Issues: cannot afford to maintain regular payments such as bills, food and clothing.			
Low and/or no wealth: Issues: enough money to meet basic living costs and pay bills but have no savings to deal with any unexpected spends and no provision for the future			
Material Deprivation: Issues: being unable to access basic goods and services i.e. financial products like life insurance, repair/replace broken electrical goods, warm home, leisure/hobbies			
Area Deprivation: Issues: where you live (rural areas), where you work (accessibility of transport)	Accessibility and affordability of transport to i3.	Access to I3 Enterprise Area is currently limited by public transport.	Action to progress discussions with public transport provider to consider improved services.

Section Three: Evidence Used in Developing the Project

Involvement and Consultation In assessing the impact(s) set out above what evidence has been collected from involvement, engagement or consultation? *Who* did you involve**, *when*** and ***how*?**	
Data and Research In assessing the impact set out above what evidence has been collected from research or other data. Please specify *what* research was carried out or data collected, *when* and *how* this was done.	
Partners data and research In assessing the impact(s) set out in Section 2 what evidence has been provided by partners? Please specify partners	
Gaps and Uncertainties Have you identified any gaps or uncertainties in your understanding of the issues or impacts that need to be explored further?	

Section Four: Detailed Action Plan to address identified gaps in:
a) evidence and
b) to mitigate negative impacts

No.	Action	Responsible Officer(s)	Timescale
1	Ensure the proposed build space and general project location is fully accessible and where appropriate, compliant with EA2010.	Project Designers	Over the course of the various phases of the project.
2	Progress discussions with public transport provider	AGD Project Lead	December 2022
3	Develop initiatives with colleagues and other Council teams to ensure young people and women will benefit from the project.	AGD Project Lead	Over the course of the various phases of the project.
4			
5			

Note: Please add more rows as required.

Section Five - Performance monitoring and reporting
Considering the project as a whole, including its equality and diversity implications:

When is the project intended to come into effect?	The project has started and will be delivered in a series of phases.
When will the project be reviewed?	At various Gateway Stages. Gateway 1 took place on 5 Feb 2021. Gateway 2 will take place late Sept 2021.
Which Panel will have oversight of the project?	The Project Board and particular Gateway Review meetings. Following which the project will be reported to AGD Update Meeting involving NAC's Chief Executive, Directors and Heads of Service.

Section 6

Ayrshire Growth Deal

Summary Equality Impact Assessment Implications & Mitigating Actions

Name of Project: ....

Name of Project Lead……………………………………………………….

Email of Project Lead……………………………………………………...

Date of Assessment…………………………………………………………

This project will assist or inhibit the Council's ability to eliminate discrimination; advance equality of opportunity; and foster good relations as follows:

Please see information contained above.

1. **Summary of project aims**
2. **Summary of how the project will eliminate discrimination**
3. **Summary of how the project will advance equality of opportunity**
4. **Summary of how the project will foster good relations**
5. **Summary of how the project considers Socio-Economic Disadvantage (Fairer Scotland Duty)**
6. **Summary of how the project considers the needs of island communities**
7. **Summary of Key Action to Mitigate Negative Impacts**
    a. **Actions and Timescales**

Project Lead: **Marnie Ritchie, Manager, Growth and Investment**

Signed: **26 February 2021**

APPENDIX I: CARBON ANALYSIS

Item	Project Owner Response
1. **Project Name**	i3 Flexible Space
2. **Deal Region**	Ayrshire
3. **Brief Description of Project**	Flexible advanced manufacturing space service digital process industries
4. **Expected Carbon Emissions Impact CONTROL Category (1-5)**	3 - Cap + then Zero
5. **Expected Carbon Emissions Impact INFLUENCE Category (A-C)**	B
6. **Justification of Expected Carbon Emissions Impact Category** e.g. a short narrative outlining the key carbon emission sources and their relationship to capital and operational net zero following the Deals Carbon Emissions Impact Categorisation Process.	Carbon emissions through the construction process to create new industrial buildings and related access roads, parking and yard space. The design specification is considering the use of recyclable external cladding. The works contracts will ask tenderers to consider how materials and trades can be locally sourced. Measures to reduce carbon at the operational stage include solar roof panels, heat pumps, EV charging points, a section of new footway to contribute towards active travel improvements and a suds pond, as the first phase. The Council's Sustainability Team and M&E consultants have provided advice on the most sustainable and low carbon options for heat and power.
7. **Could the Carbon Emissions Impact Category be improved?** e.g. from Category 4B to Category 3A	
8. **Could the carbon performance of the project be improved?** e.g. reducing emissions further, achieving net zero faster.	Yes. The project will be delivered in phases and its anticipated that later phases wil benefit from knowledge gained as the project progresses.
9. **How will carbon be managed?** e.g. through PAS 2080: Carbon Management in Infrastructure for infrastructure projects or the RICS Whole Life-Cycle Carbon Professional Statement for buildings projects	PAS 2080
10. **What other carbon savings are expected to result from the project?** e.g. wider carbon savings across the economy resulting from project output	The development will contribute to offering more sustainable, modern and energy saving business space within the local area, helping businesses and the Council to achieve low carbon targets and contributing to the Council's policy of being net zero by 2030. It will also contribute to ongoing active travel improvements in the area that will make the i3 location more accessible by walking and cycling and provide charging facilities for electric vehicles.

A - Leads to wider carbon emissions reductions;
B - Will have a negligible effect on wider carbon emissions; or,
C - Leads to an increase in wider carbon emissions

APPENDIX J: AYRSHIRE GROWTH DEAL CHANGE MANAGEMENT PROCESS

6 stage process:

1. Review project risk assessment
2. Review strategic alignment
3. Local growth contribution analysis
4. Regional growth contribution analysis
5. Economic Impact and Value for Money Assessment
6. Funding Plans and Financial Profile

Key:

- SBC – Strategic Business Case
- OBC – Outline Business Case
- PMO – Programme Management Office
- REP – Regional Economic Partnership
- JC – Joint Committee